

# Key Competencies for Improving Local Governance

Key Competencies for Improving Local Governance – Volume 4: Training Tools

Without strong local institutions and motivated staff, decentralization and human settlements reform will not deliver the desired development outcomes. Yet, many local authorities and civil society organisations lack the human resources required to meet urgent needs. Training and capacity building is therefore a wise investment into the future sustainability of our cities. The Training and Capacity Building Branch (TCBB) of UN-HABITAT supports national training institutions to build their capacity to implement innovative programmes, focusing on local governance and sustainable human settlements development. Typical activities include training needs assessment, development of manuals, training of trainers, and impact evaluation. TCBB products have been successfully adapted and translated into over 20 languages.

Training Tools is the last Volume of the Local Elected Leadership (LEL) series on Key Competencies for Improving Local Governance. The series presents two roles and ten competencies essential for every local elected official and is comprised of Volume 1 – Quick Guide; Volume 2 – User's Guide; Volume 3 – Concepts and Strategies; and Volume 4 – Training Tools. Volume 4 includes a series of training and governance tools to be used by trainers and participants to enhance their learning about and application of the concepts, principles and strategies. There are over 100 tools presented in this volume for the two roles and ten competencies. Many of the exercises included in this volume have value beyond the workshop venue and can be used as on-the-job learning tools. Creative use of these tools in conjunction with day to day practice of elected leadership can help elected men and women, more fully examine, interpret and learn first hand from their own experiences.

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Volume 4: Training Tools



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The Local Elected Leadership Series

# Key Competencies for Improving Local Governance

## Volume 4: Training Tools





# Foreword

One of the most successful UN-HABITAT initiatives to increase the capacity of local governments, their leaders, and many other key local stakeholders worldwide has been through the efforts of its Training and Capacity Building Branch (TCBB). Through the development and dissemination of practical training materials and the training of trainers, TCBB has been able to extend its reach and influence to public officials and communities with the desire and commitment to improve and promote good local governance. More importantly, these user-friendly learning tools have opened the door for an increasing number of women to join the ranks of public officials who can leverage their communities resources to fight poverty and bring about positive changes in their governing institutions. Among these tools is the Elected Leadership series.



UN-HABITAT first developed and published the Local Elected Leadership series a decade ago, and the series enjoyed a wide success in many regions of the world through numerous training programmes and has been translated into more than twenty-five languages over the years. We expect that this new Local Elected Leadership series will establish new benchmarks of service to local governments and their leaders because of a network of trainers and training institutions that already exists. Their dedication and commitment to elected leadership development is legendary. Without their efforts, it would be impossible to reach around the world with the learning opportunities that are embodied in this series.

This work significantly contributes to the Global Campaign on Urban Governance, which was launched by UN-HABITAT in 1999 to support implementation of the Habitat Agenda goal of “sustainable human settlements development in an urbanizing world.” The Campaign’s goal is to contribute to the eradication of poverty through the improvement of urban governance. There is growing consensus that the quality of urban governance is the single most important factor for the eradication of poverty and for prosperous cities. Based on this consensus, the Campaign has focused on contributing to the capacity of local governments and other stakeholders so they can fully implement good governance initiatives.

There are so many to thank in the accomplishment of this project: the financial support through funding from the Government of the Netherlands and the Open Society Institute; the expert committee that took time to share their thoughts and wisdom, the hundred of trainers who contributed to a better understanding of how to strengthen the series; the team of UN-HABITAT professionals who guided the project and products to fruition; and the principal authors of the series, Dr. Fred Fisher and David Tees.



**Anna Kajumulo Tibajuka**  
Executive Director, UN-HABITAT

# Preface

**F**irst published in 1994, the initial edition of this Local Elected Leadership (LEL) series has been translated into twenty-five languages and used in many regions of the world. Hundreds of trainers worldwide have been trained to facilitate elected leadership workshops and several hundred thousand local elected and appointed officials have participated in leadership programmes using the materials. In addition, the LEL series has been used by hundreds of non-governmental and community-based organizations to strengthen their management and leadership skills and competencies.

Based on the success of the original series and the changing nature of local governance, urban challenges, and the growing wisdom and understanding about issues like governance and sustainability, UN-HABITAT decided to revise and update the LEL series to meet the learning needs of a new generation of local elected leaders. A global written survey of users was conducted and a representative team of elected officials, trainers, and governance specialists was convened at UN-HABITAT headquarters in late 2002 to review the survey data, reflect on their own experiences in using the original series, review the materials in-depth to determine how best to improve on them, and reach consensus on a comprehensive list of recommended actions that should be taken to revise the materials based on changing times and growing demand.

Several factors dictated the development of this new series of local elected leadership materials.

- ❑ There was confirmation that the roles and responsibilities covered by the initial series were, in large part, still valid. The basic competencies required of elected officials to perform leadership roles within their jurisdictions have not changed.
- ❑ While the basic competencies may not have changed, the need for greater depth of understanding about these competencies and the skills to apply them had grown in the intervening years. The world is much more complex and the challenges of local elected leadership more demanding than they were a decade or so ago.
- ❑ Reservoir of valuable experience about governance, elected leadership, and the issues confronting local leaders in today's complex urban environments has been growing over the last decade. It was time to tap this reservoir of experience and knowledge as resources for significant elected leadership learning and development.
- ❑ Finally, there has been a profound shift in the understanding of what constitutes good governance and

effective elected leadership over the past decade or so. Issues of equity, inclusion, subsidiarity, civic engagement, accountability, transparency, and the old standards of effectiveness and efficiency, have gained new significance, understanding, and importance as elected leadership mandates and criteria for measuring governance performance.

Based on these factors and the wisdom of all those who helped contribute to this new series, there are several key changes that mark this new series.

- ❑ It recognizes representation and leadership as the core roles and responsibilities of the elected official. They must represent their constituents and they must provide leadership in their representation. Both of these roles are complex and demanding.
- ❑ In order to fulfill these core roles and responsibilities, the elected leader must be knowledgeable and skilled in the following competencies: communicating, facilitating, using power, decision making, policy making, enabling, negotiating, financing, overseeing, and institution building.
- ❑ These competencies must be exercised within the principles of good governance as defined by international standards. These principles establish the context within which each of the competency skills should be applied.
- ❑ The roles of trainer and training manager are recognized as central to the success of elected leadership development. An extensive User's Guide has been developed to support their initiatives. In addition, nearly ninety individual training and governance tools are available to assist them in designing relevant experiential learning experiences based on the needs of their learning constituents.

We hope users will find this new series most enriching.

**Fred Fisher and David Tees**  
Principal Authors



# Acknowledgments

**T**his revised edition of the Local Elected Leadership series has benefited from the contributions of many individuals and partners.

We would first and foremost like to thank the participants of the Expert group meeting held in Nyeri, Kenya, in October 2002 who held spirited discussions about the many facets of this training series, their use in various countries, and ways to improve them based on their collective experience and the results of the user survey conducted earlier. These participants made consensus possible on major additions, deletions, and changes in the content, structure and process of these training materials that will assure their continued use and service to a world-wide audience of local government officials, and capacity building institutions and their staff. Their valuable observations and recommendations have indeed shaped the structure and substance of this revised series of Elected Leadership. In this regard, we particularly would like to mention the contributions of Ms. Habiba Eid of Sustainable Development Center for Training and Capacity Building, Egypt, Mr. Artashes Gazaryan of SPTC/VDM, Lithuania, Ms. Anna Laczowska of FSDL Training Centre, Poland, Mr. Patrick Senelart of Habitat et Participation, Belgium, Mr. Kulwant Singh and Mr. K.K. Pandey of Human Settlements Management Institute (HSMI), India, Mr. Mohamed Soumare of Environnement Et Développement Du Tiers-Monde (ENDA), Ms. Ana Vasilache of Partners Foundation for Local Development (FPDL), Romania, Ms. Luba Vavrova of the Local Government Assistance Centre, Slovakia, Mr. Nestor Vega Jimenez of IULA-CELCADEL, Ecuador, as well as Mr. David Tees and Fred Fisher who are consultants and also the principal authors of this revised Elected Leadership series.

In addition, we would like to acknowledge the contributions of several partners in the User Survey on the first edition of the Elected Leadership series conducted prior to the expert group meeting mentioned above. The results of the survey were instrumental in informing the agenda of the expert group meeting and in revising and improving this series generally. We particularly recognize the contributions of the FSDL Training Centre, Poland, HSMI, India, Habitat et Participation, Belgium, and the Local Government Assistance Centre, Slovakia. The Government Training Institute, Kenya through Nelson Mong'oni, Samuel Githaiga, and Absalom Ayodo, and Environnement et Développement du Tiers-Monde (ENDA) through its officers, Mohamed Soumare, Bachir Kanoute and Fatou Ly Ndiaye, also contributed to the development of this manual including the User Survey.

This exercise would never have come to fruition without the initiative, direct support and guidance of UN-HABITAT through many of its substantive officers. We are grateful for the vital support, advice and contributions of these substantive officers led by Gulelat Kebede, Rafael Tuts, Tomasz Sudra, John Hogan, Sarika Seki-Hussey, Hawa Diallo, Mohamed El-sioufi and Liz Case. We also acknowledge the support provided in the

internal review of these manuals by Winnehl Tubman and Bridget Oballa.

A very special recognition goes to the principal authors of this revised Elected Leadership Series, Fred Fisher and David Tees. The authors have worked tirelessly to ensure high substantive quality throughout the development and finalisation of this revised series.

These contributions have all shaped this edition, which we trust will offer many opportunities for capacity development of local governments, their leaders and stakeholders.

**Rafael Tuts,**  
Chief, Training and  
Capacity Building Branch,  
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# Chapter 1: Overview

**T**raining Tools is **Volume 4** of the UN-HABITAT *Local Elected Leadership (LEL) Series*. It has been prepared to help trainers and facilitators design learning events based on the ideas and concepts contained in **Volume 3 - Concepts and Strategies**. These two Volumes are preceded and complemented by **Volume 2 - Users Guide** and **Volume 1 - Quick Guide**. The revised UN-HABITAT LEL series is comprised of these four volumes and presents two roles and ten competencies that are essential for every elected official when serving their local communities. The roles are *representation* and *leadership*. The ten competencies covered by the series include; *communicating, facilitating, policymaking, decision-making, enabling, overseeing, financing, institution building, using power and negotiating*.

The term “tool” in the context of this Series is used as a metaphor for the best means to achieve a specific end by recognizing the importance of the “right” tools to the successful accomplishment of any task. In the same way, the trainer’s task is to choose the right learning tool to help training participants acquire the knowledge and skill needed to perform important job requirements. With this in mind, **Volume 4** offers trainers a variety of knowledge and skill-building activities as tools for helping participants gain increased proficiency in a specific role or competency.

Considerable care has been taken in the selection and arrangement of training tools for inclusion in each toolbox in the various Chapters that represent the two roles and ten competencies. The mix includes tools that offer participants new things to think about, that provide them with opportunities for self-discovery, that encourage them to experiment with new ways of doing things, and that help them decide on specific ways to use what they have learned when they return home to their leadership roles. There are tools to help participants get to know one another and feel comfortable more quickly in an unfamiliar learning environment. Each toolbox includes activities to raise energy levels in a group of participants and others to inspire creative thinking or increased openness to alternatives. All of the tools are based on principles of experiential learning and designed to encourage vigorous interaction among workshop participants.

The tools in each of the Chapters have been sequenced to facilitate an orderly process of learning. While they can be used just as they are to design an elected leadership workshop, that was not our intention. Rather we see this grouping of tools as only one design alternative. Each trainer is encouraged to change the content of the tools as well as the order in which the tools are to be used. Other materials can and should be added to assure that the training experience you are providing is congruent with the learning needs of the participants. Since there are over a dozen different workshop designs included in the local elected leadership series, opportunities abound for the creative trainer to take advantage of tools from another toolbox in the series or tools from other sources entirely to enrich the content of another toolbox. In case you haven’t already noticed, the *Reflective Opportunity* exercises in the various volumes of the series but particularly in **Volume 3 - Concepts and Strategies** can be adapted easily to add to your toolkits.



The opening and closing tools are the same in each toolbox with only slight variations related to the differing subject matter of their respective Chapters. If you plan to use the full range of Chapters of all the twelve roles and competencies, and we hope that you will, these opening and closing tools will become very boring. We apologise for the repetition and encourage you to apply your creative talents to these important segments of each experiential learning event as you move beyond the first event in your series.

The opening tool of each role or competency contains advice on energizing a new group of participants and suggested introductory comments to help a trainer get a workshop off to a successful start. If you plan more than one workshop for elected officials using this series, the opening tool in each Chapter representing a role or a competency will definitely need fixing. The closing tool in each Chapter is intended as a bridge to facilitate a crossing from the land of learning things to the land of doing things. One value of the closing tool is to keep participants as they depart ever mindful of the warning contained in an Old Russian proverb; *“You cannot buy wisdom abroad if there is none at home.”* This tool can be repeated to provide continuity in the development of a self-administered learning contract.

Finally, we encourage you to plan for programmes that include all the Roles and Competencies presented in the series. As we revised them for this new series, we were amazed at the many ways each of the individual competencies complement others in the series. And of course, all of the competencies are integral to the foundation and capstone roles and responsibilities of elected leadership. The exponential learning to be gained from a programme involving all the Volumes is enormous. We wish you and your participants many productive and fun learning experiences.

**Users Note:** Many of the exercises included in this and other Volumes of the LEL series have value beyond the customary workshop venue as on-the-job learning tools. Creative use of these tools in conjunction with the day-to-day practice of elected leadership can help elected officials more fully examine, interpret and learn first-hand from their own experiences.

More detailed introductory notes to the LEL Series can be found in Chapter 1 of **Volume 3 - Concepts and Strategies**.



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# Chapter 2: The Representation Role and Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 2.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the representation competency and with one another as partners in learning. (60 minutes)

### 2.2 Forms of representation

Help participants get acquainted with the different ways that elected officials may define their roles in representing the interests of their constituents. (60 minutes)

### 2.3 Taking the political heat

Give participants an opportunity to analyse the political cost for an elected official to take a position on an issue that appears to violate a campaign promise. (60 minutes)

### 2.4 Critical incidents in representation

Help participants gain perspective on typical dilemmas that often arise in the process of representation and how they can be managed successfully. (90 minutes)

### 2.5 Balancing advocacy and inquiry

Provide participants with skill practice in making balanced use of advocacy and inquiry when engaged in conversations with constituents. (60-75 minutes)

### 2.6 The highway bypass decision

Give participants an opportunity to make a decision that seems to represent the best interests of the community as a whole in the midst of conflicting demands from powerful interests and differing view among the decision makers themselves about whose interests should be represented. (120 minutes)

### 2.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform in their representative roles. (30 minutes)

## 2.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate with participants that active participant involvement with ideas and concepts related to the representation competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the program (See the *Suggested Opening Statement* on the next page). You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this program on the representation role and competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line by placing the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.
  - A third might be to have participants come to the centre of the

room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.

2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 2 of Volume 3* and supplementing it with ideas of your own.

### Speaking points...

*...about the representation role and competency*

- Representation is your most important and challenging role as an elected leader.
- You represent many competing community interests—economic, social, religious, ethnic, gender and age-related, just to name a few.
- These competing interests often find it difficult to understand the “big picture” that must be your perspective as an elected official.
- There are never enough resources for you to meet all the needs and interests of your constituents, and difficult choices and compromises must be made between long and short-term needs.
- Your support for a project that calls for a long-term commitment of city funds, e.g., for a city bus system, at the expense of short term needs, e.g., paving neighbourhood streets, may cost you some votes in the next election.
- These dilemmas of representation are inevitable. They go with the territory for those who venture into the world of local governance.
- Important representation strategies for the successful official involve building durable partnerships with public and private groups that have the capacity to make things happen in the community.
- Other strategies for success in the representation role involve encouraging participation and decision making at the grass roots by those citizens who are most closely affected by local government policies and programmes.
- The technique of balancing *advocacy*, saying what you think with power and conviction, with *inquiry*, critically questioning your own reasoning and asking for feedback from the

constituents involved, is invaluable for success in mastering the difficult challenges of representation.

*...about the workshop design*

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the representation role and competency.
- ❑ The approach to learning is interactive and different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a representative with other participants who are doing the same.

*...about the role of effective participation*

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 2.2 Forms of Representation

### Objective

The intent of this exercise is to help participants identify and plan changes in the forms of representation that are most characteristic of them as elected men and women and of the governing body on which they serve.

Time required: 60 minutes

### Process

1. Give each participant *Handout 2.2A* that contains two surveys. One survey is for use by participants to identify the forms of representation most characteristic of them *now* and the forms they aspire to in the *future*. The other survey is to do the same for the elective bodies on which they serve.

Tell participants they are to work alone on the two surveys and give them 15 minutes to complete the task.

2. When participants have completed the task, assign each of them to a small group. Ask participants in each group to consolidate the results on sheets of newsprint, analyse the results, and agree on answers to the following questions:
  - What do you notice about the individual survey results compared with the results for entire elected bodies? How do you explain the variations?
  - Where are the most significant gaps between forms of representation currently and in the future? What are the implications of this?
3. After about 30 minutes, reconvene the participants. Ask each group to tape its results to the wall and report on the group's answers to the two questions. Encourage a discussion of the identified gaps and their implications for more effective representation by local elected bodies.

## Handout 2.2A: A Representation Survey

### Survey task

Take a few minutes to complete the attached surveys of current and future practices in the representation role. Both surveys include eight common ways that elected officials perform in their representation role. *Survey No. 1, Representation—Myself*, is for you to use to rate yourself by indicating opposite each of the eight typical representation roles whether you see that role as

- (1) not at all applicable to you as a representative,
- (2) somewhat applicable, or
- (3) very much applicable.

Rate yourself first in the three columns to the left that reflect how you see yourself “now.” Then rate yourself in the three columns to the right on how you would like to see yourself in the “future.” Finish by drawing a vertical line down the page connecting the “now” scores and another vertical line connecting the “future” scores. Notice the roles where there the gap is widest between where you see yourself now and in the future. These are the areas where the greatest amount of change in your performance as a represented is needed.

When you have completed the first survey, turn to the *Survey No. 2, Representation—My Elected Body*. Complete this survey in the same way with reference to the elected body on which you are now a member. Again, use the vertical lines to identify the forms of representation that needs the greatest amount of work by your elected colleagues.

### Survey No. 1: Representation—Myself

Scale:

*Where I see myself now:*

- 1 = not at all  
2 = somewhat  
3 = very much so

*Where I want to be in the future:*

- 1 = not at all  
2 = somewhat  
3 = very much so

<u>Form of Representation</u>	<u>Now</u>			<u>Future</u>		
	1	2	3	1	2	3

*Delegate:* I express as clearly as possible the opinions of the citizens I represent and seek to be guided by them in making decisions.

\_\_\_\_\_



Form of Representation

	Now			Future		
	1	2	3	1	2	3

*Trustee:* I take into account what seems to be best for the community as a whole and then act based on my best judgment.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Elitist:* I ignore demands from most constituents and take actions to direct resources to the benefit of upper income groups and the business community.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Universalist:* I address the needs of all citizens using criteria of relative need to decide how resources should be allocated.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Advocate:* I obtain as much of available resources as possible for my constituents and seek special treatment for them.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Patron:* I want to be recognized for delivering special treatment or services for the constituents who have supported me in the past.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Ombudsman:* I make it my business to intervene whenever necessary to solve a problem between a constituent and an agency.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Fixer:* I take a direct hand in solving problems by taking care of them or seeming to by intervening with staff or overseeing the resolution.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

**Survey No. 2: Representation-My Elected Body**

Scale:

3 = very much so

Where I see us now:

1 = not at all

2 = somewhat

Where I want to be in the future:

1 = not at all

Form of Representation

Now			Future		
1	2	3	1	2	3

2 = somewhat

3 = very much so

*Delegate:* We express as clearly as possible the opinions of the citizens we represent and seek to be guided by them in making decisions.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Trustee:* We take into account what seems to be best for the community as a whole and then act based on our best judgment.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Elitist:* We ignore demands from most constituents and take actions to direct resources to the benefit of upper income groups and the business community.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Universalist:* We address the needs of all citizens using criteria of relative need to decide how resources should be allocated.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Advocate:* We obtain as much of available resources as possible for our constituents and seek special treatment for them.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

*Patron:* We want to be recognized for delivering special treatment or services for the constituents who have supported us in the past.

_____	_____	_____	_____	_____	_____
-------	-------	-------	-------	-------	-------

Form of Representation

<i>Now</i>			<i>Future</i>		
<i>1</i>	<i>2</i>	<i>3</i>	<i>1</i>	<i>2</i>	<i>3</i>

*Ombudsman:* We make it our business to intervene whenever necessary to solve a problem between a constituent and an agency.

\_\_\_\_\_

*Fixer:* We take a direct hand in solving problems by taking care of them or seeming to by intervening with staff or overseeing the resolution.

\_\_\_\_\_

## 2.3 Taking the Political Heat

### Objective

This case study gives participants an opportunity to analyse the political cost for an elected official to take a position on an issue that appears to violate a campaign promise.

**Note:** The case can be used to best advantage in conjunction with Tool 2.2 which involves participants in a discussion of various forms of representation.

Time required: 60 minutes

### Process

1. Distribute copies of *Handout 2.3A* and ask participants to read the case. After they have read it, assign participants to small groups of five to seven. Give each small group the task of answering the three questions at the end of the case.
2. After about 20 minutes of small group discussion, reassemble the participants and ask for reports from each group. Encourage a general discussion of *trusteeship*, an exercise of independent judgment on what is best for constituents that may be viewed as deviating from the wishes of the majority.

## Handout 2.3A: The Minority Report

In a few weeks, the voters of a medium-sized city are scheduled to consider the merits of issuing bonds to finance what would be that city's first public transportation system. Two previous efforts to pass bonds for public transportation have failed at the polls. The mayor and a majority of the local governing body have reached the conclusion that past failures are due to the inclusion of commuter rail system in the bond package. They favour removing commuter rail service this time and substituting a fleet of small buses as the alternative of choice for getting commuters back and forth to their jobs in a nearby central city. This approach, they believe, is the best way to deal with what they see as strong anti-railroad opposition in the community.

One elected official sees it differently. In her second term on the local governing body, this official strongly supports a public transportation system for the community, a position she shares with a majority of the residents of the district she represents. The removal of commuter rail from the package is a grave mistake in her view. Failure to get started with construction of a commuter rail system within the next five years could jeopardize the city's participation in a region-wide transportation network being developed with funding from the central government. Despite her strong support for public transportation, she is opposed to the "watered down" approach supported by her colleagues on the governing body. After considerable soul-searching about the issue, the elected official casts her vote against a resolution to place the transportation issue on the election ballot without including funding for a commuter rail system.

Six months later, the bond proposal as authorized by the governing body appears on the ballot for voter consideration. It is defeated by a large majority.

### *Questions*

1. What obligation does the elected official have to make her position known to her constituents before declaring a position on the transportation issue?
2. What risk does the elected official take in declaring a position on the issue that does not seem to agree with her pre-election promises to the voters of her district?
3. What "damage control" would you recommend for the elected official to justify her position on the issue with her constituents?

## 2.4 Critical Incidents in Representation

### Objective

This exercise is to help participants gain perspective on typical dilemmas that often arise in the process of representation and how they can be managed successfully.

**Note:** Critical incidents are dilemmas that arise from the actual knowledge or experience of participants. They are designed to be believable and common to the experience of everyone taking part. As a rule, critical incidents do not suggest one right answer or solution, and they are likely to cause participants to feel confused and uncertain about what to do. That is exactly what they are supposed to do. Processing each incident should lead participants to become actively involved in analysis and discussion.

Time required: 90 minutes

### Process

1. Give each participant a copy of *Handout 2.4A* on the next page. Tell them they have 20 minutes to complete the worksheet following the instructions.
2. After 20 minutes, assign participants to small groups and give each group a quiet place to work, a newsprint pad, and some markers. Give the groups about 40 minutes to complete the following tasks.
  - Give each member of the group about three minutes to describe his or her critical incident.
  - Make a list on newsprint of the common failures of elected officials in these incidents to adequately represent the interests of their constituents.
  - Decide on at least three things that might be done by elected leaders in incidents like these to more effectively represent the interests of their constituents and write these on a sheet of newsprint.
3. When participants have reconvened, ask for reports from each group. Discuss the similarities and differences in the thinking of the reporting groups. Encourage both men and women to take turns in recording and reporting to the larger group.

## Handout 2.4A: When Representatives don't Represent

Take a few minutes to recall a situation that took place during your term as a local elected official, a situation in which there has been a failure of the governing body as a whole or by individual members to adequately represent the interests of constituents. The situation might be one in which a group of influential men and women or an angry mob made charges that the governing body has done something or not done something without giving citizens adequate notice or an opportunity to voice their opinions. When you have a situation like this in mind, make some written notes about it in the space below.

What was the situation?

.....  
.....  
.....  
.....

What did the governing body do or not do?

.....  
.....  
.....  
.....

Who were the principal stakeholders?

.....  
.....  
.....  
.....

How were their interests violated or ignored?

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.....

What were the consequences of the governing body's action or failure to act?

.....  
.....  
.....  
.....

What would you and your colleagues do differently if you could revisit the situation?

.....  
.....  
.....  
.....



## 2.5 Balancing Advocacy and Inquiry

### Objective

This exercise is to provide participants with skill practice in making balanced use of *advocacy* and *inquiry* when engaged in conversations with constituents.

The value of this exercise can be enhanced significantly if preceded by an explanation of a conversational approach that includes an appropriate balance of *advocacy*, making a convincing case for your point of view, with *inquiry*, asking what other citizens think and why they think that way. Information on how these techniques can be blended effectively in conversation with citizens can be found in **Volume 3, Chapter 3 - Communicating competency**.

Time required: 60-75 minutes

### Process

1. Give each participant a copy of *Handout 2.5A* on the next page that contains a description of the behaviours practiced by those who are making effective and balanced use of advocacy and inquiry when engaged in conversation with their constituents. If possible, arrange for participants to receive a copy of the handout ahead of time with instructions to read it before taking part in this exercise.
2. When participants have read the handout, have them count off into groups of three. Ask participants in each group to agree on a controversial topic to use as a basis for engaging in conversation, e.g., investment of public funds in AIDS prevention. Two participants, each taking a different position on the issue, engage in a conversation for about 10 minutes on the selected topic, each taking a different position on the issue. For added realism, one participant should take the role of a conservative-minded elected official and the other of an informed citizen possibly in the role of the parent of an AIDS victim.
3. For round one, two members of the group engage in conversation using techniques of advocacy and inquiry as described in the handout. The third member observes the conversation and makes notes on the effectiveness of the conversationalists using an observer's worksheet (see *Handout 2.5B*). At the end of the conversation, the observer feeds back reactions based on the observation. After the feedback phase, the members change roles and complete two more rounds following the same procedure.
4. At the end of the third round, participants reconvene in the large group to discuss their reactions to advocacy and inquiry as a way of establishing better relationships with constituents and building reputations for integrity.

## Handout 2.5A: Balancing Advocacy and Inquiry

A common complaint from citizens about their elected representatives is, “*They don’t listen to us.*” If they are honest with themselves, most elected representatives would agree with this criticism. Good conversation is an art. Mastery of the art can be one of the best friends any elected official can have. An important tool for the elected official as good conversationalist is being able to balance *advocacy*, presenting and arguing persuasively for a point of view, with *inquiry*, encouraging others to challenge the point of view being advocated and listening thoughtfully to what is said. In other words, balancing advocacy and inquiry involves making your thinking processes and those of your constituents more visible when engaged in a conversation.

Most elected officials have learned to be good advocates at the expense of being good inquirers. This handout contains guidelines for using both in balance with some sample wording to use when engaged in a conversation with one or more citizens.

### *What to say when advocating...*

- State the assumptions behind your position, and use facts to describe how you arrived at your position. *“Here’s what I think, and this is why I think so.”*
- Explain the assumptions on which your position is based. *“I assumed that...”*
- Be explicit about how you arrived at this point of view. *“I came to this conclusion because...”*
- Expand on your point of view by explaining who will be affected, how they will be affected, and why. *“If we do this, we know that ... will benefit ... because...”*
- Provide concrete examples to support your points or hypothetical ones if you are operating in new territory. *“To get a clear picture of what I’m saying, imagine that you’re the homeowner who will be affected by...”*
- Trying to imagine your constituent’s perspective on what you are saying.

### *How to test your position with your constituent(s)...*

- Encourage your constituent(s) to consider your facts and assumptions. *“What do you think about what I’m saying?” “Do you see anything wrong with this?” “What can you add to this?”*
- Avoid being defensive, particularly if a political opponent is present.
- Encourage their input by indicating what you are least clear about in your thinking about the position you are advocating. *“Here’s something you might be able to help me with.”*
- Listen actively, remain open, and encourage others to put forth their views. *“Do you see this differently?”*

*How to balance your advocacy with a healthy dose of inquiry...*

- ❑ Help your constituent(s) explore their own reasoning on the topic. *“What is the importance of that?” “How does that relate to what you were saying before?”*
- ❑ Explain why you are interested in their points of view. *“I want to know more about that because...”*
- ❑ Test what they are saying by asking them questions that can’t be answered “yes” or “no.” *“How would your proposal affect...?” “Can you give me an example to help me understand that?”*
- ❑ Check from time to time to see if you really understand what they are saying. *“In other words, you seem to be saying that...”*
- ❑ Listen for new understanding which hopefully moves both of you to a higher level of understanding and appreciation of each others’ points of view.

## Handout 2.5B: Observer’s Worksheet

**Instructions:** During the conversation between your partners, pay close attention to the flow of conversation. Use this worksheet to make some notes on the use that is being made of *advocacy* and *inquiry* by each partner. Be prepared to discuss your observations with them before changing roles.

Partner # 1	Partner # 2	When advocating, how often did this partner:
		State his or her ideas or opinions on the subject so clearly that the partner could picture them in his or her mind?
		Offer the assumptions on which his or her opinions and ideas are based?
		Provide facts, not opinions or anecdotes, to support and illuminate a line of reasoning?
		Invite his or her partner to add ideas of his or her own?
		Refrain from defensiveness when questioned?

Partner # 1	Partner # 2	When inquiring, how often did this partner:
		Ask questions about his or her partner’s assumptions?
		Ask questions which increased the other partner’s understanding of his or her point of view?
		Listen without judgment, with attentiveness and without interruption as the partner was speaking?

## 2.6 Role Play/Case Study: The Highway Bypass Decision

### Objective

This exercise is to give participants an opportunity to make a decision that seems to represent the best interests of the community as a whole in the midst of conflicting demands from powerful interests and differing views among the decision makers themselves about whose interests should be represented.

Time required: 120 minutes

### Process

1. Tell participants they will be taking part as role players in a situation concerned with the purchase of land by a local governing body to complete a right-of-way acquisition for a highway bypass. Ask for eleven volunteers to take part in the role-playing. Try and get both men and women to volunteer and ensure a mix of roles to avoid gender stereotyping role assignments. Explain that five of the volunteers will assume roles of elected officials on a local governing body. Three of the five officials will be asked to play the roles of *delegate*, *elitist* and *advocate* respectively. Two of the officials will assume *trustee* roles. The other six role players will be asked to assume roles of *naturalist*, *school teacher*, *neighbourhood spokesperson*, *land developer*, *taxpayer's association representative*, and *the city traffic engineer*. Ask participants not playing roles to take parts of interested citizens during a public hearing on the proposed land purchase.
2. Give each participant a strip of paper from Handout 2.6A that corresponds to the role each will be playing.

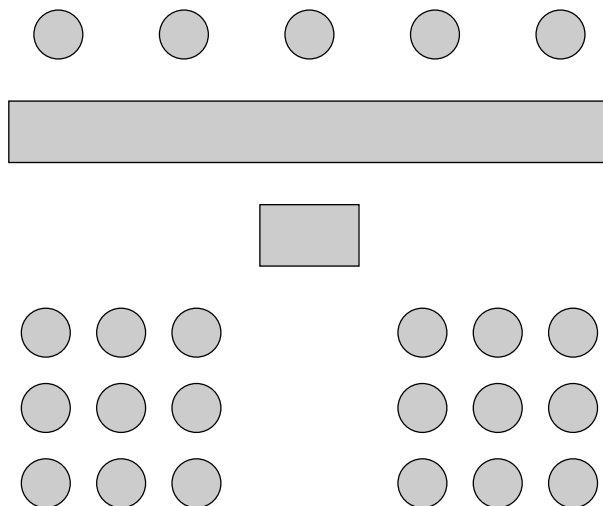
**Note:** you might copy on a sheet of newsprint a description of the elected official representation roles from Handout 2.2A as a reminder for the five participants playing elected official roles.

3. Give a copy of the situation on *Handout 2.6B* to all participants including the citizen observers. Each person designated to play a role is given a description of the role, and all participants are given about 15 minutes to read the situation and get acquainted with their respective roles. Explain that the governing body's goal is to reach a decision that is best for the community in the long run and to minimize the political cost to the governing body by either reconciling or silencing the competing interests. During this time, ask participants who are not playing roles to arrange tables and chairs for the public hearing as shown in the layout on the next page.

4. The action begins with the elected body presiding at the public. Representatives of the various stakeholder groups and the traffic engineer come forward to make the case for their position on the purchase. Each is given three minutes. At this point, the hearing is closed and participants playing elected official roles are asked to move their chairs to the end and both sides of the table in order to deliberate face-to-face.

**Note:** normally, the elected body retires after a public hearing is closed to deliberate. For this exercise, however, stakeholders will remain in the room to observe the deliberation process.

In approximately 20 minutes, ask the elected official participants to complete their deliberation. Participants move their chairs back into the public hearing format as they prepare to announce a decision about the land purchase and to offer a rationale for the decision (10 minutes). This concludes the role-play.



5. At the conclusion of the role-play, ask participants to take a few minutes to return the training room to its original configuration. When this is done and participants are seated again, lead a discussion of the exercise while concentrating on the following questions:
- What factors were taken into account by members of the local governing body in reaching this decision?
  - How successful was the governing body in staying focused on the “big picture” as it considered the pros and cons of the purchase decision?
  - What forms of representation were being exercised during the governing body’s deliberation and what effect did this have on the ultimate decision?
  - What insight has come from this exercise about a local governing body as trustee of the greater good of the community?

## Handout 2.6A: The Roles

### *Elected official and staff roles*

**Mayor:** Your task is to explain the bypass proposal at the hearing, invite citizens to speak (begin with the traffic engineer) and report on results of the governing body's deliberations.

**Trustee:** Your task is to argue for what your judgment tells you is best for Pleasant Run in the long run even if your supporters judge you harshly for it.

**Delegate:** Your task is to argue for what your district favours; i.e., to preserve the nature space and find some other way to deal with the traffic congestion problem.

**Elitist:** Your task is to ignore the neighbourhood pleading and argue for the bypass as a stimulus for business development and revenue enhancement.

**Advocate:** Your task is to "sell" your vote for the bypass in exchange for governing body support for buying land for a city park in your district.

**Traffic engineer:** Your task is to argue that the traffic counts you have made show that congestion is getting worse by the month and that diverting traffic must be given highest priority especially when the central government is willing to defray some of the cost.

### *Stakeholder roles*

**Naturalist:** Your task is to argue that the wildlife habitat must be preserved. Its equal cannot be found elsewhere in the region and maybe in the entire country. Its destruction will be a regrettable blight on the community and the governing body's reputation forever.

**Teacher:** Your task is to argue that the habitat gives the children of Pleasant Run a unique opportunity to learn about wildlife. Depriving them of this will destroy one of the things that is special and unique about the community.

**Neighbourhood spokesperson:** Your task is to argue that the neighbourhood has enjoyed the open area for many years. You have watched your children grow up playing there. Its loss would do irreparable harm to the community.

**Real estate developer:** Your task is to argue that the site is ideal for a commercial centre. Already there are several tentative business commitments to locate there. The centre means revenue and even jobs. We must stay competitive.

**Taxpayer's association representative:** Your task is to argue that business expansion is needed to diversify the local tax base and keep taxes low for homeowners. As taxpayers, we simply can't afford to turn down an opportunity like this.

## Handout 2.6B: The Situation

Pleasant Pastures is a quiet community located in the shadow of a region's booming centre for business and finance. Over the years, Pleasant Pastures and other nearby towns have become home for a growing urban workforce consisting largely of commuters who drive back and forth each day to jobs in the urban centre. The major traffic artery for the region runs right through the middle of Pleasant Pastures, and truck traffic on this artery has nearly doubled in the last decade. Adding this truck traffic to the volume of commuter automobiles originating in Pleasant Pastures and more distant towns brings traffic in town to a crawl for long periods of time at least twice a day.

The central government, aware of the problem, has offered to pay part of the cost to build a bypass highway that would divert trucks and most of the commuter traffic away from Pleasant Pastures' city streets if Pleasant Pastures will pay the remaining cost and provide the necessary right-of-way. Much of the land needed for the bypass is owned by the city. However, one critical piece involves land that for years has been a nature preserve and habitat for certain wildlife. Residents of an old, well-established neighbourhood enjoy the nearby open space as a quiet place for walking and relaxing. Rich in wildlife, the area is used by the schools as a site for teaching children about nature.

The possibility of a bypass being built has not gone unnoticed by other interests in the community. A developer has offered to buy land from the city that would be used to build a commercial shopping centre that the developer claims will bring much needed new revenue to the city. The development idea is strongly supported by a local taxpayers association.

The governing body has been studying the pros and cons of buying the land for the bypass. There are differing points within the body about what to do. A public hearing has been scheduled to give local citizens a chance to hear more about the proposal and to say what they think about it.



## 2.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform in their representation roles.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of being a representative. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a program of learning
  - ❑ think about the value of what has been learned and how they will use it to enhance their own performance;
  - ❑ consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - ❑ consider how they will determine how successful they have been in putting this learning to use after completing the program.
3. Give participants a copy of *Handout 2.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the representation competency.

## Handout 2.7A: Learning Application Plan

Take a few minutes to reflect on the representation role and competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the representation role and competency, in the space below are two or three specific things I plan to do to improve my performance in representing the interests of my constituents:

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2. The support I need to achieve these performance improvements, how I expect to get it and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the representation role and competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the representation role and competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 3: The Communicating Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 3.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the communicating competency and with one another as partners in learning. (60 minutes)

### 3.2 How many squares do you see?

Show how differently men and women in a group can interpret the same experience. The exercise also can be used to demonstrate the learning and growth will occur when people who see things differently can openly express and discuss their differences. (30 minutes)

### 3.3 Lowering Communications Barriers

This exercise is to identify barriers to communication among elected officials between officials and staff, and with community groups and how these barriers might be removed or their potency as barriers reduced. (60-90 minutes)

### 3.4 Listener self-assessment

Provide participants with their own appraisal of their individual strengths and weaknesses as listeners. (75 minutes)

### 3.5 Giving and getting information from citizens

Provide participants with knowledge about creative ways to give and get information when communicating with the public. (120 minutes)

### 3.6 Up the ladder of inference: a role-play

Help participants recognize how differences in the way men and women experience things colour their perceptions of each other and often lead them to false assumptions, erroneous conclusions, and misguided actions. (90-120 minutes)

A second intent is to show participants how to communicate more efficiently by becoming more aware of their own reasoning, making their thoughts more visible to others and asking about the reasoning that has led others to reach different conclusions.

### 3.7 Scanning for Gender Bias

Help participants make use of various data collection tools to discover the extent to which gender bias is evident in a local government's policies, plans and programmes. (60 minutes).

### 3.8 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned about the communication competency. (30 minutes)

## 3.1 Getting Started/WarmUp

### Objective

The intent of this activity is to establish a learning climate with participants that encourages active involvement with ideas and concepts related to the communicating competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme (See the *Suggested Opening Statement* on the next page). You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

Begin by welcoming those present to this programme on the communicating competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.

1. One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A vari-

- ation on this is to have participants interview one another and then introduce their partners to other participants.
2. Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line by placing the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear, with the others arrayed by length of service in-between. Self-introductions would follow.
  3. A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.

When you are satisfied that the participants feel comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in Chapter 3 of **Volume 3** and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the communicating competency

- Communicating is an important skill for elected men and women.
- It's a skill that is difficult to master.
- What you say is influenced by a variety of past experiences, i.e. perceptions, relationships, status differences, of which you may not be aware.
- What the man or woman on the other end of the conversation says or how he or she responds to what you say is influenced by unconscious perceptions and feelings.
- Being more aware of your own motivations and those of the other person is complicated but necessary for genuine communication to take place.
- This workshop is designed to improve your competency as a communicator with your constituents, city staff and your colleagues on the governing body.
- It is meant to answer difficult questions you may have about talking to local citizens and being a good listener when they are expressing their concerns.

## ...about the workshop design

- Your participation in this workshop is meant to be informative, engaging and enjoyable.
- The content is based on the best available thinking about elected leadership and effective communication.
- The approach to learning is interactive, and different from the lecture-intensive approaches so often used in training.
- You will be encouraged to say what you think and to share your experiences as a communicator with other participants who are doing the same.

## ...about the role of effective participation

- Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- Say what you really think and ask for clarification when you don't understand something being discussed.
- Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 3.2 How many Squares do you See?

### Objective

This exercise shows how differently men and women in a group can interpret the same experience. The exercise also can be used to demonstrate the learning and growth that will occur when men and women who see things differently can openly express and discuss their differences.

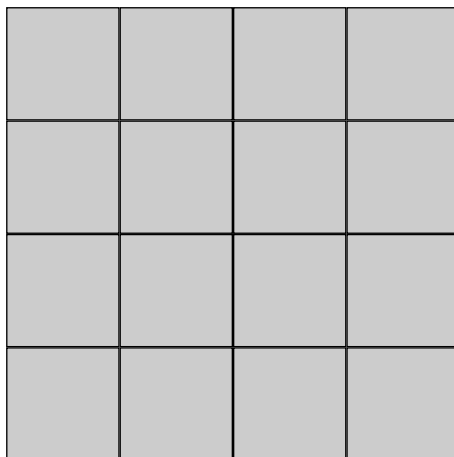
Time required: 30 minutes

### *Process*

1. Draw the figure shown below on a sheet of newsprint. Draw it large enough so that every participant can see it clearly. As participants look at the figure, ask them this question:



How many squares do you see?



2. Give participants about 30 seconds to compose their answers to the question. Ask each of them to write an answer on a sheet of paper.
3. When everyone has written an answer, ask for a show of hands in response to the following questions in succession: How many saw 16? 20? 24? Anyone see any more than that? How many? Anyone see 30? Write down the various responses on a sheet of newsprint. Review the various configurations of squares. A key showing the various combinations of squares can be found on the last page of this Chapter (Pg 60).
4. After participants have heard the various answers, ask them this question: Which is the *right* answer? Some will say 30 since this should be the largest number mentioned. Someone may say all of the answers are right since the original question was, "*How many squares do you see?*" This is the response you are looking for since it makes the point that what is correct for each of us is what we see at the time.
5. Ask participants how they felt when someone claimed to have seen more squares than they saw, e.g., sceptical, inadequate, manipulated. Ask them what they did when someone mentioned a larger number of squares than they did, e.g., took another look to see what was missed.
6. Finally, ask participants what they see as the message of the exercise for elected officials when working with others who are certain to bring differing perceptions into the work relationship.

## 3.3 Lowering Communications Barriers

### Objective

This exercise is to identify barriers to communication among elected officials between officials and staff, and with community groups and how these barriers might be removed or their potency as barriers reduced.

Time required: 60 – 90 minutes

### Process

1. Begin the exercise by explaining that differences in men and women will influence what they say, how they say it, and how they choose to interpret what they hear. Differences include what they believe, *values*, what they want, *goals*, how they like to do things, *preferred methods of operation*, or what they have heard about a topic or issue, *awareness*. Point out that these differences, particularly when they are hidden from the parties trying to communicate, can be formidable barriers to understanding.
2. Tell participants they will be working in small groups. Explain that the first task for each group is to identify barriers to communication with community groups, with the staff and among members of an elected body. The second is to explain how these barriers can be recognized and what can be done to eliminate or weaken them. Provide copies of *Handout 3.3A* and suggest that participants use the handout to help them complete the task.
3. Divide participants into at least three groups. Assign to each group the task of discussing communication barriers in **one** of the following three relationships:
  - Group 1: Communication with individual men and women and community groups.
  - Group 2: Communication with members of the local government staff.
  - Group 3: Communication among members of the governing body.
4. Ask each small group to make a list of the barriers that tend to block or distort communication and to answer the following questions about each of the barriers:
  - What is the barrier?
  - How can an elected official recognize the existence of the barrier?
  - What can be done to eliminate or weaken the barrier?

5. Suggest that each small group record its ideas on newsprint using a format like the one shown on the next page.
6. After 30 to 45 minutes, reconvene the small groups and ask each for a report. After all of the groups have reported, hold a large group discussion analysing the similarities and differences in ideas produced by the various groups.

## Handout 3.3A: Worksheet - Removing Communication Barriers

Relationships (check one):

- Elected body with community (Identify a community or communities you would focus on.)
- Elected body with staff
- Elected officials with one another

We have identified these barriers to communication:

1. ....
2. ....
3. ....
4. ....
5. ....

The following are ways of recognizing the existence of these barriers:

1. ....
2. ....
3. ....
4. ....
5. ....

Shown below are strategies for eliminating or alleviating these communication barriers:

1. ....
2. ....
3. ....
4. ....
5. ....

Other observations:

.....

.....

.....

.....

.....

## 3.4 Listener Self Assessment

### Objective

The intent of this self-assessment is to provide participants with their own appraisal of their individual strengths and weaknesses as listeners.

Time required: 75 minutes

### Process

1. Ask participants to complete the twelve-question survey on listener skills, *Handout 3.4A* on the following pages. When participants have completed the survey, ask them to notice the number of check marks in columns 1 and 2 on their completed survey sheet and the number of check marks in columns 4 and 5.
2. After the scoring analysis, ask participants to pick their **three** lowest scores and think about how they might improve their listening performance in these areas. Ask participants to pair up to share ideas for improving their performance as listeners.
3. After about 20 minutes in pairs, distribute copies of *Handout 3.4B*, a worksheet on improved listening performance, and ask participants to complete the worksheet working independently.
4. To conclude the exercise, ask for volunteers to mention one action from their respective lists that they believe would do the most to strengthen their performance as listeners.

## Handout 3.4A: Self-Assessment Survey of Listening Effectiveness

Listed below are 12 statements about your ability to listen to others. Rate your competency in each area by placing an “x” in the appropriate box. Be honest with yourself in answering the questions. Complete the survey by totalling the number of blocks checked in each column at the bottom of the second page.

<u>Statement</u>	1. <u>Never</u>	2. <u>Seldom</u>	3. <u>Occasionally</u>	4. <u>Frequently</u>	5. <u>Always</u>
1. I listen for feelings, attitudes, perceptions, and values as well as for facts.	( )	( )	( )	( )	( )
2. I actually pay attention to who is speaking as opposed to “faking” attention.	( )	( )	( )	( )	( )
3. I don’t let my feelings about the men and women involved influence how I listen to them.	( )	( )	( )	( )	( )
4. I avoid being distracted by the speaker’s style, mannerisms, clothing, voice, etc.	( )	( )	( )	( )	( )
5. I make certain that the person’s status has no bearing on how well I listen.	( )	( )	( )	( )	( )
6. I avoid letting what I want to hear determine or influence my listening behaviour.	( )	( )	( )	( )	( )
7. I take into account the speaker’s body language like gestures and eye contact.	( )	( )	( )	( )	( )

<u>Statement</u>	<u>1.</u> <u>Never</u>	<u>2.</u> <u>Seldom</u>	<u>3.</u> <u>Occasionally</u>	<u>4.</u> <u>Frequently</u>	<u>5.</u> <u>Always</u>
8. I avoid being distracted by noise, movement, outside scenes, and other interferences to listening.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. I avoid being distracted by speakers who are hard to follow, who have ideas poorly organized, or who tend to repeat themselves.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. I use non-verbal communication such as eye contact, smiles, etc. when I want to hear more.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. I restate or rephrase the other person's statements when necessary so that he/s	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. I listen to what is being said instead of concentrating on what I am going to say.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Totals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



# Handout 3.4B: My Plan for Listening Improvement

1. One area of listening performance in which I rated low on the survey is

.....  
.....  
.....  
.....

A specific action or actions I intend to take to strengthen my performance as a listener in this area are

.....  
.....  
.....  
.....

2. Another area of listening performance in which I rated low on the survey is

.....  
.....  
.....  
.....

A specific action or actions I intend to take to strengthen my performance as a listener in this area are

.....  
.....  
.....  
.....

3. A third area of listening performance in which I rated low on the survey is

.....

.....

.....

.....

A specific action or actions I intend to take to strengthen my performance as a listener in this area are

.....

.....

.....

.....

## 3.5 Communicating with the Community

### Objective

The intent of this exercise is to draw on the experience of participants to identify ways to communicate with the public including both giving and receiving information.

Time required: 120 minutes

### Process

1. Explain that the purpose of the exercise is for participants, working in two small groups, to generate a list of ideas for getting information out to the community and a similar list of ideas for getting feedback from the community. Tell participants they will be using a popular method for idea generation called the *Nominal Group Technique* (NGT). Distribute copies of *Handout 3.5A* and give participants a few minutes to read the NGT description and to ask questions.
2. Divide participants into the two groups. Provide each group with an easel, markers, tape, and newsprint. Suggest that each group select one of its members to facilitate and another member to write down the participants' ideas on the newsprint. Give each group two questions to be answered, one at a time, using the NGT.
  - ❑ What are some ways we can use to get out information to the community in a clear and convincing way?
  - ❑ What are some ways we can use to get accurate feedback from the community on important public issues?
3. Give each group two sets of coloured cards. Ask them to write the ideas generated by the NGT in response to each question on different coloured cards. Tell participants in both groups they are to complete their work and report back with the two sets of coloured cards in 45 minutes.
4. When the two groups have completed their two tasks, reconvene them and ask the facilitator and recorder in each group to post the coloured cards on a wall of the training room. When the cards have been posted, ask participants to read the cards. When participants have read all the cards, ask them to select the three best ideas from each group of cards using a check mark to indicate their choices.

## Handout 3.5A: A Useful Idea Generation Process

The Nominal Group Technique (NGT) is one of a family of problem solving tools used to stimulate idea creation and demonstrate the potential of a small group or work team to quickly analyse and find solutions to its own problems. NGT meetings normally consist of a facilitator and five to nine people seated around a rectangular table or three tables arranged in the shape of a U. At the open end is an easel with a pad of newsprint to be used by the facilitator to write down ideas suggested by members of the group. The facilitator is equipped with markers and masking tape for posting sheets containing ideas on walls of the meeting room. The facilitator may be assisted by a recorder to do the writing and posting of ideas. The facilitator opens the meeting with a statement about the purpose of the meeting, what will be done with the meeting results, and the importance of each member's contributions. Then, the meeting begins and is carried out in five steps as follows:

### 1. **Silent generation of ideas in writing**

The leader begins by reading the question to be answered by the group out loud while printing it in large letters on newsprint. The question should be worded simply and clearly to prevent misunderstanding, e.g., What can we do to keep the length of our staff meetings to one hour? Participants are then asked to write down as many ideas as they can in answer to the question. Participants are cautioned to work silently and independently.

### 2. **Recording of ideas**

Starting at one end of the table, the facilitator asks a participant to read his or her answer to the question. The answer is written down on a sheet of newsprint exactly as it was stated preceded by the number one. Participants are told they may "pass" if they have no new ideas to offer when it is their turn and may write down new ideas to offer when their turn comes around again. The process continues until every idea from every participant has been numbered and written down on sheets of newsprint which are posted on walls of the meeting room.

### 3. **Discussion for clarification**

To prevent any possibility of misunderstanding, the facilitator reads each of the ideas as written and, after reading it, asks if anyone wants the meaning of the idea to be clarified. The facilitator cautions participants that the point of this step is to focus on understanding, not agreement or disagreement with the idea. Duplicate ideas can be omitted at this stage and wording changes made for clarity.

### 4. **Ranking of ideas**

The facilitator asks participants to select five ideas from the list of ideas on newsprint and to write each idea or its corresponding number on an index card. A separate card should be used for each idea. The facilitator collects and shuffles the cards. The results are tabulated and announced. The facilitator thanks the participants for taking part in the NGT and reminds them what will be done with the results.

## 3.6 Climbing the Ladder of Inference

### Objective

The intent of this exercise is to help participants recognize how differences in the way that men and women experience things colours their perception of each other and often leads them to false assumptions, erroneous conclusions, and misguided actions when they “jump to conclusions” prematurely.

A second intent of the exercise is to show participants how to communicate more efficiently by becoming more aware of their own reasoning, making their thoughts more visible to others, and asking about the reasoning that has led others to reach different conclusions.

**Note:** The value of this exercise can be enhanced significantly if preceded by a description of the *ladder of inference*, which is an academic way to show how we often jump to conclusions, one step at a time. Explain that when confronted with new experiences, we assign meaning to them based on what we have seen or heard in the past. Without conscious thought, we draw conclusions about these experiences which in turn reinforces what we believe is true and influences the actions we take. It’s like climbing a ladder in our minds without pausing to test the real meaning of anything from the bottom to the top.

Use a practical example of a typical climb up the ladder of inference to demonstrate the misguided thinking that can result, e.g., inferring something negative that is proposed by a person from another race because of long association with a racially biased friend or relative.

Guidance in preparing remarks on this subject can be found in **Volume 3 Chapter 3**. You might also return to the discussion on advocacy and inquiry in **Volume 3, Chapter 2: Representation** to remind participants how greater reflection on this mind trapping phenomenon can become a useful tool for improved communications.

Time required: 90-120 minutes

Process: Part One

1. Take a few minutes to review the “ladder of inference” concept as described above. Consider referring to it in lay person’s terms as “Jumping to conclusions” when we don’t have all the facts or have interpreted a situation wrongly. Describe the role-play task as a demonstration of the thought processes that lead men and women confronted with the same situation to reach totally different conclusions about what they have seen and heard.

2. Give each participant a copy of *Handout 3.6A* and explain that the scenario in the handout describes an elected official named Marie who is busy climbing the ladder of inference based on inferences from the mayor's reactions to her proposal. Give participants about five minutes to read the scenario. When everyone is finished reading, lead a discussion of the following questions:
  - How would you describe the mental pathway that led Marie to reach such a misguided conclusion about the mayor?
  - What might Marie have done to avoid her unconscious journey up the ladder of inference?
  - What might the mayor have done to change Marie's conclusion about the way he responded to her proposal?

*Process: Part Two*

1. After a few minutes, ask for three volunteers to take part in a role-play. Give each role player one of these roles: 1) a local government mayor who has just been elected to a second term, 2) a local business leader, and, 3) an influential advocate for neighbourhood issues. Give each volunteer *Handout 3.6B* a description of the role he or she is to play and a set of instructions for the task.
2. Divide the participants who are not playing roles into two groups. Give the first group *Handout 3.6C*. Ask them to write down their observations of the business leader role player during the role-play using the questions on the worksheet as a guide. Ask the second group to do the same thing for the neighbourhood activist role player using *Handout 3.6D*.
3. When the role-playing is concluded, ask for reports from the participants who played observer roles based on their observations of the two role players.
4. When the observers have reported, divide the group into several small groups. Give each group the same task of discussing and agreeing on answers to the three questions shown below

**Note:** The questions can be printed on a sheet of newsprint to help group members keep track of their progress.

- Think of an example from your own experience as an elected official when you made inferences, jumped to conclusions, about someone or something that turned out to be wrong. What was the situation? What led you to respond to it as you did? What might you have done to avoid climbing the ladder in the situation?
- What are the obvious consequences of the ladder of inference for decision makers who must meet and reach decisions on difficult community problems?
- What might be done by a governing body to use knowledge of the ladder of inference as a tool for improving the effectiveness of their communication among themselves and with others?

5. Suggest that each small group begin by agreeing on a reporter for the group and a timekeeper. Give the groups about 30 minutes to agree on answers to the three questions.
6. After about 30 minutes, reconvene the small groups and ask for a report from each group about their discussion of the three questions. As time permits, ask volunteers to discuss their personal experiences climbing the ladder of inference.

## Handout 3.6A: The Committee Appointment

*The trouble with communication is that some people actually believe it is happening.*

**Mark Twain**

### *Marie's proposal*

An unusually long work session preceding the formal meeting of the governing body is coming to a close. Just before the meeting ends, you decide to raise an issue that has bothered you since being elected several months ago: what this city needs is more women on public boards. The mayor recognizes you, and you make this proposal: “*I have been told that we haven't had a woman chair on the finance and budget board for over 10 years. I have a candidate I want to put forward for that position.*” Seeming a bit agitated, the mayor replies, “*Thanks for the suggestion, Marie; I'll appoint a committee to look into it.*”

Years ago when working in a low staff position in the national parliament, you recall that many new ideas like this one were assigned to committees with the expectation they would never come up for a vote. You are crushed! That's exactly what's going to happen to this proposal, you think. Setting up a committee, you assume, is just the mayor's way of saying women are incompetent and have no business being assigned to important city posts. “*What I have always secretly believed is all too true,*” you conclude, “*The mayor is a chauvinist pig. We can't afford to have so narrow-minded and bigoted a person as the mayor of our city. You can be sure I will campaign against this mayor's re-election,*” is the vow you make to yourself instead of asking the mayor to explain his reasoning.

### *The mayor's position*

Concerned about the length of the work session, the mayor is not prepared to spend any time on Marie's proposal before adjourning. Further, a policy adopted by the governing body a year ago before Marie was elected to her first term requires all candidates for committee appointments to be reviewed by a special committee charged to make appointment recommendations to the governing body. The appointment of a committee is the proper course of action for the mayor to take in such situations. In reality, the mayor favours more gender balance on city boards and sees the merits of Marie's proposal. In fact, he thinks, Marie would make an excellent committee chair. However, he chooses not to prolong the meeting and keeps his views to himself.



## Handout 3.6B: Climbing the Infernal Ladder

**Note:** The following dialogue has been written to provide each participant with a step-by-step climb up the ladder of inference. If you feel more confident in paraphrasing the script we have provided, please feel free to do so. Our only caution is to demonstrate each step in the inference ladder to enhance learning about this concept.

### Mayor's role

You begin the role-play. Your role is to say a few words meant to be the concluding remarks of a presentation at a large public gathering.

#### (Speak with authority and sincere concern)

*In conclusion, I want to express to you the deep concern of your governing body about the recent departure of two major businesses. The loss of fifty jobs is a cause of grave distress for our community. Unquestionably, the corporate community is the "life blood" of our town, and keeping it strong is our top priority. Thank you.*

### Business leader and neighbourhood activist roles

After the mayor has finished speaking, the business leader begins with Item #1 as if speaking his/her thoughts out loud.

**Note:** The words in parentheses after each item are there for reference and are not to be spoken. The neighbourhood activist follows with Item #2. The two alternate until the items on the list are exhausted. This ends the role-play.

#### (Speak fast and with strong emotion)

1. **Business leader (BL):** *This is great news. It means far more city investment in infrastructure and downtown revitalization (meaning).*
2. **Neighbourhood activist (NA):** *This is very bad news. Programmes to improve poor family health, to keep kids off the streets and to lower crime are sure to suffer (meaning).*
3. **BL:** *Can't have it both ways. Throw money away on welfare for the undeserving or use it to create a thriving business climate (assumption).*
4. **NA:** *Can't have it both ways. You either offer a safety net for the poor or line the pockets of the rich (assumption).*
5. **BL:** *City hall can be counted on to support the interests of big business (conclusion).*
6. **NA:** *City hall is clearly biased against common people (conclusion).*

7. **BL:** *The vitality and economic prosperity of our town depends on business-minded leadership like we have now (belief).*
8. **NA:** *Our cause is surely lost unless we get new leadership at city hall (belief).*
9. **BL:** *We will raise money from our business friends to retain the current pro-business leadership (action).*
10. **NA:** *We will mobilize the community to support a new, compassionate brand of leadership at the next election (action).*

### Handout 3.6C: Observer’s Worksheet—Business Leader Role

Observe the man or woman playing the business leader in that person’s climb up the ladder of inference. Identify the meaning this man or woman assigns to the mayor’s comments, the assumptions and conclusions being made, and the beliefs and probable actions prompted by the conclusions reached. Write a few comments in the space provided on the attached sheet. **Remember to work from the bottom up.**


**Business Leader**

<b>Action:</b> I act based on my beliefs	↑	..... ..... .....
<b>Beliefs:</b> I adopt them based on my conclusions		..... ..... .....
<b>Conclusions:</b> I draw these based on my assumptions		..... ..... .....
<b>Assumptions:</b> I make them based on the meaning I have chosen		..... ..... ..... .....
<b>Meaning:</b> I choose what data to consider		..... ..... .....

## Handout 3.6 D: Observer's Worksheet-Neighbourhood Activist Role

Observe the man or woman playing the neighbourhood activist in his or her climb up the ladder of inference. Identify the meaning this person assigns to the mayor's comments, the assumptions and conclusions being made, and the beliefs and probable actions prompted by the conclusions reached. Write a few comments in the space provided on the attached sheet. **Remember to work from the bottom up.**

### Neighbourhood Activist

<b>Action:</b> I act based on my beliefs		.....
		.....
		.....
		.....
		.....
<b>Beliefs:</b> I adopt them based on my conclusions		.....
		.....
		.....
		.....
		.....
<b>Conclusions:</b> I draw these based on my assumptions		.....
		.....
		.....
		.....
		.....
<b>Assumptions:</b> I make them based on the meaning I have chosen		.....
		.....
		.....
		.....
		.....
<b>Meaning:</b> I choose what data to consider		.....
		.....
		.....

## 3.7 Scanning for Gender Bias

### Objective

The intent of this activity is to help participants make effective use of various data collection tools to discover the extent to which gender bias is evident in a local government's policies, plans and programmes.

Time required: 60 minutes

### Process

1. Begin the exercise with some introductory remarks. Point out that the benefits of society do not accrue equally to men and women. Equal treatment of men and women means each has different capabilities and needs that should be taken into account in everything government does. To the extent that these differences are taken into account through the official actions of policy makers and administrators, society benefits. Gender bias is the systematic neglect of these differing needs in the formulation and implementation of public policies, programmes and other activities, whether accidental or deliberate.
2. Divide participants into small groups of five to seven. Describe the exercise as a way of learning to select and use various data collection tools to look for evidence of gender bias in a local government's plans, policies and programmes. The tools can include citizen surveys, employee interviews, physical review of official documents and records, direct observation of work performance, and so forth. Give each group at least one of the following tasks to complete. Give each group about 30 minutes to complete its task.
  - ❑ **Task 1:** Your governing body has decided to analyse the city's hiring policies and practices for evidence of gender bias. What communication tool or tools would you use? What would you want to learn by using it or them? What sort of evidence would suggest the presence of gender bias?
  - ❑ **Task 2:** Your governing body has decided to review the handling of customers at various customer service counters and desks. What communication tool or tools would you use? What would you want to learn by using it or them? What sort of evidence would suggest the presence of gender bias?
  - ❑ **Task 3:** Your governing body has decided to analyse citizen perceptions of gender bias in city programmes and services. What communication tool or tools would you use? What would you want to learn by using it or them? What sort of evidence would suggest the presence of gender bias?

3. At the end of 30 minutes, reconvene the participants and ask for reports from a spokesperson representing each group. Focus a discussion of the exercise on two points:
  - What evidence of gender bias would you be likely to uncover if this process were used in your local governments?
  - Where would you start with a gender bias analysis of your own local government?

## 3.8 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned about the communication competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of communicating with constituents, staff, other stakeholders and one another. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience, and self-confidence.
2. Explain that a learning application plan is one of the best methods known for overcoming resistance to the application of new knowledge and skills. The intent of the plan is to have men and women who have just completed a programme of learning;
  - ❑ think about the value of what has been learned and how they will use it to enhance their own performance;
  - ❑ consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - ❑ determine how they will know after completing the programme how successful they have been in putting this learning to use for improved performance.
3. Give participants a copy of *Handout 3.8A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the communicating competency.

## Handout 3.8A: Learning Application Plan

Take a few minutes to reflect on the communicating competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the communicating competency, shown below are two or three specific things I plan to do to improve my performance in communicating with constituents, staff, other stake holders and my colleagues on the governing body.

.....

.....

.....

.....

.....

2. The support I need to achieve these performance improvements, how I expect to get it and from whom, is described below:

.....

.....

.....

3. Three of the most significant challenges I anticipate when performing in the communicating competency and my strategies for dealing with them are as follows:

<p><i>Challenge No. 1</i> .....</p> <p>.....</p> <p>.....</p> <p><i>My Strategy</i> .....</p> <p>.....</p> <p>.....</p> <p>.....</p>
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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the communicating competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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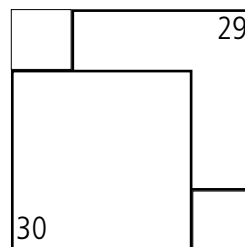
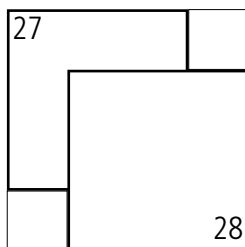
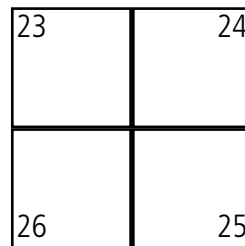
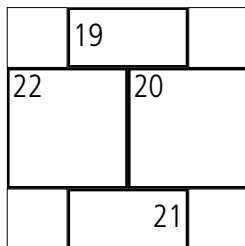
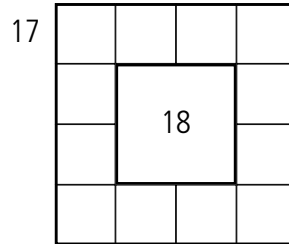
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**Key**

*Count the squares*

1	2	3	4
5	6	7	8
9	10	11	12
13	14	15	16



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# Chapter 4: The Facilitating Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 4.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the facilitating competency and with one another as partners in learning. (60 minutes)

### 4.2 What to do with the cement

Allow participants to compare the results of facilitated and non-facilitated approaches to data gathering and analysis in problem solving. (60 minutes)

### 4.3 Planning and managing meetings

Help participants identify and strengthen their skills for achieving better planned and managed meetings. (60 minutes)

### 4.4 Evaluating meeting productivity

Help participants evaluate and plan for improving the current level of productivity of meetings they attend regularly. (90 minutes)

### 4.5 Resolving conflicts through mediation and communication

Give participants an opportunity to use their mediation and communication competencies to resolve interpersonal conflict. (120 minutes)

### 4.6 Commerce City's inter-market rivalry

Provide participants with an opportunity to engage in and observe a simulated dispute mediation process. (120 minutes)

### 4.7 Thinking about Team Effectiveness

Encourage participants to recall and analyse their supportive and hindering experiences as members of a team. (90 minutes)

### 4.8 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in facilitation. (30 minutes)

## 4.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate with participants that encourages active participant involvement with ideas and concepts related to the facilitation competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the program (See the *Suggested Opening Statement* on the next page). You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

Begin by welcoming those present to this program on the facilitation competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.

1. One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
2. Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line by placing the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.
3. A third might be to have participants come to the centre of the room and then create a "map" by arranging themselves within the space according

to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.

When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 4, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

...about the facilitation competency

- ❑ Facilitation is a process used by a man or woman with no vested interest and no authority over what is to be done to help make it easier for a group to solve a problem or make a decision.
- ❑ Facilitation involves helping a group with the twin responsibilities of maintaining a focus on the task at hand while encouraging full participation in a spirit of open communication, mutual support, and trust.
- ❑ Facilitation is often confused with mediation, a structured process in which individuals or groups who have not been able to resolve a specific issue between them ask for outside help and agree to abide by a specific set of ground rules.
- ❑ Mediation works best when the men and women involved know each other and agree to ask a neutral party to help them find quick resolution of an emotional dispute as an alternative to expensive legal action.
- ❑ Consensus is another facilitated process which leads to an agreement by all members of a group to support a group decision.
- ❑ With consensus, there is not necessarily unanimity about what to do. Rather, there is a meeting of the minds that anyone needed to implement the decision will do so and that no one who is in a position to block implementation will do so.
- ❑ Meetings are a special facilitation challenge. They work best when everyone knows why they are meeting and has an influence on agenda planning, when there is active participation by everyone in the meeting, and when men and women at the meeting are given something to do in preparation for the next meeting.
- ❑ Much of the execution of government policy is done by teams inside or outside the government structure. Effective teams

are focused on elevating goals, maintain high standards, and consist of competent men and women who are honest and open in their work together.

- ❑ An outside facilitator can be helpful to an elected body in improving teamwork within the body itself or building team relationships between elected officials and staff as they work together in long-range planning or similar efforts.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the facilitation competency.
- ❑ The approach to learning is *interactive* and different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a facilitator with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 4.2 What to do with the Cement

### Objective

This exercise is intended to allow participants to compare the results of facilitated and non-facilitated approaches to data gathering and analysis in problem solving.

**Note:** This exercise will require two easels and chart pads, felt tip markers in different colours and one roll of masking tape. It will also involve the participation of a man or woman who is not taking part in the workshop, e.g., someone who works at the venue where the training is being held.

Time required: 60 minutes

### Process

1. Divide participants into three groups of about equal size. Distribute copies of the situation on *Handout 4.2A* and ask participants in all three groups to read it. When participants have read the situation, explain that the three groups will have the same task: *Provide three recommendations for the “best” public use of the cement.* In addition, ask each group to be prepared to explain the criteria used to choose the best three choices.
2. When the three small groups have assembled, meet with two of the groups and in each case, ask for two volunteers to facilitate the task of their respective groups. In one of the groups, explain that the volunteers will use *Handout 4.2B* on brainstorming to facilitate the group’s work. One of the volunteers will facilitate the idea generation task and the other will record ideas on newsprint in the other group, explain that the volunteers will use *Handout 4.2C*, the Nominal Group Technique (NGT), to facilitate that group’s work Do not meet with the third group or give its members instructions on how to proceed with the task.
3. Be sure each of the three groups has a quiet place to work with tables and chairs for all group members to be seated. Make easels, pads and writing materials available to all three groups. Give each group approximately 45 minutes to complete the task.
4. While the three groups are working, find a man or woman who is not participating in the training to play the role of the dock master described in the situation. Ask the person playing the role to listen to reports from each of the small groups. After listening to the reports, explain that this individual is to choose which of the groups has generated the best two or three suggestions for making good use of the salvaged cement.
5. At the end of 45 minutes, ask the three groups to stop work and reconvene. Ask someone from each group to report its results. When the dock

master has announced his or her decision, ask members of each small group to answer these questions:

- How would you describe the process used by your group to generate ideas for answering the question about a good public use for the cement?
  - How would you describe the process and any criteria used by your group to choose the best three ideas from the list?
6. Conclude the exercise by asking all of the participants to discuss the value of a systematic, facilitated approach to problem solving.



## Handout 4.2 A: Small Group Task

You have been informed by the town clerk that the town has an opportunity to acquire at no cost 12,000 kilos (12 metric tons) of cement in 480 bags weighing about 25 kilos each. The cement bags have been salvaged from a sinking ship and are stacked on the town's commercial dock. The dock master is willing to donate the cement to the town governing body provided it can convince him that good public use will be made of the salvaged material.

Your task as a group is to recommend three "good" public uses for the cement and be prepared to explain the method used by your group to decide what to recommend.

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## Handout 4.2B: Brainstorming Guidelines

Tell members of the problem-solving group you will be serving as their facilitator and your partner as a recorder. Ask participants to be seated in a semi-circle facing a chart pad on an easel. Tell them you will be leading a process for capturing the three best ideas from a long list of ideas for making good use of the cement using a brainstorming process. On a sheet of chart paper, print the problem statement in large letters.

*What good public use can be made of the cement?*

### **Step 1: Directions**

Read the problem statement and ask if everyone understands it. Explain that everyone is to think of as many solutions to the problem statement as possible and be ready to respond when called upon. Tell participants they will have fifteen minutes to finish this task. Make it known that you and the recorder will not offer any suggestions of your own.

### **Step 2: Brainstorming**

Start the brainstorming by asking members of the group to offer their ideas while the recorder prints the suggestion on a sheet of chart paper. Ideas are numbered and written down quickly on newsprint by the recorder without changing the wording. As sheets are filled, they can be taped to a wall in easy view of all participants. Caution participants not to evaluate or criticise ideas suggested at this stage of the process.

### **Step 3: Prioritising**

When there are no more ideas, ask participants to review the list of ideas and choose the three they are prepared to recommend to the dock master as the best public uses to be made of the cement.

## Handout 4.2C: NGT Guidelines

Tell members of the problem-solving group you will be serving as their facilitator and your partner as recorder. Ask them to be seated around a rectangular table. Tell them you will be leading a process for capturing their ideas for making good use of the cement using an NGT process. Set up an easel with a chart pad. On a sheet of newsprint, print the problem statement in large letters.

*What good public use can be made of the cement?*

### **Step 1: Directions**

Tell participants their task is to come up with the three best ideas from a long list of ideas for using the cement as quickly as possible. Make it known that you and the recorder will not offer any ideas of your own.

### **Step 2: Silent Recording of Ideas**

Ask participants individually to write down on a sheet of paper as many ideas as they can for making good use of the cement. Explain that they are to work alone and not share their ideas with others until you ask them to do so.

### **Step 3: Reporting**

Suggest that participants continue adding ideas to their lists if they think of something new while others are reporting. Ask the person nearest to you on the left to read the first idea on his or her list. Have the recorder write down the idea on newsprint. Continue quickly with the next person until all of the ideas have been transferred to newsprint. Be sure that the ideas are numbered consecutively and that newsprint sheets filled with ideas are posted on a wall for easy viewing by participants.

### **Step 4: Prioritising**

When there are no more ideas, ask participants to review the list of ideas and choose the three they are prepared to recommend to the dock master as the best public uses to be made of the cement.

## 4.3 Planning and Managing Meetings

### Objective

The intent of this exercise is to help participants identify and strengthen their skills for achieving better planned and managed meetings.

Time required: 60 minutes

### Process

1. Distribute copies of *Handout 4.3A*, an instrument called *A Meeting Skills Assessment Inventory*. Ask participants to complete the inventory following instructions.
2. After participants have completed the inventory, ask them to select two or three meeting skills from the inventory which they seldom or never use as elected officials now and which they want to begin using more in the future. Ask them to circle the skills they have selected.
3. When this task has been completed, give each participant a copy of *Handout 4.3B*, a personal action-planning worksheet. Ask participants to pair up to discuss the skill improvement choices each of them has decided upon and consult with one another in choosing two or three actions that each would be willing to take in the next few days to begin making use of these skills. Ask participants to record their meeting skill commitments on the handout.
4. When participants have made these entries in their worksheets, ask them to reassemble in the large group. Print a list of numbers, 1-12, vertically down the left side of a sheet of newsprint. The numbers correspond to the twelve meeting skills on the inventory. Guide a discussion of the exercise with these questions:
  - Looking back over your responses to the twelve meeting skills on the inventory, which of the twelve skills for planning and managing meetings do you most want to improve? Ask participants to come forward and place a check mark after each of the skills they have selected for personal improvement.
  - Ask for participants to comment on any patterns within the group on skill areas in need of improvement, e.g., many men and women feel deficient in the same meeting skills or there is no pattern in their responses.
  - When participants are seated again, ask for volunteers to offer some ideas they have written down for making more extensive use of the meeting skills they have selected for improvement.
  - To enable all participants to engage in the workshop ensure that both men and women have equal opportunities to speak and share ideas.

## Handout 4.3A: Meeting Skills Assessment Inventory

### Instructions

Each of the twelve statements included in the inventory is a skill normally associated with competent planning and management of meetings. Read each statement. Decide the extent to which your actual skill corresponds with the statement and record your response by checking the appropriate block. You have completed the inventory when you have checked one response for each of the statements. Don't leave out any of the statements.

<u>Skills</u>	1. <u>Never</u>	2. <u>Seldom</u>	3. <u>Occassionally</u>	4. <u>Frequently</u>	5. <u>Always</u>
1. I am clear about the reason for calling the meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. I tell those who are to attend why we are meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. I only invite citizens who have a reason to be at the meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. I encourage others to decide what they want out of the meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. I know what I want to achieve from the meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. I know and share my special areas of competence with others at the meeting.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. I listen objectively to others and withhold judgement until all ideas are known.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<u>Skills</u>	1.	2.	3.	4.	5.
	<u>Never</u>	<u>Seldom</u>	<u>Occasionally</u>	<u>Frequently</u>	<u>Always</u>
8. I strive to be open, honest, and trusting in my relations with others at the meeting.	( )	( )	( )	( )	( )
9. I suggest standards for assessing the quality of meeting accomplishments.	( )	( )	( )	( )	( )
10. I help opposing parties see each other's points of view and avoid placing blame.	( )	( )	( )	( )	( )
11. I help opposing parties find mutually beneficial win-win solutions.	( )	( )	( )	( )	( )
12. I follow a systematic process for identifying and working with others to resolve problems.	( )	( )	( )	( )	( )

## Handout 4.3B: Personal Action Planning Worksheet

The meeting skills I have identified for personal improvement are:

1. ....
2. ....
3. ....

Some actions I have in mind to begin using these skills more extensively in my elected official role are:

Action:

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.....  
.....  
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Action:

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Action:

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## 4.4 Evaluating Meeting Productivity

### Objective

The intent of this exercise is for participants to evaluate the current level of productivity of the meetings they attend regularly and to plan improvements.

Time required: 90 minutes

### Process

1. Distribute copies of *Handout 4.4A*. Explain that the form is to identify the typical meetings that the participant attends regularly and to rate each of the meetings on a productivity scale ranging from a score of “5” for highly productive to a score of “1” for highly unproductive. The form also provides space to enter a rationale for the rating assigned to each meeting type. Give participants about fifteen minutes to complete the task.
2. When participants have completed the task, divide them into small groups. Explain that members of each small group are to share the results of their ratings and the rationale for them with one another. Ask members of each small group to compare their ratings and use what they learn to answer the following questions:
  - What types of meetings are most often rated high on productivity, i.e., ratings 4 or 5?
  - What are the reasons most often given for these meetings being rated productive?
  - What types of meetings are most often rated low on productivity, i.e., ratings 1 or 2?
  - What are the reasons most often given for these meetings being rated unproductive?
  - What do members of your group believe is the significance of these findings for improving the productivity of the meetings you and other elected officials regularly attend?
  - Select one of the types of meetings that was rated the most unproductive and develop a list of ideas on what might be done to make them more productive.
3. Give small groups about 30 minutes to complete this task and print their results on sheets of newsprint for reporting. Reconvene the participants and ask for reports from each small group. Engage participants in a discussion of the similarities and differences in the reports and the implications for improving meeting productivity.



## Handout 4.4A: Rating Meeting Productivity

Think about the types of meetings you attend regularly, i.e., formal elected body, committee, NGO board. List each type of meeting in the spaces below. Use the scale provided to rate the typical productivity of each meeting by circling one of the numbers. A rating of 1 = very unproductive; 2 = somewhat unproductive; 3 = neither productive nor unproductive; 4 = somewhat productive; and 5 = very productive. After rating each meeting, use a few words to describe your rationale for the rating on why you assigned the rating you did for each meeting type.

1. Type of meeting: **Rating**  
..... 1 2 3 4 5

Rationale for the rating:

.....  
.....  
.....

2. Type of meeting: **Rating**  
..... 1 2 3 4 5

Rationale for the rating:

.....  
.....  
.....

3. Type of meeting: **Rating**  
..... 1 2 3 4 5

Rationale for the rating:

.....  
.....  
.....

## 4.5 Resolving Conflicts through Mediation and Communication

### Objective

The intent of this exercise is to give participants an opportunity to use their mediation and communication competencies to resolve interpersonal conflict.

Time required: 120 minutes

### Process

1. Begin the exercise with a few comments on the nature of conflict. You might point out that conflicts result when people in a relationship see the same thing in different ways. The underlying causes of conflict may be about difference perceptions of what happened in a particular situation, about the meaning of what happened, or about what was done or should have been done about it. Conflicted feelings between men and women or groups in a relationship may simmer below the surface for a long time. A triggering event of some kind may lead the parties to bring their conflicted feelings to the surface, threatening damage to the relationship. Finally, explain that mediation is a useful strategy that can be used to resolve a conflict through the intervention of a neutral third party trusted by both sides.
2. Distribute copies of the letter on *Handout 4.5A* written by an elected official in a small town to the town's mayor. The letter contains many allegations and complaints about the mayor's performance as a leader. Ask participants to take a few minutes to read the letter.
3. Divide participants into several groups of four, indicating that one person in each group will play the role of the mayor, the second will play the disgruntled elected official, the third an impartial mediator, and the fourth an observer. Participants are to assume that the mayor and the elected official are agreeable to work with the mediator to help resolve their differences.
4. With the mediator's help, the mayor and elected official are to resolve as many of the disagreements and misunderstandings as possible recognizing that some serious allegations have been made in the letter about the mayor's conduct. Each group will have an hour for this task. The first ten minutes is to be allocated to private meetings between the mediator and each of the officials so the mediator can learn their respective "wants and needs" from the mediation process. The observer should attend each of these private meetings to observe the process. Take about forty-five minutes for the mediation session and the remaining five to write up the agreement for presentation. The final fifty minutes will involve all four parties playing their assigned roles.

5. Provide the mediators and the observers with a description of the mediation process on *Handout 4.5B* and the observers with a description of the observer's role on *Handout 4.5C*. Ask each group to be ready with a report at the end of the role-play.
6. Following the group reports and comments, conclude the exercise with a discussion of the potential for using mediation as a process for resolving disputes within the participants' jurisdictions.

## Handout 4.5A: Disgruntled Member of the Governing Body

The letter used in this handout is adapted slightly from one written by an elected official from a city in Eastern Europe to the mayor of that city citing the official's concerns about the mayor's performance. The letter was written shortly after the mayor and other elected body representatives were sworn into office thus creating conditions for interpersonal conflict.

**Note:** the letter contains some awkward and confusing language which has been retained to assure its authenticity and to demonstrate how such messages can become the centre of further conflict if not addressed. The challenge is to better understand the concerns before making further decisions to address them.

*Dear Mayor:*

*When, on Tuesday, May 19th, I sent you a letter containing several objections regarding the last meeting of the planning commission, I didn't expect that I would write you again so soon to express my concern about your lack of respect for the law and the activities of our governing body. First of all, I will review the facts.*

*Wednesday, May 20th, we were at the city hall at 1700 hours. The day before, we had been invited by a phone call from a governing body colleague, but we were not informed about the content of the following meeting.*

*At the meeting we found out that the planning commission was already summoned, illegally I might add, since we are supposed to be advised three days before such meetings. We were supposed to discuss the bus station project.*

*The project involved a very questionable report from the city's technical staff. My objections were:*

- 1. We were supposed to have it three days before the commission's meeting, and we didn't get it.*
- 2. It did not contain sufficient reasons justifying the emergency procedure of the governing body's meeting.*
- 3. It did not contain the criteria for choosing the specific architectural project which was available for the first time on the May 18th meeting, so we considered it as a sample offer.*
- 4. We didn't know that you had already chosen among different other solutions. We elected officials shouldn't be informed about your decisions by looking for posters in the city hall windows.*
- 5. The report also contained several ideas about leasing offers which were not clearly described. We all know that the commercial spaces are scarce and in great demand and that the mayoralty is searching different ways to find extra money. Who is supposed to decide and what criteria should be used to reach the decision?*

*Why didn't we discuss this problem in the governing body assembly? Since we are so badly informed, how are we supposed to know about the*

bidding project? In my opinion, the new local government activity is poorly organised, the flow of information is practically absent being replaced by rumours, procedures of the local governing body are not observed, and you use instead the “aside from the law” principle. My opinion is that this is lack of respect toward the elected officials and an attempt to use us just for formal activities.

Please understand my objections neither as a personal attack nor as an attempt to obstruct the city hall activities. It’s not a personal attack because I trust your capacity and I consider that our dispute is exclusively a dispute of principles and methodology of work.

City hall activities nowadays are chaotic and badly coordinated. It’s your own duty to coordinate them. The secretary of the city hall is watching the legality of your activity. I know that you are overwhelmed by requests, problems, complaints, suggestions, etc. But I believe that you have the intelligence and the energy to manage correctly the situation.

I don’t want to look like I am only a critic; therefore, I suggest a few ideas:

1. Establish a list of priority objectives or goals for this year, leaving space for some problems that may unexpectedly arise.
2. Set up a schedule for attaining these goals.
3. Establish a system for assessing your activity.
4. Organise, as soon as possible, a system to inform the population about city hall activities.
5. Inform completely and in due time the President of the Governing Body about the problems that are to be discussed at their meetings.
6. If the procedure adopted by the elected official’s assembly seems to you too bureaucratic, it is not too late to propose some emergency procedures. But, don’t forget that an emergency must be justified by serious reasons. But, I warn you that our emergency meetings, in the near future, will be conducted according to the law.
7. Whenever you can, tell your staff about their duty to be respectful toward the public. The authority of a civil servant is to build on competence and honesty, not on dictatorial and aggressive behaviour.
8. Don’t forget that you are a politician. During the next four years you will design the town’s administrative policy. You are not a simple bureaucrat but a leader responsible for fulfilling the promises you made to the citizens who elected you.

I conclude with a final suggestion: Let’s meet periodically in order to discuss calmly and openly issues concerning principles of our local government policies.

## Handout 4.5B: Steps for Effective Dispute Mediation<sup>1</sup>

While most experts don't agree on the precise number of steps in the mediation process or what should happen in each of these steps, they generally agree on the following activities:

1. **Preliminary consultations.** In the role-play, these are to be two short, separate sessions with the mayor and the disgruntled official. To the extent possible in these short sessions the mediator should:
  - Confirm the man or woman has agreed to mediation.
  - Identify the wants and needs of each official.
  - Build trust between the officials and the mediator.
  - Assure them of confidentiality.
  
2. **Getting started.** This step and the next three involve all four parties to the mediation process.
  - Create to the extent possible a comfortable physical environment for the mediation.
  - Set ground rules for the mediation process, i.e., honest listening, mutual respect, and a sincere effort to communicate honestly.
  - In this role play, you can assume they know each other so introductions are not necessary.
  - Decide who goes first, i.e., usually begin with the party that is angriest.
  
3. **Defining the issues**
  - Provide both sides with an opportunity to explain their perspectives on the issues. This is best done by giving each of them uninterrupted time to explain his or her side of the conflict.
  - Highlight areas of common ground.
  
4. **Finding solutions**
  - Help each side to understand the other's perspective.
  - Also help them to reframe their demands into needs to the extent possible.
  - Help them generate solutions that they can both agree upon to resolve their differences.
  
5. **Closing the mediation**
  - Encourage the parties to discuss their level of commitment to the solution agreed upon.
  - Write down the agreement and have both sign it. It is suggested that these key points be put on newsprint so they can be posted and discussed at the follow up plenary session.
  - Close the session.

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<sup>1</sup> This approach to mediation is an abridged version of a model presented in a UN-HABITAT publication entitled *Building Bridges Between Citizens and Local Government Through Managing Conflict and Differences: Part 1, Concepts and Strategies*.

## Handout 4.5C: Observer's Role

During the role-play, watch each of the role players and their interaction with one another. Be prepared to share your observations with others when the role-play is over. Space is provided below to take some notes on your observations with some suggestions on what to look for.

1. How well did the parties follow the mediation process as described in the preceding handout?

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2. What problems occurred to disrupt the process?

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3. What evidence did you see that any of the parties were making use of other skills covered elsewhere in the elected leadership series, i.e., active listening, inquiry, feedback?

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4. Were the discussions ever derailed because of faulty assumptions or conclusions by any of the parties? If so, note what they were.

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5. Was there evidence of an effort by the parties to engage in shared problem solving?

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6. Make any other observations or comments that you want to share with others about the action or the players.

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## 4.6 Commerce City's Inter-market Rivalry

### Objective

This exercise is intended to provide participants with an opportunity to engage in and observe a simulated dispute mediation process.

Time required: 120 minutes

### Process

1. Ask participants to form small groups of four participants. If there are others left over from this process ask them to join one of the groups as an observer. Then tell them they will be taking part in simultaneous role-plays and that the exercise centres on a dispute between two markets in the town and the mayor of the town's governing body who has been asked to mediate the dispute.
2. Give each of the participants in each small group Handout 4.6A, a task description and information on the roles each of them is to play. Explain that the role of the elected mayor is to mediate the differences between the two officials in dispute.

**Note:** Give the person playing this role a copy of *Handout 4.5B* from the preceding exercise as guidance in setting up and carrying out the mediation. The second role is for the master of Central Market, the larger of the two, and the third for someone speaking on behalf of the informal market. The fourth role is for the observer. Observers do not take part in the role playing but silently watch and listen to the action while recording their observations on a worksheet, *Handout 4.6B*. At the end of the role-play, observers from each small group will be asked to report on their observations.

3. Give role players about five minutes to read the task description and their roles. Each member of the role-play should only get the description of the part being played. While the role players are thinking about their roles and how they will play them, set up a table with four chairs in separate work areas for the role players and observers. When the role players in each small group are seated, tell them they are to begin the meeting. Tell the players they have forty-five minutes to complete the task.
4. At the end of forty-five minutes, ask the role players and observers to return to the central training room. Ask for comments on the meeting from the role players and particularly how satisfied they felt with the outcome of their respective meetings. Ask for reports from each of the observers. Focus the discussion on what the mediator in each case did that was particularly helpful in resolving the dispute or what else the various mediators might have done.

## Handout 4.6A: Role Playing Tasks and Roles

### *The situation*

The governing body of Commerce City is responsible for a central market at the heart of town. The market has been in operation for over fifty years. The market is a public gathering place and the town's only significant source for produce, meat products, clothing, appliances, electronics, and many other items in regular use by the residents and businesses of Commerce City. The market is a revenue source for town government that imposes a tax on goods sold and charges a fee for stall space. The annual revenue yield has for many years underwritten the cost of many town services thereby lowering the cost of government to the citizens of Commerce City.

An informal market started operating a couple of years ago just across the street from Central Market. The informal market offers only produce from nearby farms and handmade clothing from area weavers and tailors for sale to the public at prices considerably below Central Market's. Sales men and women at the informal market are hired from the squatter settlements and paid a minimum wage. The market's slogan, "You get more for less from us," is particularly irksome to Central Market officials.

As a result of its pricing policy, the informal market has cut deeply into Central Market's clientele and profits. Complaining about the loss of business, the Central Market Manager has asked the mayor and governing body of Commerce City to intervene. As the role-play begins, the mediator has met with representatives of both markets. Each has agreed to mediation and accepted the mayor as mediator.

### *Mediator*

You are the mayor of Commerce City in your second term. You have recently completed a certificate program in mediation at a central city university. You are convinced that mediation is the right method for resolving the intermarket dispute which will work only if the parties concerned trust the process and the person selected to mediate. You have met with representatives of the two markets and each of them expressed their willingness to have you mediate the process.

### *Central market master*

You can't understand the need for two markets in town competing for the same customers. You have done everything possible to operate efficiently and still find your profit margins are below the average for other markets in the region. You saw your costs rise last year when, at the governing body's suggestion, you opened two speciality shops within the market that offer more expensive commodities for the town's more affluent citizens. You feel that closing the informal market would make it possible for you to meet the town's

revenue expectations once more without depriving your customers of anything they are getting now.

### *Informal market developer*

The informal market was one of many start-up businesses that came into existence with the support of the town's business-minded governing body. It is your position that price competition is healthy for a community that can, otherwise, be victimized by the monopolistic practices of a few, large entities. The informal market operates on a "shoe string" owing to a very small investment in physical plant and the employment of men and women from the squatter settlements, most of whom would be unemployed otherwise. Many of your customers are low income and are able to supply more food and clothing for their families owing to the informal market's lower prices. This would not be possible buying these necessities at Central Market.

## Handout 4.6B: Observer's Worksheet

Watch closely what takes place during the mediator's meeting with representatives of the two markets. Answer the questions about the interaction in the space below. Be prepared to report on your observations when asked to do so following the role-playing.

1. How did the mediator begin the process, e.g., how well was the process explained and what was done to put the participants at ease about what would be taking place?

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2. How was a decision made about who would go first in explaining his/her position on the market issue?

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3. What did the mediator do to begin the development of options for resolving the dispute, and how effective was it?

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4. How did the mediation come to a close and how committed did the parties seem to be to the solution agreed upon?

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## 4.7 Thinking about Team Effectiveness

### Objective

The intent of this activity is to encourage participants to recall and analyse their supportive and hindering experiences as members of a team.

**Trainer's Note:** A brief presentation on team strengths and weaknesses will improve the learning value of this activity for participants. Research conducted by team specialists Larson, LaFasto, and others shows that clarity about their goals and enthusiasm for their achievement separates high quality teams from ordinary ones. Nevertheless, clarity and enthusiasm for a goal is not enough for team success. Teams can fail to achieve goals when they become preoccupied with who is in charge. Team members may become fearful about how others might respond to their ideas. They may choose to substitute personal agendas for team purposes, become self-absorbed, feel betrayed, and concentrate their energy on "getting even" with other team members. These threats to goal focus must be recognized and combated for effective teamwork to be maintained.

Time required: 90 minutes

### Process

1. Begin the exercise with a brief presentation based on the presentation. Explain the exercise as an opportunity to reflect on past experiences while serving as a team member. Distribute copies of *Handout 4.7A* and ask participants to use the worksheet to describe their personal experience in working as a member of a specific team. Ask participants to make the following lists:
  - ❑ First, list two or three specific things that were done by the team leader or team members in this specific experience to help keep the team focus on its task and objectives.
  - ❑ Second, list two or three specific things that hindered or distracted members of the team in their efforts, or caused them to lose the team's focus.
2. Give participants about 20 minutes to complete the task working alone. At the end of 20 minutes, divide the participants into small groups of three to five. Select a senior member in each group to facilitate the following group tasks and write down the results on a sheet of chart paper for reporting later:
  - ❑ Consolidate the items from the lists prepared by members of the group into two group lists: 1.) Positive, and 2.) Negative aspects of team behaviour. Eliminating duplicate items and rewording as necessary.

- Lead a discussion of steps or actions that could be taken to alleviate the factors that hinder or distract team members from maintaining goal focus and make a list on chart paper of the most significant ideas presented.
  - Engage participants in a discussion of team effectiveness and make a list of a separate sheet of chart paper of the characteristics of high quality teams suggested during the discussion.
3. After about 45 minutes, reconvene the teams. Ask for a report from each team facilitator on his/her team's results completing the three tasks. Engage participants in a general discussion of effective team characteristics from a country/regional perspective.

## Handout 4.7A: Worksheet: Reflecting on Team Experiences

1. The team experience I selected for this exercise is as follows:

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2. Positive things done that kept the team focused on its purposes.

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3. Negative things done that caused the team to lose its focus.

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## 4.8 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the facilitating competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of facilitation. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a program of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - consider how they will determine how successful they have been in putting this learning to use after completing the program.
3. Give participants a copy of *Handout 4.8A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the facilitating competency.



## Handout 4.8A: Learning Application Plan

Take a few minutes to reflect on the facilitating competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the facilitating competency, shown below are two or three specific things I plan to do to improve my performance in facilitating the work of my governing body and other community groups in identifying and solving problems and making decisions:

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2. The support I need to achieve these performance improvements, how I expect to get it and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the facilitating competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the facilitating competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 5: The Using Power Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 5.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the using power competency and with one another as partners in learning. (60 minutes)

### 5.2 The powerful governing body

Stimulate spontaneous reactions to the term "power" when used to refer to a governing body and to encourage a lively discussion. (30 minutes)

### 5.3 Mapping power relationships

Help participants become more aware of power sources that should be considered in the accomplishment of community or governing body goals and to analyse the impact of these power sources, positively or negatively, on these accomplishments. (120 minutes)

### 5.4 Assessing power use by individual officials and their governing bodies

Give participants an opportunity to assess the sources of power available to them and to their governing bodies, the extent to which each relies on these power sources, and how these power sources can be used more effectively. (90 minutes)

### 5.5 Understanding abuse of power

Give participants a chance to struggle with a decision about what to do when faced with a flagrant abuse of power in their midst. (60 minutes).

### 5.6 Evolving new cultures of power

Challenge participants to develop safeguards against abuses of power in their own organisations that can be effective in preventing corruption and the inequitable treatment of certain classes and ethnic groups. (90 minutes).

### 5.7 Critical incidents in the use of power

Give participants practice in recognizing the sources of power being used in several incidents that occur frequently in the life of a community. (45 minutes)

### 5.8 Building shared power relationships

Dramatise the value and necessity of building shared-power relationships. (90 minutes)

### 5.9 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in using power. (30 minutes)

## 5.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate with participants that encourages active involvement with ideas and concepts related to the using power competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the program (See the *Suggested Opening Statement* on the next page). You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

Begin by welcoming those present to this programme on the using power competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.

1. One possibility is to simply ask for self-introductions e.g. give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here.

A variation on this is to have participants interview one another and then introduce their partners to other participants.

2. Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line by placing the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.
3. A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.

When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 5, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

...about the using power competency

- ❑ Power is a dominating factor in all human relationships that can be used by those who possess it for constructive purposes or misused by them to destroy citizens and institutions.
- ❑ Elected officials individually and through their governing bodies have many sources on which to rely for community leadership.
- ❑ The act of being elected to public office carries with it legitimate power and the ability to reward or coerce others despite any resistance they may offer.
- ❑ Expertise, information, ideas, and image are available as power sources but only when others believe you possess them.
- ❑ Sometimes sharing power and finding ways to creatively combine several sources of power can extend the capabilities of an individual or group beyond what it might be able to accomplish alone.
- ❑ The act of “empowering” others can be seen as paternalistic and may create dependency on the source of power. “Power

sharing” suggests a commitment to mutuality in decision-making and joint accountability for action and results.

- ❑ Elected officials often communicate differently when issues of gender and power are involved, sometimes placing women at a disadvantage.
- ❑ Efforts to forge power partnerships with the staff can pay off with mutual trust and respect.
- ❑ It is a lesson for those who aspire to positions of power that their power resides largely in the capacity of others to believe in them.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the using power competency.
- ❑ The approach to learning is *interactive* and different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a power user with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 5.2 The Powerful Governing Body

### Objective

This exercise is to stimulate spontaneous reactions to the term “power” when used to refer to a governing body and to encourage a lively discussion.



Time required: 30 minutes

### Process

Open the workshop with a statement (see below) followed by three questions. Ask for responses from participants to each question.

#### Statement...

On my way to the workshop this morning, I heard someone say that the governing body in this town is very powerful.

### Questions:

1. When you hear the word “power,” how does it make you feel?
2. For those of you who are on governing bodies in other towns, what do you think is meant by the word “powerful”?
3. For those of you who serve on this town’s governing body, what do you think is meant by the word “powerful”?

## 5.3 Mapping Power Relationships

### Objective

The intent of this exercise is to help participants become more aware of power sources that should be considered in the accomplishment of community or governing body goals and to analyse the impact of these power sources, positively or negatively, on these accomplishments.

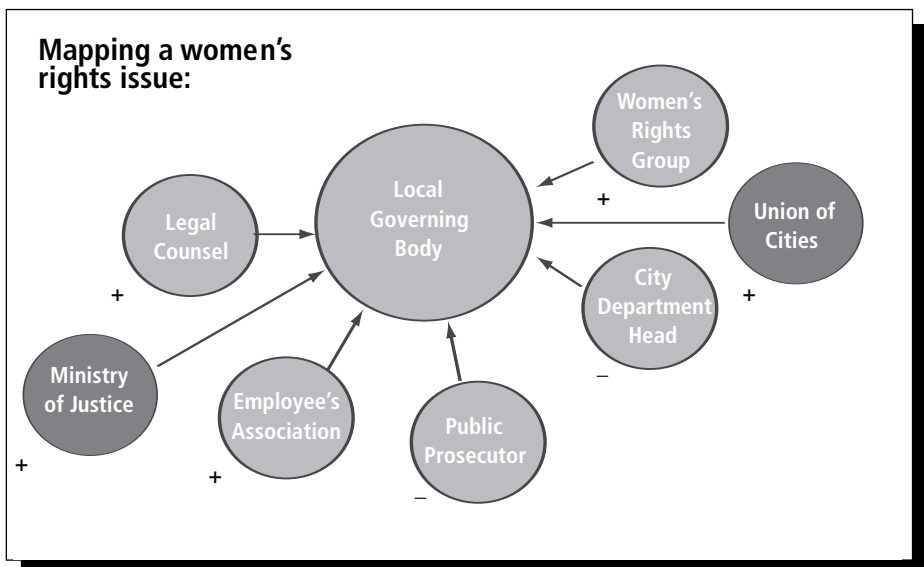
Time required: 120 Minutes

### Process

1. Explain the exercise objective. Ask participants to recall a recent situation in which the elected body on which they serve had to make a difficult, politically volatile, or otherwise controversial decision. Suggest they choose a decision that involved various organizational levels and functions and perhaps interests and groups outside the organization. Caution participants to focus on a very specific situation and to be clear about how the decision was made and who was involved directly or indirectly in making it.
2. When participants all have a specific situation in mind, give each of them a copy of *Handout 5.3A*. Tell participants to write a description of the situation in the space at the top of the handout. Explain that the figure at

the bottom of the handout is for their use in creating a map of the power relationships involved in the situation. Tell them this can be done by entering the name of their governing body in the circle at the centre of the map and the names in the satellite circles of others who had an influence on the decision made i.e. subordinate staff, superiors in the organization, key community figures or individual men and women or groups outside the community. Explain that people who had had a negative influence should be included as well as those with a positive influence. Suggest the placement of the most important power sources, positive or negative, in the circles nearest to the centre and the less important influencers in the more distant circles.

- When all of the relevant names have been entered, ask participants to review their completed maps and to label each of the power sources with a plus (+) sign as a positive influence on the decision or with a minus (-) sign as a negative influence on the decision. If a power source has both positive and negative influences, as is sometimes the case, indicate that by using both symbols.



- When participants have completed their individual maps, give them about forty-five minutes and ask them to answer the following questions about their situations:
  - On which of the sources you labelled as *positive* was your governing body able to rely on for information, resources, or support in this situation? What should the governing body do in the future to get even more information, resources, or support from this source of influence?
  - What did the sources you labelled as *negative* actually do to disrupt or work against your governing body in this situation? What might be done to reduce the negative influence of this individual or group in the future? Could this negative

influence be converted into a positive force? Explain how this might be done.

- Who else might be enlisted to support your governing body in decisions like this in the future?
5. When participants have answered these questions, divide them into small groups of three to five. Ask participants in each group to discuss the various situations and answers given to the three questions.
  6. After about 30 minutes, reconvene the group. Ask participants to discuss power sharing as an important competency for governing bodies. One question you might consider as a discussion starter is: *What steps might an elected body like yours take to initiate a process of power sharing with the staff of your organization and with other stakeholder groups?*

## Handout 5.3A: Power Relationship Analysis and Mapping

Describe your situation

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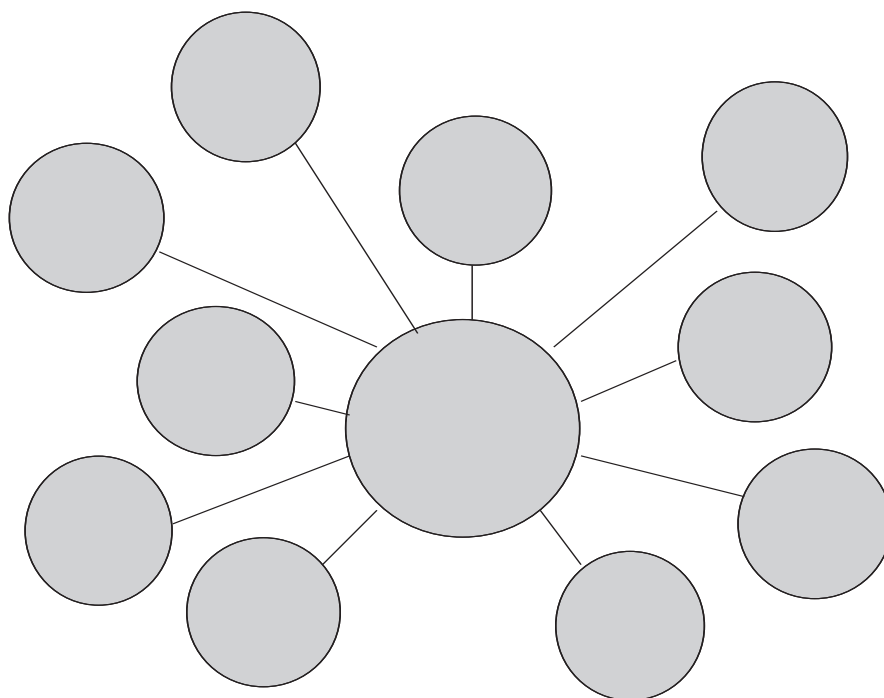
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## Handout 5.3B

Notes on the positive power sources

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Notes on the negative power sources

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Who else should have been involved?

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## 5.4 Assessing Power Use by Individual Officials and their Governing Bodies

### Objective

The intent of this exercise is to give participants an opportunity to assess the sources of power available to them and to their governing bodies, the extent to which each relies on these power sources, and how these power sources can be used more effectively.

**Note:** The value of this exercise can be enhanced significantly by a brief review of the power sources discussed in *Chapter 5, Volume 3* of this Series. To facilitate participant understanding, you may find it useful to group the power sources into three power categories. Of the ten sources of power presented, three, *legitimate*, *coercive* and *reward*, focus on the power holder and his or her ability to change the behaviour of others despite their resistance. Four sources of power, *expertise*, *information*, *image* and *contacts*, depend for their effectiveness on the perception that others hold of the person who wishes to be seen as a power holder. The final three sources of power, *catalytic*, *shared* and *holistic*, are related to the creativity of the power holder in combining resources and multiple sources of power to achieve goals.

Time required: 90 minutes

### Process

1. Furnish participants with copies of two questionnaires, *Handouts 5.4A and 5.4B*. Explain that the first questionnaire, the *Personal Power Source Questionnaire*, is intended to help them assess the sources of power available to them as individual members of a local government governing body. The second questionnaire, the *Governing Body Power Source Questionnaire*, is meant to identify the sources of power available to the whole governing body of which the individual completing the questionnaire is a member. Ask participants to complete both questionnaires working alone.
2. When participants have completed both questionnaires, distribute *Handout 5.4C* and ask participants to use it to write down some things they can do to increase their own power and the power of their respective governing bodies.
3. When participants have made some notes on the handout, divide them into groups of three. Suggest that they share what they have written with one another and offer suggestions to each other for making more effective use of their selected power sources and helping their governing bodies do the same.

4. Reconvene participants and invite them to share something of value they have gained from the exercise. Ask them to discuss the implications of differences in the power concerns of individual elected officials from the concerns of the governing body as a whole i.e. the governing body sees itself in terms of reward and coercion power while I see the governing body's greatest potential in sharing its power to build alliances with other community leaders.

## Handout 5.4A: Personal Power Source Questionnaire

### Instructions

As a public official holding elected office, you have sources of power available to you in varying degrees to help you perform effectively. This questionnaire is designed to help you assess the types of power you use to achieve your goals. To complete the questionnaire, place a check mark in one of the open squares opposite each of the ten power sources that corresponds with the perception you hold of yourself in relation to that power source.

Types of power available to me	Use made of this source of power		
	Use not at all	Use to some extent	Use to a great extent
<b>1. Reward power</b> Others believe I can reward them through such things as board appointments, favours, recognition, access to information, and other resources.	( )	( )	( )
<b>2. Coercive power</b> Others believe I can punish them through such things as demotions, dismissal, and the removal of privileges.	( )	( )	( )
<b>3. Legitimate power</b> My position entitles me to exert power and influence over others.	( )	( )	( )
<b>4. Expert power</b> Others believe I have special knowledge, skills, or expertise that can help them accomplish what they want.	( )	( )	( )
<b>5. Information power</b> Others believe I have information or access to information that is important to them.	( )	( )	( )
<b>6. Image power</b> Others will trust and obey me because of who I am and the respect they have for me.	( )	( )	( )
<b>7. Contact power</b> Others believe I have connections to powerful or influential men and women who can help them.	( )	( )	( )
<b>8. Catalytic power</b> I am able to merge two or more sources of power to get results impossible by either source acting alone.	( )	( )	( )



Types of power available to me	Use made of this source of power		
	Use not at all	Use to some extent	Use to a great extent
<b>9. Shared power</b> I am able to build alliances with other individuals or groups to achieve common objectives.	( )	( )	( )
<b>10. Holistic power</b> I am able to combine several of my competencies as an elected official to achieve important goals.	( )	( )	( )

## Handout 5.4B: Governing Body Power Source Questionnaire

### Instructions

The governing body on which you serve has sources of power available to it in varying degrees to help it perform effectively. This questionnaire is designed to help you assess the types of power used by your governing body to achieve its goals. To complete the questionnaire, place a check mark in one of the open squares opposite each of the ten power sources that corresponds with the perception you hold of your governing body in relation to that power source.

Types of power available to me	Use made of this source of power		
	Use not at all	Use to some extent	Use to a great extent
<b>1. Reward power</b> Others believe we can reward them through such things as board appointments, favours, recognition, access to information, and other resources.	( )	( )	( )
<b>2. Coercive power</b> Others believe we can punish them through such things as demotions, dismissal, and the removal of privileges.	( )	( )	( )
<b>3. Expert power</b> Others believe we have special knowledge, skills, or expertise that can help them accomplish what they want.	( )	( )	( )
<b>4. Information power</b> Others believe we have information or access to information that is important to them.	( )	( )	( )
<b>5. Image power</b> Others will trust and obey us because of who we are and the respect they have for us.	( )	( )	( )
<b>6. Contact (proximity) power</b> Others believe we have connections to powerful or influential men and women who can help them.	( )	( )	( )
<b>7. Catalytic power</b> We are able to merge two or more sources of power to get results impossible by either source acting alone.	( )	( )	( )

Types of power available to me	Use made of this source of power		
	Use not at all	Use to some extent	Use to a great extent
<b>8. Shared power</b> We are able to build alliances with other individuals or groups to achieve mutual objectives.	( )	( )	( )
<b>9. Holistic power</b> We are able to combine several of our competencies as a governing body to achieve important goals.	( )	( )	( )

## Handout 5.4C: Increasing Individual and Governing Body Power

Review your responses to each of the questionnaires. Assess the implications of your responses for your own performance as an elected official and for the perceived or real effectiveness of your governing body. With these things in mind, answer each of the following questions about increasing your effectiveness and the effectiveness of your governing body in the appropriate use of power.

1. Which source or sources of power would you like to work on to increase your personal power and influence as an elected official?

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2. Identify below a situation or two in which a more effective exercise of personal power would help you achieve the results you are seeking.

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3. What actions might you take to increase your power and influence in this situation?

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4. Turning to your governing body, which increased source or sources of power do you believe would most help your governing body in accomplishing its goals?

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5. How might you make use of your own personal sources of power to help the governing body make more effective use of its power potential?

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## 5.5 Understanding Abuse of Power

### Objective

The intent of this exercise is to give participants a chance to struggle with a decision about what to do when faced with a flagrant abuse of power in their midst.

**Trainer's Note:** The learning value of this exercise can be enhanced by a brief presentation on the culture of power, a phenomena that defines how things should be done and by whom in every organisation and community. When one group accumulates more power than another, the more powerful creates an environment that puts its members at the power centre and others at the margins. Those forced to the margins feel powerless and are at a disadvantage in their relationships with those who hold power. The discussion of power and culture in *Chapter 5, Volume 3* of this Series is an excellent resource for preparing this presentation.

Time required: 60 minutes

### Process

1. Distribute copies of *Handout 5.5A*. Explain that the case demonstrates a serious abuse of power by a group of elected officials operating with impunity within a culture that does little or nothing to limit opportunities for them to misuse their power. Ask participants to read the case. After they have read it, assign participants to small groups of five to seven. Give each small group the task of answering the question at the end of the case.
  2. After about 20 minutes of small group discussion, reassemble the participants and ask for reports from each group. When all groups have reported, encourage a general discussion of the various approaches in the context of corruption and the culture of power. You might use these additional questions to enlarge the discussion:
    - Is corruption culturally determined – that is, might behaviours viewed as corrupt in one culture be viewed as legitimate business practice in another?
    - Can corruption ever be defended as necessary to overcome or speed up operations in an otherwise inefficient and under-resourced system?
    - How might the prevailing culture of power in a community result in systematically excluding and marginalizing the poor, ethnic minorities, racialised communities and women?

## Handout 5.5A: Case; Sex and the City

The mayor of Horizon City has just learned from an investigative reporter with the local newspaper that three members of the eleven member governing body are involved in running a sex-trafficking ring in the city. The reporter tells the mayor that an international women's rights group, which has a local chapter in the city, is responsible for alerting the reporter to the situation. Furthermore, the reporter, in his frank talk with the mayor, claims that several police officers have also been involved. He tells the mayor that the editor of the newspaper will run the story in the Sunday edition.

The mayor recognizes that he has a very difficult and potentially explosive case of corruption on his hands. Unfortunately for him, the accused elected officials are from his political party and good friends. It's now Tuesday afternoon. If you were the mayor, what would you do?

## 5.6 Evolving New Cultures of Power

### Objective

The intent of this exercise is to challenge participants to develop safeguards against abuses of power in their own organizations that can be effective in preventing corruption and the inequitable treatment of women, certain classes, ethnic groups, or indigenous communities.

Time required: 90 minutes

### Process

1. Begin the exercise by explaining that the culture of power in every organization comes into existence following decades of unchallenged assumptions and norms about how things should be done. When this culture results in concentrations of power in the hands of a few, those outside the power centre cannot participate on an equal footing. Power seeks association with other sources of power, leaving those without power disadvantaged, powerless and unable to contribute. After a time, it seems to those in power that this is the way things should be because they have always been that way. The task of elected leaders is to recognize the danger in taking the status quo for granted and to use their power to create a more inclusive and equitable environment and prevent abuses of power like the one described in the previous exercise.
2. Divide participants into several small groups. Tell participants to recall the lessons of the case in the previous exercise and to develop a package of policies, strategies or actions to safeguard Horizon City from similar abuses of power in the future. Suggest that each group give special attention to approaches that are inclusive, that are participatory, that promote accountability, that provide ready access to information, that reward integrity and high-principled performance and that provide stiff sanctions for violation of the public trust.
3. After about 40 minutes of small group discussion, reassemble the participants. Print several corruption minimizing categories on sheets of chart paper e.g. inclusiveness, participation, accountability, access to information, integrity in performance and public trust sanctions. Include a category labelled "other" for items that do not fit under any of these categories. Ask a spokesperson for each group to write down the policies, strategies or actions developed by group participants under the appropriate category on the sheet.
4. When all of the groups have reported in this way, initiate a discussion of the results with these or other questions:
  - ❑ Under which category on the chart paper is the greatest number of items?



- ❑ Which category has the least?
- ❑ What significance do you attach to this distribution?
- ❑ What potential do you see for your own governing body using its power competencies to critically examine and improve its culture of power?

## 5.7 Critical Incidents in the Use of Power

### Objective

The intent of this exercise is to give participants practice in recognizing the sources of power being used in several incidents that occur frequently in the life of a community.

Time required: 45 minutes

### Process

1. Give each participant a copy of *Handout 5.7A* that contains ten critical incidents involving the use of power. Ask participants to read the incidents.
2. When participants have read the incidents, divide them into small groups. Ask each group to discuss each incident, identify the source or sources of power being used in the incident, and enter a choice in the space below each incident.
3. After about 20 minutes, reconvene the participants and ask for reports from each small group. Compare and discuss the results.

## Handout 5.7A: Ten Critical Incidents in the Use of Power

### *Incident No. 1*

A market was needed in a small town as a revenue source for the town. The town had no way to finance the market all at once, and the technical staff recommended building the market in phases to spread out the financial impact. The governing body decided instead to ask local businesses to build the market with their own funds with the understanding they would be paid back with interest over a ten-year period.

**Type(s) of power**

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### *Incident No. 2*

The governing body has adopted an ordinance that restricts drinking of alcoholic beverages to a four-hour period each day between 6 P.M. and 10 P.M. A religious group with a church close to a number of taverns in a low-income district had complained to the city about late night noise and rowdy behaviour on the part of some of the tavern's clients.

**Type(s) of power**

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### *Incident No. 3*

The city had been trying to build a women's vocational training school for a number of years but lacked the financial resources. A local foundation has agreed to fund seventy per cent of the costs if the city employees will contribute the rest. The mayor has convinced the employees to contribute three days of their time or the equivalent in cash donations to help with the construction.

**Type(s) of power**

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*Incident No. 4*

An idea was introduced at a recent governing body meeting to plant trees to prevent further hillside erosion near a secondary school. When the principal of the school heard about the proposition she committed her faculty and student body to take responsibility for the planting.

**Type(s) of power**

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*Incident No. 5*

One of the lower-income neighbourhoods in the city has a shortage of shops and small businesses that can both provide basic services and employment for its citizens. The governing body established a revolving fund to finance women entrepreneurs to establish businesses in the neighbourhood.

**Type(s) of power**

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*Incident No. 6*

Several newly elected officials found that embezzlement of city funds was an accepted practice by old members of the governing body. The new officials requested the appointment of a task force to investigate city financial trans-

actions. Nothing was done until questions were raised in a local newspaper article at which time the governing body had no choice but to appoint the task force and begin the investigation.

**Type(s) of power**

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*Incident No. 7*

The governing body has successfully handled the problem of too many animals grazing along main roads by establishing a fine of two animals for every violation for offenders. Enforcement of the new law has reduced road accidents by two-thirds in one year.

**Type(s) of power**

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*Incident No. 8*

A local elected official has taken the initiative to convince all of the governing bodies in the region to donate or buy a plot of land for use by women in the trading centres.

**Type(s) of power**

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*Incident No. 9*

An elected official who is a highly respected surgeon by profession convinces his colleagues on the governing body to support an increased annual budget allocation for primary health care.

**Type(s) of power**

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*Incident No. 10*

After consulting with neighbourhood and other stakeholder groups, a governing body adopts a policy authorizing creation of a new city department to deal with problems of vagrancy.

**Type(s) of power**

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## 5.8 Building Shared Power Relationships

### Objective

The intent of this exercise is to dramatise the value and necessity of building power sharing relationships.

Note: This exercise should be introduced with a few words about shared power. Point out that solutions to public problems today require new ways of thinking about the use of power. We all know that the problems confronting government today are massive and unsolvable: hunger, disease, homelessness, gender inequity, failed health and transportation systems, and deforestation. The size of these problems can lead public officials to accept them as inevitable, at least until one of them materializes as an urgent local issue: an epidemic, a natural disaster, or crisis in the local economy that cannot be ignored by local officials. No one organization, community group, or government agency has the legitimacy, intelligence, or capacity to respond effectively to issues of this magnitude. Such responses require the institutional will and capacity of local governments to share their powers with others. Shared power is very different from the conventional high-control, low-trust and single-minded approaches that dominate the power strategies of many governing bodies. It involves willingness by the leaders of the involved organizations to contribute their best thinking and resources in the pursuit of their separate and joint purposes. Shared power depends on relationships that are built on trust, mutual respect and consideration for different values and ways of doing things.

Time required: 90 minutes

### Process

1. Divide participants into several small groups of about five participants each. Give each small group the following task:

**Task:** Think of a crisis situation or event that has or might confront one of your communities. The situation or event might be a natural disaster such as a fire, a mudslide, or a health epidemic of major proportions. Or it might be the closing of a manufacturing plant that has produced sudden and massive unemployment, a housing crisis, and other forms of economic disruption for a city. On a sheet of newsprint, describe the situation and then create a mosaic of words and images that capture as much as possible the frustration, confusion, and even hysteria that may have preceded or accompanied the event.

2. Ask participants to reconvene and to tape the newsprint sheets containing their word pictures on a wall of the training room. When this is done,

ask participants to review each of the situations and to ask questions of one another for clarity and understanding.

3. After participants have read all of the situations, ask them to choose one of the situations in which they have the most interest and to join other participants who have made the same choice standing next to the situation description on the wall. Note: it may be necessary to ask some participants to make a second or even a third choice in the event too many participants choose the same situation. When all participants have made their choices, give each group copies of Handout 5.8A and tell them they have forty-five minutes to complete the three tasks described in the handout.
4. After about forty-five minutes, ask for reports from each group. After each group has reported, ask members of the other groups to critique the group's presentation and to offer suggestions. Continue until all groups have reported and received feedback from the other groups. End the exercise by using the following questions to encourage reflection on the exercise.
  - ❑ Why is shared power an important strategy for elected officials to consider when faced with difficult and often unexpected crises?
  - ❑ What are the most important obstacles to be overcome by elected men and women and governing bodies that wish to build shared power relationships?

## Handout 5.8A: Power Sharing Worksheet

1. Make a list of the organizations or institutions in the community that should be involved in helping to solve the crisis event selected by your group. Describe the special interests, resources, or capacity each brings to the task.

### **Organization**

### **What this organization brings to the task**

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2. Identify some of the competencies – *policy-making, decision-making, enabling, financing, oversight, negotiation, facilitation, use of power* – that would be required of a local governing body to effectively connect these organizations and institutions together to share their power in a search for solutions.

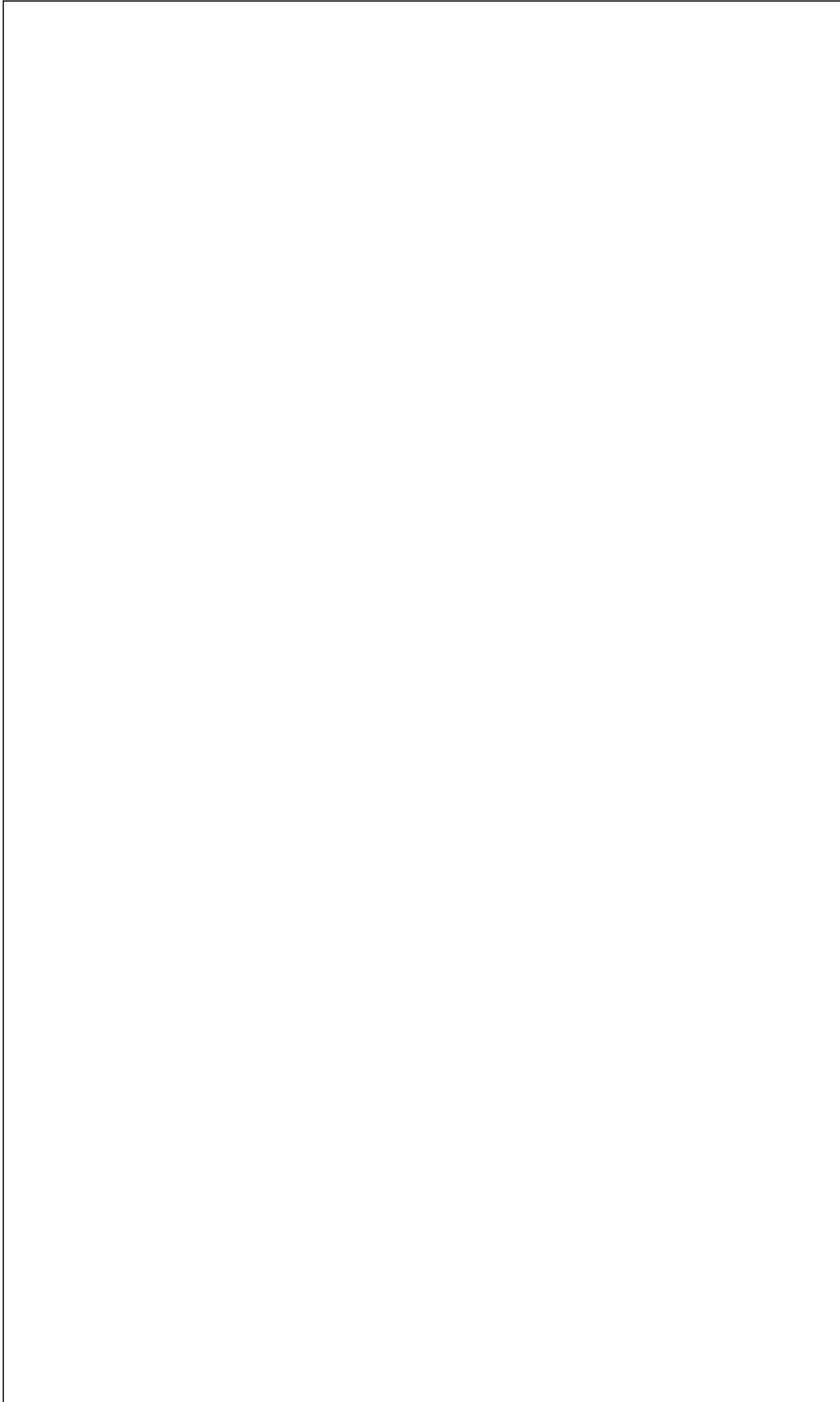
### **Competencies**

### **More Competencies**

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3. Draw a diagram or map below and on a sheet of newsprint that shows what a shared-power relationship designed to cope with your crisis situation might look like.

A large, empty rectangular box with a thin black border, intended for drawing a diagram or map. The box is oriented vertically and occupies most of the page's width and height.

## 5.9 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the using power competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in using power. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience, and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a program of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the program.
3. Give participants a copy of *Handout 5.9A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the using-power competency.

# Handout 5.9A: Learning Application Plan

Take a few minutes to reflect on the using-power competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the using-power competency, in the space below are two or three specific things I plan to do to improve my performance in and with my local government governing body as related to the use and even misuse of power:

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2. The support I need to achieve these performance improvements, how I expect to get the support and from whom, is described below:

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3. Three of the most important challenges I anticipate when performing the using-power competency and my strategies for dealing them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the using-power competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter Six: The Decision-Making Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation. For instance, exercises 6.5 and 6.6 both simulate situations that require a governing body to make a group decision. Since their objectives are similar, you can choose either of them for a particular workshop or you can use both of them to lengthen and intensify the learning impact.

### 6.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the decision-making competency and with one another as partners in learning. (60 minutes)

### 6.2 Decision preferences checklist

Acquaint participants with the style of decision-making they tend to rely on the most in their roles as elected leaders. (45 minutes)

### 6.3 Good and bad decisions

Cause participants to reflect on their experiences with governing body decision-making and from the sharing of these experiences, to see new possibilities for improvement in the decision-making competency of their own governing bodies. (90-120 minutes)

### 6.4 Awareness and Vision

Help participants understand *awareness* and *vision* as important variables in the decision making process. (90 minutes).

### 6.5 Problem finding and analysis

Equip participants with a set of tools for making better decisions by correctly identifying and analysing underlying problems. (3 hours)

### 6.6 The allocation decision

Provide an opportunity for participants to learn about decision-making while engaged in the process of making a decision. (120 minutes)

### 6.7 Decisions under pressure: the public health crisis

Give participants skill practice in using systematic problem solving to make difficult decisions under conditions of extreme crisis. (2 hours)

### 6.8 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in decision making. (30 minutes)

## 6.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate with participants that encourages active involvement with ideas and concepts related to the decision-making competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the program (See the *Suggested Opening Statement* on the next page). You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

Begin by welcoming those present to this program on the decision-making competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.



1. One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
2. Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line by placing the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.
3. A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
4. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 6, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the decision making competency

- ❑ The process of governing is about political leaders making decisions on behalf of those they represent.
- ❑ The range of choices available to elected leaders in decision making include 1) actually making a decision; 2) delegating that power to others; 3) delaying in making the decision; 4) supporting a decision made by others; 4) vetoing a decision favoured by others; 5) overturning a decision made previously; and 6) deliberately deciding not to make a decision.
- ❑ Principles of good governance that should guide public decision making include 1) increased involvement by citizens in decisions that affect their lives; 2) adherence to the rule of law; 3) transparency and accountability; 4) responsiveness and timeliness; 5) equity and inclusiveness; and 6) factors of effectiveness and efficiency.
- ❑ Making a decision is a process that begins with a problem or opportunity that calls for a decision and ends when a feasible course of action acceptable to those affected is adopted.

- ❑ Awareness of *what is* and a vision of *what can be* are parts of the thinking process that leads to the discovery of the need for a decision.
- ❑ Building coalitions and alliances with those who have an interest in what is to be decided is an important next step in decision making.
- ❑ Problem-finding analysis comes next to be sure the *real* problem has been found and that decision makers have the capacity and the will to commit resources to its resolution.
- ❑ Consideration must then be given to the options available for solving the problem along with the risks and benefits associated with each of them in moving toward a decision.
- ❑ Finally, the decision to be made should be judged by decision makers as the most feasible way to solve the problem or achieve the goal at that time with the resources available.
- ❑ The way the decision is made should assure decision makers that those who will be affected by the decision or are responsible for implementing it have been consulted and their views taken into account.
- ❑ Wise decision makers recognize that decisions are seldom matters of right or wrong but more often judgement calls based on the best information available at the time. Hence, wise decision makers value dissent and even disagreement, seeing them as positive things sometimes able to convert remote possibilities into satisfying and effective outcomes.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the decision-making competency.
- ❑ The approach to learning is *interactive* and different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a decision maker with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.

- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 6.2 Decision Preferences Checklist

### Objective

This exercise is to acquaint participants with the style of decision making they tend to rely on the most in their roles as elected leaders.

**Note:** A quick review of the decision-making styles available to participants shows a range of options from doing nothing, the decision of no decision, to the well-known “knee jerk” reaction sometimes described as *ready, fire, aim*.

Time required: 45 minutes

### Process

1. Ask participants to complete *Handout 6.2A, the Decision Preferences Checklist*, working alone. Give them about fifteen minutes to complete the task. Explain that there are no good or bad preferences and that any of the six might be an appropriate response to a particular problem or opportunity.
2. When participants have completed their checklists, call out each preference by name and ask for a show of hands from participants who selected each preference as the one on which they most often rely. Record the results on newsprint.
3. Initiate a discussion by asking what types of situations might suggest use of a particular style of decision-making. Ask participants to give examples from their own experience as recorded on their checklists. Keep the discussion moving along briskly to stay on schedule.

## Handout 6.2A: Decision Preferences Checklist

The following statements describe six typical decision-making preferences employed by elected men and women the world over. Read the six preferences. Identify the one you tend to rely on the most in your role as an elected leader. Mark just *one* preference with a checkmark in the box to the left of the statement.

- ( ) I am patient and inclined to wait since many problems resolve themselves without a decision being made.
- ( ) I do something immediately. Most of the time, the decision I make is the right decision.
- ( ) I get as much information as possible about the problem and its cause before doing anything.
- ( ) I discuss with others at some length if there is a need for a decision at all and what the nature of the decision should be.
- ( ) I make an effort to get the concurrence of everyone involved before doing anything.
- ( ) I follow the lead of the majority or others whose opinions I respect.

Describe in the space below a situation in which you as an elected official had to make a decision. Describe the decision you made in the situation and the decision preference, one of the six shown above, you used to make it.

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Were you satisfied with the outcome? Explain. How would you handle it next time; that is, what would be your decision preference?

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## 6.3 Good and Bad Decisions

### Objective

The intent of this exercise is to cause participants to reflect on their experiences with governing body decision making and, from the sharing of these experiences, to see new possibilities for improvement in the decision-making competency of their own governing bodies.

Time required: 90-120 minutes

### Process

1. Introduce the exercise by pointing out that anyone with experience on a governing body has seen it make some good decisions and some bad ones. Rarely in the heat of the moment do those involved in the decision take the time to reflect thoughtfully on the decision and how it was made.
2. After these introductory remarks, write two questions in large letters on a sheet of newsprint:
  - What are some behaviours of local governing bodies that make good decisions?
  - What are some behaviours of local governing bodies that make bad decisions?
3. Divide the group into two smaller groups of about equal size. Assign the first question to one of the groups and the second question to the other. Ask each small group to compile a list of behaviours that answer the question assigned to their group. Give each group a copy of *Handout 6.3A* for use in recording its list of behaviours. Give the groups twenty to thirty minutes to complete the task.
4. When the groups have completed their tasks, have them reconvene. Ask a spokesperson from each group to tape the group's results on a wall of the training room and take about five minutes to report the group's results.
5. After each group has reported and with the lists of behaviours still taped to the wall, write the following question on a sheet of newsprint:

What can I do to improve the decision-making competency of the governing body on which I serve?

6. Ask participants to think of ways that this might be done and to write them down using *Handout 6.3B*. Suggest that participants refer to the two lists of behaviours for ideas.

7. After about five minutes, ask participants to report the ideas they have written down. Print each legibly on a sheet of newsprint.

**Note:** A convenient way to collect ideas from a group is “round robin” reporting, i.e., calling for participants to report what they have written one after the other until everyone has been given an opportunity to report.

8. When all of the ideas have been reported, ask for participants to review the results and comment on which ideas seem to have the most merit and how they might be implemented.



## Handout 6.3B: Notes on Governing Body Decision Making

Use this space to make some notes on what you have learned about good and bad governing body decisions from other participants at this workshop.

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From what you have learned so far, identify two or three things you can do to improve the decision-making competency of the governing body on which you serve.

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3. ....  
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## 6.4 Awareness and Vision

### Objective

The intent of this exercise is to help participants understand *awareness* and *vision* as important variables in the decision making process.

**Trainer’s Note.** The value of this exercise can be heightened considerably by a brief presentation on the decision-making variables of awareness and vision. Awareness and vision are the thought processes that lead decision makers to problems and opportunities, the principal reasons why decision-making is needed in the first place. Awareness is pragmatic, using the perspective of past experience to explain current reality. Vision is intuitive, reaching beyond the present in anticipation of a future that does not yet exist. The “now” orientation of awareness makes it a valuable tool for the official seeking to understand the nature of a problem and deciding what to do about it. The “future” orientation of vision offers the elected man or woman the perspective needed to recognise and take advantage of opportunities that present themselves from time to time. Look for more information in *Chapter 6 of Volume 3* on awareness and vision as vital decision-making competencies.

Time required: 90 minutes

### Process

1. After delivering a brief presentation on awareness and vision, give participants copies of a worksheet (*Handout 6.4A*) and ask them to complete four tasks using the worksheet and working independently:
  - ❑ List three issues or concerns of which you are aware that will soon require some kind of governing body decision.
  - ❑ List three visions you have had that each envisions your local government or surrounding community as a better place than it is today because of decisions made by its elected leaders.
  - ❑ List several problems that might arise in the achievement of each vision on the list, e.g., hardening of opposition (problem) to a change (vision) that is perceived as threatening to some segment of the community.
  - ❑ List several opportunities that might arise as a result of actions resulting from the issues with which you have become aware, e.g., formation of an alliance (opportunity) resulting from efforts to resolve a conflict between two previously un-cooperative groups (awareness of a problem).

2. When participants have completed the list making, divide them into groups of three. Ask participants to share their lists with one another and take a few minutes to discuss the following questions:
  - Are we as elected men and women more proactive or more reactive in our approach to community issues?
  - Are we as elected men and women more optimistic or more pessimistic about our ability to cope with community issues?
  - Should we as elected men and women be more concerned with current problems or with future opportunities?
3. After 30 minutes, reconvene the participants. Ask for a report from each group including answers to the three questions. Conclude with a general discussion of how elected officials can be more effective in using their awareness and vision competencies to address problems and explore opportunities.

## Handout 6.4A: Vision and Awareness Worksheet

In the space below, list three issues or concerns of which you are aware that will soon require some kind of decision by your governing body.

1. ....  
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2. ....  
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3. ....  
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In the space below, list three visions you have had that picture your local government or surrounding community as a better place than it is today because of decisions made by its elected leaders

1. ....  
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2. ....  
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3. ....  
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List several opportunities in the space below that might arise as a result of actions resulting from the issues with which you have become aware, e.g., formation of an alliance (opportunity) resulting from efforts to resolve a conflict between two previously un-cooperative groups (awareness of a problem).

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List several problems in the space below that might arise in the achievement of each vision on the list, e.g., hardening of opposition (problem) to a change (vision) that is perceived as threatening to some segment of the community.

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## 6.5 Problem Finding and Analysis

### Objective

The intent of this exercise is to equip participants with a set of tools for making better decisions by correctly identifying and analysing underlying problems.

**Note:** The difficulty experienced by many elected men and women and their governing bodies with decision-making results from hasty decisions not preceded by thorough identification and analysis of underlying problems. Systematic efforts by governing bodies to uncover real problems and examine the purposes to be achieved by solving them can result in fewer decisions with ineffective, embarrassing, or politically damaging results.

Time required: 3 hours

### Process

1. Start the exercise with a short presentation of ten to fifteen minutes on problem finding and analysis based on material in **Volume 3 Chapter 6**. Concentrate on thinking of a problem as a discrepancy between the current state of affairs, status quo, and the desired state of affairs, objective. Remind participants that separating real problems from pretenders such as symptoms or even solutions is a critical first step in the process that leads to a decision. The process continues with a clear statement of the objective followed by analysis of the conditions that can impede problem solving. The process concludes with the development of decisions with the highest probability for removing these conditions or minimising their impact on achievement of the objective.
2. Ask participants to form pairs. Encourage them to pair with someone they haven't worked with before during the workshop. Give each participant a copy of *Handouts 6.5A* and *6.5B*. Explain that the first handout is a worksheet containing a process of problem finding and analysis. The second handout is an advisor's guide. The task is for each participant to complete the three phases of problem solving and analysis, working alone. When both participants have completed the three phases, one of the participants reads what he or she has written while the other participant uses *Handout 6.5B* to critique the first participant's work. This is expected to take about one hour. Then, the participants change roles and repeat the process. The task is complete when both participants have made any necessary changes based on what has been learned from the discussion and critique.
3. When each pair of participants has finished its task, ask all participants to reconvene and share their results with one another. Suggest the use of flip charts for individual presentations. Conclude the exercise with a

discussion of problem finding and analysis. You might consider framing the conversation around these questions:

- ❑ How might a systematic approach to problem finding and analysis such as the one used in this exercise improve the decision-making effectiveness of your governing body?
- ❑ What might be done to increase the receptivity of local governing bodies to the use of systematic problem solving?

## Handout 6.5 A: Problem Finding and Analysis Worksheet

### Phase 1

Think of a problem that is currently under study by the governing body of your local government or should be. If possible, choose a problem that could have grave consequences for your city if not solved in a timely and appropriate manner. Describe the problem below. Underline the key words or phrases in the description. If you prefer, choose a problem that needs attention by the governing body but has been put aside owing to political difficulties or technical uncertainties. Still another possibility is to choose an opportunity instead of a problem, one that could result in significant economic or social benefits for the city should it be seized.

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*(After the critique)* Use the space below to modify, expand or reword your original problem statement.

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## Phase 2

It is often said that you can't decide what to do until you know what you want to accomplish by doing it. Therefore, your next task is to write below an objective that describe as specifically as possible what you want to accomplish by doing something to solve the problem described on the preceding page.

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*(After the critique)* Use the space below to modify, expand or reword your original objective.

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## Phase 3

With an accurate statement of what you want, the objective, and what is keeping you from achieving it, the problem, the next step is to identify the forces in the environment that will work *for* you and work *against* you or your governing body in achieving the objective. With respect to the objective written on the previous page, use the space below to make a list of the forces that you view as supportive; that is, you can count on them to help you. Then, make a list of the forces you can expect to oppose your or your governing body's efforts.



**Supporting forces**

- 1. ....
- 2. ....
- 3. ....
- 4. ....
- 5. ....
- 6. ....
- 7. ....

**Opposing forces**

- 1. ....
- 2. ....
- 3. ....
- 4. ....
- 5. ....
- 6. ....
- 7. ....

*(After the critique)* Based on the analysis of the forces favouring and opposing the achievement of your or your governing body’s objective, what do you see as the most promising decision to be made in this situation?

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## Handout 6.5 B: Guidelines for Critique of Problem Finding and Analysis

### *Phase 1*

Your task as advisor in *Phase 1* is to help your partner “talk to the problem.” The intent is to define the problem or opportunity more precisely. It is also to be sure the statement reflects a real problem and not a *symptom*, an undesirable condition produced by the problem, or a *solution*, something done to reduce or eliminate a problem. Ask your partner these questions and write down what you hear.

1. After having your partner read the problem statement, ask, Why is this a problem? What is happening that should not be or what is not happening that should be?

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2. *Whose problem is it?* Identify the individuals, groups or organizations that have a stake in the problem being solved.

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3. *When is it a problem?* Is it all the time, now and then, or only when certain other conditions take place and what conditions?

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4. *How long has it been a problem?* Has it been long-standing or recent?

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5. *Really now, what is the problem?* This question is meant to revisit the original statement to discover if the problem is a real one or instead is being confused with one of its symptoms or some aspect of a solution. If there is evidence of an underlying problem, suggest that you and your partner reword the problem statement in light of the discussion.

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6. Finally, what would happen if nobody did anything to solve the problem?

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Based on the foregoing dialogue and critique, ask your partner to use the space on his or her worksheet to revise or restate the original problem statement. When this is done, move on to *Phase 2*.

*Phase 2*

Now, turn to the objective your partner has written. After it has been read, critique it according to each of the following criteria. If the objective fails to comply with any of the ten criteria, assist your partner to make the changes necessary to achieve compliance.

- |  |  |
|--|--|
| <input type="checkbox"/> Is it specific?                   | <input type="checkbox"/> Is there enough time?       |
| <input type="checkbox"/> Can it be measured?               | <input type="checkbox"/> Is an end result stated?    |
| <input type="checkbox"/> Are needed resources available?   | <input type="checkbox"/> Is it mission related?      |
| <input type="checkbox"/> Is it largely within our control? | <input type="checkbox"/> Does it offer challenge?    |
| <input type="checkbox"/> Does it have a completion date?   | <input type="checkbox"/> Will it keep your interest? |

Ask your partner to use the space on his or her worksheet to revise or restate the objective. Then, move on to Phase 3.

*Phase 3*

As we enter the third and final phase of problem finding and analysis, we make the assumption that achieving the objective we have written is important to us, our governing body, and the citizens we represent. We can also assume that achieving this objective will require careful thought, thorough planning, and resolute action taking.

Your partner has already listed the forces he or she believes can be expected to support and oppose work toward the objective. Before continuing, it would be a good idea to revisit these forces to decide if changes in them are necessary in view of revision or rewording of the objective. These changes, if any, can be made by your partner on the original worksheet.

Then ask these questions about the forces:

1. Which of the forces, if any, should be dismissed as impossible to change?

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2. Which of the forces are the most vulnerable to change?

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3. Which of these are also the most important?

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4. What action or combination of actions would contribute most to the removal or weakening of forces opposing the achievement of this objective?

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5. What consequences might result from implementing the action or combination of actions stated above?

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6. What could be done to manage these consequences should they occur?

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After your partner has finished any further revisions or rewording, change roles. Repeat the process, this time with your partner assisting you to critique your problem statement.

## 6. 6 The Allocation Decision

### Objective

This exercise is to provide an opportunity for participants to learn about decision making while engaged in the process of making a decision.

**Note:** Simulations are strong aids to learning. They place participants into hypothetical situations that resemble what they are likely to experience in real life. Because they are just simulations, participants can put themselves into the roles assigned to them and act out the real-life situations using new behaviours and techniques. Participating in a simulation is much like having a dream, an experience so vivid that you can't get it out of your mind even after waking up.

Time required: 120 minutes

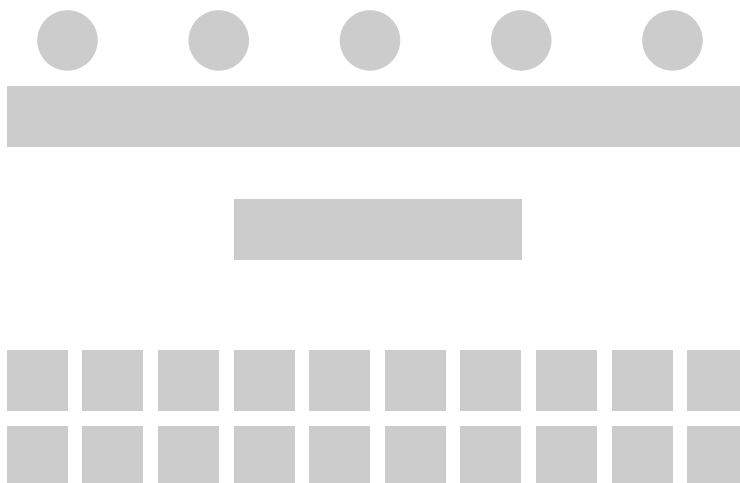
### Process

1. This simulation calls for one group of five to portray the local governing body, three smaller groups representing community groups, and the rest observers. We suggest you read the simulation exercise and make decisions on how many will be in each group based on the number of participants you are working with. Give each group a copy of the situation and role descriptions, *Handout 6.6A*, and give participants a few minutes to read them. Each of the observers should also be given a copy of the observer's worksheet, *Handout 6.6B*.
2. Explain that members of Group 1 will be simulating a local governing body that must decide how to allocate the proceeds of a large bequest to the city. You may select names for each of the elected officials or ask role-playing participants to use their own names.
3. Explain that Groups 2, 3 and 4 will be simulating community groups that are to take turns making presentations to the governing body. Each presentation is meant to convince the governing body that the group on whose behalf the presentation is being made represents the most worthwhile public purpose.
4. Ask the participants of Groups 2, 3 and 4 to go to their assigned rooms to develop their plans of action for "selling" the council on their proposal. Ask them to complete the task in 30 minutes. Suggest that they choose one member of their group to serve as its spokesperson. Explain that the council has a very crowded agenda and that each group will have only five minutes to make its presentation.
5. Tell the observers that they will be observing the governing body as it deliberates following the three presentations in order to answer the questions on the observer's worksheet and be prepared to report their observations at the concluding plenary session.

6. While the three groups are planning their presentations, have observers and the “governing body” participants arrange chairs and tables into a meeting room as shown in the diagram below.

**Note:** Place elected officials at the front of the room seated behind one large table. A smaller table is placed at the centre for use by the men and women who wish to make presentations to the governing body. Squares at the back of the room represent chairs for citizens to be seated *after* they have made their presentations.

#### *Room Layout*



1. With members of the governing body seated, the presentations are made in turn. Allow only members of groups that are presenting or have already presented to be present in the meeting room. In other words, no group should be permitted to hear another group's presentation until after it has made its own.
2. After all presentations are made, elected representatives begin their deliberations as the observers listen, watch, and record their comments.
3. Call time after twenty minutes whether a decision has been reached or not. Ask for reports from the three observers and responses from each of the decision makers and presenters. Focus the ensuing discussion on the process used by the governing body to arrive at a decision and its effectiveness as a decision-making group.



## Handout 6.6A: The Allocation Decision

### *The situation*

A wealthy merchant and resident of San Pedro has died and left a large sum of money to the town. The sum is ₱50,000 or the equivalent amount in another currency to be made available to the town's governing body in five annual instalments of ₱10,000 each. The merchant has stipulated that the money is to be allocated for some worthwhile public purpose at the discretion of the governing body. However, should the officials fail to allocate the money or delay its decision beyond the next scheduled meeting, the offer will be withdrawn irrevocably.

Three community groups have declared their intent to submit proposals for use of the money. The task before the governing body is to hear each of the three proposals and to choose one of the community groups as the recipient.

### *Description of San Pedro*

San Pedro is a commercial town within a developing country. The central government is in the process of implementing a decentralization plan that will affect local government in San Pedro. The town is governed by a town council of five members, each representing a separate district. Elected officials are elected for two-year terms by obtaining a simple majority of the votes cast at an election in their respective districts.

### *Elected official roles*

**The mayor.** You are the Mayor of San Pedro, elected from one of the town's non-industrial districts. You were voted as mayor by your fellow elected officials on a vote of 4 to 1. You are widely respected for your leadership skills and ability to arrange compromises between warring factions.

Your governing body's task today is to decide which of three community groups will receive the funds from the merchant's gift to the community. You have arranged for the leaders of each community group to present that group's case for the funds and for the governing body to discuss the merits of each proposal. Your objectives are to

1. Assure that the funds are not lost owing to a failure to reach a decision;
2. Reach a consensus on the best use of the funds; and
3. Maintain the governing body's reputation as reasonable, fair, and concerned with the best interests of the community overall.

**Two pro-business elected officials.** San Pedro is in the centre of a large agricultural area. The town's economy depends in large measure on several plants that process agricultural products. As elected officials, the two of you share a common interest. Both of you represent districts which are home for plant employees. Many of your constituents have lost their jobs owing to the

recent closing of a jute mill, one of the town's principal employers. Your constituents would benefit most directly from a vocational training centre which one of the three groups is proposing as the most worthy use of the merchant's gift.

**Two pro-social service elected officials.** Not all of the town's problems are economic. The industrial character of San Pedro has produced many social problems as well. A by-product of unemployment has been the departure of many non-working males for more promising areas of the country, leaving wives and small children behind to fend for themselves. Moreover, lacking in adequate health facilities, the community is vulnerable to the rapid spread of many infectious diseases including the dreaded AIDS virus. As elected officials, each of you has long championed the cause of the poor and the disenfranchised of San Pedro. Both of you are on record supporting more funds for health care and the needs of indigent children. You intend to support either the day-care centre or the health programme depending upon which of the two proposals is presented to the governing body in the most convincing manner.

### *Community group roles*

**Group No. 1.** You represent a private company formed with the backing of local businesses to retrain working men and women for other employment in town. The corporation has acquired space from one of the plants and is seeking funds to operate a vocational training centre. Your main concern is the high rate of unemployment of both men and women in the community. You believe your company can help reduce joblessness. But you need a supplemental source of funds for several years to sustain your efforts to put people back to work.

**Group No. 2.** You are an activist group with strong support in the non-industrial areas of San Pedro. You are supported by public health and medical groups in the area and are seeking funds to underwrite a new programme aimed at preventing the spread of diseases, and especially AIDS, through education. You feel your organization most deserves the funds because of the urgency of the health problems facing the community.

**Group No. 3.** You are a church-based group with strong support from every religious denomination in the community as well as the public schools. Your organization is the principal provider of services to the most disadvantaged in the community, and, owing to its non-profit status, is dependent totally on outside funds. You need funds to open and operate a day-care centre in a low-income neighbourhood for the benefit of marginally employed, single mothers with many small children. The centre would care for small children while their mothers are working. As heads of their households, single mothers are responsible alone for the welfare of their children. If they do not work, these mothers cannot feed their children. However, these mothers cannot afford to pay for housekeepers to care for their children while they are working. You see the centre as the answer for this chronic community need.

## Handout 6.6 B: Observer Worksheet

1. Describe what the mayor did to start the decision-making part of the meeting and to focus the attention of elected officials on the decision-making task?

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2. If criteria were used to decide what to do with the funds, what were these criteria and how were they selected?

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3. If criteria were not used, what thought process if any was used by the governing body to decide what to do with the funds?

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4. If a decision was made, what was it and how was it made? Use the options listed below.

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- ( ) A decision was made to accept the will of a strong minority.
- ( ) The decision was left to the mayor who makes it.
- ( ) The decision was not to decide.
- ( ) A quick decision was made at the last minute by a simple majority vote.
- ( ) A decision was made by consensus following deliberation.
- ( ) A decision was made by unanimous vote.

5. What feelings about the way the decision was made were expressed by members of the group or seemed evident to you at the end of the meeting?

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6. If there was frustration or dissatisfaction about the decision making process, what do you think accounted for it?

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7. What might the mayor or anyone else have done to produce a more effective and satisfying outcome?

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## 6.7 Decisions Under Pressure: The Public Health Crisis

### Objective

The intent of this exercise is to give participants practice in using systematic problem solving to make difficult decisions under conditions of extreme crisis.

Note: The fact situation used for this simulation is based on the recent SARS epidemic in Toronto, Canada. This recent, dramatic event has been selected as the basis for this simulation to demonstrate that enormously difficult situations like this can happen anywhere and to anyone. Such situations add realism to training events and can profoundly heighten the learning value for role players who can picture themselves as live participants in what is taking place.

Time required: 2 hours

### Process

1. Tell participants they will be taking part in a simulated emergency meeting of a local governing body. The meeting has been called by the mayor in response to information from a local hospital that a patient has been diagnosed with SARS. Give participants copies of *Handout 6.7A* and ask them to read it for background on the situation and an explanation of the governing body's task during the meeting.
2. After participants have read the situation, ask for five to nine of them, depending on the size of the training group, to assume roles of governing body members. Choose one of them for the role of mayor. Explain that the mayor will preside at the meeting and that three members of the simulated governing body will be given special roles representing contrasting points of view about what should be done. Identify the three special interest pleaders on the governing body and give them descriptions of their respective roles with check marks to designate the specific role each of them is to play on *Handout 6.7B*. Other governing body players are told to be themselves as they respond to the role-playing task. Be sure all participants who are to play governing body roles are clear about the situation and the task before moving ahead.
3. When participants who are to play roles as governing body members have been identified, tell other participants that they will be observing the governing body during its meeting. Each observer is given an observer's worksheet, *Handout 6.7C*, and asked to use it during the meeting to record observations. Explain that observers will be evaluating the process used by the governing body to make decisions for managing the situation facing the community. Tell observers they will be expected to share their findings with other participants at the conclusion of the role-play.

4. Create an environment for the role play in which the governing body members are seated around a long conference table with the mayor, as presiding officer, seated at one end. Observers are seated in a circle around the table and situated so they can see and hear clearly everything that goes on.
5. The role-play begins, and participants are given one hour to deliberate. At the end of an hour, conclude the role-play and ask for reports from observers. Allow some time for participants playing roles to respond to the observers and offer their own perspectives on the realism of the exercise and its value as a demonstration of systematic problem solving in decision-making.

## Handout 6.7A: SARS Comes to Town

You are the mayor of Shady Shores, a coastal city of several hundred thousand people with an economy based largely on tourism. Shady Shores is served by a regional airport that has daily flights from several international airports. A few hours ago while driving to work, you received a distressing call on your cell phone from your assistant at city hall. She had just ended a phone conversation with an investigative reporter from the local newspaper who asked what the local governing body was planning to do about a possible SARS epidemic. When asked what he was talking about, the reporter said he was collecting information for a front-page story based on a report from a fellow reporter who writes a column each week about health issues and who spends a lot of time looking for news at the city's emergency hospital. Apparently, an area of the hospital had been quarantined, and when asked why, one of the floor nurses said it was a just a precaution. A man had been admitted earlier that day with deteriorating breathing problems and other symptoms that resemble SARS.<sup>2</sup>

Shaken by the news, and aware that SARS is an infectious, killer disease responsible for hundreds of deaths in several Asian countries, you quickly made a call to the administrator at Shady Shores Hospital hoping the whole thing was a mistake. You were told that the story was true and that the patient does appear to be a SARS victim based on World Health Organization criteria. Additional calls led to the discovery that the man was returning home after vacationing for several weeks in Hong Kong.

You have called for an emergency meeting of the governing body tonight to discuss how city leaders should respond to the possibility of a SARS epidemic in Shady Shores. Earlier today you asked the city administrator to prepare a briefing paper to focus the attention of governing body members on the most critical economic, political, and ethical considerations that should guide their decision-making. You have just received the paper which poses these critical issues as questions for the governing body to answer at its meeting.

### Questions:

- What is the role of the city governing body in an emergency on this scale vis-à-vis other public organizations and institutions in the city?
- What should the people be told to avoid panic, how, by whom, and when?
- What can be done quickly to coordinate the activities of first responders in government, public health, hospital, school, and other authorities?
- How much restraint of individual liberty is necessary and

<sup>2</sup> SARS, severe acute respiratory syndrome, is a virus-caused disease of the respiratory system that appears to have started with unsanitary conditions in the chicken, snake, frog, cat and rat butchering shops of China's Guangdong Province. The disease grew to crisis proportions in China and then spread quickly, delivering heavy economic blows to the economies of Hong Kong, Singapore and Vietnam.

appropriate to prevent the movement of citizens who may be infectious?

- ❑ What can be done to minimize unwelcome notoriety that could cause serious damage to the city's tourist industry?
- ❑ What position should the city government and other authorities take when talking with members of the local, national, and international press?
- ❑ What are we willing to accept as sufficient evidence that the epidemic has been contained?
- ❑ What sort of plan or planning should be done together by local agencies to assure prompt and effective communication and coordination in the event of future emergencies of this kind?

You intend to open the meeting by informing the governing body of its task.

By the end of the hour, we must be prepared to specify the governing body's role in this tragic situation and what should be done about each decision point in the briefing paper.



## Handout 6.7B: Roles for Special Pleaders on the Governing Body

### 1. ( ) **Denier**

The situation is far less serious than everyone seems to believe. We can't be certain that the sick man has SARS. Even if he does, one isolated case does not equal an epidemic. We can't afford to even hint to the public that we have SARS in our midst. The last thing we need is a panic and the world press condemning Shady Shores as a sick city. We could have a ghost town here—cancelled reservations, stores closed, joblessness, people wearing gas masks. Let's just wait this thing out and see what happens

### 2. ( ) **Fear monger**

I can't believe this is happening in this city. I've read about SARS in China. People die horrible and painful deaths. And there is no known cure for it. This is a true public health emergency for Shady Shores. Your family and mine, we're all at risk. There's no time to waste! We simply must quarantine everyone who may have been exposed to this guy. That means putting his name and picture on the city web site and all the local news programs. Anyone who has been around him or where he may have been must be directed to contact the health authorities immediately.

### 3. ( ) **Avoider**

We were elected to this body to be sure the streets are cleaned, the garbage gets picked up and the laws are enforced. Public health issues are outside our jurisdiction. And they should be. We are not prepared to answer questions about quarantines, controlling the movements of sick people, and timing the release of public health information. How can we ever hope to decide how much economic loss can be endured in order to contain the spread of a deadly disease. These are not our problems. They should be decided by public health authorities.

## Handout 6.7C: Observer’s Worksheet

1. Did the governing body fulfil its task of defining its role relative to the situation and dealing with each of the decision points? (check one answer)  
 Yes       No

If “no,” why not?

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2. If “yes,” how was the decision(s) made?  
 Decision(s) was made by the mayor on behalf of the governing body.  
 A few members persuaded, cajoled, or coerced others to vote with them.  
 There was a genuine consensus on what to do.

3. How would you describe the influence of the three special influence pleaders on their fellow governing body members?

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4. Did the governing body use a systematic problem-solving approach like the one demonstrated in the preceding exercise to reach its decisions? (check one answer)  
 Yes       No

Explain your answer

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## 6.8 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the using decision making competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of decision making. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a program of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - consider how they will determine how successful they have been in putting this learning to use after completing the program.
3. Give participants a copy of *Handout 6.8A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the decision-making competency.

## Handout 6.8A: Learning Application Plan

Take a few minutes to reflect on the decision-making competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the decision making competency, shown below are two or three specific things I plan to do to improve my performance in and with my local government governing body as related to making decisions.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the decision-making competency and my strategies for dealing with them are as follows:

Challenge No. 1 .....  
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My Strategy .....  
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Challenge No. 2 .....  
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My Strategy .....  
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Challenge No. 3 .....  
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My Strategy .....  
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4. The following outcomes will demonstrate that I have been successful in improving my performance in the decision-making competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 7: The Policy-Making Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 7.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the policy-making competency and with one another as partners in learning. (60 minutes)

### 7.2 Drawings as policy analysis tools

Help participants make and use drawings to reveal underlying issues and to suggest the policy implications of these issues. (90 minutes)

### 7.3 The policy recall experience

Stimulate participants to reflect on their past experiences with public policy making. (45-50 minutes)

### 7.4 A policy maker's quiz

Help participants to know whether they are confronted with a problem, goal, policy, or strategy and to avoid confusing them with one another. (60-75 minutes)

### 7.5 Foundations for policy-making

Give participants experience in translating principles of good urban governance into realistic statements of public policy. (75 minutes)

### 7.6 Policy initiatives to protect the rights of children

Help participants apply the elements of the policy-making process discussed in this workshop in response to a provocative case situation. (60-75 minutes)

### 7.7 Gender Sensitivity in Public Policy

Demonstrate a gender-sensitive method of public policy analysis. (75 minutes).

### 7.8 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in policy making. (30 minutes).

## 7.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the policy-making competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them are: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of their association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the program. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

Begin by welcoming those present to this programme on the policy-making competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or with something that you prefer and feel more comfortable to get participants acquainted with one another.

1. One possibility is to simply ask for self-introductions e.g. give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
2. Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line, the official with the fewest number of years at the rear, and the others arrayed by length of service in-between. Self-introductions would follow.
3. A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries.



Both this and the previous activity can serve for introductions as well as conversation starters.

4. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five-to-ten-minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 7, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

*...about the policy-making competency*

- ❑ Policies are expressions of a local government's intent to take specific and deliberate actions to solve problems or pursue important public goals.
- ❑ By taking stands on important public issues through announced statements of policy, government officials provide legitimacy and direction for those who have implementation responsibility.
- ❑ Policies are sometimes confused with goals, strategies and even implementation. Goals are the reason why many policies are made. Strategies are the means used to implement policy. Implementation is the actions taken to carry out strategies, goals and policies.
- ❑ Effective statements of policy are committed to writing, simply stated, clear in meaning and intent, available to anyone who needs to see them, and kept current by frequent review and revision.
- ❑ Making policy must be regarded as an essential responsibility of elected men and women for achieving the principles and practices of good governance.
- ❑ Policies can be made intentionally or by default i.e. when government officials faced with an important public issue fail to take a stand. Policy-making can be complicated when policies are contradictory, when they are not implemented as intended, or when they are disregarded by those who are affected by them.
- ❑ Elected officials often become "bogged down" making *administrative policies* i.e. setting forth organizational practices and procedures and *management policies* i.e. budget expenditures, contractor relations, and interaction with community-based organizations. Instead elected men and women should be focusing on *governing policy* such as setting long-range goals resulting from strategic planning.

- ❑ Achieving major goals can be complex involving multiple policies being made intentionally or unintentionally by a variety of public and private organizations.
- ❑ In the best traditions of good governance, policies should promote principles of equity and inclusiveness and be formulated as much as possible in consultation with those who will be responsible for their implementation.

*...about the workshop design*

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the policy-making competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a policy-maker with other participants who are doing the same.

*...about the role of effective participation*

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 7.2 Drawings as Policy Analysis Tools

### Objective

This exercise is to help participants make and use drawings to reveal underlying issues and to suggest the policy implications of these issues.

Note: Why ask elected officials to draw pictures? Elected officials learn early in their political careers to carefully “monitor” what they say on any issue. They do this instinctively to avoid antagonising constituents or appear to be on the wrong side of an issue. The habit of choosing just the “right” way to say something before saying it can mask the true thoughts and feelings of these officials when they respond to issues under discussion. On the other hand, when asked to draw something rather than talk about it these officials are no longer encumbered by these same constraints, and they are far more likely to express what they are really thinking and feeling.

Time required: 90 minutes

### Process

1. Ask participants to independently draw pictures of how they see their communities today. Give each of them several sheets of newsprint and coloured markers. Tell them to focus their drawings on any aspect of their communities that comes to mind as they contemplate the task. Give each of them a copy of a sample drawing to illustrate what you have in mind. See *Handout 7.2A*. Explain that drawings frequently are more flexible than words alone for expressing a person’s viewpoints, perceptions and feelings about a subject. Give them about twenty minutes to complete their drawings.
2. Divide participants into groups of three. Give each group about thirty minutes to discuss and answer the following question about each of their drawings: *What are the issues or opportunities represented by this drawing and what are the related policy implications?* Following these discussions ask each group to write a policy statement related to one of the issues or opportunities suggested by each of the drawings.
3. Reconvene the participants after thirty minutes and engage them in a discussion of the exercise. Consider using these questions to encourage discussion:
  - ❑ What value do you see in using drawings to reveal the need for policy changes or the formulation of new policies?
  - ❑ How might you as a public official use drawings as a strategy for policy formulation in your own governing body?

Handout 7.2A: Sample Drawing of a Governance Issue



## 7.3 The Policy Recall Experience

### Objective

This exercise is to stimulate participants to reflect on their past experiences with public policy making.

Time required: 45-50 minutes

### Process

1. Give each participant a copy of the following statement as a handout or print it in large letters on a sheet of newsprint.

**Statement:**

A policy statement is the expression in writing of an official stand taken by a governing body to serve as the basis for a plan of action to resolve an issue or achieve a goal, e.g., the local authority's division of licenses and taxes shall collect all past due license fees.

2. After they have read the statement, ask participants individually to write statements of their own that describe policies adopted by their governing bodies within the last year or two. As an alternative, ask participants to write policy statements that their governing bodies *should have* adopted but did not. Suggest that participants use the space below to write their policies.

### *Your Elected Body's Policies*

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1. When participants have written policy statements, divide them into small groups. Ask each group to answer the following pair of questions about each of the policy statements:
  - For policy statements that **were** adopted,
    - *What was the policy intended to accomplish or what was the goal?*
    - *What actually was accomplished?*
  - For policy statements that were not but **should have been** adopted,
    - *What might have been accomplished by adopting the policy?*
    - *What were the consequences of not adopting the policy?*
2. After about twenty minutes, reconvene the small groups and ask for brief reports from each of them. Conclude the exercise with a general discussion of the way public policies are made and implemented in the communities with which participants have had experience.

## 7.4 A Policy Maker's Quiz

### Objective

This exercise is to help participants to know whether they are confronted with a problem, goal, policy, or strategy and to avoid confusing them with one another.

**Note:** The exercise will have greater meaning for participants if you give them a definition of *problem, goal, policy* and *strategy*. *Chapter 7 of Volume 3* is a good source of information for the meaning of these terms. You might write the definitions in large print on a sheet of newsprint and leave it posted for the duration of the exercise. As a further aid to understanding, you might offer an example of each definition.

Time Required: 60-75 minutes

### Process

1. Distribute copies of *Handout 7.4A, A Policy-Maker's Quiz*. Ask participants to complete the *Quiz* on their own while following instructions.
2. When all participants have completed the *Quiz*, divide them into four small groups of five to seven participants each and distribute a second copy of the *Quiz* to each group. Explain that the purpose of the exercise is for participants in each group to discuss their answers and decide together on a single answer to each statement.

3. Give the groups about fifteen minutes to complete the task. Then, supply each small group with a copy of the *Scoring Key* that can be found on the last page of this Chapter. Ask participants to use the *Scoring Key* to record the number of answers which they as individuals and which their respective groups scored correctly. Also, ask each small group to calculate the *average* of individual correct scores for comparison with the overall group score. Space is provided on the second page of the hand-out for entering this information.
4. Reconvene participants and ask for reports from each small group. In most cases, small groups will have more correct answers than the average of their individual members. Discuss this outcome and ask participants why they think groups tend to outperform individuals on many tasks. Ask them what implications all of this has for policy making by their own elected bodies.

## Handout 7.4A: A Policy-Maker's Quiz

### Instructions

Read each of the twelve statements below. In each case, decide if the statement is a problem, a goal, a policy, or a strategy. Make a selection for each statement by placing an "x" in the appropriate box opposite the statement. Do not leave out any of the statements.

Statement	Is the statement a...			
	Problem	Goal	Policy	Strategy
1. Corruption is practised with impunity by public officials to enrich themselves at the expense of the people they represent.	( )	( )	( )	( )
2. Criteria of efficiency, relative cost, and equity will be used by city departments to evaluate and recommend service delivery alternatives.	( )	( )	( )	( )
3. Organise a neighbourhood training academy to prepare local citizens for more active and informed participation in public affairs.	( )	( )	( )	( )
4. All sectors of the economy will contribute to financial soundness and cost-effectiveness in the management and delivery of public services.	( )	( )	( )	( )
5. Adopt a code of conduct and provide regular disclosure of the assets of appointed officials and elected representatives.	( )	( )	( )	( )
6. Reliance on conventional methods of service delivery prevent opportunities for cost reduction and efficiencies available through providers in other sectors.	( )	( )	( )	( )
7. Strong leadership is restoring public participation and stakeholder involvement and responsibility for civic affairs.	( )	( )	( )	( )
8. Legal authority is provided for local citizens to participate in community decision making through development councils and neighbourhood advisory committees.	( )	( )	( )	( )



Statement	Is the statement a...			
	Problem	Goal	Policy	Strategy
9. High standards of professional conduct in public office are pervasive and observed by all elected and administrative officials in the conduct of their duties.	( )	( )	( )	( )
10. Participation by ordinary citizens in civic and political life has been declining for years and now threatens the very foundation of democracy.	( )	( )	( )	( )
11. Municipal departments are encouraged to promote efficiency in the delivery of public services through management contracts and other co-operative ventures.	( )	( )	( )	( )
12. Review and revise the pay structure to assure equitable and competitive wages for public servants at all organizational levels.	( )	( )	( )	( )

Scoring Sheet	Participant Groups			
	1	2	3	4
Your individual score or number correct:	( )	( )	( )	( )
Average of all individual scores. Divide sum of individual correct scores by the number of participants:	( )	( )	( )	( )
Highest score of an individual participant:	( )	( )	( )	( )
Lowest score of an individual participant:	( )	( )	( )	( )

## 7.5 Foundations for Policy-Making

### Objective

This exercise is to give participants experience in translating principles of good urban governance into realistic statements of public policy.

Time required: 75 minutes

### Process

1. Begin the exercise by giving participants copies of *Handout 7.5A, Principles of Good Urban Governance*. Explain that the seven principles come from a 2002 UN-HABITAT concept paper called *The Global Campaign on Urban Governance*. The paper was written as a contribution to the eradication of world poverty by increasing the capacity of local governments and other stakeholders to practise good urban governance. Tell participants they will be discussing these principles in small groups and how statements of public policy might be used to alter government practises and programmes consistent with these principles.
2. Divide participants into several small groups. Assign one or more of the principles from the handout to each small group. Explain that each group is to discuss the principles assigned to them and how they might be translated into practical local policies. Tell participants their task is to answer the following questions based on their discussion. Give each group several sheets of newsprint and markers and ask them to print their answers to the following questions on the newsprint for reporting when they reconvene after about 45 minutes.

### Questions

- How would you describe the effect on your communities if this principle were to be at least partially realized? Write it as a *goal* statement.
  - What *policy* stand could make a realistic and significant contribution to the partial realization of this principle in your communities? Write it as a specific statement of policy.
  - What obstacles do you foresee in the adoption of this policy? Identify a few of these roadblocks both inside and outside the local government organization.
  - What might be done to overcome these obstacles and move ahead with policy implementation?
3. After about 45 minutes, reconvene participants and ask for a report from each small group. Encourage a discussion of the results. Consider asking these questions to focus the discussion.

- If we can agree that these principles are fundamental to good urban governance, why are they so woefully neglected by so many local governments?
- How realistic is it to believe that present and future generations of local elected leaders will rise to the challenge posed by these principles any more so than their predecessors?

## Handout 7.5A: Seven Principles of Good Governance

- ❑ **Sustainability** – Cities must balance the social, economic and environmental needs of present and future generations.
- ❑ **Subsidiarity** – This is allocating responsibility for service provision to the level of government that is consistent with the efficient and cost-effective delivery of services.
- ❑ **Equity** – Everyone without respect to age, gender, race, or condition of life has equal access to nutrition, education, employment and livelihood, health care, shelter, safe drinking water, sanitation, and other basic services.
- ❑ **Efficiency** – Cities must be financially sound and cost-effective in their management of revenue sources and expenditures and in the administration and delivery of services based on the comparative advantage of government and other sectors as contributors to the urban economy.
- ❑ **Transparency and accountability** – Elected and appointed men and women need to set an example of high standards of professional and personal integrity while providing citizens with access to information about local government and who is benefiting from decisions and actions.
- ❑ **Civic engagement and citizenship** – Citizens, especially women, must be empowered to participate actively in decision-making processes that lead to the realization of the common good.
- ❑ **Security** – Cities must strive to free residents of poor communities, particularly children, from the fear of persecution, forced eviction, victimization, and other forms of marginalization.

## 7.6 Policy Initiatives to Protect the Rights of Children

### Objective

This exercise is to help participants apply the elements of a policy-making process discussed in this workshop in response to a provocative case situation.

Time required: 60-75 minutes

### Process

1. Give each participant a copy of a case study called *Growing Up in Canaanland, Johannesburg* on Handout 7.6A. Ask them to read the case.
2. When participants have read the case, divide them into four or five small groups. Ask each group to complete the task that follows the case and report back with their results in about thirty minutes. Give each group some newsprint sheets and coloured markers and ask them to write down their response to the task and appoint a member of their group to make a report when all groups have reassembled to discuss the exercise.
3. When small groups have reassembled, ask each group for a report. Encourage a general discussion of policy as a response to important community problems and the process by which policy can lead to sustained actions designed to solve these problems.

## Handout 7.6A: Growing Up in Canaansland, Johannesburg<sup>3</sup>

Author's note. This case study is a testament to the chronic poverty and marginalization experienced by boys and girls all over the world. Many children spend their days digging in rubbish heaps for something to sell or eat and their nights on the streets where they risk violence and exploitation. These boys and girls often lack secure homes, can't afford adequate health services and don't have safe places to play. This case study also makes it plain that urban children are sensitive to the conditions under which they live and capable of informing the democratic process with their ideas and participation. An obvious conclusion is that poverty and exclusion among urban children is a missed opportunity to promote good local governance. There is a central role to be played by mayors and elected men and women in mainstreaming the interests of urban children in urban affairs and giving children an opportunity to influence the conditions under which they live. Governing officials can do this by promoting the development of municipal plans that guide policy decisions and budget allocations, identify concrete goals, and monitor progress and report on achievements.

### *The case*

Canaansland, a squatter camp in a busy part of Johannesburg, is a community of 350 families living on a little over an acre [approximately 0.5 hectares] of land with no toilets, no electricity and one water point. It was one of the research sites for an international research programme on "Growing up in Cities" which explored children's understandings of their own urban environments with a view to improving these based on children's recommendations. The boys and girls, aged 10 to 14, who made up the Canaansland group, had clear views on the community's problems. "It is not a good place," said one child, "There is a lot of fighting. The roads are too busy and people drive very fast. It swells very bad when there is a wind and when it rains."

All the children spoke of the lack of facilities. The single water tap served over 1000 people, and most of the children regularly had to wait to fill heavy containers for their families. The only available toilets were in commercial locations across busy streets, and many people used a nearby vacant lot. The children were revolted at the stench that surrounded them. They were also bothered by the general filth of the camp where rubbish was cleaned up and removed only at irregular intervals.

Children's homes were small and crowded and often did not keep out the wind and rain. It was difficult to deal with the cold in winter—heating was possible only by using open braziers and children were aware of the danger of toxic fumes and the ease with which fire might spread through their crowded camp. The lack of electricity meant that doing homework was

<sup>3</sup> From Swart-Kruger, Jill, *Growing Up in Canaansland: Children's Recommendations on Improving a Squatter Camp Environment*, Pretoria, South Africa: HSRC Publishers, 2000, as reprinted in "Poverty and Exclusion among Urban Children," *Innocenti Digest*, UNICEF Innocenti Research Centre, 2002.

almost impossible, and even during the day, there was not enough light in their homes for reading or writing.

The violence and quarrels in the community upset all the children. They spoke of adult drinking problems, frequent brawls, gun shots at night, high noise levels, and difficulty in sleeping. Most adults paid little attention to the frequent violence, but the children found it frightening.

Because of their identity as squatters, children felt stigmatised and humiliated by the surrounding community. They were accused of dirtying shopping areas and public toilets, and when they window-shopped, they were treated like potential thieves and forbidden access to stores. Girls spoke of being kicked, slapped, and verbally abused by passers-by when they played on the pavement at the edge of the camp, and it was common for traffic to speed up when they played on the street scattering children and their possessions.

The boys and girls came up with a range of practical suggestions for improving life in the camp, but when they met with the mayor to present their work, they focused on their four most significant issues: improved housing that would keep out inclement weather; the urgent need for sanitation; a place to call their own where they could do their homework; and the need for people from settled homes in the vicinity to treat them with greater respect.

### *Your task*

Assume that your group is a governing body confronted with the issues stated or implied by this case study. With this in mind, discuss and agree on an appropriate and effective policy response to the problem that includes:

1. A *goal*, a desirable future state of affairs where the issue is either mitigated or eradicated entirely;
2. A *policy statement*, an expression of intent to do something specific to address the issue; and
3. A *strategy*, at least one concrete action or set of actions calculated to implement or activate the policy on a sustaining basis.

## 7.7 Gender Sensitivity in Public Policy

### Objective

The intent of this activity is to demonstrate a gender-sensitive method of public policy analysis.

Time required: 75 minutes

### Process

1. Begin the exercise by repeating a point made in an earlier Chapter that the benefits of government plans, programmes and policies do not accrue equally to men and women. Deliberate attention to achieving the greatest possible equality of benefits based on gender capabilities and needs is an important but often overlooked aspect of policy analysis. The term “gender mainstreaming” is a term commonly used today to define a deliberate and consistent effort by the leadership of a public or private institution to take gender into account in policy formulation, implementation and assessment.
2. Distribute copies of *Handout 7.7a*, a case study that illustrates how the public policy process might proceed with and without gender analysis. Give participants a few minutes to read the case.
3. When participants have finished reading, divide them into several small groups. Ask each group to identify a typical public policy that might be found in any of their local governments. Give each participant a copy of *Handout 7.7b*, a worksheet for analysing gender implications of the selected policy. Ask them to complete the worksheet as a group and be prepared to report on their results in 45 minutes.
4. Give the groups about 45 minutes to complete their tasks. Reconvene them and ask for reports from each group. Ask participants about the feasibility and implications of including gender analysis in the policy process of their own local government.

[This exercise has been adapted from the excellent efforts of the Ministry of Women’s Affairs, Government of New Zealand. To learn more about their initiatives to bring about gender mainstreaming, check out their website at: [www.mwa.govt.nz](http://www.mwa.govt.nz) ]



## Handout 7.7: A Public Policy Case Study

A local government has decided to review its management employment policies. The following diagram and explanation illustrates how the process might proceed with and without gender analysis.

Without Gender Analysis	With Gender Analysis
<p><b>Define Desired Policy Outcome</b> Job vacancies filled with the best qualified applicants based on education and experience at or above the average salary for comparable management positions in the region.</p> <p><b>Identify Issues</b> The governing body is concerned that few existing managers have adequate and relevant educational backgrounds for the positions they occupy.</p> <p>Current salary levels are insufficient to attract a sufficient number of qualified candidates for management vacancies.</p> <p><b>Define Implementation Strategies</b> Upgrade management education and experience requirements.</p> <p>Adjust salary scales for management positions to the average for similar jobs in the region.</p> <p><b>Success Evaluation Tools</b> Collect data on number of management vacancies, vacancy duration, source of new hires, number of qualified applicants, and turnover rates.</p>	<p><b>Desired Policy Outcome</b> And, ensure a consistent movement toward parity between men and women in all management levels and pay grades.</p> <p><b>Additional Issues to Consider</b> There are five male managers for every female manager in work units involving customer service, clerical support, and preventative health programmes despite the dominance of female workers.</p> <p>There is a prevailing attitude in the organisation that women should earn less than men because men are the recognized “breadwinners” in society.</p> <p><b>Additional Implementation Strategies</b> Preference to be given to experienced female applicants from within the organization who meet minimum educational standards.</p> <p><b>Additional Evaluation Tools</b> Also collect and disaggregated all data by sex and also other relevant variables such as age, race and ethnicity, etc.</p>

## Handout 7.7 B: Worksheet: Gender Analysis of a Public Policy

1. Write a brief description of the policy concern selected by your group for analysis.

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2. What issue or issues should be taken into account in formulating a policy to address this concern?

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3. What additional issues in relation to gender should be taken into account in the formulation of this policy?

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4. What would be the implications of such a policy without considering issues of gender?

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5. What data would be needed to assess the impact of the overall policy based on its intent?

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6. What additional data would be needed to assess the policy's affect on gender equality and other gender related issues?

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## 7.8 Planning for Learning Application

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the policy-making competency.

Time required: 30 minutes

### *Process*

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of policy making. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience, and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a program of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application that are likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 7.8A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the policy-making competency.

## Handout 7.8A: Learning Application Plan

Take a few minutes to reflect on the policy-making competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the policy-making competency, shown below are two or three specific things I plan to do to improve my performance in making and using policy in the pursuit of important government goals.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the policy-making competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the policy-making competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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**Scoring Key**

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|-------------|-------------|
| a. Problem  | g. Goal     |
| b. Strategy | h. Policy   |
| c. Strategy | i. Goal     |
| d. Goal     | j. Problem  |
| e. Policy   | k. Policy   |
| f. Problem  | l. Strategy |





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# Chapter 8: The Enabling Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 8.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the enabling competency and with one another as partners in learning. (60 minutes)

### 8.2 The nine dots puzzle

Demonstrate how pre-existing ways of thinking can prevent us from seeing new ways of doing things. (20 minutes)

### 8.3 Service delivery options

Stimulate creative thinking about different ways of doing what local governments are accustomed to doing - producing public goods and services. The twin focus on creativity and on alternative delivery systems makes this exercise a good introduction to understanding the enabler competency. (45-60 minutes)

### 8.4 Stakeholders' map

Broaden the understanding of participants about the importance of involving key people or groups of people in the process of solving problems and making decisions about issues that affect them. Such involvement needs to take due consideration of gender equity and include other marginalised groups (90 minutes)

### 8.5 Partnering with young men and women

Create participant awareness of the role local elected officials can play in creating conditions for neglected, excluded and marginalised populations, such as the youth and children, to have a voice in bringing public attention to their most pressing problems and promoting action to correct them. (90 minutes)

### 8.6 The elected official as networker

Help participants explore the characteristics of successful networkers and to consider the potential of elected officials as agents for effective networking in the community. (105 minutes)

## 8.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in enabling. (30 minutes)

# 8.1 Getting Started/Warm Up

## Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the enabling competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

## Process

1. Begin by welcoming those present to this programme on the enabling competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - ❑ One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - ❑ Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served

the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.

- ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five-to-ten-minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 8, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the enabling competency

- ❑ Enabling has to do with a broad range of institutional arrangements fostered by a governing body to involve and strengthen the ability of others to take part in the process of community governance.
- ❑ When a local government as the traditional supplier of a service assumes a new role in supporting, legitimising, partnering, and otherwise allowing for the provision of the service by others, *enabling* is taking place.
- ❑ Enabling cannot be considered apart from *civil society* which consists of the many non-governmental institutions and activities in every community that provide government officials with opportunities to use their enabling powers and competencies.
- ❑ The public good is served when partnerships between government and civil society make it possible to enlarge the potential for the efficient management of programmes and delivery of public services.
- ❑ *Public deliberation, study circles, and focus groups* are important methods elected officials can use to encourage local citizens, both men and women to express their ideas, opinions, and concerns.
- ❑ Networking is an informal process local officials can use to achieve a purpose or solve a problem by using their

community contacts to join the resources of individual citizens, groups, and organisations with the necessary skills and capabilities.

- ❑ An even more advanced form of enabling occurs when governing bodies share power with their citizens by providing avenues for them to decide on proposals for service priorities and public funding allocations.
- ❑ Sharing power is an exercise in trust, and reciprocal trust between those who govern and those governed is basic to the ability of elected officials to govern successfully.
- ❑ Be careful when exercising your enabling competency. Involving others in the governing process can backfire if the prospective partners are incompetent or unprincipled. It can also backfire when elected men and women involve partners for the wrong reasons.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging, and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the enabling competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as an enabler with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 8.2 The Nine Dots Puzzle

### Objective

This is a classic exercise used by trainers to demonstrate how pre-existing ways of thinking can prevent us from seeing new ways of doing things. It can be substituted for a longer warm-up exercise when time is a factor or can be used at any time during this or other training units to encourage creative thinking.

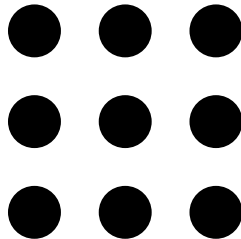
Time required: 20 minutes

*If you wish to have different results, you must first have different thoughts.*

**Texas proverb**

### Process

1. Draw on a sheet of newsprint a pattern of nine dots as shown below and display the pattern so that all participants have a clear view of it.



2. Ask participants to reproduce the pattern on a sheet of their own paper. While they are reproducing the pattern, print the following task on a sheet of newsprint:

*Connect all nine dots by drawing four straight, continuous lines without lifting your pencil or retracing a line.*

3. Give participants a few minutes to make several attempts. Ask how many of them solved the task. Either have a volunteer step forward to display the solution or else show participants how it is done by drawing the lines yourself

**Note:** The key to the nine-dot puzzle can be found in the last page of this Chapter (Pg 217).

4. Lead a discussion of the nine-dot puzzle focused on the following or similar questions:

- ❑ What approach did you take in attempting to complete the task? For example, visualize a square and try to circumscribe it, leaving the centre dot untouched.
- ❑ What change in your thinking is necessary for you to complete the task successfully? Step outside the mental box that you create for yourself or others create for you.
- ❑ What implications does the nine-dot puzzle have for your performance as an elected official?

## 8.3 Service Delivery Options

### Objective

The intent of this exercise is to stimulate creative thinking about different ways of doing what local governments are accustomed to doing - producing public goods and services. The twin focus on creativity and on alternative delivery systems makes this exercise a good introduction to understanding the enabler competency.

**Note:** The amount of time scheduled for this exercise may be extended up to three hours depending on the number of programme and service examples participants are asked to consider.

Time required: 60 minutes

### Process

1. Ask participants individually to identify three programmes or services that their local governments currently perform using their own employees, equipment, and facilities. Tell participants to choose programmes or services that could be performed by someone else.
2. When participants have completed the task, divide them into several smaller groups of three to five members each and give each group a copy of *Handout 8.3A*. Before the groups separate, give them the following small group task:
  - ❑ Make a written list on newsprint of the various programmes or services identified by your group members in Step 1 and post them on the wall.
  - ❑ As a group, select one programme or service from the list and identify at least one way that the programme or service selected could be carried out differently or maybe better without using the government's employees, equipment, or facilities.
  - ❑ When the alternative service delivery option has been agreed upon, discuss its advantages and disadvantages and list the

results of the discussion on the handout.

- ❑ If time allows, complete the same tasks for other identified programmes or services.
- ❑ Complete the task by transferring the information entered on the handout to a sheet of newsprint for discussion with other groups.

3. Reconvene participants after about forty minutes and ask for reports from each small group. Initiate a discussion of the exercise using the following or similar questions as discussion starters:

- ❑ What factors does your local government take into account when it considers options for the delivery of a programme or service?
- ❑ How should elected officials work with the administrative staff in proposing new programmes or service delivery options?
- ❑ What might you do personally as an elected official to encourage regular review of service delivery options by your elected colleagues?

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## Handout 8.3A: Service Options Worksheet

Programme or service

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Alternative service delivery method

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*Advantages*

1. ....
2. ....
3. ....

*Disadvantages*

1. ....
2. ....
3. ....



Based on this analysis, what would be your recommendation:

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## 8.4 Stakeholders' Map

### Objective

The intent of this exercise is to broaden the understanding of participants about the importance of involving key people or groups of people in the process of solving problems and making decisions about issues that affect them. Such involvement needs to take due consideration of gender equity and also include other marginalised groups as applicable.

**Trainer's Note:** The value of this exercise can be increased substantially by a brief presentation from *Chapter 8, Volume 3* of this Series on the many service roles that private and non-governmental organizations can play in helping to solve operational and service delivery problems that local government cannot solve alone.

Time required: 90 minutes

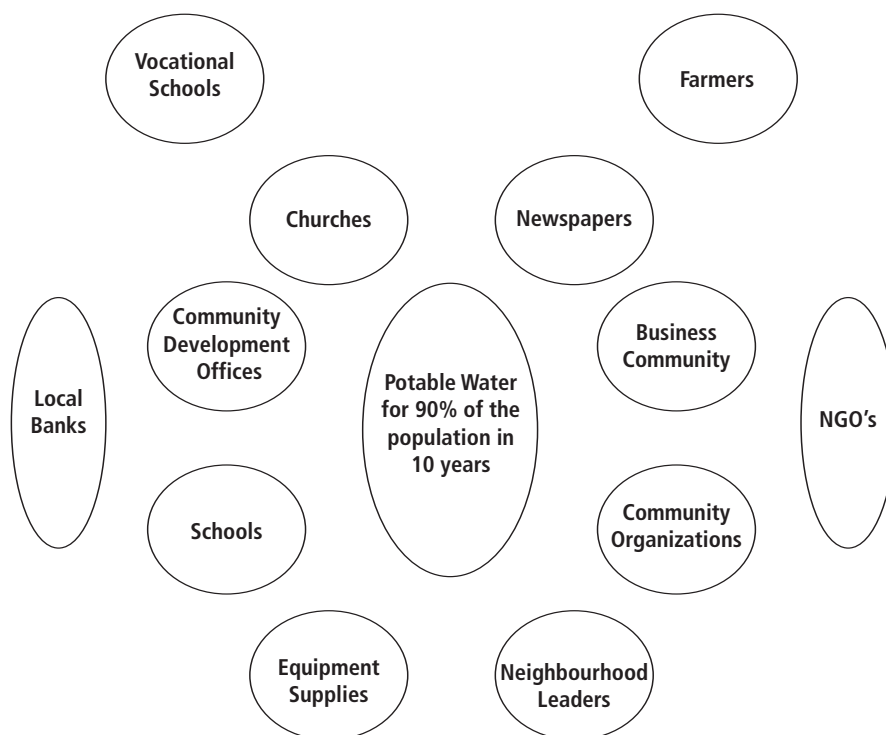
### Process

1. Since the term "stakeholder" may not be familiar to everyone, ask this question: What comes to your mind when I say the word stakeholder? Write down various answers to the question on chart paper. Then, combine the answers into a simple definition that sounds more or less like this: *Stakeholder: an individual or group that is affected by or can affect the solution to a problem.* Ask for general agreement on the definition and answer any questions that may arise before moving on with the exercise.
2. Ask participants to identify a problem in their city which seems to be unsolvable using the city's own human and material resources. If there are teams present from the same governing bodies, ask them to work on a current problem facing them as a group.
3. Divide participants into smaller groups of six to ten. Ask each small group to prepare a "stake holder's map" consisting of the names of individual citizens, groups, or organizations that are directly influenced by actions taken by others relative to the problem or that would have a stake in seeing the problem solved. Remind participants to include stakeholders who might impede progress as well as those who would be supportive. Ask participants to draw their maps on newsprint sheets using the example on *Handout 8.4A* as a guide.
4. After about fifteen minutes of map making, have small groups report. In the ensuing discussion, have the various groups assist one another in adding to their respective lists of stakeholders.
5. When each group has reported and received assistance from other groups, reconvene the small groups and ask them to complete three tasks:

- Identify the three to five most important stakeholders.
  - State how they were determined to be the most important stakeholders.
  - Identify the strategy or strategies that might be employed to enable these stakeholders to make a valuable contribution.
6. Ask each small group to report its results in a plenary session and ask participants to critique each other's presentations.
  7. End the exercise with a general discussion of the importance of involving others or enabling them and the various ways that local governments can collaborate with others in the delivery of programmes and services.

## Handout 8.4A: Illustrative Stakeholder's Map

The elected official used for this example represents a rural area in which only ten percent of the population is receiving potable water. The governing body on which the official serves is responsible for finding a way to participate successfully in the national goal of a potable water supply for ninety percent of the country's rural population in ten years. The national government has adopted a strategy of reaching this goal through a network of community-based water systems. The elected official in the example has identified the stakeholders involved in carrying out this strategy and has entered their titles in the oval-shaped figures. The large circle at the centre of the map states the local government's water supply goal.



## 8.5 Partnering with Young Men and Women

### Objective

The intent of this exercise is to create participant awareness of the role local elected officials can play in creating conditions for neglected, excluded and marginalised populations, such as the youth and children, to have a voice in bringing public attention to their most pressing problems and promoting action to correct them.

Time required: 90 minutes

### Process

1. Introduce this exercise as an opportunity to examine, compare, and discuss three situations on *Handout 8.5A* that involve strong leadership and commitment by local elected men and women to give urban children and youth a voice in how to reverse the negative conditions under which they live. Give participants a copy of the handout and give them a few minutes to read it.
2. After participants have read the handout, divide them into small groups of four to seven and ask each group to answer the questions at the end of the three cases.
3. Reconvene participants after about forty minutes. Ask for reports from each group. Encourage a general discussion of similarities and differences in-group responses to the cases.
4. At the conclusion of the exercise, mention that the three cases come from [www.childfriendlycities.org](http://www.childfriendlycities.org), official website for the *UNICEF Child Friendly Cities Initiative*.

## Handout 8.5A: Three Cases of Partnering in Urban Decision Making

### Case No. 1

The Youth Parliament of **Albania** is a UNICEF Project which aims at increasing youth participation in public debates. Main donors of this project are the Government of The Netherlands and Swiss Corporation & Development Agency. The project is implemented in cooperation with the Albanian Youth Council. The Youth Parliament Project has established representative assemblies for youth aged between 14 and 18 in six prefectures: Shkodra, Gjirokastra, Tirana, Korca, Vlora and Kukes. Two hundred democratically elected young parliamentarians prepare youth action agendas, learn about civic affairs through partnership with municipal and national officials, present plans of action to municipal governments and conduct peer-to-peer education programmes. These forums promote meaningful involvement of young men and women in civic affairs and civic education through first-hand participation in debating issues and developing civic and social plans of action. The parliaments also contribute to ensuring that decision makers take account of the voices of young men and women by facilitating the realisation of initiatives proposed in the plans of action developed by young parliamentarians.

### Case No. 2

In **Ecuador**, the cities of Quito, Tena, Cuenca, Guayaquil and Riobamba have involved children in defining criteria for a child friendly city. With the initiative *La Ciudad que Queremos* (The City We Want), children and adolescents have participated in decisions about the cities where they live and have advocated for their own rights. Children's brigades, supported by specially trained youth leaders and each with thirty boys and girls, were created in fifteen Quito communities. The brigades developed activities that strengthened the capacity of boys and girls to analyse problems, make decisions, and develop alternative solutions. Activities included, for example, the analysis of the waste collection systems in their communities. The municipality of Quito has tried also to enhance community participation more generally. With the objective of providing basic water and sanitation services in different marginal urban neighbourhoods, funding and materials were provided while the community contributed the labour.

### Case No. 3

In **Malaysia**, a community-based initiative has been developed to promote child friendly environments in Malaysian cities. The Malaysian Child Friendly Cities Initiative is a complement of the International Child Friendly Cities Initiative, which works towards helping to translate the Convention on the Rights of the Child (CRC) into concrete actions that can be implemented at

the local level by anyone. In September 1996, a National Conference on the Rights of the Child was organised in Kuala Lumpur, Malaysia. The conference resulted in raising serious concern about the quality of life of the urban child, and culminated in a national level workshop in July 1997. The workshop concluded with concrete proposals on how to improve the socio-economic environment of children, addressing issues that arise within the home, school or community space, as well as the safety and health of urban boys and girls. Out of these deliberations, there emerged the *Malaysian Charter on Making Urban Areas Child-friendly*, and its associated *Ten Strategic Actions* that are aimed specifically at urban local authorities. There also developed from this initiative an important child-friendly survey instrument called the *Children's Report Card* that involved the participation of boys and girls in assessing their own urban environments as to how child friendly their neighbourhoods may be, The Initiative has also commissioned the compilation of action-oriented activities that are presented in a user-friendly book called *Ideas for Action: Making Urban Areas Child-friendly—A Sourcebook for Community Initiatives in Malaysian Cities*.

### Questions

1. What initiatives taken by local authorities in these three cases might explain why we have chosen to include them in a Chapter on the enabler competency?
2. What are two or three important lessons these cases have for public officials about “enabling” people who are poor, abused, excluded, or otherwise marginalised to have a voice in matters that affect their lives?
3. Identify one or more ways that the governing bodies on which you serve as elected officials might act to give marginalised people in your communities an opportunity to participate and influence the quality of their lives.

## 8.6 The Elected Official as Networker

### Objective

The intent of this exercise is to use the focus group to engage participants in conversations about networking as an important and appropriate aspect of the enabling competency for local elected officials.

**Trainer's Note:** Precede this exercise with a brief review of networking as a way of solving problems through the informal, spontaneous linking of community needs with resources. Make use of the networking description and example near the end of *Chapter 8* in **Volume 3**. The process used in this exercise is based on a popular discussion method known as a "focus group." The focus group method is often used to capture ideas and information from a group of people as they talk with one another about a topic introduced by a facilitator. The role of the facilitator in a focus group is to interject prepared questions from time to time to stimulate active discussion while taking particular care not to influence the content of the discussion in any way.

Time required: 105 minutes

### Process

1. Divide participants into small groups of ten to twelve. After the groups have been formed, explain that each group will be taking part in a focus group discussion. Explain that a *focus group* is a guided discussion in which ten to twelve participants are invited to have a conversation about an issue initiated by questions introduced by a facilitator. Mention that the facilitator's task in a focus group is to keep the conversation moving with questions and intervening only when necessary to be sure everyone participates. Add that a recorder will be present in each group to take notes on the conversation. Ask each group to identify who will perform the roles of facilitator and recorders as soon as they convene in their small groups.
2. Give each facilitator and recorder a copy of *Handout 8.6A* that contains suggestions for the facilitator and recorder in each group and a list of discussion points.
3. Find a quiet place for each group to work so as to be undisturbed by the conversation of other groups. Tell the groups they are to reconvene in sixty minutes.

**Note:** Seat participants around rectangular tables open at one end. If tables are not available, seat participants in a circle facing each other.



4. At the end of sixty minutes, ask participants to reconvene and ask for reports from each of the small group recorders. Conclude the exercise by engaging participants in a general discussion of networking as an important but often neglected enabling tool and of the focus group as a data gathering tool.

## Handout 8.6A: Focus Group Guidelines

### **Facilitator:**

When members of your small group are seated, tell them they will be having a conversation about networking as an important and appropriate enabling competency for local officials. Explain that you will offer questions from time to time to encourage conversation, but that you will offer no opinions of your own. Ask if there are any questions. If not, ask the first question. You may find it necessary to intervene from time to time to stimulate conversation if no one is saying anything. You may attempt to widen participation if someone is dominating the conversation. And you may wish to intervene to encourage the participation of someone who has yet to enter the conversation. Be ready to ask the next question when the conversation on the preceding one appears to be going nowhere. Don't worry about not covering all of the questions. It is better to sustain a meaningful conversation on a few topics than to cut short a conversation in the interest of covering everything. After all, learning what sustains a conversation and what does not is the purpose of the focus group.

### **Recorder:**

During each conversation, listen to what is said and watch the interaction among the participants as they talk with one another. Does the conversation produce a lot of ideas? Which ideas stimulate a sustained conversation? Which ideas lead nowhere? Which ideas provoke strong feelings both positive and negative? Write down your observations and be prepared to report when the groups reconvene at the end of the exercise.

### *Discussion questions:*

1. When you hear the word “networking,” what comes to your mind?
2. What does “networking” have to do with being a local official?
3. Under what conditions should elected men and women consider using non-governmental groups to do things usually done by government alone?
4. Under what conditions should local officials be ready to respond when asked for help by community groups?
5. To what extent should local officials be proactive in finding out what people think about important public issues?
6. When is it appropriate for elected men and women to work outside the boundaries of their own local authority on projects that could benefit the community?
7. What can “networking,” or efforts to reach out and involve men and women and diverse community groups outside the organization, contribute to better governance?
8. How much political risk should an elected official be willing to take to collaborate with others on important community tasks?

## 8.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the enabling competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of enabling. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience, and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have people who have just completed a programme of learning
  - ❑ think about the value of what has been learned and how they will use it to enhance their own performance;
  - ❑ consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and,
  - ❑ how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 8.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the enabling competency.

## Handout 8.7A: Learning Application Plan

Take a few minutes to reflect on the enabling competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the enabling competency, shown below are two or three specific things I plan to do to improve my performance in enabling my own collaboration and the collaboration of my governing body with other community groups to identify and solve problems and make decisions.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the enabling competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the enabling competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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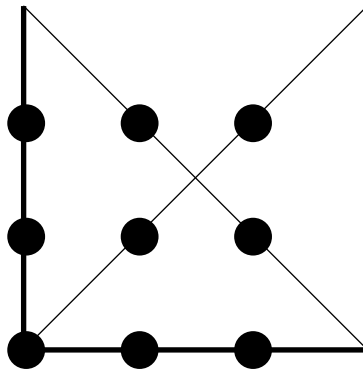
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### *Key to Solving the Nine Dots Puzzle*

This is an exercise in creative thinking. Most participants attempt to solve the puzzle by drawing lines within the boundaries formed by the nine dots. They soon become frustrated and experience a mental block. A few participants will recognize the futility in this approach. They will seek the solution by going outside the boundaries of the nine-dot figure. Eventually, these participants will find the answer which is shown in the figure below.

A typical response of participants on seeing the solution is, “Aha! But, why couldn’t we see that?” They couldn’t see it because they were, like so many of us are when faced with complex problems, confined in a straitjacket of conventional thinking.

The nine-dot exercise serves as a reminder that elected men and women are often faced with problems that can’t be solved with conventional thinking. Therefore, it is necessary for them, at times, to extend their minds “beyond the boundaries” of the situation to find the answer.







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# Chapter 9: The Negotiating Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 9.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the negotiating competency and with one another as partners in learning. (60 minutes)

### 9.2 Exploring the negotiating territory

Give participants a chance to explore their own experiences with the negotiating competency. (75 minutes)

### 9.3 The cooperation/desertion dilemma

Demonstrate the ultimate advantage of a cooperative posture in group and organisational relations. (90 minutes)

### 9.4 Negotiating a future for Centreville

Develop the ability of participants to negotiate agreements with colleagues who represent different political positions. (90 minutes)

### 9.5 Affordable water service for poor neighbourhoods

Give participants an opportunity to apply the techniques of principled negotiation to resolve a dispute about expanding water service to low-income neighbourhoods. (90 minutes)

### 9.6 Gender and the negotiating competency

Give participants experience using an effective negotiation strategy for resolving conflicts or ambiguities in relations between male and female members of a local authority's governing body. (120 minutes)

### 9.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in negotiating. (30 minutes)

## 9.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the negotiating competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this programme on the negotiating competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities, or something that you prefer and feel more comfortable with, to get participants acquainted with one another.
  - ❑ One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - ❑ Another activity that can be used instead of the former, or in addition to it, is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line, the official with the fewest number of years at the rear, and the others arrayed by length of service in-between. Self-introductions would follow.

- ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
- 2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 9* found in **Volume 3** of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### *...about the negotiating competency*

- ❑ Negotiating for the elected man or woman is an integral part of governance that involves reaching agreements, deciding on who will do what, and resolving differences among conflicted groups.
- ❑ Unlike mediation which involves bringing in a disinterested third party to help resolve a dispute in the best interests of all concerned, negotiation involves direct interaction among the parties to a perceived disagreement or conflict in order to reach an agreement that usually involves each party giving up something of value to get something of greater value.
- ❑ Successful negotiation has taken place when, in the give and take involving things of value, the ensuing agreement leaves each side feeling that it is better off as a result of the opportunity to negotiate-- a win-win solution.
- ❑ One popular method of negotiating includes four basic steps: 1) separate the people from the problem; 2) focus on interests, not positions; 3) invent options for mutual gain; and 4) insist on using objective criteria.
- ❑ Reasonable approaches like these may fail under conditions of extreme anger or hatred. Counterintuitive approaches may help to achieve wanted breakthroughs, e.g., avoid reacting as expected, disarm your adversary by employing non-confrontational methods, reframe the issue with problem solving questions, help your adversary deal with any unspoken concerns, and point out the consequences of continued resistance to agreement.

- ❑ Research shows that a process of reciprocity, tit for tat, in negotiating builds trust and encourages cooperation. If your adversary knows she can expect you to react to uncooperative behaviour with like behaviour, she is less likely to be uncooperative.
- ❑ How elected men and women manage the crucial variables of *agreement* and *trust*, in the negotiation process depends on their relationship with the other parties. For example, are the parties in the negotiation *allies*, *opponents*, *bedfellows*, *fence sitters*, or *adversaries*?
- ❑ Effectiveness in negotiation is also influenced by the cultural context within which the negotiation takes place and by the advantages and disadvantages of gender differences in the negotiating process.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the negotiating competency.
- ❑ The approach to learning is *interactive* and different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your experiences as a negotiator with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected-official responsibilities.

## 9.2 Exploring the Negotiating Territory

### Objective

The intent of this exercise is to give participants a chance to explore their own experiences with the negotiating competency.

Time required: 75 minutes

### Process

1. Explain that the purpose of the exercise is to give participants an opportunity to recall and share personal experiences with negotiating. Give participants copies of *Handout 9.2A*. Explain that the worksheet is for their use to write down a negotiating experience they can recall during their tenure as elected officials or in some other capacity for newly elected officials and what might have been done to have achieved greater success in reaching agreement. Give participants about fifteen minutes to complete the worksheet.
2. When participants have completed their worksheets, divide them into three or four small groups of no more than six participants each. Ask participants in each small group to share what they have written on their worksheets with one another. Based on the shared information about negotiation and what they have learned from it, ask each group to prepare a list of suggestions for getting better results when negotiating. Suggest that each group write their suggestions on a sheet of newsprint for reporting after the small groups reconvene. Give participants about thirty minutes to complete the task.
3. After thirty minutes, reconvene the participants. Ask for reports from each small group. When all groups have reported, encourage a discussion of the results. Consider these questions as discussion starters:
  - ❑ What common problems with negotiating were evident from the various experiences discussed?
  - ❑ Which of the suggestions do you think would be the most useful for improving your negotiating competency as an elected official? Which do you think would be the most useful for your governing body?

**Note:** Do not remove the newsprint sheets resulting from the small group work from the wall if you intend to follow this exercise with *Exercise 9.3* which is designed to make use of the data contained on these sheets.

## Handout 9.2A: Negotiating Experience Worksheet

1. Recall an experience in which you were engaged as a negotiating party or observer, an experience where the outcome was not satisfactory for you and your colleagues. In the space below, briefly describe the situation including who was involved, the outcome of the negotiation, and why you saw it then or see it now as unsatisfactory.

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2. What did the parties do or not do that led to the unsatisfactory outcome?

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3. What do you think a satisfactory outcome would look like in this situation?

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4. What might have been done differently to achieve a satisfactory outcome?

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## 9.3 The Cooperation/Desertion Dilemma

### Objective

The intent of this exercise is to demonstrate the ultimate advantage of cooperation in group and organisational relations.

**Note:** This exercise is based on a classic game called the “Prisoner’s Dilemma,” a situation often experienced by guilty prisoners being interrogated by the police. Before interrogating prisoners suspected of working together, the interrogator separates them and tells each one that the other has confessed and that, if they both confess, they will get off easier. The prisoner’s dilemma or risk is that they may confess when they should not, or they may fail to confess when they should.<sup>4</sup>

Time required: 90 minutes

### Process

1. Explain that the group will be divided in half for a simulation exercise. The situation on which the exercise is based involves two towns, Mason and Menard. The local authorities in Mason and Menard have agreed to combine their resources in order to overcome the competitive advantage of a large, nearby city as the home for a large company that has decided to relocate somewhere in the region. By cooperation and sharing their resources, the two authorities have concluded that their chances for convincing the company to locate in either Mason or Menard would be significantly improved. Should the cooperative strategy be successful, both towns would be better off economically owing to the number of new jobs that would be created and the company’s potential for generating related business activity. If either authority were to desert, however, that is, break the cooperative agreement and compete unilaterally for the lucrative company, that authority would have a chance to gain all of the economic advantages for its town and deny any economic advantage to its neighbour. In fact, no matter what one authority does, the other authority is better off deserting. Therefore, the problem is that each authority has an incentive to desert, leading to a worse outcome than would have been possible had the authorities continued to cooperate.
2. Divide the participants into two groups of about equal size, one group being the local authority of Mason and the other the local authority of Menard. Tell members of each authority not to communicate verbally or nonverbally with members of the other authority at any time unless instructed to do so.

<sup>4</sup> The Prisoner’s Dilemma game was invented in 1950 by Merrill Flood and Melvin Dresher. It is used as the foundation for a major contribution to the theory of cooperation in: Axelrod, Robert. *The Evolution of Cooperation* (New York: Basic Books, 1984).



3. Give each authority a score sheet and exercise directions on Handout 9.3A. Give authority members a few minutes to study the directions and ask questions about the scoring. Seat the two authorities far enough apart so they can deliberate without overhearing or being overheard. For Rounds 4, 9 and 10, place two chairs near the centre of the room facing each other for use by representatives of the two authorities.
4. Round 1 begins. Tell the authorities they have three minutes to make a decision and not to write down the decision until “time is up” is announced to avoid making a hasty decision.
5. Collect the slips, announce the choices for each authority, and write the choices for each authority on a scoring sheet printed in advance on a sheet of newsprint. Members of each authority record their results on individual score sheets.
6. Rounds 2 and 3 are conducted the same as Round 1.
7. Announce Round 4 as a special round. Tell each authority to send a representative to sit in a chair at the middle of the room to discuss possible negotiation strategies. After representatives have conferred for three minutes, ask them to return to their authorities. Tell each authority that it has three minutes to make its choice for Round 4.
8. Rounds 5 through 8 are conducted in the same way as the first three rounds.
9. Announce Round 9 as a special round in which the points earned by each authority will be **squared**, e.g.,  $3 \times 3 = 9$ . Authority representatives meet again at the centre of the room for three minutes and the two authorities are given **five** minutes to make their choices.
10. Round 10 is handled exactly the same as Round 9. Remind authorities that points in Round 10 are **squared**.
11. Reconvene the authorities to discuss the simulation. Announce the point total for each authority, and compare the results with the maximum possible point outcomes. For example, the point total would be 40 points if the authorities had chosen to cooperate in each round. The point total would be 30 points if one authority had chosen to desert every time while the other authority chose to cooperate every time.
12. Lead a discussion of the meaning the exercise using these or other questions to encourage thought about the relative merits of cooperation and competition:
  - What would your group do differently if the game were to be played again?
  - When, as an elected official, have you ever experienced something like the situation in this exercise? What happened?
  - What might you or your governing body do to overcome destructive competition when it occurs?
  - What can be learned from the exercise about the long-run advantages of cooperation over mutual desertion for both sides of a relationship?

## Handout 9.3A: Prisoner’s Dilemma: Instructions and Scoring Sheet

The game is played in ten rounds. In each round, your authority must choose either *cooperate* “C” or *desert* “D.” Your authority’s point score for the round will depend on the choice made by the other authority (see *Figure 1*). As you can see, both authorities can win, both authorities can lose or one authority can win while the other loses. The object of the game is to gain as many points as possible by the end of Round 10. You will have three minutes to make your choice either to *cooperate* “C” or to *desert* “D” for each round. As soon as your authority’s decision is made, write it down on a slip of paper and give it to the instructor. The instructor will announce the result of each round which can be recorded by each authority on its scoring sheet (*Figure 2*).

**Figure 1: Scoring Key**

Mason’s Choice	Menard’s Choice	Mason’s Result	Menard’s Result
C	C	+2 (win)	+2 (win)
D	D	+1 (lose)	+1 (lose)
C	D	+0 (lose)	+3 (win)

**Note:** Representatives from the two authorities will have an opportunity to meet for three minutes before their authorities begin deliberating about their choices for Rounds 4, 9, and 10.

**Figure 2: Scoring Sheet**

Round	Mason’s Choice (C or D)	Menard’s Choice (C or D)	Cumulative Points Mason	Cumulative Points Menard
1				
2				
3				
4				
5				
6				
7				
8				
9*				
10*				

\*Points for Rounds 9 and 10 are squared.

## 9.4 Negotiating a Future for Centreville

### Objective

The intent of this exercise is to develop the ability of participants to negotiate agreements with colleagues who represent different political positions.

**Note:** Preface this exercise with a presentation based on organization specialist Peter Block's broad perspective of the negotiating competency as fundamental to the achievement of local government's mission through building *trust* and *agreement* with a wide array of community stakeholders. Point out that Block provides five distinct profiles of agreement and trust and that he suggests an appropriate negotiating strategy for dealing with each of them. Details on the profiles and appropriate strategies to use in negotiating with stakeholders who correspond with each profile can be found in *Chapter 9, Volume 3 - Concepts and Strategies*.

Time required: 90 minutes

### Process

1. Provide participants with a description of Peter Block's five stakeholder profiles and corresponding negotiating strategies on *Handout 9.4A*. Give them a few minutes to read the information in the handout.

**Note:** If possible, give the handout to participants in advance so they can read it before the exercise.

2. When they have finished reading the profiles, give participants copies of a situation on *Handout 9.4B* in which the mayor of a local authority and representatives of the authority's governing body, stakeholders, are faced with a difficult decision. Ask participants to read the situation and the mayor's role.
3. When participants have completed the reading, explain that the exercise is to give them practice playing the role of a mayor who is using Block's five negotiating strategies to find common ground among five officials of the local governing body with different stakeholder profiles. Give participants copies of *Handout 9.4C* and ask them to read the five profiles—*ally*, *opponent*, *bedfellow*, *fence sitter* and *adversary*.
4. Ask for two volunteers and seat them in the centre of the training room facing each other with other participants seated in a circle around them like a fishbowl. Ask one participant to play the role of mayor in the situation and choose one of the five elected official roles on *Handout 9.4C*, e.g., **opponent**, for the other participant to play. Explain that the participant who is role playing the mayor is to use the negotiation strategy suggested by Peter Block for managing someone with this profile to

encourage that party to agree with and support the mayor's position on the fabrication plant location. Give the role players a few minutes to familiarise themselves with the task and about five minutes to complete the role playing. During the role play, ask participants not playing roles to observe the interaction between the two role players. Ask them to give particular attention to the mayor's effectiveness in using the strategy described in the handout.

5. When the role playing is over, lead a discussion of the role play. A good way to start the discussion is to ask: How effectively did the mayor make use of the negotiating strategy to reach an agreement with his/her role-playing partner? What might the mayor have done more of or less of or done differently to improve chances for an agreement?
6. After the discussion, divide the participants into groups of four. Explain that participants are to take turns playing the role of mayor in the situation while their partners rotate through the remaining four elected official roles in *Handout 9.4C*. Suggest that a member of each group call time in three minutes after each round of role-playing gets underway. The intent of the exercise is to give all participants practice using at least one of the strategies to negotiate an agreement with one or another of the four stakeholders. Suggest that non-role-playing team give feedback on the mayor's effectiveness before changing roles and moving on to the next round of role-playing.
7. Give the small groups about thirty minutes to complete the task. Then ask them to reassemble and lead a discussion of Block's five negotiating strategies and how useful participants think they might be for negotiating agreements with colleagues on their own local authority boards.

## Handout 9.4a: Stakeholder Profiles and Negotiating Strategies

### *Allies*

Allies are those who share your vision and concur with your strategies. The negotiating relationship with allies is one of high agreement/high trust.

#### **Negotiating strategy with allies:**

- ❑ Affirm agreement on the vision and specific tasks you plan to pursue.
- ❑ Reaffirm the quality of the relationship. Don't take the relationship for granted. Check it out.
- ❑ Acknowledge any doubts or vulnerabilities about the vision and tasks to be undertaken. Level with them on the status of adversaries and your own mistakes along the way.
- ❑ Ask for advice and support. Your allies can help you evaluate your perceptions of the conditions surrounding your relationship and provide information on where others stand in the community regarding your vision and goals.

### *Opponents*

Opponents are those with whom you have an honest, high-trusting relationship but with whom you disagree on purpose, direction, or goals. The negotiating relationship with opponents is one of low agreement/high trust.

#### **Negotiating strategy with opponents:**

- ❑ Reaffirm the quality of the relationship and the trust that makes it secure. What you need from them is the truth, and you can trust them to be honest.
- ❑ State your position. This means the vision and the purpose as well as the specifics of goals and strategies you plan to employ.
- ❑ State in a neutral way what you think their position is. You know they are opponents, and it's important at this point to understand their position. Seek out the areas of disagreement so they feel understood and acknowledged.
- ❑ Engage in problem solving to the extent possible recognising that these are not adversaries, but simply people with a different position than you have. Your task is to embrace them and to gain and understand their divergent points of view.

### *Bedfellows*

Bedfellows are those with whom you agree on how to proceed on a project or other joint venture but with whom you share a low level of trust. The negotiation relationship with bedfellows is high agreement/low trust.

### **Negotiating strategy with bedfellows:**

- ❑ Reaffirm any agreements you have with them. Acknowledge their support for the substance of the joint activities.
- ❑ Acknowledge the caution that exists in your relationship and the reservations you have about a relationship where there is a low level of trust between you. Acknowledge your own contributions to the difficulty of the relationship.
- ❑ Be clear about what you want from these bedfellow partners in working together. This may involve keeping you informed on what is happening and being upfront about any problems in working together.
- ❑ Ask them to do the same. What do they want from you in the working relationship? Seek out their disappointments and reservations about working together. Help them feel understood. This is a difficult relationship since it lacks trust but is worth working on.
- ❑ Try to reach agreement as to how you will work together. It occurs to us that this is often the type of relationship that exists in a highly politicised environment. It may be with those colleagues on the governing body who represent different political parties. In the battle to be elected, you have destroyed any semblance of trust among you.

### *Fence Sitters*

Fence Sitters are those who simply won't take a stand on anything. They doubt, review everything endlessly, rely on rules and regulations, and deal in contingencies. The negotiation relationship with fence sitters is low trust/unknown agreement.

### **Negotiating strategy with fence sitters:**

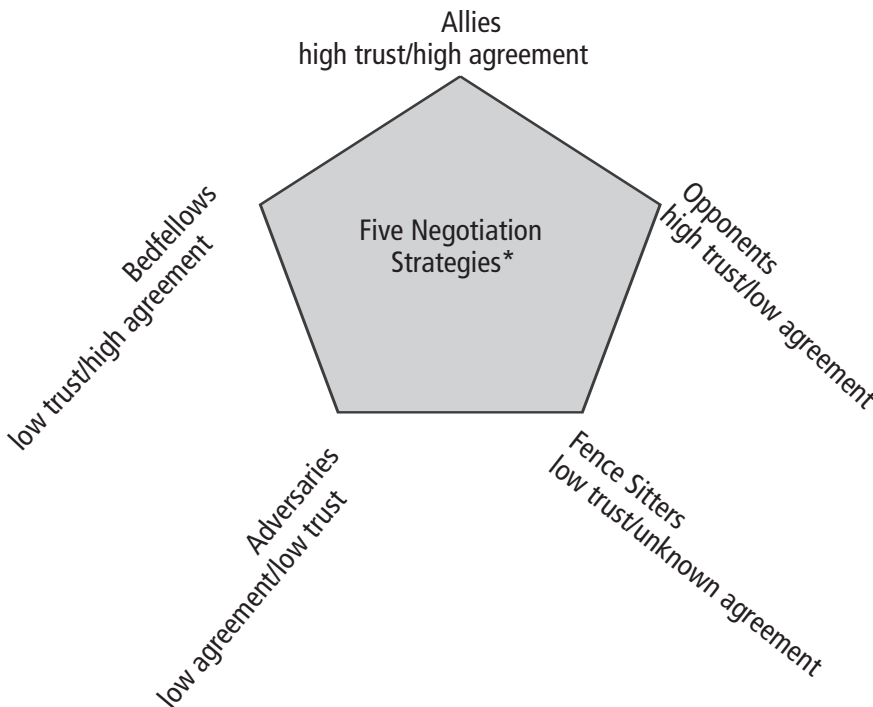
- ❑ State your position, i.e., vision, goals, and purposes—where you plan to go in reference to the big picture and the programme details.
- ❑ Ask them where they stand. Encourage them to take a stand without imposing your judgement.
- ❑ Apply gentle pressure even though you can expect that they will want to collect more information, touch base with more colleagues, and do what good fence sitters do. Nurture them.
- ❑ Encourage them to think about the issue or whatever it is that you are negotiating with them about. Encourage them to let you know what it will take to get their support. Frankly, they don't deserve a lot of your energy, but they may help you understand any caution you might be feeling as you attempt to move ahead.

## Adversaries

Adversaries are those who fall into your relationships of last resort category. They have become adversaries only when your efforts to negotiate agreements and trust with them have failed. Most often, your adversaries have their vision, and are going to pursue it, and there is little you can do about it. The more you might try to convert them, or win them over to your side, the more they dig in their heels. These are those with whom you have both low agreement/low trust.

### Negotiating strategy with adversaries:

- ❑ State your vision. You want your adversaries to be clear about what you want to do and why.
- ❑ State in a neutral way your best understanding of their position. Communicate understanding, not agreement. It is hard to do but it builds character.
- ❑ State your own contribution to the problem. It sounds a bit weird, and it won't win any support from your adversaries. To do otherwise can be manipulative. And it might persuade those third-party bystanders to join you down the road.
- ❑ End the meeting with your plans and no demand. This represents a letting go of your adversaries, meaning you expect nothing from them. The good news is adversaries help you define who you are.



\*The five strategies used in the graphic are adapted from Block, Peter, *The Empowered Manager* (San Francisco, CA, Jossey Bass, 1987), p. 152.

## Handout 9.4B: The Situation and Mayor's Role Centreville's Development Quandary

Centreville is an industrial city that has for decades provided employment for local men and women and commuters from other towns in the region. Local manufacturing plants have a history of co-operation with city leaders to improve production processes, and the effort has resulted in the successful eliminating of toxic wastes and major progress toward a hazard-free local environment. City leaders are proud of the city's ability to maintain a strong local economy and a relatively high standard of living for local residents without sacrificing the environment.

In spite of the city's record of achievement in working with the private sector, Centreville has lost three major employers in the last ten years. Other towns in the region have been able to lure away these companies with lucrative infrastructure incentives. These moves have been damaging to Centreville's local economy which now suffers from growing unemployment and a decline in business tax revenues.

Several months ago, the city's governing body learned that a major multinational corporation has an option to buy several large tracts of land just south of the city. The corporation has in mind the construction of a fabrication plant for commercial aircraft parts. The location was selected by the corporation owing to good railway access and the availability of water from a large lake that for many years has served as the primary water supply source for the community. Moving ahead with the project depends upon approval by the city's governing body.

The fabrication plant proposal received a strong but mixed response from local residents at a recent public hearing. There is solid support for the plant in the business community. Business leaders have been working hard for months to find replacements for the three plants whose loss has so devastated the local economy. They feel vindicated for their efforts by the corporation's announcement. Representatives of a local industrial union have hailed the proposed plant as, "the best thing possible to revitalise the sagging economy of our community."

On the other hand, there is strong scepticism and outright opposition to the plant from other community voices. The building plan calls for a two-year construction period during which many Centreville homes in the older areas on the south would be subjected to construction noise, heavy truck traffic and blowing dust. When completed, it is feared that the plant is likely to result in huge increases in traffic from a potential work force living in towns and villages north of the city and in a strain on the town's aging roads and bridges. Environmental groups decry the fabrication process as a potential source of pollution for the city's water supply despite claims by the corporation that the preservation of water quality is always a top priority for management at its plants around the world.



## *Mayor Makepeace*

Maria Makepeace is beginning her second year as mayor of Centreville. She is a descendant of one of the earliest families to settle in Centreville. Maria grew up in the community, went to a private school nearby, and graduated from a university in the region's urban centre. Both she and her husband inherited substantial wealth. She has been active in local philanthropic and cultural activities and is the founder of a popular art festival. While a member of the local governing council and as mayor, Makepeace has been sympathetic to the interests and concerns of environmentalists. However, she is convinced this time that their fears about the fabrication plant are not supported by the facts. Makepeace and her husband live in an old neighbourhood that would be directly affected by the plant construction. They have concluded, nonetheless, that the short-term pain for her neighbourhood and others nearby is far outweighed by long-term gains for the economic vitality of Centreville. Makepeace is acutely aware that the plant could become an election issue this year, and she is anxious to do whatever she can to avoid this by having the governing body speak publicly in support of the plant with a strong, single voice.

## Handout 9.4C: Five Elected Official Negotiation Profiles

*Linda Loyal, Ally (high agreement/high trust)*

You were elected to the governing council last year to fill the vacancy left by Marie Makepeace. The new mayor campaigned hard for you because you share similar views about what is best for the future of Centreville, and she wanted someone on the council she could trust. In turn, you campaigned for her and were instrumental in helping her win in a close race with Sam Strong. Mayor Makepeace often confides in you, and you have never violated the trust that has been a hallmark of your relationship for many years.

*Polar Extreme, Opponent (low agreement/high trust)*

You have regained your seat on the Centreville governing council after losing to Marie Makepeace in a close race for mayor two years ago. Despite extreme differences in political philosophy, you respect the new mayor for always doing what she says she is going to do. As a passionate outdoors person and committed conservationist, however, you and the mayor often find yourselves on opposite sides of issues that you believe pose a risk to the local environment.

*Dudley Dooright, Bedfellow (high agreement/low trust)*

You are new on the Centreville governing council. You and your family moved to Centreville about six years ago, attracted by the city's reputation as a good place to raise children. New to politics, you ran for public office last year at the urging of neighbours who told you that a fresh voice was needed at city hall. Since being elected, you have been deeply troubled by the political manoeuvring that goes on within the governing body. While you generally side with the mayor's position on issues, you have doubts about the methods she uses to get things done.

*Thomas Douting, Fence Sitter (low trust/unknown agreement)*

This is your third term on the local council. An accountant by profession, you take pride in your insistence on careful scrutiny of every issue that comes before the council. You are often criticised by your colleagues for holding up action on matters they see as routine. Your greatest fear as an elected official is being accused of acting impetuously, a tendency of which you believe many of your colleagues are guilty.

*Michelle Thornside, Adversary (low agreement/low trust)*

You are midway through your fourth term on the Centreville governing body. You moved here 30 years ago to start your own business, a small printing company on the edge of the central business district. You have

been active for years in local civic groups. While you are concerned about the poor economy, you do not see courting a multi-national corporation as the solution. As you see it, small businesses like yours have suffered at the hands of large corporate interests. While you keep your true feelings to yourself most of the time, you do not intend to stand by and see this mayor destroy the small businesses of Centreville. What you want is more emphasis on attracting small businesses, not large multinational corporations.

## 9.5 Affordable Water Service for Poor Neighbourhoods

### Objective

The intent of this exercise is to give participants an opportunity to apply the techniques of principled negotiation to resolve a dispute about expanding water service to low-income neighbourhoods.

**Note:** As preparation for the exercise, deliver a brief presentation on principled negotiation from information in *Chapter 9, Volume 3* of this Series. Describe the three metaphorical journeys used to distinguish the “hard” and “soft” approaches to position bargaining from the principled approach. Point out that those who bargain from position see the world as a “zero-sum” game, i.e., there is only so much to go around, and adding to what one gets depletes what the other gets. Emphasise the value of principled negotiation as working from the interests of both parties to the negotiation, not from their respective positions about the bottom line.

Time required: 90 minutes

### Process

1. Tell participants they will be taking part in a role play that will give them an opportunity to use principled negotiation to settle a dispute over differing interests in how to provide water services to low-income neighbourhoods. Give participants a copy of the situation that is the basis for the exercise on *Handout 9.5A*, and ask them to read it. Explain that the private water operator’s objective is to adjust its rates and service charges as needed to finance its investment in new plant and equipment for the enlarged service area. Water customers from the low-income neighbourhoods, on the other hand, want stability in service charges and a voice in any future construction and financing plans for water system expansion into low-income neighbourhoods. The governing body representative is anxious to see the parties reach an amicable agreement before the municipal elections which are only two months away.
2. Give participants a set of guidelines for engaging in principled negotiation on *Handout 9.5B*. Read the opening paragraph of the handout and then ask participants to read the five statements carefully. Be prepared to answer questions about the statements.
3. After participants have read the situation, divide participants into several groups of four. Give participants in each group the four role descriptions on *Handout 9.5C*, and ask participants in each group to decide who will play the parts of a private water company manager, a citizen advocate representing the neighbourhoods, a representative of the local authority, and an observer. Explain that the task of the parties in the role-play is to make use of principled negotiation practices as described

in the handout and to reach an agreement. Give participants a few minutes to read their role descriptions and to be prepared to answer any questions they may have.

4. Tell each of the groups to find a quiet place to conduct their negotiations and that they have about twenty to thirty minutes to complete the negotiating process.
5. Reconvene the groups at the end of thirty minutes, and have observers give reports on their observations. Conclude the exercise with a discussion of principled negotiation as an effective method for reaching agreements. Here are some questions you might consider:
  - What do you think of principled negotiation as a tool for reaching agreements?
  - How does it feel to deal with men and women who are making use of principled negotiation strategies?
  - Under what circumstances might your governing body make use of principled negotiation?

## Handout 9.5A: Case Study Situation

This case highlights the different negotiation approaches concerning privatisation of water supply service at the municipal level.

Robert Lavelle operates a private water company in a densely populated urban area. The operator has a thirty-year concession contract with the local governing authority that includes providing water and sanitation services to low-income neighbourhoods. The municipal service coverage of Lavelle's water company is 800,000 residents as opposed to the 650,000 who lived in the service area five years ago. Of these residents, 55,000 live in low-income neighbourhoods, up from 20,000 five years earlier. As a consideration of the contract award with the authority, the operator has agreed to meet an objective of ninety-percent coverage in the low-income neighbourhoods by the end of five years.

Not long after beginning operation, it became apparent to Lavelle that there was more to expanding water service in low-income areas than building the system and connecting up new users. Many prospective customers could not connect to the system owing to the high connection cost relative to their modest incomes. Despite the local governing body's response to approve a thirty-percent reduction in the cost to connect to the system, many new users still could not afford the connection charges.

It was obvious to Lavelle that an altogether new approach was needed. So, in co-operation with the city, the Low-income Neighbourhoods Programme was created the following year. Under this new approach, each neighbourhood in line for service is asked to provide labour and participate in finding a workable solution for the neighbourhood. The local authority provides the legal authority and financial resources, and the water company provides additional financial resources, technical capacity, and equipment.

A year later, with the programme in operation, Lavelle and the city governing body agreed on a further adjustment to the water rate structure. Under the new plan, all city water customers would be charged a uniform, fixed service charge every month. The revenue generated by the new charge was intended to partially subsidise the cost of service to new customers connecting to the system.

The participatory approach of the Low-income Neighbourhoods Programme is constrained by the differing interests of the partners. The operator, for example, is interested in controlling his investment costs for expanding water service to low-income customers. The community's interest, on the other hand, is affordability of service and a more active role in decisions about service delivery and pricing. Finally, the city governing body wants satisfactory reconciliation of these interests and concerns before the upcoming municipal elections.

## Handout 9.5B: Guidelines for Engaging in Principled Negotiation

“Principled negotiation” is a term used by authors Fisher and Ury to describe a method of negotiating that is tough and fair at the same time it is a method that, according to the authors, “shows you how to obtain what you are entitled to and still be decent.” The techniques used by negotiators who practice this method include language designed to get what they want from the negotiation without creating hurt feelings or the desire to get even. Here are some examples.<sup>5</sup>

1. **Please correct me if I am wrong.** This kind of statement is often used when the other party brings up a point about which there is likely to be disagreement. The intent is to make you appear open to the possibility that you may have misunderstood the other party’s intentions or needs.
2. **Let me see if I understand...** Checking out or paraphrasing what the other party has been saying is a good way to correct misunderstanding and to demonstrate sincerity and a desire to communicate.
3. **Let me show you where I have trouble...** Explain what is not satisfactory to you about another party’s proposal before offering one of your own. This can encourage the other party to listen when it is your turn to propose something instead of offering only objections and counterproposals.
4. **A fair solution might be...** This is a way of offering a way out of the dilemma that seems fair to both sides. Your intent is to forward an idea without appearing rigid or uncompromising to the other party.
5. **If we agree... If we don’t agree ...** At some point after offering your proposal you might consider this approach to make it as easy as possible for the other party to agree. The idea is to first point out the rewards of agreeing with your proposal. Follow this with the consequences of failing to reach an agreement. Describe the consequences as something the other part would find unsatisfactory or disagreeable should no agreement be reached. End with an expression of confidence that an agreement can be reached.

<sup>5</sup> These stock phrases come from Chapter 2 of Fisher, Roger and Ury, William, *Getting to Yes: Negotiating Agreement Without Giving In*.

## Handout 9.5C: Negotiator and Observer Roles

### **Role No. 1:**

#### **Robert Lavelle, water company operator**

You were excited five years ago when the local authority awarded a contract to your company as exclusive provider for water and sanitation services for the city's growing urban population. It had not occurred to you at the time of the award that the sprawling growth of the city's low-income neighbourhoods might pose connection challenges. The ninety-percent coverage provision of the contract has caused you many sleepless nights. Despite your efforts to reduce cost and subsidise low-income users in the high growth areas by imposing a universal fixed fee, connection issues remain. Each new neighbourhood project requires weeks of difficult discussion which has added months to your timetable for reaching your coverage goal. Time is money in the water business. You look forward to the upcoming meeting with an elected member of the local authority and a representative from the NGO that has created linkages between the company and separate neighbourhoods. You hope the meeting will lead to a "one size fits all" approach for future phases of system installation and connectivity.

### **Role No. 2:**

#### **Sally Subotnik, NGO representative**

Your involvement as an intermediary and advocate has helped to create partnerships in each neighbourhood scheduled for the extension of water service between the prospective customers and representatives of the provider. The process is slow because of differences in approach and purposes between the partners. You feel that part of the problem is Mr. Lavelle's obvious impatience with the concerns of residents who lack his technical knowledge. You have been told by several residents that the local authority seem anxious to get something done. But, say these residents, elected officials only want the process speeded up to gain political capital for themselves at the next election. You are convinced that low-income residents want their needs to be understood and want to be given a more active role in what is to be done. Residents are not willing to accept a passive role in deciding what is to be done in their neighbourhoods, particularly if they are being asked to contribute their labour to keep costs down. One woman at a recent meeting said to you what others there seemed to be feeling: *"We refuse to be talked down to in the future either by the government or its private operators."*

### **Role No. 3:**

#### **Philip Franz, elected representative of the local authority**

The authority's governing body was enthusiastic about signing a contract with the private water operator. The cost-conscious body has long favoured using private operators whenever possible owing to their general perception that private sector firms are more businesslike and efficient than their public sector counterparts. You and your colleagues were taken off guard by the number of prospective residents who couldn't afford the cost to connect to



the system despite various steps to lower the charge and subsidise it with a universal fixed charge. You hope to see quick resolution of the situation. You are alarmed by a considerably slower pace in extending service because of the need to gain the support and financial participation of residents and thereby lower the cost/revenue gap. Since many of the low-income neighbourhoods concerned are in your district, you have agreed to represent the authority's interests in an upcoming meeting. You hope to be successful in getting things on track so you can make a favourable report to your constituents before the next municipal election.

**Role No. 4:**

**Observer**

1. What evidence did you see that any of the parties were using techniques of principled negotiation? Who in particular? Which techniques were used?

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2. How successful were the parties in reaching an agreement? Explain your answer.

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3. To what extent would you credit principled negotiation as the reason for any success achieved in reaching an agreement? How was a breakthrough achieved?

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## 9.6 Gender and the Negotiating Competency

### Objective

The intent of this exercise is give participants experience using an effective negotiation strategy for resolving conflicts or ambiguities in relations between male and female members of a local authority's governing body.

**Note:** If you wish to elaborate further on the opening remarks suggested below, refer to *Chapter 9, Volume 3* of this Series for additional material on the negotiating competency and gender.

Time required: 120 minutes

### Process

1. Start the exercise by pointing out that women are less likely to use negotiation to get what they want than their male counterparts. But some researchers have discovered that the norms for achieving success through negotiation are changing. The more aggressive, issue-oriented approaches favoured by men are good for winning short-term advantages. Women, on the other hand, are better at finding avenues for cooperation and building lasting relationships.<sup>6</sup> Recognising and taking advantage of the innate strengths of both genders can strengthen the negotiating competency of a local governing body.
2. Tell participants that they will be taking part in a five-step process for surfacing and resolving performance differences between men and women in the negotiating competency. Give participants copies of *Handout 9.6A* containing the five-step process and give them a few minutes to read it.
3. Explain that participants will be divided into two groups. One group will consist primarily of women who are to play the roles of female representatives on a local governing body. The second group is to consist of men who will play male representatives in the same capacity.
4. Create the two groups by having female participants assemble on one side of the training room and male participants on the other. It may be necessary to equalise the size of the two groups by adding a few men to the group of mostly women or vice versa if women are in the majority at the programme. When participants are ready, give each group a newsprint pad, some felt-tip markers, and a quiet place to work separated from one another. Tell both groups that the exercise will take about sixty minutes and remind participants to keep track of time in completing the five steps.

<sup>6</sup> See, for example, Babcock, Linda and Sara Laschever. *Women Don't Ask: Negotiation and the Gender Divide* (Princeton, NJ: Princeton University Press, 2003).

5. Initiate the negotiation process. Divide your time between the two groups while they are working separately. Use this time to answer questions about the process and keep participants working at a brisk pace on assigned tasks.
6. When participants have completed the five-step process, lead them in a critique of the exercise using the following questions as a discussion guide:
  - What can you identify as the strong and weak aspects of this five-step process as a strategy for strengthening gender behaviour in the negotiating competency?
  - Does your local authority have a systematic procedure for resolving conflicts or ambiguities in relations between male and female governing body representatives? Ask participants who say they do to describe the process they use and when.
  - What could be done to implement a process like this one in your local authority?

## Handout 9.6A: Negotiation from a Gender Perspective

### *Step No. 1*

Make two lists on separate sheets of newsprint. The first is a list of what you see as strengths in members of the opposite gender when they are engaged in the process of negotiating agreements or otherwise getting what they want from others. The second is a list of weaknesses in the opposite gender when engaged in negotiating agreements.

### *Step No. 2*

After about twenty minutes, begin work on two additional lists. This time, make lists of what you see as strengths and weaknesses for members of your own gender when they are engaged in the process of negotiating agreements or otherwise getting what they want from others.

### *Step No. 3*

After about twenty minutes, the instructor will reconvene the two groups. When asked by the instructor, have a spokesperson for your group tape its first two lists on the wall and present the group's list of strengths and weaknesses for the opposite gender. The report should be made without discussion and take no longer than three minutes. When the other group is presenting its list to your group, listen attentively without comment to that group's list of strengths and weaknesses for members of your gender in the process of negotiating agreements.

### *Step No. 4*

When both groups have reported, have a spokesperson for your group tape the second two lists on the wall and present the group's list of strengths and weaknesses for members of its own gender. The report process proceeds as described in Step No. 3 and concludes when both groups have reported.

### *Step No. 5*

Conclude the exercise with a general discussion about what was learned regarding gender issues in negotiation situations. Were there any surprises? Given the opportunity to examine the gender issues in negotiation, is there anything that anyone would now do differently? And ask other enlightening queries to polish the nuggets unearthed on this fascinating topic.

## 9.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the negotiating competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of negotiating. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, require time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a programme of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 9.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the negotiating competency.

## Handout 9.7A: Learning Application Plan

Take a few minutes to reflect on the negotiating competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the negotiating competency, shown below are two or three specific things I plan to do to improve my performance in reaching agreements and resolving differences among conflicted groups.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the negotiating competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the negotiating competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 10: The Financing Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 10.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the financing competency and with one another as partners in learning. (60 minutes)

### 10.2 The idea exchange

Help participants generate ideas for raising revenue and lowering expenditures through interaction with one another. (45-60 minutes)

### 10.3 Unintentional tax assessment policy

Demonstrate how an unintentional policy can result in special treatment for one group over another and ultimately have a negative impact on government programmes and services. (90 minutes)

### 10.4 Evaluating financial condition

Give participants an opportunity to practise evaluating the financial condition of their own local governments and recognising problems related to expenditures and revenues. (90-120 minutes)

### 10.5 Analysing financial statements

Help participants know what to look for when asked to review a local authority's financial statement. (60-75 minutes)

### 10.6 Involving citizens in budgeting

Give participants an opportunity to analyse the pros and cons of involving local citizens more extensively in budget making and oversight. (60 minutes)

### 10.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in negotiating. (30 minutes)

## 10.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the financing competency and with one another as partners in learning.

Note: It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this programme on the financing competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - ❑ One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - ❑ Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.

- ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five-to-ten-minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 10* in **Volume 3** of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the financing competency

- ❑ Financing is a process for making decisions about raising, allocating, and accounting for the use of public funds.
- ❑ The financing competency cannot be considered apart from the principles of good governance that include openness and transparency or the other competencies that are the focus of this elected leadership series.
- ❑ Central to the financing competency in the short term is the development and funding of an annual operating budget.
- ❑ Among the most progressive new concepts in budgeting is the practice of involving citizens in all phases of budgeting from resource allocation to budget oversight.
- ❑ Porto Alegre, Brazil, and Dayton, Ohio, in the United States are dramatic examples of citizen involvement in the allocation and monitoring of fiscal resources.
- ❑ *Long-range* fiscal responsibilities of elected leaders are being carried out when they are identifying, prioritising, and funding the restoration, replacement, or acquisition of capital projects.
- ❑ Fiscal responsibility includes feeling the fiscal “pulse” of a local government regularly including a financial assessment of the community’s ability to sustain service levels, manage economic disruptions, and meet the demands of economic growth or decline.
- ❑ Knowing how to read financial statements with emphasis on expenditure tracking, revenue yield, and cash flow can strengthen the ability of local officials to interpret the local government’s financial health.

- ❑ The adoption and frequent updating of a local government's financial policies is crucial for guiding and directing financial decision making.
- ❑ Fiscal responsibility also includes extensive and creative exploration of community partnerships of many kinds to expand the reservoir of funding available for city projects and services.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging, and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the financing competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your financing experiences with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 10.2 The Idea Exchange

### Objective

The intent of this exercise is to help participants generate ideas for raising revenue and lowering expenditures through interaction with one another.

**Note:** In your role as facilitator, familiarise yourself with the *Nominal Group Technique (NGT)* described later in the exercise.

Time required: 45-60 minutes

### Process

1. Explain that participants will be drawing on their experience as elected officials to generate as many ideas as they can for raising revenue for local government services and lowering costs to provide services using an idea generation method called *The Nominal Group Technique (NGT)*.
2. To begin, write a question on newsprint in large letters clearly visible to all participants:

#### **How can my local government lower cost or raise revenue?**

3. With the question in place and clearly visible to all participants, begin the NGT process following the five steps described below.
4. When the ideas are listed and rank ordered, initiate a discussion by asking participants these or other questions:
  - Who gained at least one useful idea today?
  - Did someone else's idea spark a related idea in anyone's mind?
  - What are the implications of this exercise for you and members of your governing body?

### Notes for use of the NGT

The NGT is an alternative to brainstorming that uses idea generation, group discussion and rank ordering to help a group choose a preferred solution or course of action. For purposes of this exercise, the NGT process has been condensed to five steps.

**Step 1: Posing the question.** Print on a sheet of newsprint in large letters a concise statement of the problem to be solved phrased as a question.

**Step 2: Idea generating.** Ask participants to write as many ideas as they can, stating each idea as a possible solution to the problem printed on newsprint. Ask participants to work silently and independently.

**Step 3: Reporting.** Starting at one end of the room, ask participants one at a time to read an idea from their lists. As the answers are read, write them down on the newsprint. Be sure to number each idea consecutively. After each participant has offered an idea, go around the room again and record the answers as before. Continue until there are no more ideas. Before beginning the second round, remind participants that they can add new ideas to their lists at any time during this step. Mention that it is common for the flow

of ideas to stimulate or redirect the thinking of participants resulting in new ideas that were not considered at the start of the idea generation process.

**Step 4: Clarifying.** When there are no more ideas to write down, ask participants to read and ask questions to clarify the meaning of any ideas about which they may have questions. The emphasis at this step is clarification of meaning and not debate about feasibility.

**Step 5: Rank ordering.** Ask participants individually to select the five ideas written on the newsprint sheet that they like best. Next, ask participants to write their five preferred ideas on index cards. Tell them to use a separate card for each idea. Collect the cards and tabulate the results. Circle the five ideas on the newsprint sheet that achieved the highest scores. Announce the results and ask participants for questions or comments.

**Note:** Unlike brainstorming where participants interact with one another from the start, NGT lets participants work in the presence of one another in a structured manner but write their ideas independently rather than talk about them. As a result, NGT groups have been found to outperform interactive groups in the quality of ideas produced. This seems to be because participants of NGT groups are less subject to being inhibited by one another and less prone to make premature judgments.

## 10.3 Unintentional Tax Assessment Policy

### Objective

The intent of this exercise is to demonstrate how unintentional policy can result in preferential treatment for one group over another and have a negative impact on government programmes and services.

**Note:** Begin the exercise with a brief presentation pointing out how intentional financial policies that are deliberate, purposeful and planned can serve as a solid foundation for new government programmes and services. On the other hand, through oversight and neglect, financial policies can be made unintentionally by a governing body and can result in unintended and sometimes damaging consequences. Material for the presentation can be found in Chapter 10 in Volume 3 of this Series and Chapter. 6, The Policy Making Competency in the same Volume, supplemented by your own experience with public policy making.

Time required: 90 minutes

### Process

1. Provide each participant with a copy of *Handout 10.3A, Unintentional Tax Assessment Policy in Choumohani*. Ask participants to read the case. When participants have read the case, divide them into four or five small groups. Ask each group to answer the three questions that follow the case and report back with its answers in about forty minutes.
2. When small groups have reported back, ask each group for a report on how it answered each of the three questions. Encourage a general discussion and comparison of the various points of view.

## Handout 10.3A: Unintentional Tax Assessment Policy in Choumohani

### *Background*

Sree Gobinda owns a mustard oil refinery which operates on 2.2 acres of prime land located in the centre of Choumohani. The refinery characterizes the vibrancy of Choumohani's business community which has benefited for some time from a stable economy and currency, taka or TK. Further, it offers a valuable glimpse into the way opportunities can be lost or given away in the process of deciding how public programmes and services will be financed.

### *The situation*

Six years ago, Sree Gobinda drove a very hard bargain when he appeared before the assessment review board to protest the value put on his property by Choumohani's Municipal Assessment Office. The assessor put a worth of TK 142,000 on the property, and the review board dropped it to TK 10,000, about seven percent of the original assessment. The new assessment just completed on the property by the assessment office, but not yet challenged and reviewed, is TK 231,000. Another smaller mustard seed refinery located not far from Sree Gobinda's had an assessed value of TK 5000, about 12 percent of the proposed assessed value. Its new assessed value is being proposed at TK 93,000.

The review board appears to have no standard format for setting property values for tax purposes even on the same kind of structures. As a result, this potentially valuable source of revenue for the municipal council and its administration is being bargained away in the review process. The assessment records, however, provide an open window to examine the decision-making process at work in Choumohani. Shown below is a more detailed look at the consequences of the assessment process.

The property assessment process seems to be handled professionally by the assessor's office. However, it is turned into a sham when it reaches the review board. The board consists of four members: a chairperson, one council member, a lawyer and an engineer. The board worked full-time for nearly two months hearing appeals from property owners. According to the assessor, most property owners, particularly the wealthy ones, sought adjustments. The following examples taken from the assessor's records indicate the varied degrees of success the property owners experienced in their dealings with the review board. None of the properties included in the example were improved during the assessment period.



Type of Structure	1st Year		6th Year
	Proposed assessment	Revised assessment	Proposed assessment
(All values are in taka)			
Large mustard oil refinery	142,000	10,000	231,000
Smaller mustard oil refinery	41,000	5,000	93,000
Small retail shop	265	265	819
Medium-sized sawmill	22,000	5,000	46,880
Stationery store	670	540	2,025
Multi-storey commercial building	16,300	8,000	88,000
Residential (big business owner)	55,000	8,500	237,216
Residential (small shop owner)	1,299	650	4,875

### Questions

- What policy or policies are implied in the method used by assessment review board members to adjust property values? In answering this question, consider the following five assumptions that assessment review board members seem to be making.
  - The value placed on a piece of property by its owner is more important than the assessor's professional valuation.
  - Property owners who protest are entitled to an adjustment in the assessed value of their property.
  - There is no need to change the value of a property unless there is a protest from its owner.
  - Large property owners mean more to the community and should be given larger proportional adjustments than small owners.
  - Large property owners are powerful members of the community and cannot be asked to accept "no" for an answer.
- What opportunity has been lost or given away as a result of this implied policy, and what are the implications for financing public programmes and services in Choumohani?
- If you were a member of the Choumohani governing body, what would you do to remedy this situation?

## 10.4 Evaluating Financial Condition

### Objective

This exercise is to give participants an opportunity to practise evaluating the financial condition of their own local governments and recognising problems related to expenditures and revenues.

Time required: 90-120 minutes

### Process

1. Provide participants with Handout 10.4A, a checklist for analysing a city's revenue structure and expenditure profile. Tell participants that the checklist consists of common revenue and expenditure problems and a scale for identifying the relative urgency and importance of each problem. Ask participants to read the instructions and complete the checklist.
2. When participants have completed their checklists and calculated a total score for each problem assigned a rating, ask them to answer the following questions about the problem with the highest score, or problems if there is a tie for the highest score.
3. When participants have completed these tasks pinpointing the highest-rated revenue and expenditure problems of their own local governments, divide them into small groups of three participants each. Explain that each group is to select the highest-rated problem from the list of one member of its group and discuss what might be done to solve it.

**Note:** Brainstorming or the NGT discussed earlier are useful techniques for quickly generating many ideas to solve a problem.

4. Explain to participants in their small groups that they are to work on each of their highest-rated problems until all three have been discussed. Then they are to repeat the process by looking at the second highest rated problem for each group and then on to the third highest rated as time permits. Remind groups to budget their time so that there is sufficient opportunity to discuss each of the problems. Give participants about one hour for this activity.
5. After an hour, reconvene participants for a discussion of the usefulness of this exercise and the checklist as a way of evaluating the financial condition of their own organizations. If time permits, invite participants from some of the small groups to report on noteworthy solutions discovered during their problem-solving activities.

## Handout 10.4A: Checklist for Analysing the Financial Condition of Your Local Government

The following checklist contains eight problem statements about revenue structure and eight problem statements about expenditure profiles. The checklist is meant to assist you in identifying problems often found in local governments like yours.

To use the checklist, read each of the problem statements. If you believe the statement does not reflect a problem that exists in your organization, check the “no” block and move on to the next problem statement. If, on the other hand, you believe the statement does reflect a problem that exists in your organization, check the “yes” block. Then select a number from one to five that represents how urgent you feel it is that action be taken to correct the problem, e.g., need to act quickly to respond to a perceived crisis or emergency. When you have done this, do the same thing to indicate how important you feel it is that action be taken to correct the problem, e.g., the long-term consequences for the health and well-being of your local government. Multiply the resulting numbers and enter the product in the space to the far right of the problem statement. Move on to the next problem statement and repeat the process until you have responded to all 16 statements in the checklist.

Revenue problems	Is it a problem?	If "yes," rate the problem as: Urgent x Important = Product	
<b>1. Deterioration in the revenue base.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
<b>2. Internal procedures or policies adversely affect revenue.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
<b>3. External procedures or policies adversely affect revenue.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
<b>4. Overdependence on obsolete or external revenue sources.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
<b>5. User fees are not covering the cost of services.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
<b>6. Loss of a major revenue source.</b>	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____

Revenue problems	Is it a problem?	If "yes," rate the problem as: Urgent x Important = Product	
7. Downturn in the local economy.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
8. Ineffective revenue forecasting methods.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____

Expenditure problems	Is it a problem?	If "yes," rate the problem as: Urgent x Important = Product	
9. Unexpected rise in expenditures compared with revenue.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
10. Unexpected increase in recurrent costs.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
11. Ineffective budgetary controls.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
12. Decline in employee productivity.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
13. Excessive growth in programmes creating future expenditure liabilities.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
14. Unanticipated expenditures due to natural disaster.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
15. Loss of expenditure flexibility due to rising recurring costs	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____
16. Sudden increases in future debt service.	<input type="checkbox"/> Yes	1 2 3 4 5	1 2 3 4 5
	<input type="checkbox"/> No	Low High	Low High
	<input type="checkbox"/> Unknown	_____ x _____	= _____

## 10.5 Analysing Financial Statements

### Objective

This exercise is to help participants know what to look for when asked to review a local authority's financial statement.

**Note:** Begin the exercise with a brief presentation on the importance of knowing how to read and ask intelligent questions about a local government's financial statement. *Chapter 10, Volume 3* of this Series is a good reference on what to do when you and your elected colleagues are presented with a monthly or quarterly financial statement by the administrative staff.

Time required: 60-75 minutes

### Process

1. Divide participants into several small groups. Provide the members of each small group with Handout 10.5A, a sample financial statement for a local authority. Tell participants that the statement contains:
  - Actual revenues and expenditures from last year's financial results;
  - Budgeted revenues and expenditures for the current year; and
  - Revenue and expenditure results for the first quarter of the current year.
2. Ask members of each small group to study the statement and be prepared to answer these questions:
  - What inconsistencies do you see in revenue and expenditure patterns?
  - From the information available, what might be the probable cause for these inconsistencies?
3. Give each small group about forty-five minutes to complete the task. At the end of this period, reconvene the groups and ask someone from each group to report on its findings.
4. Conclude the exercise with a discussion of these and other clues about the financial health of their local governments that might be found in a careful financial statement analysis.

## Handout 10.5a: Sample Annual Financial Statement for a Local Government<sup>7</sup>

Revenues (in local currency)	Budget for last year	Actual for last year	Budget for this year	Actual for 1st quarter this year
Housing unit rentals	100,000	80,000	130,000	25,000
Market fees	50,000	30,000	30,000	10,000
Business licenses	40,000	60,000	60,000	15,000
Central gov't transfers	200,000	240,000	240,000	55,000
Water sales	30,000	20,000	30,000	100
Value added tax	50,000	50,000	60,000	20,000
Individual income tax	40,000	60,000	50,000	10,000
<b>Total revenues:</b>	<b>510,000</b>	<b>540,000</b>	<b>600,000</b>	<b>135,100</b>

Expenditures (in local currency)	Budget for last year	Actual for last year	Budget for this year	Actual for 1st quarter this year
Public safety	120,000	130,000	140,000	35,000
Roads & bldg. maintenance	60,000	65,000	50,000	16,000
Salaries & wages	160,000	170,000	170,000	55,000
Water & electric costs	70,000	80,000	90,000	22,000
Bank loan repayments	10,000	12,000	30,000	10,000
Administrative costs	50,000	55,000	65,000	19,500
Vehicle fleet expense	30,000	10,000	25,000	100
<b>Total revenues:</b>	<b>500,000</b>	<b>522,000</b>	<b>570,000</b>	<b>157,600</b>

<sup>7</sup> The format and figures used in this statement were provided by Anna Laczowska with the Foundation in Support of Local Democracy Training Center in Szczecin, Poland.

## 10.6 Involving Citizens in Budgeting

### *Objective*

This case study gives participants an opportunity to analyse the pros and cons of involving their own citizens more extensively in budget making and oversight.

**Note:** The learning benefits of this case can be enhanced by introducing it with a few words taken from *Chapter 10* in **Volume 3 - Concepts and Strategies**. In particular, you might consider emphasising the positive benefits as well as likely issues often associated with participatory processes, budgeting or otherwise.

Time required: 60 minutes

### *Process*

1. Distribute copies of *Handout 10.4A* and ask participants to read the case. After they have read it, assign participants to small groups of five to seven. Give each small group the task of answering the three questions at the end of the case.
2. After about twenty minutes of small group discussion, reassemble the participants and ask for reports from each group.
3. After each of the groups has reported and participants have discussed the reports, engage participants in discussing the implications of the case for altering the budgeting practices of their own municipalities to include greater opportunity for decision making or other forms of participation by local men and women of all ages.

## Handout 10.6A: Citizen Budgeting in Porto Alegre<sup>8</sup>

Porto Alegre in southern Brazil has a population of 1.3 million. Since 1989, the city has been developing a political practice geared to democratising the urban budgeting process which has become internationally known as Participatory Budgeting. Today, this remarkable process involves about 45,000 men and women annually in deciding how public funds will be allocated to community and programme needs.

A number of problems had to be overcome for participatory budgeting to be sustainable. One was to resolve differences in priorities between the poorest sections of the community and the more affluent suburbs. Another was to overcome a political tradition based on an exchange of public favours between government officials and the citizens that had long encouraged passivity and non-participation. Still another was the inexperience of average citizens in debating important public issues like the budget. Finally was the lack of sufficient financial resources to accommodate all of the needs identified.

The way was found to solve these problems; to assure full participation; to guarantee democracy in the process; and to make the discussions richer, educational and productive. The city has been divided into sixteen regions based on geographical, social, and community organization factors. This was done to facilitate full participation of the population. Yearly, the local government promotes at least two large assemblies in the regions. In the first one, the approved investment plan for the previous year is reviewed to determine what was done in relation to what was planned. In the second assembly, the inhabitants choose priorities and elect participative budget representatives to a municipal budget planning council by region.

The council coordinates and organizes the process of conceiving the budget and the investment plan and later oversees execution of the approved budget. This is done using revenue/expenditure estimates submitted to the council by the municipality's executive staff and the creation of an investment plan proposal by the municipality based on criteria of population density, priority infrastructure projects, and regions in greatest need of service. The budget proposal is presented by the executive staff for approval by the municipal budget planning council. After the planning council has approved the proposal, it is sent by the executive staff to the city governing body. The planning council and the city governing body meet to review the budget figures jointly and negotiate amendments. The result is a democratically conceived budget.

Since its beginning, the projects resulting from participative budgeting in Porto Alegre represent an investment of over 700 million dollars. The impact of these investments is measured primarily in expansion of the urban infrastructure, thereby upgrading the quality of life for the city's

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<sup>8</sup> The information on which this case is based comes from *Sustainable Urbanisation: Bridging the Green and Brown Agendas*, a 2002 UN-Habitat publication and from an online Best Practices Database compiled by UN-Habitat with the support of UNESCO-MOST Clearing House and accessible from the Internet at <http://www.unesco.org/most/southa13.htm>.



growing and increasingly marginalised population. It is estimated that at least seventy Brazilian cities are now taking steps to establish the participative budget system pioneered by Porto Alegre.

### *Questions*

1. What benefits mentioned in the case or implied by the practice of participative budgeting have been realised by the government of Porto Alegre and its citizens?
2. What features of the process might discourage the adoption of a participative budgeting approach by a local authority or hamper sustaining it over time?
3. Which of the principles of good governance described in this series are likely to be furthered by the adoption and sustaining support for participative budgeting by a local authority?

## 10.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the financing competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of using power. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience, and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a programme of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 10.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the financing competency.

## Handout 10.7A: Learning Application Plan

Take a few minutes to reflect on the financing competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the financing competency, shown below are two or three specific things I plan to do to improve my performance in raising, allocating and accounting for the use of public funds.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the financing competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the financing competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 11: The Overseeing Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 11.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the overseeing competency and with one another as partners in learning. (60 minutes)

### 11.2 Overseeing and Good Governance

Familiarise participants with the overseeing tasks in which local governments represented at the workshop are engaged and their relationship to well-established principles of good governance. (45 minutes)

### 11.3 An Overseeing Checklist

Help participants identify and compare the extent to which sixteen types of overseeing responsibility are or should be carried out in their local governments. (45-60 minutes)

### 11.4 The Market that Never Was

Demonstrate why the overseeing function should be used to confirm the feasibility of new projects or programmes before a major investment is made in them. (45-60 minutes)

### 11.5 The Efficiency Audit

Provide participants with an approach for monitoring the efficiency with which local government programmes and services are being carried out. (90 minutes)

### 11.6 Fighting Corruption—Whose job is it?

Help participants recognise that when a governing body fails to exercise its overseeing power to prevent and cure corruption, leadership for rooting it out will be assumed by others. (60 minutes)

### 11.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in overseeing. (30 minutes)

## 11.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the overseeing competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this programme on the overseeing competency, a component of the UN-HABITAT Local Elected Leadership Series. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - ❑ One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - ❑ Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.



- ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five-to-ten-minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 11, Volume 3* of this Series and supplementing it with ideas of your own.

## Speaking points...

### ...about the overseeing competency

- ❑ Overseeing is comparing the performance of individual men and women, groups, and entire organisations against recognised standards and principles of good governance.
- ❑ The overseeing responsibilities of elected officials range from routine management or financial audits to concerns about corruption in the local government organisation or within the governing body.
- ❑ Corruption, or power misused for private gain, can seep into every activity of government with enormous economic and social costs.
- ❑ The cycle of corruption can be broken by vigilance in identifying and reducing opportunities and incentives for corrupt behaviour while increasing the penalties for wrong doing and the rewards for doing right.
- ❑ The adoption of codes of ethics or conduct is evidence that an organisation is serious about fighting corruption.
- ❑ It is common practice for governing bodies to exercise their overseeing competency by commissioning independent parties to undertake financial audits to report the degree to which the local government is in compliance with accepted financial standards and practices.
- ❑ Another important overseeing responsibility of the governing body is the management-driven *efficiency* audit that looks every few years at management performance and analyses programmes and services on a cost/benefit basis.
- ❑ Audits of organizational *effectiveness* rely on regular input from citizens and other users of governmental services to

determine how satisfactorily these services are being performed and consider whether alternative service delivery methods should be considered.

- ❑ Beyond exercising their right to vote, citizen can collaborate with their elected officials in the overseeing competency through citizen initiated audits, completing “report cards” on service quality, making use of ombudspersons or city hall advocates to get answers to complaints and questions and “action centres” to speed up the process of getting feedback to citizens on the status of service complaints and concerns.
- ❑ No matter what form it takes, overseeing depends on trust between the overseers and those overseen, a relationship that takes time and faith and may require periodic damage control.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the overseeing competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your overseeing experiences with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 11.2 Overseeing and Good Governance

### Objective

The intent of this exercise is to familiarise participants with the overseeing tasks in which local governments represented at the workshop are engaged and their relationship to well-established principles of good governance.

Time required: 45 minutes

### Process

1. Give each participant several index cards and ask them to draw a diagonal line across each card. Tell participants to write in the space at the top of each card one overseeing task that is being carried out by the local government on which they serve. Tell them that, while the focus of this exercise is on the overseeing responsibility of the local governing body, they should not overlook overseeing tasks that are carried out by the local government staff, citizen watchdog groups or others. In the space at the bottom of each card, tell participants to identify the principal of good governance most closely associated with the overseeing task, e.g., the rule of law, accountability, openness, transparency, effectiveness, efficiency, civic engagement,
2. While participants are completing the task, print the words *RULE OF LAW, ACCOUNTABILITY, OPENNESS, TRANSPARENCY, EFFECTIVENESS, EFFICIENCY, CIVIC ENGAGEMENT, OTHER*, on separate cards and tape the cards high on the training room wall, several feet apart.
3. When participants have completed several cards each, ask them to tape their cards on the wall under the appropriate good governance principle.
4. Ask participants to take a few minutes to walk around and read the cards posted by other participants. Then, engage participants in a discussion of their observations with questions such as these:
  - What did you find most surprising about the overseeing tasks identified by other participants?
  - In which of the posted categories are most of the overseeing activities of local governments concentrated?
  - What are the implications of the overseeing being carried out by participating local governments for the furtherance of these good governance principles?

## 11.3 An Overseeing Checklist

### Objective

The intent of this exercise is to help participants identify and compare the extent to which sixteen types of overseeing responsibility are or should be carried out in their local governments.

Time required: 45 - 60 minutes

### Process

1. Distribute copies of *Handout 11.3A, The Overseer's Checklist*. Ask participants to read the instructions and complete the checklist individually. Give them about ten minutes for this task.
2. When participants have completed the task, take another fifteen minutes to develop a group profile from the individual participant checklists. This can be done by asking for a show of hands for each response to each of the sixteen areas of overseeing responsibility. Record the results using a version of the checklist drawn in advance on a sheet of newsprint.
3. Before discussing the results, divide the participants into four small groups of about equal size. Given the responses to the checklist shown on newsprint, ask each group to develop a strategy for improving the effectiveness of local governing bodies in the overseer role.
4. Give the groups about thirty minutes to complete this task. Then, ask participants to reassemble. Ask for a report from each group and encourage a discussion of the results.

## Handout 11.3A: Overseeing Checklist

### Instructions

To complete this checklist, read each of the sixteen statements about the overseeing competency of elected officials. Select the response to the right of each statement that corresponds with what you believe your governing body does or does not do and what your governing body should or should not do about that area of overseeing responsibility. Continue until you have checked one response for each of the sixteen areas of responsibility.

Area of overseeing responsibility	My governing body:			
	Does it and should do it	Does it and should not do it	Does not do it and should do it	Does not do it and should not do it
1. Ask citizens to complete a report card on the performance of city programmes.	( )	( )	( )	( )
2. Conduct focus groups to assess citizen reaction to new programme proposals.	( )	( )	( )	( )
3. Sponsor neighbourhood councils to monitor the impact of government programmes on residents.	( )	( )	( )	( )
4. Establish centralised action centres to accelerate the handling of citizen inquiries and complaints.	( )	( )	( )	( )
5. Establish penalties that are severe enough to discourage corrupt behaviour.	( )	( )	( )	( )
6. Initiate periodic assessments to identify work practices that are vulnerable to potential corruption.	( )	( )	( )	( )
7. Adopt codes of ethical conduct that set forth important local government values and purposes.	( )	( )	( )	( )
8. Engage a qualified firm independent of the local government to conduct annual financial and compliance audits.	( )	( )	( )	( )
9. Call for the conduct of efficiency audits at three to five year intervals to examine management quality and the need for organisational restructuring.	( )	( )	( )	( )

Area of overseeing responsibility	My governing body:			
	Does it and should do it	Does it and should not do it	Does not do it and should do it	Does not do it and should not do it
10. Direct the staff to establish performance measures for evaluating the impact of local government programmes and services.	( )	( )	( )	( )
11. Call for audit of external partnerships and joint ventures to assess the nature, extent, and quality of services being provided.	( )	( )	( )	( )
12. Direct the staff to maintain inventories of property and equipment owned by the local government and report discrepancies.	( )	( )	( )	( )
13. Employ neutral citizen advocates to assist in getting answers to complaints and concerns.	( )	( )	( )	( )
14. Take steps to simplify or streamline procedures for the review of citizen requests for permits, licenses, or other approvals.	( )	( )	( )	( )
15. Investigate the ongoing operational and maintenance costs associated with the purchase of new facilities or equipment.	( )	( )	( )	( )
16. Take the initiative to build trust by recognising the legitimate role of staff and diverse communities in the overseeing process.	( )	( )	( )	( )

## 11.4 The Market that Never Was

### Objective

The intent of this exercise is to demonstrate why the overseeing function should be used to confirm the feasibility of new projects or programmes before a major investment is made in them.

Time required: 45-60 minutes

### Process

1. Circulate copies of *Handout 11.4A*, a case that concerns the failure of a local governing body to accept responsibility for using its overseeing competency to avoid making a costly financial blunder. Ask participants to read the case.
2. After participants have read the case, divide them into several small groups. Ask each group to answer the following questions about the situation:
  - ❑ What should previous governing bodies have done about this market with respect to the initial location decision and continued policy for operating and maintaining it?
  - ❑ What should the present governing body do about the market in carrying out its overseeing responsibilities?
3. After about thirty minutes, reconvene the participants and ask for reports from each small group. Lead a discussion of the case using this or other questions to encourage thought and reaction:
  - ❑ What failures to exercise timely overseeing have you observed in your service as an elected official?
  - ❑ What can a governing body do to be sure its overseeing responsibilities are exercised early enough in the life of new projects and programs to avoid costly mistakes?

## Handout 11.4A: Case of the Market That Never Was

A large market was built a decade ago in a major East African city. The market was built by the city government with a loan from an international financial institution. The financial institution, as a condition for loaning money for the project, insisted that the market be built on a tract of land near the edge of the city. It was believed by the financier that a market in that location would be readily accepted by the city's burgeoning population as the place to buy fruits and vegetables and thus would become a major revenue source for the city. Construction of the project was dependent on outside funding and the city governing body accepted the loan along with the location conditions in the belief that revenues from the market would be sufficient to repay the loan and provide a continuing source of funds for other city projects.

The market never became a viable business venture, and money from other sources had to be found by the city to repay the loan. In a marketing survey conducted by a local training institution a couple of years after construction was complete, it was found that the market was largely empty except for a few artisans, utensil makers, and other small business activities. None of these activities was anticipated when the market was built. The survey also found no evidence from an analysis of local consumer buying habits and preferences to support locating the market where it was. When asked why they thought the market had been built in that location, frequent buyers of fruits and vegetables in other city markets responded: "We have no idea a market was put there. It's far out of the way for us. We would never go that way to shop."

Based on what it had learned, the survey team recommended that the city governing body consider converting the facility from an unsuccessful market to a low-tech industrial park for small businesses engaged in machine repair and manufacturing. The team's recommendations were ignored. The facility continues to be underutilised and a significant drain on local financial resources.



## 11.5 The Efficiency Audit

### Objective

The intent of this exercise is to provide participants with an approach for monitoring the efficiency with which local government programmes and services are being carried out.

Time required: 90 minutes

### Process

1. Tell participants that they will be working for a few minutes on the elements of a plan for monitoring the efficiency of a local government service programme.
2. Divide the participants into three groups and assign to each group one of the following service programmes:
  - Street cleaning
  - Solid-waste collection
  - Water supply

**Note:** If you have enough participants to justify it, divide them into more than three groups and add other programmes or services to the list so that each group is working on something different.

3. Before sending the groups to separate work areas, distribute copies of *Handout 11.5A* and tell them to use it as a guide for completing their plans. Give them about forty-five minutes to complete the task.
4. When the groups have completed their plans, have them reassemble and ask each group to present its plan to members of other groups. Encourage a discussion focusing on a comparison of the plans and the pros and cons of each one.

## Handout 11.5A: Worksheet - Monitoring Local Government Services

*Service* .....

1. Identify who such as a governing body, administrative staff, citizen group, or other would be the most appropriate for carrying out the monitoring plan and why.

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2. Identify the programme or service objective, explicit statement of benefit for the community when the programme or service is implemented successfully, and an associated set of performance measures for the programme or service

Objective:

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- 3. Identify several performance measures for the programme or service, i.e., how clean? How fast? How safe? How costly? How reliable? That would be sufficient evidence that the programme or service is a success.

Measures:

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- 4. Specify the data collection procedure or procedures you would recommend, i.e., (trained observers, community-wide surveys, on-site surveys of users, focus groups, one-on-one interviews) to identify actual performance relative to each of these measures.

Procedures:

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5. Explain how the results of data collection would be analysed and reported to the city governing body.

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6. Specify linkages to be established between the monitoring process and the local government's on-going decision-making processes such as budget allocation, subsidiarity planning, citizen-based decision making, staff work planning and control, review/encouragement of staff performance, and so forth.

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## 11.6 Fighting Corruption - Who's Job is it?

### Objective

The intent of this exercise is to help participants recognise that when a governing body fails to exercise its overseeing power to prevent and cure corruption, leadership for rooting it out will be assumed by others.

**Note:** The learning value of this exercise can be enhanced by a brief presentation on the cost of corruption and actions by local officials to lower the vulnerability of their organisations to the ever-present threat of corruption. The presentation should emphasise the role of citizens in assuring that elected officials carry out their overseeing responsibilities. The discussion of corruption and how to control it in *Chapter 11, Volume 3* of this Series is an excellent resource for preparing this presentation, particularly the material on codes of conduct.

Time required: 60 minutes

### Process

1. Distribute copies of *Handout 11.6A* and explain that the case involves an unfortunate but all too common type of corruption among local officials—taking kickbacks for granting favours to unworthy individuals. Ask participants to read the case. After they have read it, assign participants to small groups of five to seven. Give each small group the task of answering three questions about the case.
  - a. What did city officials do or not do after the article was released and later that increased citizen dismay and loss of confidence in them as their elected representatives?
  - b. What might be included in a code of conduct that would help to prevent taking kickbacks and other types of wrong doing by public officials in the future?
  - c. What powers might be delegated to citizens to ensure that elected officials fulfil their overseeing responsibilities?
2. After about twenty minutes of small group discussion, reassemble the participants and ask for reports from each group. When all groups have reported, encourage a general discussion of the overseeing competency and what participants see as an appropriate role for citizens to play in monitoring the performance of elected officials and the administrative staff.

## Handout 11.6A: Case; Big Trouble in River City

The lead story in the *River City News* several weeks ago reported a decision by the city governing body at a recent meeting to begin selling off many of the city's fixed assets, e.g., forest land, public buildings, and other properties. The intent of these sales, according to the article, was to produce a quick influx of new revenue for the city and prevent a rise in local taxes. The decision got the attention of Robert Rich, a prominent local builder, who for several years had been advocating the sale of city assets that could then be redeveloped for commercial uses.

On the morning after the article appeared, Rich called an old friend on the town council of River City with an invitation to lunch at an upscale restaurant in a neighbouring community. Rich said he had some ideas about disposing of the city assets, and he suggested that his friend invite several other members of the town council to join them.

Rich's friend and two other members of the town council joined Rich for lunch at the appointed time and place. After the usual small talk, Rich congratulated the three elected officials on the governing body's decision to sell off the city property. He explained how he was part of a syndicate that was very interested in buying the forest land to be sold and using it for redevelopment purposes. Rich said he could be counted on as a buyer if the city offered the property to him at a "fair price." When told by one of the officials it was customary for the city to sell land at public auction, Rich was quick to respond. "A quick sale," he pointed out, "would avoid the expense of an auction and provide the city with ready cash for other projects." Before any of the three could respond, the builder added: "We really want that land! Work with me on this, and I'll make it more than worth your while."

A few weeks later, an article called "*City Fathers Bribed by Builder*" appeared in the *River City News*. Written by an aggressive investigative reporter, the article claimed evidence had been obtained from a reliable source that the town council in River City was selling city-owned forest land at a price well below its market value. The article alleged kickbacks to several members of the council for arranging the lucrative sales and that the governing body had failed to discharge its overseeing responsibilities. The article demanded an investigation.

In the weeks that followed, this article and several follow-up articles provoked a firestorm of outrage from concerned citizens of River City about the appearance of corrupt practices of local officials. In the absence of action by the town council, the newspaper together with several civic organizations created a citizen watchdog committee that is already calling for reform of city asset disposal practices and the adoption of a code of conduct to discourage future wrongdoing by members of the town council. There has been talk of council resignations and a possible recall election if the demanded reforms are not forthcoming, and soon.

## 11.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the overseeing competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of using power. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a programme of learning
  - ❑ think about the value of what has been learned and how they will use it to enhance their own performance;
  - ❑ consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - ❑ how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 11.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the overseeing competency.

## Handout 11.7A: Learning Application Plan

Take a few minutes to reflect on the overseeing competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the overseeing competency, shown below are two or three specific things I plan to do to improve my performance in evaluating organizational performance against recognized standards and good governance principles.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the overseeing competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the overseeing competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 12: The Institution-Building Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 12.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the institution building competency and with one another as partners in learning. (60 minutes)

### 12.2 What's the Problem?

Get participants thinking and talking about organisational irritations and the need to focus on the causes of these irritations. (90 minutes)

### 12.3 The Good Governance "Report Card"

Provide participants with an opportunity to rate how well they think their respective governing bodies are doing in fulfilling principles of good governance. (90 minutes)

### 12.4 Planning for a Diverse Workforce

Help participants recognise the value of using succession planning to build and sustain a competent and diverse workforce. (75 minutes)

### 12.5 Critical Incidents in Institution Building

Recognise the proper role of an elected official or governing body in responding to common difficulties within the organisation or in its linkages with its institution building partners. (75 minutes)

### 12.6 Changing the Culture

Stimulate the thinking of participants about changing values and norms that run counter to good governance principles. (90 minutes)

### 12.7 Planning for learning application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in institution building. (30 minutes)

## 12.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the institution building competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants' association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this programme on the institution building competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - ❑ One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their partners to other participants.
  - ❑ Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.

- ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five to ten minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 12, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the institution building competency

- ❑ Institution building is wide in scope including the governing body of a local authority, the organisation over which it exercises authority and the many civic organisations with which it associates itself to sustain local self-governance.
- ❑ Institutions are built and sustained on *trust*, the confidence of institutional partners that each will act honestly and reliably as they pursue mutual goals.
- ❑ Institution building by a local governing body is directly linked to the principles of good governance discussed elsewhere in this series, and it is dependent on an exercise of the other elected leadership competencies.
- ❑ The institution-building activities of a governing body include periodic self-assessment to discover how well its policies and actions conform to the good governance principles.
- ❑ The institutional health of a local government organisation can be examined by reviewing its internal mechanisms: *purposes, leadership, resources, services, technologies, and structure*.
- ❑ Examining the institutional health of a local government organisation also involves examining the strength and viability of its linkages between organisational components, its citizenry, and other institutional components.
- ❑ Organisations have cultures consisting of norms, values, and work practices that have evolved over the years, and these must be regarded as serious challenges to be overcome when attempting movement toward good governance principles.

- ❑ The institution-building partners often crucial to the well-being of a local government includes NGOs, CBOs, small businesses, associations of governments, and professional associations of local government officials.
- ❑ Success in institution building involves knowing what to do coupled with a willingness to do it and initiating a creative process of democratic dialogue with institutional partners about things of mutual importance.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging, and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the institution-building competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your institution-building experiences with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 12.2 What's the Problem?

### Objective

The intent of this exercise is to get participants thinking and talking about organisational irritations and the need to focus on the causes of these irritations.

Time required: 90 minutes

### Process

1. Divide participants into small groups of five to seven participants each. Ask the participants to describe on the top-half of an index card something specific that is irritating about the way their own local government operates. The statement might describe something that the local government does that it should not be doing or something that the local government does not do that it should be doing. When participants have completed the task, ask them to use the bottom half of the card to write an answer to the following question:

If you could do one thing to deal with this irritation,  
what would that be?

2. After participants have written their answers on the cards, ask them to tape or pin their cards around the walls of the room, to spend a few minutes walking around and reading what is written on other participants' cards and to return to their seats after reading them.
3. When participants are seated again, point out that many of the irritations identified by participants are really symptoms of deeper, more fundamental organizational problems. Symptoms will persist unless a real effort is made to identify and deal with the conditions causing them.
4. Divide participants into pairs. Explain that one member of each pair is to serve as a problem-solving consultant and the other member as his or her client. Ask consultants in the various pairs to ask their clients to describe their irritation more fully and explain why their proposed way of dealing with it would help. Ask the consultants to continue by asking several questions that are written on a sheet of chart paper of their clients about the nature and source of irritation:
  - Who is affected by it and how?
  - How often does it happen?
  - What seems to be causing it?
  - What now?

Tell members of each pair that when the consultant and client have completed their analysis of the first irritation, they are to change roles and repeat the process. Tell them they have thirty minutes to complete the two rounds of problem solving.

5. After thirty minutes, participants reconvene to report the results of their problem solving discussions. Tell participants to focus their reports on answers to these questions:
  - Did the discussion in each case connect the irritation as presented to a more profound problem in the organisation?
  - What was decided about possible next steps to correct or resolve the problems?

6. After each of the pairs has reported, ask for a general question about the implications of the exercise for problem finding and solving in local government organisations.

## 12.3 The Good Governance “Report Card”

### Objective

The intent of this exercise is to provide participants with an opportunity to rate how well they think their respective governing bodies are doing in fulfilling principles of good governance and to explore ways to improve the quality of governance based on these principles.

Time required: 90 minutes

### Process

1. Distribute copies of Handout 12.3A and tell participants they are to complete a “report card” survey on how well they believe their respective governing bodies are fulfilling seven principles of good governance. Give participants about fifteen minutes to complete the survey.
2. When participants have completed the survey, ask for volunteers to report on the reason for any relatively high scores over 70 and any relatively low scores below 30.
3. Divide participants into groups of three to four participants each. Give each group the task of choosing at least one score from each participant’s report card rated at 30 or below. Ask them to agree on a course of action that the local government could take to **raise** and **sustain** the rating. Give participants about forty-five minutes to complete this task.
4. At the end of forty-five minutes, reconvene participants and ask for reports from each group. After reporting, engage participants in a discussion of the exercise. Consider these questions as discussion starters:
  - What prediction would you make about the results if your governing body were to complete the report card? How would the whole governing body’s results differ from your own ratings?
  - What differences in ratings might result from surveys conducted randomly among citizen groups in your community?



**Trainer's Note:** You might conclude the exercise by suggesting that participants consider taking the “report card” home and asking members of their own governing bodies to use it to assess their collective perceptions of progress in fulfilling the ten principles of good governance. Suggest taking this additional step. The staff might be asked to administer the survey in a randomly selected sample of citizens from various gender, income, age, race and ethnic groups in the community. Comparison of results from the various surveys should provide elected officials with an interesting perspective on how they are perceived by their constituents in contrast with how they see themselves.

## Handout 12.3A: Good Governance Report Card

### Instructions.

Read the seven principles of good governance advocated by UN-HABITAT in its *Global Campaign on Urban Governance*. As you read each of the principles, reflect on the progress made by your local governing body in fulfilling the principle. We have provided you with a 1 - 10 scale for rating your local government's progress. One on the scale equals the least possible progress, and ten equals the most possible progress in fulfilling the aims of the principle. To complete the survey, indicate the progress you believe your local government has made by circling the appropriate number to the right of each principle.

Principle	Laboration of Principle	Your Local Government Rating									
		1	2	3	4	5	6	7	8	9	10
Sustainability	Balancing the social, economic and environmental needs of present and future generations in all dimensions of urban development including a clear commitment to urban poverty reduction.	1	2	3	4	5	6	7	8	9	10
Subsidiarity	Assignment of authority and resources to the closest appropriate level, maximising the potential for inclusion of citizens in the governing process and assuring the most efficient and cost-effective delivery of services.	1	2	3	4	5	6	7	8	9	10
Equity	Equal participation in decision-making processes by men and women and equal access to and use of resources and basic services by the poor, ethnic minorities, and the disabled.	1	2	3	4	5	6	7	8	9	10
Efficiency	Financial soundness and cost-effectiveness in the management of revenue sources and expenditures, in the administration and delivery of services, and in enabling contribution by citizens and the private sector in the urban economy.	1	2	3	4	5	6	7	8	9	10
Transparency and Accountability	Consistent action by decision-makers and stakeholders to eliminate corrupt practices, provide ready access to information, ensure fair and impartial application of the law, and maintain high standards of personal and professional integrity among elected and appointed officials.	1	2	3	4	5	6	7	8	9	10

Principle	Elaboration of Principle	Your Local Government Rating									
		1	2	3	4	5	6	7	8	9	10
Civic Engagement and Citizenship	Empowerment and engagement of citizens, particularly women and the poor, to take part in municipal elections, citizen forums, citizen advisory councils, and all other forms of participatory democracy.										
Security	Involving all stakeholders in crime prevention and preparation for human conflicts and natural disasters as well as by assuring the freedom of citizens from persecution or loss of their inalienable rights.										

## 12.4 Planning For a Diverse Workforce

### Objective

The intent of this exercise is to help participants recognise the value of using succession planning to build and sustain a competent and diverse workforce.

Time required: 75 minutes

### Process

1. Provide each participant with a copy of *Handout 12.4A*, a case involving a hypothetical interview with the mayor of a city that has won an award for using succession planning to increase opportunities for the candidacy of women to fill key management positions. Ask participants to read the case. When participants have read the case, divide them into four or five small groups. Ask each group to take about twenty minutes to answer three questions about the case:
  - What is the principal rationale for a local government to engage in succession planning?
  - What social value do you see from the case in focusing succession planning on the achievement of diversity goals, e.g., women, race or ethnic minorities, and indigenous communities?
  - What lessons does the case provide for elected leaders responsible for institution building?
2. When the small groups have reported back, ask each group to present its answers to the three questions. Encourage a general discussion of succession planning as a diversity achievement and institution building strategy.

## Handout 12.4A: Case Study: The Woman-Friendly Award

The mayor of your city returned last week from an International Women's Day ceremony organised by UN-HABITAT at which she was one of three recipients for an award for encouraging local governments to establish innovative gender-equality programmes. As a writer for a public affairs journal with a local office, you were asked by your editor to interview the mayor about the programme for which the award was given. The interview went quite well and you have completed a draft of the article you are proposing for the next issue of the journal. The draft reads as follows:

<i>Interviewer Mayor</i>	<p><i>Give me some background on the award, Madam Mayor?</i></p> <p>Certainly. UN-HABITAT has established a regional awards programme to recognise innovative gender equality policies and programmes established by local governments. Three cities in our region were named as this year's award winners. This was from a field of twenty-four entries. Eight countries in the region were represented. Our city was one of the three award winners.</p>
<i>Interviewer Mayor</i>	<p><i>What did your local government do to qualify for this award?</i></p> <p>Back in the early nineteen nineties, we began a succession planning process at city hall to make skill development a priority for women. We began with two goals. The first was to systematically identify women in our workforce who demonstrated management and leadership potential. The second was to achieve gender equality in our supervisory and management ranks within five years. This is sometimes described as the city's "no woman left behind" policy.</p>
<i>Interviewer Mayor</i>	<p><i>Can you describe how you went about achieving these goals?</i></p> <p>Yes. We started by identifying "high potential" candidates by asking each department to submit lists of candidates including men and women. Career development plans were prepared for candidates and their progress "tracked." The lists were reviewed periodically to identify candidates who were no longer available due to such factors as resignation and retirement. We also make a special effort to investigate candidates dropped from the list because of poor performance ratings by their supervisors to assure that they were not being victims of gender discrimination.</p>

<p><i>Interviewer Mayor</i></p>	<p><i>How were women candidates connected to specific positions?</i></p> <p>A replacement chart was developed to identify key management positions with three candidates who could fill each of them. Line one on the chart shows the immediate successor for each position. Line two is the person who should fill the position if there were two to three years to prepare. Line three on the chart names the most qualified woman candidate at the time.</p>
<p><i>Interviewer Mayor</i></p>	<p><i>What if there were not enough women candidates?</i></p> <p>In that case, we would hire externally to ensure that our goals are met.</p>
<p><i>Interviewer Mayor</i></p>	<p><i>What was actually done to groom these women for senior positions?</i></p> <p>Several things. Each of them received guidance in setting career goals and developing strategies for achieving them. Responsibility for doing this was assigned to each candidate's supervising manager. Senior managers were encouraged to mentor women in the high potential category. And we have held several high-level leadership conferences to support the career development of women.</p>
<p><i>Interviewer Mayor</i></p>	<p><i>I meant to ask this before, Madam Mayor: What was your rationale for taking this initiative?</i></p> <p>Our local governing body has long championed the idea of fairness and equity in management and decision making at city hall. This can't be achieved when women are excluded. In this approach to succession planning, we have found a practical way to practice what we have been advocating for so long. As one member of the governing body reminded us recently, "We can't just assume that women will be promoted into supervisory and management positions based on merit. We needed this kind of proactive policy and programme." I agree. We must take the initiative to identify high potential women and groom them for senior positions. Besides, having a socially diverse workforce is good for the management of a local government. It's the right thing to do.</p>

<p><i>Interviewer</i> <i>Mayor</i></p>	<p><i>One final question. What are some visible results so far?</i> I'm glad you asked. We have seen some significant opportunity improvement for women already. One example is the number of women in supervisory and management positions. Two years ago, we had two female managers. This year, by incorporating diversity into our succession planning, we have five women in management positions and several who are mid-level supervisors. Even more important for the future is that the city has become known for its progressive human resource management policies and programmes. Consequently, we are attracting highly qualified women for employment in all our departments.</p>
<p><i>Interviewer</i></p>	<p><i>Thank you for your time, Madam Mayor. And congratulations once again on the award.</i></p>

## 12.5 Critical Incidents in Institution Building

### Objective

The intent of this exercise is to recognise the proper role of an elected man or woman or governing body in responding to common difficulties within the organisation or in its linkages with its institution building partners.

**Trainer's Note.** The value of this exercise can be increased by preceding it with a presentation based on the essay in *Chapter 12, Volume 3* on organisation culture. Stress how the existence of dysfunctional values and norms can result in self-fulfilling prophecies of hopelessness and despair.

Time required: 75 minutes

### Process

1. Distribute copies of a *Handout 12.5A*. Tell participants that the handout contains descriptions of five common organisational challenges or critical incidents that might be observed by or reported to a local elected official. The incidents describe either issues in internal governance, management or leadership, or issues concerning external relationships. Ask participants to read the five incidents.
2. When participants have read the incidents, divide them into several small groups. Ask each group to answer the following question:

What is the proper role for elected officials or the governing body in responding to these challenges?

3. Give the small groups about thirty minutes to discuss the incidents and to answer the question about each of them. After thirty minutes, reconvene the small groups and ask for reports from each of them.
4. After the reports have been made and discussed, engage participants in a general discussion of the practices of their own local governments in assessing performance in relation to the components and linkages described by the instructor.



## Handout 12.5A: Critical Incidents in Institution Building

### *Incident No. 1*

It has come to your attention that two key departmental managers have left the local government, one to retirement and one to accept a similar position in a larger city. The chief administrator has admitted that filling these positions will be difficult because of a comparatively low wage scale of management-level employees. He also admits that finding someone to fill in on an interim basis will not be easy because the local government has no succession plan for replacing lost talent.

### *Incident No. 2*

A member of the governing council has reported that the executive of a local NGO with a good record in assisting small business development has complained about the city's economic development office. The director of that office, it seems, has published a request for bids to start a small business incubator programme but has omitted NGOs from the list of prospective bidders.

### *Incident No. 3*

The mayor returned recently from an international conference at which she heard about a process called "visioning." She was told that the process is designed to help point toward high ideals and provide direction and high expectations for the entire organisation. The mayor has announced that her vision is for the local authority to rank in the top ten among its peers in the region based on principles of good governance. But, she has confessed, "I don't know where to start."

### *Incident No. 4*

A small business owner has complained to you that his permit to open a small optical shop was being denied by the business permitting office for a minor compliance problem. The owner claims that a permit was granted for a similar business less than a month ago to the relative of someone in the permitting office. Approval of exceptions to compliance standards lies within the discretion of a single official in that office.

### *Incident No. 5*

The governing body is evenly divided for and against creating and providing staff support for a citizen's oversight board and ombudsman to increase government responsiveness by receiving and following up on complaints from local citizens about governmental services.

## 12.6 Changing the Culture

### Objective

The intent of this exercise is to stimulate the thinking of participants about changing values and norms that run counter to good governance principles.

**Trainer's Note.** The value of this exercise can be increased by preceding it with a presentation based on the essay in *Chapter 12* in **Volume 3** on organisation variables and linkages. Emphasise the importance to the elected official as institution builder in knowing what to look for and acting on that knowledge.

Time required: 90 minutes

### Process

1. Explain that the exercise involves analysing a case of systematic corruption experienced by a large city in a South American country. Divide participants into small groups. Distribute copies of Handout 12.6A. Ask participants to read the situation and answer the questions at the end of the case. Give the groups about thirty minutes to complete the task.

**Trainer's Note.** Before participants leave to begin work on the task, draw their attention to the description of "systematic corruption" in the footnote at the bottom of each handout. Make the further point that corruption exists in all countries, but, it is more damaging to poor countries where it can undermine property rights, the rule of law and the development of a free market economy.

2. At the end of thirty minutes, reassemble the groups and ask for reports from each. When each group has reported and discussed their responses, distribute copies of *Handout 12.6B*. Tell participants the second handout describes what the local government in the situation actually did to combat the corrupt practices. Ask them to return to their small groups to read the situation and answer the questions that follow the case. Give participants an additional thirty minutes for this task.
3. Reconvene the participants and ask for reports on their discussion of the second handout. Conclude the exercise with a broad discussion of systematic corruption as an impediment to institution building by the governing body of a city.

## Handout 12.6A: Picking the “Low Hanging Fruit”<sup>9</sup>

### Part I

*Perhaps the most evident and generalized form of corruption occurred in the corridors and the main halls of the municipality. Hundreds of men and women wandered through, trying to complete some paperwork or make a tax payment. Because of the total disorganization and the lack of information for citizens, there emerged dozens of “tramitadores” who offered their services to “arrange” for the expeditious issuance of permits.*

*The first extortion of citizens occurred when they delivered their documents to these tramitadores. Then when the paperwork was finished, very often illegally, the man or woman was required to pay a so-called “recognition,” in addition to the official cost of the transaction. Receipts even for the official sums were infrequent, and it was clearly the case that most of the money was stolen by corrupt officials. What citizens did get was basically a kind of temporary “protection” from being molested by inspectors and the like.*

### Questions:

1. What type of corruption is being described in the case and why is it harmful?
2. Why do you think this kind of corruption has become systematic in the culture of an organisation like this?
3. Identify some anti-corruption alternatives for dealing with this situation, and indicate the positive and negative consequences associated with implementing each of them.

<sup>9</sup> Adapted from an example of systematic corruption in La Paz, Bolivia described by Mayor Ronald MacLean-Abaroa in Klitgaard, Robert, et. al., *Corrupt Cities: A Practical Guide to Cure and Prevention* (Oakland, CA: Institute for Contemporary Studies, 2000), pp. 76-7. The term “systematic corruption,” as used by the authors, refers to a deadly state in which corruption has become wide spread and deep seated, undermining institutions, distorting incentives and shifting wealth and power toward the undeserving.

## Handout 12.6B: Picking the “Low Hanging Fruit”<sup>10</sup>

### Part II

*The first step we adopted was to isolate those doing the paperwork from the public. We did not permit tramitadores or anyone else to wander freely from desk to desk “running signatures” and stamps. All transactions had to be deposited in a single place and be given a control number. They had to be picked up a few days later from another place. The functionaries who processed these transactions were kept practically secluded on the second floor of the municipality, where they had no way of “conversing” with the clients.*

*To complement this set-up, we opened accounts in the banking system so that tax payments could be made directly and municipal cashiers couldn’t profit from a “float” to speculate in the black market with dollars, which was then common.*

*These simple measures didn’t cut the grand corruption, but they did eliminate a major source of abuse and discretion that affected many citizens. Within a few weeks, one could walk the corridors of city hall without colliding with hundreds of anxious and confused citizens, victims of extortion and veiled threats. Citizens found it easier to find out where their transaction was in the system through a computer-based central registry of transactions. They could perceive that the situation had changed for the better.*

### Questions:

1. How do the alternatives suggested by your group compare with the actual steps taken to control corruption as described in the case?
2. Why is the term “low hanging fruit” used to suggest a desirable starting point for efforts by a local government to attack corruption?
3. How might the existence of systematic corruption in a local government threaten its institutional development?

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<sup>10</sup> Adapted from an example of systematic corruption in La Paz, Bolivia described by Mayor Ronald MacLean-Abaroa in Klitgaard, Robert, et. al., *Corrupt Cities: A Practical Guide to Cure and Prevention* (Oakland, CA: Institute for Contemporary Studies, 2000), pp. 76-7. The term “systematic corruption,” as used by the authors, refers to a deadly state in which corruption has become wide spread and deep seated, undermining institutions, distorting incentives and shifting wealth and power toward the undeserving.

## 12.7 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the institution building competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the application of new knowledge and skill when engaged in the real work of using power. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.
2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a programme of learning:
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 12.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the institution-building competency.

## Handout 12.7A: Learning Application Plan

Take a few minutes to reflect on the institution-building competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

1. Based on what I have learned about the institution-building competency, shown below are two or three specific things I plan to do to improve my performance in pursuing the purposes of good governance by building and sustaining strong, trusting relations with other community institutions.

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2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the institution-building competency and my strategies for dealing with them are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the institution-building competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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# Chapter 13: The Leadership Role and Competency

## Contents

A brief description of each learning activity in this toolbox is shown below with an approximation of the amount of time required. You are welcome to change the order of these activities, omit something, or add something of your own to suit your style or the situation.

### 13.1 Getting started/warm up

Establish a learning climate that encourages active participant involvement with ideas and concepts related to the leadership role and competency and with one another as partners in learning. (60 minutes)

### 13.2 A Picture of Leadership

Provide an opportunity for individual and collective creativity in expressing the concept of leadership. (45 minutes)

### 13.3 Paradoxes of Elected Leadership

Recognise some common paradoxes in exercising leadership as an elected official and how to cope effectively with them. (90 minutes)

### 13.4 Leadership and Good Governance

Help participants recognise the responsibilities of elected leaders in activating the principles of good governance in their own local governments. (90 minutes)

### 13.5 Gender Equality Checklist

Help participants consider the many ways gender equality concerns can be addressed in a positive way by their respective local governments

### 13.6 Leadership and Corruption Management

Give participants experience in how to plan effective action in the aftermath of a serious corruption scandal. (120 minutes)

### 13.7 Rating Elected Leader Performance

- Enable participants to assess their personal strengths and improvement needs as leaders in relation to eleven characteristic roles and competencies of elected leadership.
- Raise the consciousness of participants about gender differences in role performance and the implications of these differences. (90 minutes)

### 13.8 Conscious Celebration of Learning

Give participants an opportunity to celebrate the completion of a significant “*voyage of discovery*” into the world of local self-governance and elected leadership. (30+ minutes)

### 13.9 Planning for Learning Application

Give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve their competence in the leadership role and competency. (30 minutes)

## 13.1 Getting Started/Warm Up

### Objective

The intent of this activity is to establish a learning climate that encourages active participant involvement with ideas and concepts related to the leadership role and competency and with one another as partners in learning.

**Note:** It is fair to assume that participants at one of the elected leadership workshops, in most cases, will be strangers to one another. The questions they bring with them include the following: *Who else is taking part? What will we be doing together? What is going to be expected of me?* Your job is to answer these questions at the start of the participants’ association with you and with one another. We have prepared some language that covers the major points we feel need to be covered in answering their questions about the programme. See the *Suggested Opening Statement* on the next page. You are welcome and encouraged to modify this language to suit yourself and the situation. As for the questions about one another, you might consider any one of a variety of warm-up activities that have the dual purpose of introducing the participants to one another and activating them as learners in a non-threatening way.

Time required: 60 minutes

### Process

1. Begin by welcoming those present to this programme on the leadership role and competency, a component of the UN-HABITAT *Local Elected Leadership Series*. Introduce yourself and say a few things about your background and experience. Continue with one of the following activities or something that you prefer and feel more comfortable with to get participants acquainted with one another.
  - One possibility is to simply ask for self-introductions, e.g., give your name, where you serve as an elected official, how many terms you have served, and how you hope to benefit from your participation here. A variation on this is to have participants interview one another and then introduce their

partners to other participants.

- ❑ Another activity that can be used instead of the former or in addition to it is to ask participants to gather at the centre of the room and then form a line with the official who has served the greatest number of years in elected office at the front of the line and the official with the fewest number of years at the rear with the others arrayed by length of service in-between. Self-introductions would follow.
  - ❑ A third might be to have participants come to the centre of the room and then create a “map” by arranging themselves within the space according to their relative geographic location within their country or countries. Both this and the previous activity can serve for introductions as well as conversation starters.
2. When you are satisfied that participants seem to be feeling comfortable with one another and their surroundings, use the following speaking points as an outline for making a five-to-ten-minute opening statement about the training. We decided to offer you the speaking points rather than a script to encourage a more extemporaneous approach. You can add substance to these speaking points by using the material in *Chapter 13, Volume 3* of this Series and supplementing it with ideas of your own.

## *Speaking points...*

### ...about the leadership role and competency

- ❑ Leadership is the personal commitment, wisdom, and action that an elected official brings to the role and responsibility of governing.
- ❑ As the principles of good governance are the foundation of elected leadership, the ten competencies described in this series are the tools for its successful exercise.
- ❑ A paradox of elected leadership is that the legacy of those who exercise it is built less on what they do for others than what they empower others to do for themselves.
- ❑ Stewardship is a form of leadership that creates a strong sense of self-reliance and responsibility among all of those who are touched by their local governments.
- ❑ New theories of leadership belong to a “there are no followers” school of thought where the role of elected leaders is to inspire and educate their constituents as agents to point the way they wish their leaders to take.
- ❑ Spiritual leadership of a non-religious kind provides still another path, focusing on inspiring to greatness, keeping a focus on priorities while remaining sensitive to things as they are.

- ❑ Further characteristics of spiritual leadership are seeking out and working for the common good, believing that others will do the right thing, being true to yourself, and being concerned with the growth and fulfilment of others as well as yourself.
- ❑ Citizens have a right to expect *faithfulness* from their elected officials. This means integrity in all things, unselfish service, accountability for putting first the needs of the least of their constituents, scrupulous fairness and equity in all human dealings, and always encouraging the best from others.
- ❑ Lofty and challenging as these qualities may be, they provide elected men and women with a barometer for self-examination and renewal.

### ...about the workshop design

- ❑ Your participation in this workshop is meant to be informative, engaging, and enjoyable.
- ❑ The content is based on the best available thinking about elected leadership and the leadership role and competency.
- ❑ The approach to learning is *interactive*, different from the lecture-intensive approaches so often used in training.
- ❑ You will be encouraged to say what you think and to share your leadership experiences with other participants who are doing the same.

### ...about the role of effective participation

- ❑ Listen for understanding and keep an open mind about the ideas and concepts being introduced.
- ❑ Say what you really think and ask for clarification when you don't understand something being discussed.
- ❑ Challenge viewpoints and assumptions that differ from your own, and ask for the reasoning behind them.
- ❑ Commit yourself before the workshop is over to follow through with important new learning when you return home to your elected official responsibilities.

## 13.2 A Picture of Leadership

### Objective

The intent of this exercise is to provide an opportunity for individual and collective creativity in expressing the concept of leadership.

Time required: 45 minutes

### Process

1. Explain the exercise as an alternative way of thinking and discussing leadership using pictures instead of words. Divide participants into several small groups, no more than ten participants in each. Provide participants in each group with several sheets of chart paper, coloured markers and masking tape.
2. Ask participants in each group to draw a picture on the chart paper that illustrates how participants see themselves or other elected officials in leadership roles. Give them about ten minutes to complete their drawings.

**Trainer's Note:** If participants complain they cannot draw, suggest the use of stick figures and symbols to illustrate their points.

3. Ask members of each small group to share their drawings with one another and to combine the individual drawings into a single group display. Give them about twenty minutes to complete this group task.
4. Reconvene participants. Ask each group to tape its composite group display on a wall of the training room. Have a spokesperson for the group explain its concept of leadership to other participants.

**Trainer's Note.** If there is an artist or graphic designer in the group, all the group drawings might be combined into a single leadership mural for use in a closing ceremony.

## 13.3 Paradoxes of Elected Leadership

### Objective

The intent of this exercise is to recognise some common paradoxes in exercising leadership as an elected official and how to cope effectively with them.

**Trainer's Note.** Look for more information on the paradox in elected leadership in *Chapter 13, Volume 3 - Concepts and Strategies*.

Time required: 90 minutes

### Process

1. Begin with a brief presentation on paradoxes, those contradictory and seemingly absurd events that often face elected men and women leaders in their relationships with others. Explain that a paradox is something that may be true but that makes no sense when pure reason is used to explain or resolve it. Paradoxes can't be managed in the usual sense. Rational approaches used to resolve them are certain to fail leaving problem solvers frustrated and sometimes aggressive. Since paradoxes run counter to conventional wisdom and can't be reasoned out logically, what is one to do? A new way of thinking is needed that begins with 1) acceptance of the notion that opposite ideas can exist at the same time; 2) the need for increased openness to the views and ideas of others; and 3) development of a heightened tolerance for living with ambiguous situations.
2. After the presentation, divide participants into small groups of five to seven. Ask each group to prepare a list of paradoxes based on the collective experience of group members in their capacity as elected leaders. The paradoxes should be written on chart paper as brief descriptive statements. Point out that paradoxes can be situations involving citizens, other elected leaders, administrative staff members, representatives of other governments or anyone else; situations that appear on the surface to be unreasonable, irrational, or totally absurd. Offer an example of a paradox like expecting elected representatives to be open and honest with their views and still get re-elected. Give the groups about twenty minutes to compile their lists and return to the training room.
3. When the groups have reassembled, ask each group to tape its list on a wall of the training room. When the lists are posted, ask a representative from each group to read its list and comment on those situations on the list that have caused the most dismay, anxiety, or grief for the elected officials concerned.
4. Ask each of the small groups to select one or two of the most aggravating situations on the various lists and then return to their small group meetings to discuss how that situation might be coped with successfully.

Remind each of the groups that, while exploring for ways of coping, to keep in mind the three notions from the presentation about opposites both being true, increased openness to new ideas and being tolerant of things that can't be explained in black and white terms. Tell small groups they have about twenty minutes to discover some fresh ideas on what an elected official in each situation should do, if anything.

5. After twenty minutes, reconvene the groups and ask for a spokesperson from each group to offer his or her groups suggestions for each of the paradoxes chosen for discussion. When all of the group's have reported and each suggestion has been clarified and discussed thoroughly, conclude by initiating a discussion of these questions:
  - ❑ What paradoxical events or relationships have you experienced recently in your role as an elected official?
  - ❑ How do you feel about paradoxical events or relationships when they affect you personally? How do you customarily react to them?
  - ❑ How has this exercise changed your thinking and influenced what you are likely to do when confronted by these absurd events in the future?

## 13.4 Leadership and Good Governance

### Objective

The intent of this exercise is to help participants recognise the responsibilities of elected leaders in activating the principles of good governance in their own local governments.

Time required: 90 minutes

### Process

1. Circulate copies of *Handout 13.4A* and read the instructions out loud while participants read along silently. Continue by reading the seven principles of good governance printed in the right column of the handout. Tell participants they have ten minutes to complete the task described in the reading. After ten minutes ask participants to report with a show of hands which principle they selected for each of the seven quotations. Discuss any differences and the reasoning for the choices.
2. Ask participants to read and complete the task described at the top of the second page of the handout. Give participants about ten minutes to complete this task.
3. When the participants have completed the task, divide them into groups of three. Ask participants in each group to assist one another as consult-

ants to complete the third task described in the handout. Tell participants they have forty-five minutes to complete the task. Remind participants they will be taking turns helping one another to identify leadership actions and to keep track of time so that each participant gets an equal amount.

4. At the end of forty-five minutes, reassemble the group. Ask participants to report on what they have learned about leadership from completing the various tasks.
5. Conclude with a discussion on the critical and often challenging leadership role and responsibility of the local elected official in helping to achieve the principles of good governance.



## Handout 13.4A: Good Governance Deficiency Analysis

Shown below are the seven principles of good governance discussed in the elected leadership series. To the right of each principle is a familiar quotation that captures eloquently the essence of the principle. Your task as an individual or member of a group is to read the seven principles and quotations and then to assess the compliance of your local government(s) with each principal by placing a check mark ✓ for *good*, *fair*, or *poor* in the space provided to the right of the quotation.

Good Governance Principles	Famous Quotations	How are we doing on this Principle?		
		Good	Fair	Poor
<b>1. Sustainability</b> Balances the social, economic, and environmental needs of present and future generations.	<i>The world is not ours, the earth is not ours. It's a treasure we hold in trust for future generations.</i> AFRICAN PROVERB.	___	___	___
<b>2. Subsidiarity</b> Allocates the provision of a service to the closest level consistent with efficient and cost-effective delivery.	<i>It is an injustice, a grave evil and a disturbance of the right order, for a larger and higher organization, to arrogate to itself functions which can be performed efficiently by smaller and lower bodies.</i> POPE PIUS XIII.	___	___	___
<b>3. Equity</b> Provides equal access of minorities and women to resources and basic services.	<i>We do not accept that human society should be constructed on the basis of a savage principle of the survival of the fittest.</i> THABO MBEKI.	___	___	___
<b>4. Efficiency</b> Has a reputation for financial soundness and cost-effectiveness in managing and delivering services.	<i>Besides the noble art of getting things done, there is the noble art of leaving things undone. The wisdom of life consists in the elimination of nonessentials.</i> LIN YUTANG.	___	___	___
<b>5. Transparency and Accountability</b> There is an absence of corruption, ready access to information and high standards of personal conduct.	<i>The accomplice to the crime of corruption is frequently our own indifference.</i> BESS MYERSON.	___	___	___

Good Governance Principles	Famous Quotations	How are we doing on this Principle?		
		Good	Fair	Poor
<b>6. Civic Engagement Citizenship</b> Citizens from all areas of the community have equal opportunity to take part in public decision-making.	<i>Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed, it is the only thing that ever has.</i> MARGARET MEAD.	___	___	___
<b>7. Security</b> There is an absence of persecution and other forms of abuse against women, children and their families.	<i>The most certain test by which we judge whether a country is really free is the amount of security enjoyed by minorities.</i> LORD ACTON.	___	___	___

1. Identify one of the seven areas of governance from the preceding list in which you believe your local government is most deficient. Describe the conditions below that have led you to that conclusion.

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2. List in the space below two or three leadership actions that your governing body might take to alter the conditions that are preventing progress in this area of good governance.

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## 13.5 Gender Equality Checklist

### Objective

The intent of this exercise is to help participants consider the many ways gender equality concerns can be addressed in a positive way by their respective local governments.

Time Required: 60 minutes

### Process

1. Explain that the exercise involves a systematic look at various ways your local government can assure the integration of gender equality in your public policies and operating practices. Take a few moments to discuss the importance of gender equality. After a short group discussion, ask each participant to spend a few moments completing the survey checklist, Handout 13.5A. Give participants about twenty minutes to complete the task.
2. At the end of twenty minutes, ask participants to break into small groups of three participants each to compare their responses and to discuss the similarities and differences in their responses and why they think there are discrepancies from one local government to the next in the level of gender equality policies and practices. Explain that each small group will be asked to make a short presentation about the highlights of their discussion.
3. Reconvene the participants and ask for reports on their discussions. Conclude the exercise with a broad discussion of the importance of gender equality as it relates to the principles of good governance.

## Handout 13.5A: Assessing the Gender Equality Performance of your Local Government

The following checklist of gender equality policies and practices has been taken from the efforts of Anne Michaud, who is associated with the City of Montreal, Canada *Women in the City* Programme. In each of these statements it is important to also consider such issues as age, race, ethnicity, and other factors that might impinge upon the full equality of women in your policies and programmes. Each statement is followed by three choices: Yes; No; and Don't Know. At the end of the checklist are some open-ended questions to be completed before you join your small group for discussion of your responses.

checklist of Your Local Government's Gender Equality Policies and Programmes	Yes	No	Don't Know
1. My local governing body includes women from racial, ethnic and/or indigenous communities			
2. Women in the community where my local government is located are organized into various groups and networks to advocate for, and support, their needs and concerns.			
3. Our local government has a variety of policies and programs designed to assure gender equity.			
4. These policies and programmes are reviewed annually in the preparation of the annual budget.			
5. Our government has a policy covering domestic violence.			
6. Our local government has conducted a gender analysis of all policies and programmes that also takes into consideration such cross-cutting issues of race, ethnicity, age, and disabilities.			
7. Our local government has a public consultation process to consider issues of gender equity.			
8. Our local government has a departmental office responsibility for managing women's rights and gender equality.			
9. This department or office has clear processes for receiving and managing requests and complaints associated with gender-related issues and concerns			
10. A gender equity action plan is incorporated into the annual budgeting deliberation and decision-making process.			
11. There is easy public access to all information and data associated with issues of gender equality.			
12. There are procedures and mechanisms designed to conduct impact assessments on policies, programmes, and services in relation to gender, racial, ethnicity, disability, and income variables.			
13. Our local government routinely offers training programmes for elected and appointed officials on issues of gender equity, gender analysis, racial and ethnic diversity concerns and sensitivity to all these cross-cutting issues in the management of local government policies, programmes and services.			
14. Our local government has a citizen's advisory body that is responsible for all issues related to gender equality, racial and ethnic discrimination, and other forms of discrimination as they are related to policies, programmes, and service delivery.			
15. Our local government conducts civic education and sensitivity programmes available to all citizens.			

Based on this informal assessment of my local government's response to policy, programme, and service delivery issues as they relate to gender, race, ethnic, disability, and other potential discrimination concerns, I believe our elected officials should take the following actions to improve our performance in these areas.

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2. ....

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## 13.6 Leadership and Corruption Management

### Objective

The intent of this exercise is to give participants experience in how to plan effective action in the aftermath of a serious corruption scandal.

Time required: 120 minutes

### Process

1. Explain that participants will be assuming the role of citizens serving on a panel organised to develop strategies for governing body consideration in the aftermath of a serious corruption scandal in their city. Circulate copies of *Handout 13.5A* and ask participants to read the situation.
2. When participants have read the case, divide them into five small groups. Four of the groups should consist of about five participants. Remaining participants comprise the fifth group. When the groups have been formed, circulate copies of *Handout 13.5B* and explain the group tasks:

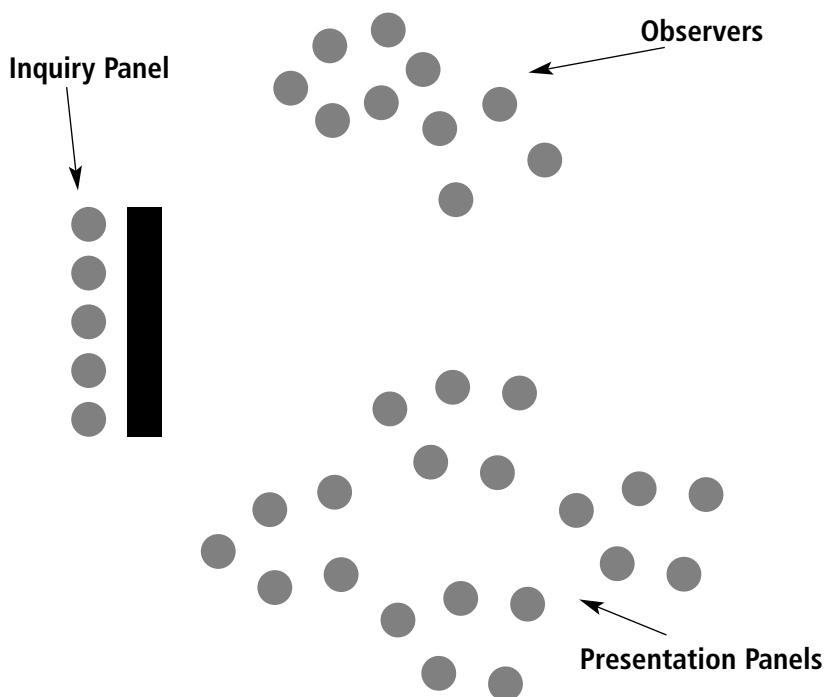
*The first three groups are members of the three sub-panels of the citizen inquiry panel described in the reading. Each group is to develop a set of strategies to fulfil the inquiry panel's charge. The strategies developed by each group should respond favourably to the five criteria on the handout by which the panel's strategy development work will be judged. The three groups will have forty-five minutes to complete the task and reconvene with other participants in the training room. When requested by the instructor, one member of each group will be asked to make a presentation not to exceed ten minutes in length explaining and recommending adoption of the group's strategy plan by the entire panel. Chart paper and markers may be used to make visual aids that support each group's presentation.*

*The fourth group consists of panel members to whom each of the presentations are to be made. While other groups are working on their presentations, members of this group should convene to decide how they wish to respond to each presentation, e.g., listening to each in silence; asking questions only to clarify points; offering critical observations, pro and con; and so forth. One member of this group should be asked to serve as inquiry panel chair to preside over the three presentations, ask for observer reports at the end of the three presentations, and then call for a vote of all panel members to choose the winner.*

*Members of the fifth group consisting of the remaining participants are observers. Their task is to use an observer worksheet, *Handout 13.5C*, to rate each presentation and prepare a single score for each presentation. Give observers one copy of the worksheet for each presentation. One of the observers should be selected by other observers to present a single com-*

posite score for each presentation and the reasoning of observers supporting the decision.

**Trainer's Note.** Be prepared to alter the number and composition of the small groups based on the size of the participant group overall and other factors that may be unique to your training situation. Suggest that the observer group take responsibility for setting up the room as shown in the following diagram while members of the other groups are deliberating.



3. Give each of the groups simulating sub-panels a quiet place to work free of distractions and provide them with chart paper and markers. Remind the groups that they have forty-five minutes to complete their tasks and report back to the training room. At the end of forty-five minutes, reconvene the groups and begin the presentations.
4. At the end of the presentations, give observers a few minutes to meet together to consolidate their individual scores into a single, composite score. Ask the person selected to speak for the observer group to present scores for each presentation and the reasoning of the observers for the decision.
5. At the conclusion of the simulation, lead a discussion focused on questions such as:
  - What does this simulation with its focus on corruption prevention and control have to do with the leadership role and competency of elected officials?
  - What one thing have you learned from this exercise that could have an impact on your leadership performance in the future?



## Handout 13.6A: Officials Indicted on Bribery Charges

### *Background*

Your city was stunned a few months ago by revelation of the biggest political scandal in its history. In a story appearing in the local newspaper under the headline “Officials Indicted on Bribery Charges,” citizens learned for the first time that the mayor and several other governing body members had been indicted on charges arising from bribery and kickbacks in a multi-million dollar trash collection contract.

The scheme involved the mayor and two other governing body members in a conspiracy to solicit bribes in exchange for their votes on the lucrative ten-year contract awarded recently to What-A-Waste, a large, well-known trash collection company. The indictment also describes shakedowns of other companies doing business with the city. Those indicted include the three local politicians who sought and/or received the bribes, the business leaders who paid the bribes, and the intermediaries who acted as conduits for the movement of cash.

The scheme began to unravel when a former member of the city governing body approached law enforcement officials with “concerns about the situation” as she described it. The former elected official helped investigators build a case of massive corruption in return for an agreement in which she pleaded guilty to accepting a bribe. “Where corruption occurs and the public trust is abused, we will investigate and aggressively pursue any individuals connected to that criminal activity,” said the attorney assigned to prosecute the case at a news conference announcing the arrests. All of those indicted have resigned from office and are expected to plead guilty at a court hearing scheduled for next month.

Meanwhile, remaining members of the local governing body are making a valiant effort to restore public confidence while attempting to maintain the continuity of government until local elections can be held early next year. Approximately fifteen community leaders have been appointed by the local governing body to a historic corruption inquiry panel. The panel’s task is to recommend strategies for strengthening the city’s ability to discover corrupt practices and to reform the system by eliminating conditions that encourage corruption. The panel was provided with a set of ideas about combating corruption (see *Handout 13.5B*) as an aid for carrying out its task.

The panel has been hard at work for several weeks. Three sub-panels have been appointed to work independently of one another on strategy development. The three sub-panels have completed their work and are about to propose their respective corruption discovery and reform strategies to other panel members. One of the three proposals will be selected by the panel as the foundation of its report to the governing body. The three proposals will be judged on five criteria: 1) *success potential*, 2) *rewards that outweigh costs*, 3) *sustainability*, 4) *organisation support* and 5) *citizen participation*.

## Handout 13.6B: Thoughts on Preparing Anti-Corruption Strategies<sup>11</sup>

These random thoughts about corruption assessment and control have been developed by the local government staff for your consideration. While far from exhaustive and not particularly well organized, we hope you find them somewhat useful as you get started with the inquiry.

1. Scandals involving bribery, kickbacks, and other abuses of power do not occur in isolation. In most cases they are signs that corruption is systematic and deeply rooted in the culture of a local government.
2. Early public outrage and expressions of dismay from politicians accompanied by calls for quick action usually lead to some kind of inquiry. If something isn't done quickly, public outrage subsides. As it does, the press and politicians tend to pay increasingly less attention to inquiry recommendations.
3. Corruption requires finding corrupt partners, making payments, and delivering what is corruptly purchased as inconspicuously as possible. Corruption depends on secretive and stable environments. It becomes systematic when opportunities have been identified and relationships established, mechanisms for payment exist, and deliveries are routinely made. Corrupt routines like these must be identified and disrupted.
4. Assessments are sometimes used to locate areas in an organisation that are vulnerable to corruption and that sponsor activities with a high inherent risk of corruption. Conditions most favourable for corruption are those where there is a monopoly over a service, high discretion over how the service is provided, and limited fiscal and management accountability.
5. Some authorities recommend a strategy called "picking the low-hanging fruit." This means to select a type of corruption where visible progress can be made quickly with the least possible cost.
6. Another method is to find community allies who might share an interest in anti-corruption efforts. An example might be to align an anti-corruption strategy with national government efforts to combat organised crime or encourage market reform and privatisation.
7. A strategy called "frying big fish" suggests singling out and punishing high-visibility figures as takes place in the case. Such measures are valuable for focusing public attention on the dangers of corruption and can raise the stakes for those inclined to play this game. To be effective, however, it must lead quickly to widespread institutional prevention and reform efforts.
8. Remedies for corruption worth considering are 1) outsourcing corruption-vulnerable functions to private agencies; 2) improving positive incentives by raising pay scales and strengthening linkages between pay and performance; 3) raising risk-of-discovery thresholds and penalties for corruption; 4) promoting competition and weakening monopoly

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<sup>11</sup> These thoughts are inspired by information in Klitgaard, Robert, Ronald Maclean-Abaroa and Lindsey H. Parris, *Corrupt Cities: A Practical Guide to Cure and Prevention* (Washington, D.C.: World Bank Institute, 2000).

power; 5) simplifying and clarifying official discretion; and 6) enhancing accountability and transparency by establishing clearly defined standards of conduct and initiating various types of citizen oversight.

9. At the same time, significant initiatives to control corruption must be measured in economic terms – will the money spent to attack corruption generate so much bureaucracy and red tape that the costs and loss of efficiency outweigh the benefits of lowering corruption.
10. Controlling corruption must not be seen as an attack on the organisation and its staff. Gaining organisational support depends on new methods of getting information to and from employees as well as feedback from citizens in the local communities. It also involves reform of incentives that link pay with appropriate job performance.

## Handout 13.6C: Observer's Worksheet

Presentation No. \_\_\_\_\_

Observe each of the three sub-panel presentations. Evaluate each presentation based on the five criteria using a ten point rating scale with a rating of one being unsatisfactory and ten being superior. Compute an average score for the entire presentation by adding the five ratings together and dividing by five. Report your results to other observers and add the various scores together to calculate a single group score for the observers.

1. **Success potential** – the strategies proposed by this group show high promise for corruption prevention and control. (circle one number)

1    2    3    4    5    6    7    8    9    10

2. **Rewards that outweigh costs** – the money saved by implementing these strategies in the long run will more than equal the cost of implementation. (circle one number)

1    2    3    4    5    6    7    8    9    10

3. **Sustainability** – there is good reason to believe that corrupt conditions that are uncovered and corrected will not reappear at a later date. (circle one number)

1    2    3    4    5    6    7    8    9    10

4. **Organisation support** – the strategies proposed are likely to win acceptance and support by organisation staff members. (circle one number)

1    2    3    4    5    6    7    8    9    10

5. **Citizen participation** – there is strong attention in the strategies to vigorous and continuing involvement of citizens in planning and oversight roles. (circle one number)

1    2    3    4    5    6    7    8    9    10

Average overall score: \_\_\_\_\_

## 13.7 Rating Elected Leader Performance

### Objective

The intent of this exercise is to:

- ❑ Enable participants to assess their personal strengths and improvement needs as leaders in relation to eleven characteristic roles and competencies of elected leadership.
- ❑ Raise the consciousness of participants about gender differences in role performance and the implications of these differences.

Time required: 90 minutes

### Process

1. Distribute copies of *Handout 13.6A*. Explain that the questionnaire in the handout is for participants to use to rate their current and desired performance on each of the eleven roles and competencies in the elected leadership series. Stress that the first set of ratings assigned by participants for each of the eleven roles should reflect how they see themselves **actually** performing in that role at the present time, not how they feel they should be performing. The second set of ratings, on the other hand, is to reflect the participant's desired level of performance in each of the eleven roles. In other words, identify the level of performance you believe you are capable of achieving and will strive to achieve from this point on. Suggest to them that they mark the actual level of performance with an X and the desired level with an O to make it easier to score. In addition they might want to draw an arrow from the current to desired level of performance to indicate the degree of personal challenge in each role and competency.

**Trainer's Note:** Before the workshop begins, draw scoring charts on sheets of chart paper, one chart for each of the eleven elected leadership roles. All of the eleven should look like the sample chart in the exhibit shown at the top of the next page, varying only in the name of the role and competency.

2. When participants have completed the second scoring task, ask them to come forward and use marking pens to enter their scores on each role and competency on the eleven charts posted on the walls of the training room. Ask the women to mark their scores in one colour and the men to mark their scores in a different colour. Tell them to place an "X" above the line in the scoring range for each role and competency to reflect their **actual** performance and an "O" below the line to reflect their **preferred** performance. Finally, ask participants to enter their "Xs" and "Os" so

that they form a straight vertical column above and below the lines on each chart (see sample scoring chart below).

**Trainer's Note.** When the first two or three people come forward to record their scores, consider taking a marker and drawing the first couple of "Xs" and "0s" for them and keep doing this until everyone has it right. And, don't forget to ask the women to use one colour marker and men another. This makes the small group discussions on gender strengths a whole lot easier!

### Sample Scoring Chart

#### Actual Scores

							X	X	
							X	X	X
				X	X	X	X	X	X
		X		X	X	X	X	X	X
X		X	X	X	X	X	X	X	X
<b>10</b>	<b>9</b>	<b>8</b>	<b>7</b>	<b>6</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
0	0	0	0	0	0	0			
0	0	0	0	0	0	0			
0	0	0	0		0				
0	0	0							
0	0								
0									

Preferred Scores: \_\_\_\_\_  
**Role and Competency**

3. When all of the scores have been recorded on chart pad sheets, divide participants into several groups of no more than four participants each. To the extent possible, have some of the groups consist of women only and others of men only. When the groups have been formed, ask participants to use their scoring results to answer the following questions about their current leadership strengths and improvement needs:
  - What do my **actual** performance scores tell me about my present strengths as a leader?
  - What do my **desired** performance scores tell me about the most productive focus for my leadership improvement efforts in the future?

4. After about fifteen minutes, ask participants to work as a group to answer the following questions:
  - ❑ On which of the eleven competencies do we as women/men score higher than the “existing leadership score” for all participants?
  - ❑ How can elected officials take advantage of these gender differences in the governance process?
  - ❑ Are there ways to take advantage of gender difference in organisation staff assignments and in citizen participation?
5. Give the small groups another thirty minutes to complete their discussions before asking them to reconvene. When participants return to the training room, ask a representative from each group to summarise the group’s thinking about the three questions. Conclude the exercise by encouraging a discussion of gender differences and their implications for women in leadership roles.

## Handout 13.7A: Performance Assessment Questionnaire

### Instructions

This questionnaire is for you to use to rate your performance as an elected leader in your present role. To complete it, read each of the eleven role statements. In the scale to the right of each statement, choose a number that you believe best describes your performance. Mark that number with an X. The number you choose in each case should reflect how you are actually performing and not how you are capable of performing. Add up the eleven numbers you have marked with an X and enter the total on the line for “existing leadership score” at the bottom of the form. If your total score is 40 or above, congratulations! You are performing effectively as an elected leader. If, on the other hand, your total score is 30 or below, you may not be exercising the quality of leadership the community should expect from its elected representatives.

Now, return to the eleven roles and competencies and circle the number that best reflects how you would like to be performing in the future in each of these roles and competencies. In other words, circle the level of effectiveness you believe you are capable of and would like to achieve in the future. Enter the sum of the circled numbers on the line for “desired leadership score” at the bottom of the form. It also helps to draw an arrow from your current level of performance to the desired performance to indicate forward motion. Unless, of course, you believe you are over performing in one of the competencies!

Role and Competency	Rating Scale						
<b>1. Representation -</b> Representing the rights and obligations of all citizens from the diverse communities within the jurisdiction of my local government.	In the representation role and competency, I would rate myself as: <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>2. Communicating -</b> Giving and receiving information, ideas, and feelings with accuracy and understanding.	In the communicating role and competency, I would rate myself as: <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>3. Facilitating -</b> Fostering collective effort, helping others solve problems, ensuring productive meetings, and managing personal and interpersonal conflicts.	In the facilitating role and competency, I would rate myself as: <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>4. Using Power -</b> Using your personal and positional sources of power to get things done.5. Decision Making - Deciding how to act when there is an option to be selected or a choice to be made.	In the using power role and competency, I would rate myself as: <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					



<b>Role and Competency</b>	<b>Rating Scale</b>						
<b>5. Decision Making -</b> Deciding how to act when there is an option to be selected or a choice to be made.	In the decision making role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>6. Policy Making -</b> Understanding the need for new mandates, examining consequences and alternatives, and choosing effective implementation strategies.	In the policy making role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>7. Enabling -</b> Providing an appropriate way, i.e., partnerships, networking, delegation, for others to get things done.	In the enabling role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>8. Negotiating -</b> Interacting with others representing different positions or interests to agree on actions that leave everyone better off than before negotiating.	In the negotiating role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>9. Financing -</b> Making decisions about raising, allocating, and expending public funds.	In the financing role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>10. Overseeing -</b> Ensuring that the elected body and government staff are doing the right things the right way).	In the overseeing role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>11. Institution Building -</b> Ensuring support for the development needs of the local government, governing body and external organisation with which the government works.	In the institution building role and competency, I would rate myself as:  <table style="width: 100%; text-align: center;"> <tr> <td>Very Effective</td> <td>Somewhat Effective</td> <td>Needing Improvement</td> </tr> <tr> <td>5</td> <td>3</td> <td>1</td> </tr> </table>	Very Effective	Somewhat Effective	Needing Improvement	5	3	1
Very Effective	Somewhat Effective	Needing Improvement					
5	3	1					
<b>Existing leadership score</b> _____ <b>Desired leadership score</b> _____							

## 13.8 Conscious Celebration of Learning

*"In conscious celebration, we create moments that illuminate the deeper meaning of our lives and guide our footsteps into the future."*

Cathy DeForest

### Objective

This exercise is to give participants an opportunity to celebrate the completion of this significant *"voyage of discovery"* into the world of local self-governance and elected leadership.

Time required: 30+ minutes

### Process

Begin this final learning experience by congratulating participants on completing a significant body of learning about the difficult and challenging responsibilities that confront men and women who are elected to local public office. Explain that the final activity in the series is a celebration to honour their accomplishment both as a personal growth experience and a turning point in their lives as elected officials.

**Trainer's Note:** Rather than specify a single structure for celebrating the series end, we are providing you with four options. You can choose one of these, a combination, or something of your own based on the personality of the participant group and the amount of time that can be devoted to celebration.

**Option 1.** Distribute index cards, one for each participant. Ask each participant to write a short note to every other participant describing one noteworthy leadership quality exhibited by that person during the workshop series. Remind participants to write the name of the recipient of each note at the top of the card. Suggest that participants refer to the eleven roles and competencies in composing these notes. Distribute the notes to the intended recipients and after all the cards have been distributed ask for volunteers to comment on what they have learned about themselves from others.

**Option #2.** If the participants are from different regions of the country, divide them into regional groupings. Ask each group to develop a dramatic presentation in pantomime, that is, the use of expressive facial expressions and body movements to tell a story about some aspect of elected leadership or governance. Groups can be invited to incorporate regional

dress and music to the extent possible. After each presentation, members of other groups are asked to figure out what the story means.

**Trainer's note.** While it may take more courage for you to choose Option #2 over its less adventuresome counterparts, we believe you should try it anyway. Our good results with this exercise lead us to believe that your willingness to take the plunge will both surprise and satisfy you as it did us. Go for it!

**Option 3.** Divide participants into several groups. Give each group a sheet of chart paper. Ask the groups to write the words ELECTED LEADERSHIP in a vertical column down the left side of the sheet. Give each group the task of writing words or phrases that begin with that letter and are closely associated with elected leadership. Give participants about twenty minutes to complete the task. Reconvene the groups and ask each group to tape its sheet to the wall and read the results.

**Option 4.** Use a ball of yarn to symbolise the connection of participants with one another as local elected representatives. Ask participants to form a circle with you. Holding on to an end of the yarn, throw the ball to a participant on the other side of the circle. Ask that person to state briefly the personal impact of his or her participation in the elected leadership series. When finished, ask the person to hold on to the yarn and toss the ball to someone in the circle. The process continues until a visual web of yarn has been constructed, connecting everyone in the group. Finish the exercise by cutting the yarn into pieces so that each participant can take a piece away to symbolise their connection.

## 13.9 Planning for Learning Application

### Objective

This exercise is to give participants an opportunity to reflect on the insights and skills gained from this learning experience and to plan specific ways to use what they have learned to improve the way they perform the leadership role and competency.

Time required: 30 minutes

### Process

1. Take a few minutes to remind participants that the value of their participation in a learning experience like the one just completed cannot be fully realized unless they make a serious effort to make use of what they have learned. Point out that many factors can interfere with the

application of new knowledge and skill when engaged in the real work of using power. Sometimes the interference comes from outside like ridicule from a colleague about your interest in trying out new ways of doing things. Sometimes the resistance comes from within. Old habits are hard to break. Doing things differently, even things that are clearly important and worth doing, requires time, patience and self-confidence.

2. Explain that one of the best methods known for overcoming resistance to the application of new knowledge and skills is a learning application plan. The intent of the plan is to have men and women who have just completed a programme of learning
  - think about the value of what has been learned and how they will use it to enhance their own performance;
  - consider the barriers to learning application likely to arise and who can be of help to them in overcoming these barriers; and
  - how they will determine how successful they have been in putting this learning to use after completing the programme.
3. Give participants a copy of *Handout 13.7A* and ask them to complete it as an important step in putting to use in the months ahead what they have learned about themselves and the leadership role and competency.

# Handout 13.9A: Learning Application Plan

Take a few minutes to reflect on the leadership role and competency and the value of this learning experience for your future performance. Then complete each of the following statements as thoroughly as possible.

- 1. Based on what I have learned about the leadership role and competency, shown below are two or three specific things I plan to do to improve my performance in exercising the wisdom, commitment and action expected of an elected leader.

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- 2. The support I need to achieve these performance improvements, how I expect to get this support and from whom, is described below:

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3. Three of the most significant challenges I anticipate when performing in the leadership role and competency and my strategies for dealing with these are as follows:

*Challenge No. 1* .....

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*My Strategy* .....

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*Challenge No. 2* .....

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*My Strategy* .....

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*Challenge No. 3* .....

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*My Strategy* .....

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4. The following outcomes will demonstrate that I have been successful in improving my performance in the leadership role and competency:

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5. I intend to do the following things to assess my success after the first six months in achieving the outcomes specified above:

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