

**Post Graduate Diploma in Agricultural Extension  
Management (PGDAEM)**

**AEM-103**

**Principles and Practices of Extension Management  
(3 Credits)**



**National Institute of Agricultural Extension Management**

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## **AEM-103**

# **Principles and Practices of Extension Management**

(3 Credits)

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## Unit-1

# Overview and Perspective of Management Theories

### Structure

- 1.0. Objectives of study
- 1.1 Introduction
- 1.2 Significance of management study
- 1.3 Precursors to Management Theory
- 1.4 Behavioral Approach
- 1.5 Quantitative Approach
- 1.6 Modern Approaches to Management
- 1.7 Entering an Era of Engagement
- 1.8 Let us sum up

### 1.0. Objectives of Study

- i. Understand the salient features of various theories and approaches in management

### 1.1. Introduction

Our present day management thinking has evolved from a whole range of influences over an extraordinary long period of time. In his comprehensive book 'The Evolution of Management Thought' Daniel A Wren writes:

**"Within the practices of the past there are lessons of history for tomorrow in a continuous stream. We occupy but one point in this stream. The purpose is to present...the past as a prologue to the future."**

So with the aim of accelerating the development of our management practice for the future let us examine that stream of perspectives of management thought of the past.

## 1.2. Significant Of Management Study

The following *three forces* had a major influence on the concept and evolution of Management Theory.

**Social forces** are the norms and values that characterize a culture. Early social forces allowed workers to be treated poorly; however, more recent social forces have provided for more acceptable working conditions for workers. Social forces have influenced management theory in areas such as motivation and leadership.

**Economic forces** are the ideas behind the concept of a market economy such as private ownership of property, economic freedom, competitive markets, and a limited role for government.

**Political forces** such as governmental regulations play a significant role in how organizations choose to manage themselves. Political forces have influenced management theory in the areas of environmental analysis, planning, control, organization design, and employee rights.

## 1.3. Precursors to Management Theory

A theory is a conceptual framework for organizing knowledge that provides a blueprint for various courses of actions. Hence, an awareness and understanding of important historical developments and theories propounded by early thinkers is important for today's managers.

*Five principal contributors* can be identified in this early period of development of management thought: Robert Owen, Charles Babbage, Andrew Ure, Charles Dupin, and Henry Robinson Towne.

Robert Owen: Human Resource Management Pioneer

Robert Owen (1771-1858) was a successful British entrepreneur in the early 19<sup>th</sup> century. He was one of the earliest management thinkers to realize the significance of human resources. He believed that workers performance was influenced by the environment in which they worked. He proposed legislative reform that would limit the number of working hours and restrict the use of child labor.

### **Charles Babbage:** Inventor and Management Scientist

Babbage was an advocate of the concept of division of labor. He was impressed by the idea of work specialization, or the degree to which work is divided into various tasks. He observed that work specialization could apply not only to physical work but also mental work. Babbage felt that work specialization would reduce training time and improve (through constant repetition of each operation) the skills and efficiency of workers. The concept of the assembly line, in which each worker is responsible for a different repetitive task, is based on Babbage's ideas.

### **Major Classification Of Management Approaches :**

<b>Approach</b>	<b>Contributors</b>	<b>Key Features</b>
<b>1. Classical</b>	<b>Fredrick W Taylor</b>	<b>Emphasis on scientific study of work method to improve efficiency. Soldering problem can eliminated by scientific management</b>
<b>a. Scientific Approach</b>	<b>(1856-1915)</b>	<b>He involved finding out best seques and minimum number of motions to complete a task.</b>
	<b>Frank Gilberth</b>	<b>Human Implication of scientific management</b>

(1868-1924)		focused importance on designing methods to improve efficiency of workers.
Lillian Gilberth (1878-1972)		He worked on task and bonus system to motivate the workers.
Henry Gantt (1841-1919)		He focused on 5 managerial activities like Planning, Organizing, Commanding, Cordinating, and Controlling, which leads to modern management functions- Planning, Organizing, Staffing, Leading, and Controlling.
Henry Fayol (1841-1925)		He set formal organization with a set of rules and regulations.
b. Administrative Approach	Max Webber (1864-1920)	He emphasized on human resorce management, he gave importance for groups in work place and advocated power sharing.
	Mary Parker Follet	He found out group is a key factor for job performance and



**(1868-1923)**

determine output standard of production.

**Elton Mayo**

(1880-1949)

**Abraham Maslow**

(1908-1970)

**He theorized people were motivated by needs and heirarchial needs like Physiological, Safety, Belongingness, Esteemed, Self-actualization.**

Classical management thought can be divided into three separate schools: scientific management, administrative theory and bureaucratic management. The major contributors to the three schools of management thought - scientific management, administrative theory and bureaucratic management - are Frederick W. Taylor, Henry Fayol and Max Weber respectively.

### **1. *Scientific Management***

Scientific management became increasingly popular in the early 1900s. In the early 19<sup>th</sup> century, scientific management was defined as “that kind of management which conducts a business or affairs by standard established, by facts or truths gained through systematic observation, experiment, or reasoning. “In other words, it is a classical management approach that emphasizes the scientific study of work methods to improve the efficiency of the workers. Some of the earliest advocates of scientific management were Fredrick W. Taylor (1856 - 1915), Frank Gilbreth (1868 - 1924), Lillian Gilbreth (1878 - 1972) and Henry (1861 - 1919).

### *Frederick Winslow Taylor(1856-1915)*

Taylor, considered “father of scientific management”, wrote *The Principles of Scientific Management* in 1911. a grave issue faced by the organization – the soldiering problem. Soldiering refers to the practice of employees deliberately working at a pace slower than their capabilities. According to Taylor, workers indulge in soldiering for three main reasons:

Workers feared that if they increased their productivity, other workers would lose their jobs. Faulty wage systems employed by the organization encouraged them to work at a slow pace.

Outdated methods of working handed down from generation to generation led to a great deal of wasted efforts.

Taylor felt that the soldiering problem could be eliminated by developing a science of management. Table given below, presents the steps in scientific management, The scientific management approach involved using scientific methods to determine how a task should be done instead of depending on the previous experiences of the concerned worker.

#### **In essence, scientific management as propounded by Taylor emphasizes:**

- i. Need for developing a scientific way of performing each job.
- ii. Training and preparing workers to perform that particular job.
- iii. Establishing harmonious relations between management and workers so that the job is performed in the desired way.

The two major managerial practices that emerged from Taylor’s approach to management are the piece-rate incentive system and the time-and-motion study.

#### ***Piece-rate-incentive system***

Taylor felt that the wage system was one of the major reasons for soldiering. To resolve this problem, he advocated the use of a piece-rate incentive system. The aim of this system was to reward the worker who produced the maximum output.

### *Time and motion study*

Taylor tried to determine the best way to perform each and every job. To do so, he introduced a method called “time-and -motion” study. In a “time - and - motion” study, jobs are broken down into various small tasks or motions and unnecessary motions are removed to find out the best way doing a job. Then each part of the job is studied to find out the expected amount of goods that can be produced each day. The objective of a time- and motion analysis is to ascertain a simpler, easier and better way of performing a work or job.

### *Frank Gilbreth and Lillian Gilbreth*

Frank and Lillian Gilbreth were mainly involved in exploring new ways for eliminating unnecessary motions and reducing work fatigue.

## *2. Administrative Theory*

While the proponents of scientific management developed principles that could help workers perform their tasks more efficiently, another classical theory - the administrative management theory - focused on principles that could be used by managers to coordinate the internal activities of organizations. The most prominent of the administrative theorists was Henri Fayol.

### *Henry Fayol(1841-1925)*

French industrialist Henri Fayol (1841 - 1925), a prominent European management theorist, developed a general theory of management. Fayol believed that with scientific forecasting and proper methods of management, satisfactory results were inevitable. Fayol focused on the managerial activity. Within this, he identified five major functions: planning, organizing, commanding, coordinating and controlling, Fayol’s five management functions are clearly similar to the modern management functions - planning, organizing, staffing, leading and controlling.

*Fayol outlined fourteen Principles of Management:*

1. Division of work: Work specialization results in improving efficiency of operations. The concept of division of work can be applied to both managerial and technical functions.
2. Authority and responsibility: Authority is defined as “the right to give orders and the power to exact obedience.” Authority can be formal or personal. Formal authority is derived from one’s official position and personal authority is derived from factors like intelligence and experience. Authority and responsibility go hand – in – hand. When a manager exercises authority, he should be held responsible for getting the work done in the desired manner.
3. Discipline: Discipline is vital for running an organization smoothly. It involves obedience to authority, adherence to rules, respect for superiors and dedication to one’s job.
4. Unity of command: Each employee should receive orders or instructions from one superior only.
5. Unity of direction: Activities should be organized in such a way that they all come under one plan and are supervised by one person.
6. Subordination of the individual interest to the general interest: Individual interests should not take precedence over the goals of the organization.
7. Remuneration: The compensation paid to employees should be fair and based on factors like business conditions, cost of living, productivity of employees and the ability of the firm to pay.
8. Centralization: Depending on the situation, an organization should adopt a centralized or decentralized approach to make optimum use of its personnel.
9. Scalar chain: This refers to the chain of authority that extends from the top to the bottom of an organization. The scalar chain defines the communication path in an organization.
10. Order: This refers to both material and social order in organizations. Material order indicated that everything is kept in the right place to facilitate the smooth coordination of work activities. Similarly, social order implies that the right person

is placed in the right job (this is achieved by having a proper selection procedure in the organization).

11. Equity: All employees should be treated fairly. A manager should treat all employees in the same manner without prejudice.
12. Stability of tenure of personnel: A high labor turnover should be prevented and managers should motivate their employees to do better job.
13. Initiative: Employees should be encouraged to give suggestions and develop new and better work practices.
14. Esprit de corps: This means “a sense of union”. Management must inculcate a team spirit in its employees.

### 3. *Bureaucratic Management*

According to Weber, “a bureaucracy is a highly structured, formalized and impersonal organization.” In other words, it is a formal organization structure with a set of rules and regulations.

#### *Limitations of Classical management theories*

Scientific management theorists also ignored the human desire for job satisfaction. Since workers are more likely to go on strike over factors like working conditions and job content (the job itself) rather than salary, principles of scientific management, which were based on the “rational worker” model, became increasingly ineffective.

Scholars who emphasized the human approach to management criticized classical theorists on several grounds. They felt that the management principles propounded by the classical theorists were not universally applicable to today’s complex organizations. Moreover, some of Fayol’s principles, like that of specialization, were frequently in conflict with the Principle of unity of command.

## 1.4. Behavioral Approach

The behavioral school of management emphasized what the classical theorists ignored – the human element. While classical theorists viewed the organization from a

production point of view, the behavioral theorists viewed it from the individual's point of view. The behavioral approach to management emphasized individual attitudes and behaviors and group process, and recognized the significance of behavioral process in the workplace.

### ***Mary Parker: Focusing on Group Influences***

Mary Parker Follet (1868 – 1933) made important contributions to the field of human resource management. Though Follet worked during the scientific management era, she understood the significance of the human element in organizations. She gave much more importance to the functioning of groups in the workplace than did classical theorists. Follet argued that power should not be based on hierarchy; instead, it should be based on cooperation and should involve both superiors and subordinates. In other words, she advocated 'power sharing'.

Her humanistic ideas have influenced the way we look at motivation, leadership, teamwork, power and authority.

### ***Abraham Maslow: Focusing on Human Needs***

In 1943, Abraham H Maslow (1908-1970), a Brandeis University psychologist, theorized that people were motivated by a hierarchy of needs. His theory rested on three assumptions. First, all of us have needs which are never completely fulfilled. Second, through our actions we try to fulfill our unsatisfied needs. Third, human needs occur in the following hierarchical manner: (i) physiological needs; (ii) safety or security needs; (iii) belongingness or social needs; (iv) esteem or status needs; (v) self-actualization, or self-fulfillment needs. According to Maslow, once needs at a specific level have been satisfied, they no longer act as motivators of behavior. Then the individual strives to fulfill needs at the next level. Managers who accepted Maslow's hierarchy of needs attempted to change their management practices so that employees' needs could be satisfied.

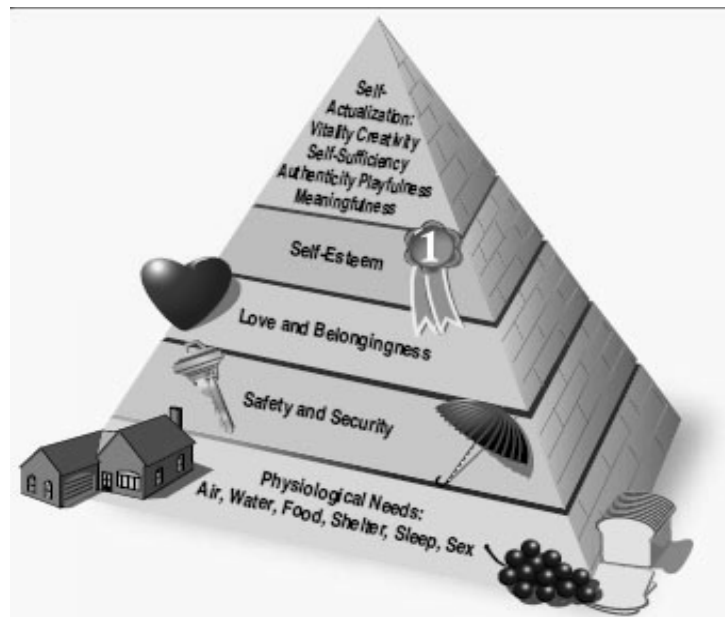


Fig. 1 Maslow Hierarchy Of Human Needs

### ***Douglas McGregor: Challenging Traditional Assumptions about Employees***

Douglas McGregor (1906-1964) developed two assumptions about human behavior, which he labeled "Theory X" and Theory Y". According to Mc Gregor, these two theories reflect the two extreme sets of belief that different managers have about their workers. Theory X presents an essentially negative view of people. Theory X managers assume that workers are lazy, have little ambition, dislike work, want to avoid responsibility and need to be closely directed to make them work effectively. Theory Y is more positive and presumes that workers can be creative and innovative, are willing to take responsibility, can exercise self - control and can enjoy their work. They generally have higher - level ends which have not been satisfied by the job.

### ***Chris Argyris: Matching Human and Organizational Development***

He believes that people progress from a stage of immaturity and dependence to a state of maturity and independence. Many organizations tend to keep their employees in a dependent state, thereby blocking further progress. This tendency may keep an individual from realizing his or her true potential. Further, Argyris argues that several

of the basic concepts and principles of modern management- such as specialization - hinder the development of a “healthy” personality. He feels that such incongruence between the organization and individual development “healthy” personality. He feels that such incongruence between the organization and individual development results in the failure and frustration of employees. Such incongruence, Argyris argues, can be corrected by techniques such as job enlargement and job loading, which increase the work-related responsibilities of the individual and allow him to participate in the decision - making process.

### **1.5. Quantitative Approach**

The quantitative approach to management includes the application of statistics, optimization models information models and computer simulation. More specifically, this approach focuses on achieving organization effectiveness through the application of mathematical and statistical concepts. The three main branches of the quantitative approach are: (i) management science (ii) operations management and (iii) management information system.

#### ***Management Science***

Various mathematical tools like the waiting line theory or queuing theory, linear programming, the Program Evaluation Review Technique (PERT), the Critical Path Method (CPM), the decision theory, the simulation theory, the probability theory, sampling, time series analysis etc. have increased the effectiveness of managerial decision-making.

#### ***Operations Management***

Operations management is an applied form of management science. It deals with the effective management of the production process and the timely delivery of an organization’s products and services. Operations management is concerned with: (i) inventory management, (ii) work scheduling, (iii) production planning, (iv) facilities location and design, and (v) quality assurance. The tools used by operations managers



are forecasting, inventory analysis, materials requirement planning systems, networking models, statistical quality control methods, and project planning and control techniques.

### *Management Information Systems (MIS)*

Management Information Systems focuses on designing and implementing computer-based information systems for business organizations. In simpler term, the MIS converts raw data into information and provides the needed information to each manager at the right time, in the needed form.

## **1.6. Modern Approaches to Management**

Besides the classical behavioral and quantitative approaches to management, there are certain modern approaches to management. Two of these approaches are the systems theory and the contingency theory, which have significantly shaped modern management thought. These two approaches to management are discussed in this section.

### *Systems Theory*

According to this theory, an organizational system has four major components: inputs, transformation process, output and feedback. Inputs - money, materials, men, machines and informational sources- are required to produce goods and services. Transformation processes or throughputs, managerial and technical abilities are used to convert inputs into outputs. Outputs are the products, services, profits and other results produced by the organization. Feedback refers to information about the outcomes and the position of the organization relative to the environment it operates in.

The two basic types of systems are closed and open systems. A system that interacts with this environment is regarded an open system and a system that does not interact with its environment is considered a closed system. Frederick Taylor, for instance, regarded people and organizations as closed system. In reality, all organizations are open systems as they are dependent on interactions with their

environment. Whether it is a new product decision or a decision related to the employees of the organization, the organization must consider the role and influence of environmental factors.

### ***Contingency Theory***

According to the contingency approach, “The task of managers is to identify which technique will, in a particular situation, under particular circumstances, and at a particular time, best contribute to the attainment of management goals”.

## **1.7. Entering an Era of Dynamic Engagement**

To emphasize the intensity of modern organizational relationships and the intensity of time pressures that govern these relationships, we call this flurry of new management theory the **dynamic engagement** approach.

Six different themes about management theory are emerging under the umbrella that we call dynamic engagement. They are

### **1. *New Organizational Environments***

The dynamic engagement approach recognizes that an organization’s environment is not some set of fixed, impersonal forces. Rather, it is a complex, dynamic web of people interacting with each other.

### **2. *Ethics and Social Responsibility***

Managers using a dynamic engagement approach pay close attention to the values that guide people in their organizations, the corporate culture that embodies those values, and the values held by people outside the organization.

Robert Solomon has taken this idea a step further, arguing that managers must exercise moral courage by placing the value of *excellence* at the top of their agendas. In dynamic engagement, it is not enough for managers to do things the way they always have, or to be content with matching their competitors. Continually striving toward

excellence has become an organizational theme of the 1990s. Because values, including excellence, are ethical concepts, the dynamic engagement approach moves ethics from the fringe of management theory to the heart of it.

### 3. *Globalization And Management*

The dynamic engagement approach recognizes that the world is at the manager's doorstep in the 1990s. With world financial markets running 24 hours a day, and even the remotest corners of the planet only a telephone call away, managers facing the twenty-first century must think of themselves as global citizens. Kenichi Ohmae makes this point as he describes a "borderless" world where managers treat all customers as "equidistant" from their organizations.

### 4. *Inventing and Reinventing Organizations*

Managers who practice dynamic engagement continually search for ways to unleash the creative potential of their employees and themselves.

Hammer and Champy urge managers to rethink the very processes by which organizations function and to be courageous about replacing processes that get in the way of organizational efficiency.

### 5. **Cultures and Multiculturalism**

Managers who embrace the dynamic engagement approach recognize that the various perspectives and values that people of different cultural backgrounds bring to their organizations are not only a fact of life but a significant source of contributions. Multiculturalism is a moving target as more and more people become conscious of their particular cultural traditions and ties. Here is where both "dynamic" and "engagement" clearly come together as we envision the organizations of the twenty-first century.

### 6. *Quality*

The dynamic engagement approach challenges us to see organizations and management as integral parts of modern global society. This was not always a tenet of

management theory. Once the door is opened between organizations and the larger world, however, many new influences can come to bear on questions about management theory and relationships.

### **1.8. Let us sum up**

The classical management approach had three major branches. Scientific Management emphasized the scientific study of work methods to improve work efficiency. Bureaucratic management dealt with the characteristics of an ideal organization, which operates on a rational basis. Administrative theory explored principles that could be used by managers to co-ordinate the internal activities of organizations.

The behavioral approach emerged primarily as an outcome of the Hawthorne studies. Mary Parker Follet, Elton Mayo and his associates, Abraham Maslow, Douglas McGregor and Chris Argyris were the major contributors to this school. They emphasized the importance of the human element which was ignored by classical theorists in the management of organizations. These theories could easily be applied to the management of organizations.

The quantitative approach to management focuses on the use of mathematical tools to support managerial decision making.



## Unit-2

# Principles and Practices of Organisation Management

## Structure

- 2.0. Objectives
- 2.1. Introduction
- 2.2. Definitions of Management
- 2.3. Organizations and the need for Management
- 2.4. The Role of Management
- 2.5. Management Skills and Organizational Hierarchy
- 2.6. Values, Mission and Vision
- 2.7. Social Responsibilities of Management
- 2.8. Let us sum up

### 2.0. Objectives

- understand the concept of management
- familiarize with the components of management
- discuss the various roles and functions of a manager
- understand the other concepts relating to management

### 2.1. Introduction

In a broad perspective, management can be considered as the proper utilization of people and other resources in an organization to accomplish desired objectives.

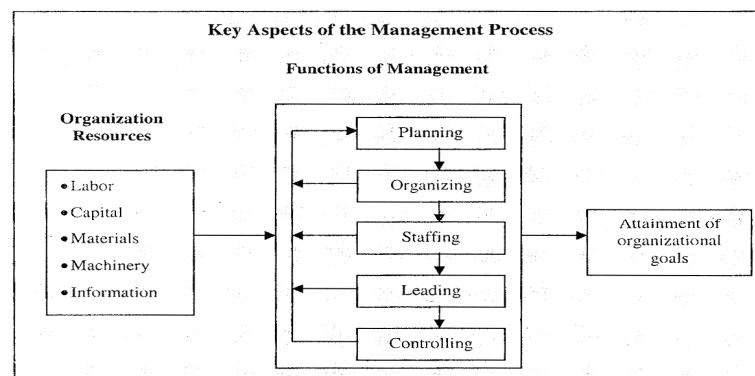
Let us examine the definitions of management given by some eminent management thinkers to understand the essence of management, then we will discuss the five basic functions of management – **planning, organizing, staffing, leading and controlling**. We shall also focus on the managerial skills required at various levels of the

organizational hierarchy, and also delve on the ethics and social responsibilities of management.

## 2.2. Definitions of Management

Mary Parker Follet termed management as “the act of getting things done through people”.

Definitions by Follet and Louis E. Boone and Kurtz call attention to the fact that managers achieve organizational goals by getting others to do the necessary tasks. The other two definitions suggest that management is much more than “just getting the work done” and (as shown in Figure given below). Suggest the following aspects of management.



*Adapted from "Using Management skills to build business relationships"*  
<[http://elearn.mtsac.edu/rjagodka/BUSM\\_20/chapter07.PDF](http://elearn.mtsac.edu/rjagodka/BUSM_20/chapter07.PDF)>

1. Managers carry out the functions of planning, organizing, staffing, leading and controlling: Henry Fayol was the first management thinker to outline the five basic functions carried out by managers. Every manager performs these basic functions. These functions are discussed in details in the later part of this chapter.
2. Management is essential to any kind of organization: Wherever there are groups of people working together to achieve some common objectives, it becomes essential to guide, organize and control them. The term ‘management’ applies to concern of a Chief Executive Officer (CEO) of a multinational company, the General Manager of a hotel, the first-level supervisor, head of any organization and the student president in a college is manage their people and resources effectively.



3. Management is essential at all hierarchical levels: Management is necessary at all levels. However, the type of skills and the degree to which various skills are required at different levels of the hierarchy may vary. In order to perform their duties satisfactorily, managers need technical, human, conceptual and design skills.
4. The goal of all managers is to generate surplus: The aim of all business managers is to create a surplus. To accomplish this objective, the manager has to create an environment which encourages people to accomplish as much as possible with the least amount of resources and personal dissatisfaction. Even in non-profit organizations, the aim of managers is to accomplish their goals with the minimum amount of resources or to make as much surplus as possible with available resources.
5. The aim of all managers is to improve productivity, efficiency and effectiveness: Productivity is defined as “the output – input ratio within a time period with due consideration for quality.” It can be expressed as:

Productivity = Outputs / Inputs (within a time period, quality considered)

Productivity can be improved in the following ways:

- By producing more output with the same inputs.
- By reducing inputs, but maintaining the same level of outputs.
- By increasing outputs and reducing inputs, thereby, making the ratio more favorable.

Productivity can be improved by ensuring efficiency and effectiveness in the operations of the firm. Effectiveness refers to achievement of stated organizational objectives while efficiency denotes the judicious use of resources to achieve organization objectives. In the words of Peter Drucker, efficiency means “doing things right”, while effectiveness means “doing the right things”. In his book, “Management – Tasks, Responsibilities, Practices”, Drucker states that effectiveness is the foundation of success whereas efficiency is a minimum condition for survival after success has been achieved.

## 2.3. Organizations and the need for Management

But all Organizations , formal or informal, are put together and kept together by a group of people who see that there are benefits available from working together toward some common goal. So a very basic element of any organization is a goal or purpose.

## 2.4. The Role of Management

Mintzberg isolated ten roles which he believed were common to all managers. As shown in Table, given below, these ten roles were grouped into three categories - interpersonal roles, informational roles and decisional roles.

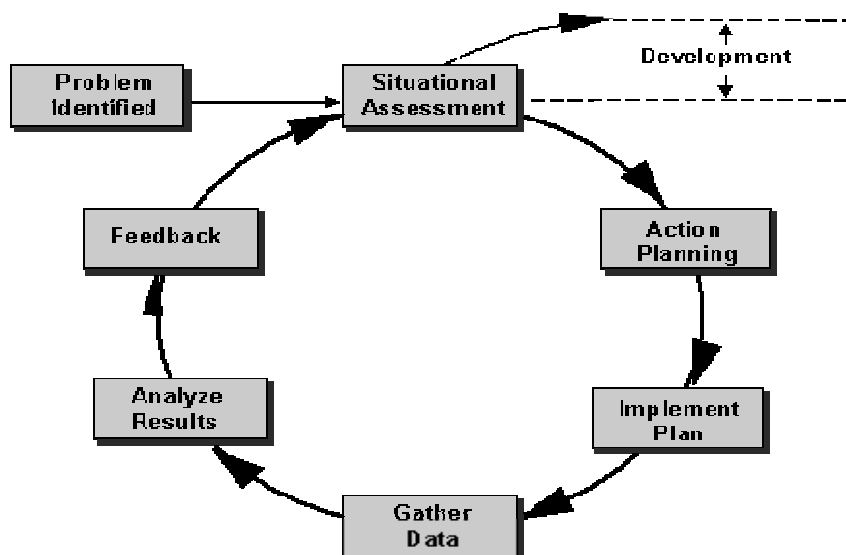


Fig.2 Organization Development

The functions of a manager provide a useful framework for organizing management knowledge under the various heads of planning, organizing, staffing, leading and controlling.

### *Planning*

Planning can be defined as the process, by which, managers decide the mission and objectives of the firm and take necessary steps to achieve the desired objectives. At



the same time, managers need to determine the future trends in business and incorporate change and innovation into the organization from time to time.

There are various types of plans and they may range from planning to define the overall purposes and objectives of an organization to planning for a specific action, Planning helps a firm decide its future course of action.

### *Organizing*

Organizing is the process of assigning tasks and allocating resources to individuals to enable them to accomplish organization goals. Organizing is a continuous process of determining (1) which tasks are to be performed, (2) how tasks can best be combined into specific jobs, (3) how jobs can be grouped into various units, and (4) the authority and reporting relationships within the corporate hierarchy. The organizational structure of a firm is a key element in determining its success or failure. If plans are not organized properly even the best of plans can fail. On the other hand, the pitfalls associated with a poor plan can be eliminated by excellent organization.

### *Staffing*

Today, staffing is better known as “human resource management” and involves manning or filling the various positions in the organizational hierarchy. Activities like determining manpower requirements, assessing the number of people presently available in the organization, recruiting and selecting candidates, training and placing them in the organization come under the purview of staffing. This function also deals with compensation, performance appraisal, promotion and career planning.

### *Leading*

Leading is defined as “the management function of influencing, motivating, and directing people towards the achievement of organizational goals.” It is the management function that involves influencing and inspiring team members to perform well and accomplish corporate objectives. Leading involves (1) communicating with others, (2) leadership styles and approaches, and (3) motivating people to put forth the

effort required to achieve organizational goals. In simple words, it is the act of making things happen through others.

### **Controlling**

The final step in the management process is to monitor the progress of an organization towards its goals. Controlling can be defined as the continuous measurement and analysis of actual operations against the established industry standards developed during the planning process and corrections of deviations, if any.

The basic control process involves (1) comparing performance with standards, (2) determining where negative deviations occur, and (3) developing remedial measures to correct deviations.

### Mintzberg's 10 Managerial Roles

<b>Interpersonal</b>	Figurehead	Performs ceremonial and symbolic duties such as greeting visitors, signing legal documents.
	Leader	Direct and motivate subordinates, training, counseling, and communicating with subordinates
	Liaison	Maintain information links both inside and outside organization; use mail, phone calls, meetings
<b>Informational</b>	Monitor	Seek and receive information, scan periodicals and reports, maintain personal contacts
	Disseminator	Forward information to other organization members; send memos and reports, make phone calls
	Spokesperson	Transmit information to outsiders through speeches, reports, memos
<b>Decisional</b>	Entrepreneur	Initiate improvement projects, identify new ideas, delegate idea responsibility to others

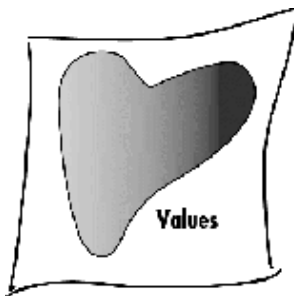


	Disturbance Handler	Take corrective action during disputes or crises; resolve conflicts among subordinates; adapt to environmental crises.
	Resource Allocator	Decide who gets resources, scheduling, budgeting, setting priorities
	Negotiator	Represent department during negotiation of union contracts, sales, purchases, budgets; represents departmental interests

## 2.5. Management Skills and Organizational Hierarchy

A manager's job is varied and complex. Hence, managers need certain skills to perform the functions associated with their jobs. During the early 1970s, Rober K. Kalz identified three kinds of skills for administrators. These are technical, human and conceptual skills. A fourth skills - the ability to design solutions - was later added to the above mentioned skills.

## 2.6. Values, Mission and Vision



Successful organizations continually innovate and change based upon customer needs and feedback. Values, mission, and vision form the foundation for the execution of the functions of management.

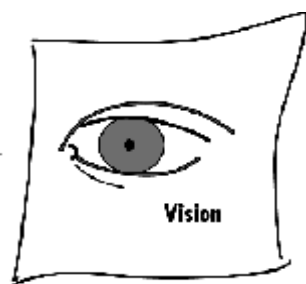
### *Values*

**Values** are traits or qualities having intrinsic worth, such as courage, respect, responsibility, caring, truthfulness, self-discipline, and fairness. Values serve as a baseline for actions and decision-making and guide employees in the organization's intentions and interests. The values driving behavior define the organizational culture.

A strong value system or clearly defined culture turns beliefs into standards such as best quality, best performance, most reliable, most durable, safest, fastest, best value for the money, least expensive, most prestigious, **Mission**

A **mission** is a broad definition of a business that differentiates it from all other organizations. It is the justification for the organization's existence. The mission statement is the "touchstone" by which all offerings are judged. In addition to the organization's purpose other key elements of the mission statement should include whom it serves, how, and why. The most effective mission statements are easily recalled and provide direction and motivation for the organization.

### *Vision*



Erich Fromm pointed out; "The best way to predict your future is to create it." A **vision** might be a picture, image, or description of the preferred future. A visionary has the ability to foresee something and sees the need for change first. He or she challenges the status quo and forces honest assessments of where the industry is headed and how the company can best get there. A visionary is ready with solutions before the problems arise.

## **2.7. Social Responsibilities of Management**

The operational definition of social responsibility is: "Social responsibility contends that management is responsible to the organization itself and to all the interest groups with which it interacts. Other interest groups such as workers, customers, creditors, suppliers, government and society in general are placed essentially equal with shareholders"

## 2.8. Let us sum up

Managing is essentially an activity at all organizational levels, however, the managerial skills required vary with organizational levels. The goal of all managers is to create a surplus. The excellent companies take advantage of the twenty first century trends in information technology and globalization. Enterprise must also focus on productivity, that is, to achieve a favorable output-input ratio within a specific time frame, with due consideration for quality. Productivity implies effectiveness (achieving the objectivity) and efficiency (using least amount of resources). Managing as a practice, is an art, organized knowledge about management is a service.





## Unit-3

# Job Conflicts and Delegation of Authority

## Structure

- 3.0. Objectives
- 3.1. Introduction
- 3.2. Functional Authority
- 3.3. Job Conflict
- 3.4. Nature of Line and Staff Relationship
- 3.5. Delegation of Authority
- 3.6. Let us sum up

### 3.0. Objective

- understand the concept of job conflict and delegation of authority
- understand the key features of delegation and decentralization

### 3.1. Introduction

In this chapter we will discuss the concept and thereby the difference between line and staff, realizing their nature as relationships rather than positions or people, the nature and use of functional authority as a mixture of line and staff; centralization, decentralization and delegation of authority.

### 3.2. Functional Authority

#### *TYPES OF AUTHORITY:*

3 main types of authority can exist within an organization:

1. Line Authority
2. Staff Authority
3. Functional Authority

Each type exists only to enable individuals to carry out the different types of responsibilities with which they have been charged.

***LINE AUTHORITY:***

The most fundamental authority within an organization, reflects existing superior-subordinate relationships. It consists of the right to make decisions and to give order concerning the production, sales or finance related behaviour of subordinates.

In general, line authority pertains to matters directly involving management system production, sales, finance etc., and as a result with the attainment of objectives.

People directly responsible for these areas within the organization are delegated line authority to assist them in performing their obligatory activities.

***STAFF AUTHORITY:***

Staff authority consists of the right to advise or assist those who possess line authority as well as other staff personnel.

Staff authority enables those responsible for improving the effectiveness of line personnel to perform their required tasks.

Line and Staff personnel must work together closely to maintain the efficiency and effectiveness of the organization. To ensure that line and staff personnel do work together productively, management must make sure both groups understand the organizational mission, have specific objectives, and realize that they are partners in helping the organization reach its objectives.

Size is perhaps the most significant factor in determining whether or not an organization will have staff personnel. The larger the organization, the greater the need and ability to employ staff personnel.

As an organization expands, it usually needs employees with expertise in diversified areas. Although small organizations may also require this kind of diverse expertise, they often find it more practical to hire part time consultants to provide it as needed rather than to hire full time staff personnel, who may not always be kept busy.





### **LINE - STAFF RELATIONSHIPS :**

e.g. A plant manager has line authority over each immediate subordinate, human resource manager, the production manager and the sales manager.

However, the human resource manager has staff authority in relation to the plant manager, meaning the human resource manager has staff authority in relation to the plant manager, meaning the human resource manager possesses the right to advise the plant manager on human resource matters.

Still final decisions concerning human resource matters are in the hands of the plant manager, the person holding the line authority.

### **ROLE OF STAFF PERSONNEL:**

Harold Stieglitz has pinpointed 3 roles that staff personnel typically perform to assist line personnel:

1. **The Advisory or Counseling Role :** In this role, staff personnel use their professional expertise to solve organizational problems. The staff personnel are, in effect, internal consultants whose relationship with line personnel is similar to that of a professional and a client.
2. **The Service Role :** Staff personnel in this role provide services that can more efficiently and effectively be provided by a single centralized staff group than by many individuals scattered throughout the organization. This role can probably best be understood if staff personnel are viewed as suppliers and line personnel as customers.
3. **The Control Role :** Staff personnel help establish a mechanism for evaluating the effectiveness of organizational plans.

The role of staff in any organization should be specifically designed to best meet the needs of that organization.

### **CONFLICT IN LINE - STAFF RELATIONSHIP:**

From the view point of line personnel, conflict is created because staff personnel tend to

- Assume Line Authority
- Do not give Sound Advice
- Steal Credit for Success
- Fail to Keep line personnel informed of their activities
- Do not see the whole picture.

From the view point of Staff Personnel, conflict is created because line personnel do not make proper use of staff personnel, resist new ideas and refuse to give staff personnel enough authority to do their jobs.

Staff Personnel can often avert line-staff conflicts if they strive to emphasize the objectives of the organization as a whole, encourage and educate line personnel in the appropriate use of staff personnel, obtain any necessary skills they do not already possess, and deal intelligently with the resistance to change rather than view it as an immovable barrier.

Line personnel can do their part to minimize line staff conflict by sing staff personnel wherever possible, making proper use of the staff abilities, and keeping staff personnel appropriately informed.

***FUNCTIONAL AUTHORITY:***

Functional authority consists of the right to give orders within a segment of the organization in which this right is normally non existent.

This authority is usually assigned to individuals to complement the line or staff authority they already possess.

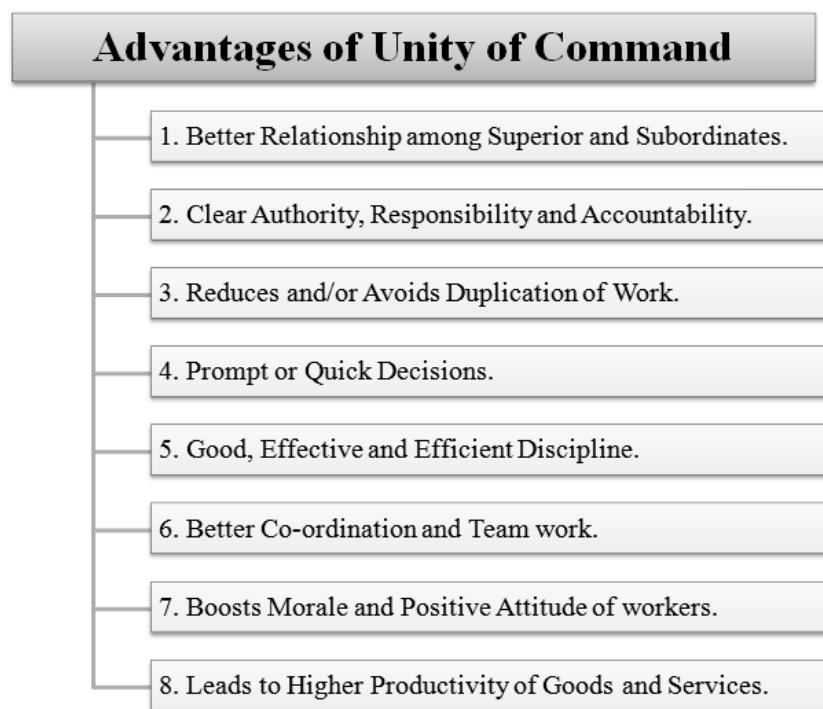
Functional Authority generally covers only specific task areas and is operational only for designated amounts of time. It is given to individuals who, in order to meet responsibilities in their own areas, must be able to exercise some control over organization members in other areas.



### 3.3. Job Conflicts

Line and staff personnel are expected to support each other and work harmoniously to achieve organizational goals and objectives. But, conflicts between the two often crop up. This is one of the major sources of friction in many organizations. This friction leads to loss of time and reduces organizational effectiveness. Hence, the sources of such conflicts should be identified and necessary action should be taken to overcome them. Line and staff functions cannot be differentiated clearly on a theoretical basis. In the absence of a clear delineation of responsibilities, jurisdictional conflicts cannot be avoided.

#### Unity of command



### 3.4. Nature of Line and Staff Relationship

Centralization refers to the retention of control by the top management in the area of decision-making. In highly centralized organizations, only the top management has the right to make decisions. On the other hand, decentralization refers to the participation of employees in the decision-making process. The terms centralization and

decentralization can also be used in a different context to refer to the organizational aspects such as administrative processes, location of the firm, different functions that are being caused out, and the extent to which authority is delegated. For instance, physical or geographical decentralization refers to the degree to which the company's operations are spread throughout the country. Centralization is at one end of the continuum while decentralization is at the other end of it.

It is not possible for an organization to be either completely decentralized or centralized. Organizations are located along a continuum that shows the possible degrees of delegation of authority and power. Every organization falls along this continuum, and depending on the degree of delegation of authority and power, is closer to one of the two ends. Thus, when we refer to centralization or decentralization, we are not talking about an absolute value, but a relative one. Since organizations cannot be either completely centralized or decentralized, the challenge for managers is to work out the right balance between these two extremes.

“The modern organization in transition will recognize the pull of two polarities: a need for greater centralization in order to create low-cost shared resources; and, a need to improve market responsiveness with greater decentralization. An organization's position on the decentralization-centralization continuum is dependent on the following situational variables like, History of organization, availability of compitint managers, size of organization, Planning and control procedure.

### ***Advantages of Decentralization***

Decisions can be taken by lower level managers.

Facilitates fast decision making.

Decisions and strategies can be quickly adapted to the competitive environment.

Provides autonomy to employee, increases their self-confidence and thus enhances their motivation levels.



Highly effective in large and complex organizations where it is difficult for top management situate in the headquarters to study the local conditions and take appropriate decisions.

Frees the top management from decisions related to day-to-day operations and allows them to concentrate on strategic issues.

### ***Disadvantages of Decentralization***

Coordination of decentralized units poses a serious challenge to top management.

Policies may not be applied uniformly across all the units and this may lead to employee demotivation.

Differences in opinions of top management and unit heads can often lead to conflicts.

Competition between various units may be very severe, they may develop hostility toward each other making it difficult to reap benefits such as resource and knowledge sharing.

Economies of scale may not be realized as each unit tries to be independent.

The success of a unit will depend on the efficiency and capability of its head.

## **3.5. Delegation of Authority**

“The delegation of authority is the delivery by one individual to another of the right to act, to make decisions, to requisition resources and to perform other tasks in order to fulfill job responsibilities.”

Delegation is a two-sided relationship that requires sacrifices from both the delegator and the delegant. The delegator must be prepared to sacrifice a portion of his authority, and the delegant must be willing to shoulder additional responsibilities. Delegation requires a fair amount of trust between the delegator and the delegant.

**Making Delegation Work :** Effective management relies on proper delegation. It is wrong to say to your subordinate. “Here is the task, now do it,” while you sit back and wait for results, Remember the slogan: delegate, don’t abdicate.

Having decided what the task is and having selected a person to carry it out, there are three broad stages of delegating: briefing, monitoring progress and evaluating results.

### **Briefing**

Specify the essential parameters: details of the task, deadlines, resources.

Explain the desired outcome.

- Allow the assigned person the freedom to decide how to perform the task – but get the person to explain his or her plan of approach.
- Check that the person understands what is required – encourage discussion.
- Sell, but do not oversell, your own approach. Be enthusiastic. If you get commitment and agreement, you have a better chance of success.
- Be realistic about your expectations; do not underestimate the difficulties, but set challenging targets.
- Indicate the need for progress reports and intermediate deadlines.
- Discuss the areas of the task that are sensitive to error or risk.

### **Monitoring Progress**

- Allow the person to proceed with the task without interference.
- Encourage the person to follow his or her own way of working.
- Be alert for signs that things are going wrong, but make room for trivial mistakes.
- Intervene only if the person does not spot errors or where sensitive areas are threatened.
- Be ready with help, advice and encouragement, but avoid doing the task yourself.

Transfer the delegation only in extreme circumstances.

- Encourage frequent informal discussions rather than a formal feedback.
- Stand back from the process and retain a view of the bigger picture.

### *Evaluation and Feedback*

Did the person produce the results you expected? If the task was successful, say so. Give praise, recognition and credit to the people involved. If the result was unexpected, ask:

- Was it due to a misunderstanding between you and your people?
- Was his or her performance not up to the standard?
- Was the wrong person selected?
- Were there unforeseen problems?
- Were these mistakes preventable?

Make sure everyone concerned learns from the experience. Finally, do not blame your people

### **3.6. Let us sum up**

Organizations differ from each other in the amount of authority given to the lower-level employees regarding decision-making. Centralization is the retention of decision-making authority with the top management, whereas decentralization is granting of decision-making powers to the lower-level employees. It is not possible for an organization to be either completely centralized or completely decentralized. An organization can either follow a centralized or decentralized approach depending upon the manner in which it has grown over time, its size, the technical complexity of its tasks and the geographical dispersion of its business operations. Apart from these, other factors like time frame of decisions, importance of a decision to the organization, the planning and control procedures used and influence of various environmental factors determine the level of decentralization in an organization. Moreover, decentralization is facilitated if competent and experienced managers are present in the organization and subordinates are willing to take on additional responsibilities.

Depending on whether the organization follows a centralized or decentralized approach, authority is either retained with the top management or is delegated to the

lower-level managers. Delegation of authority refers to a manager granting the right to a subordinate to make decisions or use his discretion in judging certain issues. The amount of authority delegated depends on the delegator and the delegant, as well as organizational factors. The delegation of authority may not be effective if a superior does not like to delegate, if he is afraid of his subordinates' advancement, if he fears that his shortcomings may be exposed or if he has a negative attitude towards his subordinates. Also, if the delegant is afraid of criticism, lacks information and resources, lacks self-confidence and if the rewards and incentives are not attractive enough, the delegant may not be willing to take on additional responsibility. Organization factors such as its decentralization policy, control procedures, availability of managers and management philosophy also affect the delegation of authority.



## Unit-4

# Problem Solving

## Structure

- 4.0. Objectives
- 4.1. Introduction
- 4.2. Concept of Problem Solving
- 4.3. Types of Problem-Solving.
- 4.4. Problem-Solving Skills.
- 4.5. Problem Solving Vs. Decision Making.
- 4.6. Let us sum up

### 4.0. Objectives

*After studying the lesson, students will be able to :*

- define problem-solving.
- Recall various steps in the creative problem-solving process.

### 4.1. Introduction

Effective problem solving is a key management skill and a major factor in determining individual and organizational success. People with good problem solving skills adapt more quickly in times of rapid change and are generally the high achievers, whether it is by putting things right when they go wrong, making the best use of resources, or creating and exploiting opportunities. . Each of us has an innate ability to solve problems. To develop this ability we need a clear understanding of the skills and techniques involved and practice in applying them in different situations.

To be a successful problem solver we must go through these stages:

- Recognizing and defining the problem

- Finding possible solutions
- Choosing the best solution
- Implementing the solution.

In this lesson the following objectives have been defined:

- Define problem-solving
- Differentiate between analytical and creative problem solving
- Recall various steps in the creative problem-solving process.

#### 4.2. Concept of Problem-Solving

Problems in - solutions out - is your job - everybody's job. It helps improve your effectiveness. Each of us is a constant problem solver.

Problems, as visualised by most of us, are irritants, impediments, hassles and a headache, in general are negative things.

In organisational situations - problems are actually, something to do, something challenging, something positive, to show our worth, to improve our performance.

We see or note that there is problem, through its associated symptoms. The symptom by itself is not the problem. Through symptom we have to exercise to pin down the problem responsible for the symptoms we see. This process is known as gathering the facts to identify the specific problem.

Repeat - symptom is not the problem. problem is the cause of symptoms we see.

You have to eliminate symptomatic causes till you are left with the essential problem. Problem-solving process involves the following steps.

1. SEE THAT THERE IS A PROBLEM
2. DEFINE IT
3. SPECIFY THE NATURE OF THE PROBLEM
4. GENERATE POSSIBLE SOLUTIONS
5. DEFINE CRITERIA FOR MAKING A DECISION
6. LOOK FOR OPTIMAL SOLUTION
7. MAKE THE DECISION
8. IMPLEMENT IT AND FINALLY
9. CHECK THAT IT HAS WORKED.

### 4.3. Types of Problem-Solving

Following classification of problems is presented:

- **Analytic Problem Solving:** It involves a situation in which there is only one correct answer or result. In this situation,

$$2 + 2 = X$$

$$2 + 2 = 4$$

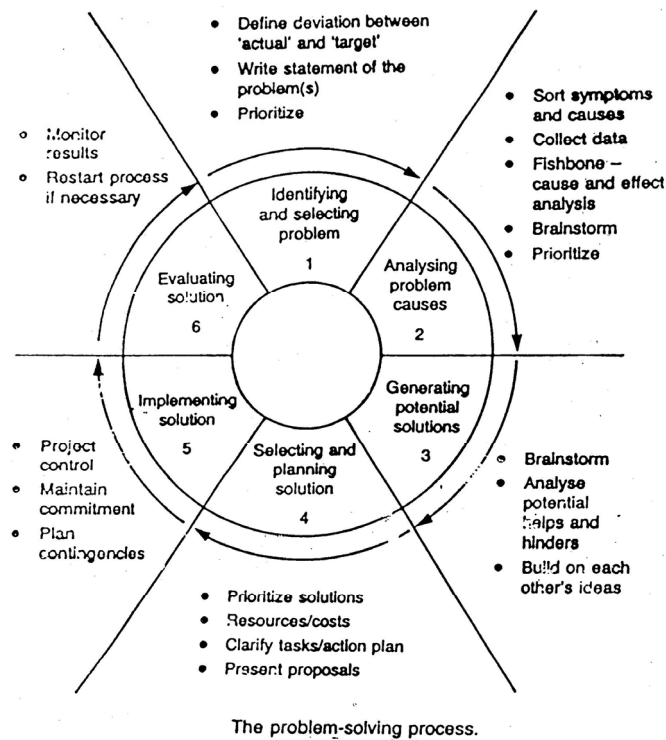
- **Judgmental Problem Solving :** Judgmental Problem solving frequently offers the problem solver a limited choice of alternatives.
- **Creative Problem Solving :** Creative problem solving is the type of problem solving people do 90 percent of the time. The range of alternatives is very broad, much more so than in judgmental problem solving.
- **Decision Making and Problem Solving:** Decision-making is part of the problem- solving process. Problem solving involves the consideration of a number of possible solutions for the situation.

### 4.4. Problem -Solving Skill

In literature below cited problem solving skills are quoted: -

- Recognize problems when and where they exist.
- Anticipate developing problems while they are still in an embryonic stage.
- Determine an objective or goal, that is, the results desired when the problem is solved.
- Generate several possible solutions to the problem.
- Evaluate systematically the possible solutions against a set of predetermined criteria, and thus lead to an effective, appropriate solution.
- Plan for the implementation of the solution in an organized manner.
- Evaluate the results of the solution and monitor for future problems.

Diagram 1 : The Problem-Solving Process



#### 4.5. Problem Solving Vs. Decision Making

##### Problem Solving

- Identify and try to understand the problem
- Collect relevant information and reflect on it
- Develop solutions
- Select the best solution
- Implement it

##### Decision Making

- Identify the objectives (goals) of the decision
- Find alternative ways of meeting these objectives
- Determine evaluation criteria/ techniques
- Select best course of action
- Implement it

## 4.6. Let us sum up

Problem is a discrepancy or difference between an actual state of affairs and a desired state of affairs. It is a process of resolving unsettled matters – of finding an answer to difficulties – and enabling changing the state of affairs to the desired state. The ability to deal with problem effectively is a major requirement of management. It involves a blend of knowledge, skills and judgement.

- Knowledge of people, tasks and organizational influences such as policy, objectives and procedures.
- Skills in identifying, analyzing and finding solutions to problems.
- Judgement to assist in making decision throughout the problem solving process.
- The first stage in the problem-solving process is recognizing that a problem exists. The effective manager will try, as far as possible, to anticipate problems or identify them when they first occur. Problems can be diagnosed through:
- Continuously monitoring performance to reveal when things are not going as planned;
- Listening to subordinates to detect concerns about their work, the organization and relationships with colleagues and management;
- Observing subordinates' behaviour, looking for the unusual or inconsistent which may be a symptom of some underlying problem.
- Once a problem has been diagnosed it must be clearly understood before a decision is made on what do next.

Following are the steps in the Creative Problem Solving in teams:

- Understand the problem
- Generate alternatives to solve it
- Evaluate the alternatives
- Select the best alternative to solve the problem
- Plan for implementation
- Test that solution works
- Review.





## Unit-5

# Strategic Management

### Structure

- 5.0. Objectives
- 5.1. Introduction
- 5.2. Concept of Strategy
- 5.3. Strategic Management Process
- 5.4. Steps in Strategic Management
- 5.5. Benefits of Strategic Management
- 5.6. Let us sum up

### 5.0. Objectives

*After studying the lesson, students will be able to:*

- Recall the definitions of 'Strategic Management', mission, vision, strategic intent etc.
- Enumerate the various steps in the process of strategic management.
- Comprehend the various stages in the process of strategic management.

### 5.1. Introduction

Global competition, advances in technology, demand of customers, and government policies force an organization to think about the future plan to grow in the business. Customer service, teamwork, speed, product/public service quality, productivity improvement etc., have become the new corporate mantras. Strategy provides a framework for guiding the choice of actions. It is a broad articulation of the kinds of products the organization will produce, the basis on which its products will

compete with those of its competitors, and the types of resources and capabilities the firm must have or develop to implement the strategy successfully.

## 5.2. Concept of Strategy

According to Chandler, “Strategy can be defined as the determination of basic long term goals and objectives of an enterprise and the adoption of courses of action and the allocation of resources for carrying out these goals”. Anthony, defines strategic planning as: “the process of deciding on the objectives of the acquisition, use and disposition of the resources.” These definitions provide us an idea of the concept of strategy.

Some of the areas where an organization can establish goals and objectives are:

1. *Efficiency* (reduction in costs)
2. *Profitability* (increase in net profits)
3. *Growth* (increase in total assets, sales etc.)
4. *Wealth for shareholders* (dividend)
5. *Resource utilization* (return on investment, return on equity)
6. *Brand reputation* (of being considered a “leading” firm)
7. *Contribution to employees* (job security, compensation)
8. *Social contribution* (taxes, community service)
9. *Leadership of market* (market share)
10. *Leadership in technology* (innovation, creativity)

**Policies:** Policies can be considered as a guide to action or channels for thinking. Policy provides a definition of the common purpose for the organizational components as a whole.

## 5.3. Strategic Management Process

The process begins with an organizational assessment, the identification of long term goals followed by strategies and actions required to reach those goals. Unlike



most planning processes, the Apollo Strategies Planning Process continues with an execution and evaluation component which ensures full implementation of the plan.



Fig-2: Strategic Management Process

Strategic Management process that could be followed in a typical organization is presented in **Fig. 2**. The process takes place the following stages:

- I. Strategic planner has to define what is intended to be accomplished (not just desired). This will help in defining the objectives, strategies and policies.
- II. In the light of stage I, the results of the current performance of the organization are documented.
- III. The Board of Directors and the top management will have to review the current performance.
- IV. In view of the review, the organization will have to scan the internal environment for strengths and weaknesses and the external environment for opportunities and threats.
- V. The internal and external scan helps in selecting the strategic factors.
- VI. These have to be reviewed and redefined in relation to the mission and objectives.
- VII. At this stage a set of strategic alternatives are generated.
- VIII. The best strategic alternative is selected and implemented through programme budgets and procedures.
- IX. Monitoring, evaluation and review of the strategic alternative chosen is undertaken in this mode. This can provide a feedback on the changes in the implementation if required.

## 5.4. Steps in Strategic Management

*There are three steps in the process of Strategic Management:*

### **Step 1: Strategy Formulation**

Formulation of strategy is referred to as *strategic planning* and is concerned with the development of an organisation's mission, objectives, strategies and policies. The starting point is the situation analysis, i.e. SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis. Here, we do the SWOT analysis as Strengths and Weaknesses along with Opportunities and Threats form the strategic factors for an organization. SWOT analysis should help in identifying the distinctive competence of the organization. This includes the particular capabilities and resources that an organization possesses, the superior way in which they are used and the identification of opportunities that the organization is not able to take of adequate resources.

### **Step 2: Strategy Implementation**

Strategy implementation refers to the sum total of the activities and choices required for execution of a strategic plan. It can be referred to as a process by which strategies and policies are put into action by programmes, budgets and procedures,. Implementation is a key component of strategic management. Strategy formulation therefore, imperative to have a good strategy and a proper implementation. The implementation process has to answer the following questions:

- Who will carry out the strategic plan?
- What should be done to align the organization's operations in the new direction?
- When and how should everyone concerned respond?

### **Step 3: Strategy Evaluation**

- Determine what to measure—this means that the processes and results must be capable of being measured in an objective and consistent manner.

- Establish performance standards—these specify the measures of acceptable results, i.e. they provide a tolerance range.
- Measurement of actual performance.
- Compare actual results with standards.
- Take corrective action—this becomes necessary when the actual results are outside tolerance range. Before acting, the manager has to determine whether the deviation is due to chance fluctuation or whether the process is correct and appropriate.

## 5.5. Benefits of Strategic Management

Studies have revealed that organizations following strategic management have outperformed those that do not. Strategic planning ensures a rational allocation of resources and improves coordination between various divisions of the organization. It helps managers to think ahead and anticipate problems before they occur.

### *CONVERGENCE RELATED ISSUES IN EXTENSION*

The combination of multiple services through pluralistic extension channels from a single provider or a single window is the key in ATMA and SREP where the district level ATMA has to bring this dovetailing efforts on a PPPP (Public, Private, Panchayat, Partnerships) , wherein the information/knowledge or opinions and issues are heavily orchestrated and harmonised and echoes as a single strategic decision for the farmer to take up based on the scientific, technical, economic, and environmental feasibility in question for the farmer and the country as a whole.

## 5.6. Let us sum up

Strategic Management Process involves defining the objectives, review of current performance, scanning of internal environment for identification of weaknesses and the closer look to the external environment for searching out the opportunities of threats. Internal and external scanning of environment helps in selecting the strategic factors. In



the process vision, mission, and the corporate objective of the organization are defined.

Strategic Management follows three steps:

- Strategy formulation
- Strategy implementation
- Strategy evaluation
- Strategic Management has the following benefits to the organization:
  - Defining focus on which organization has to focus.
  - Better understanding of the rapidly changing environment.



## Unit- 6

# Implication of Management Techniques in Agricultural Extension

## Structure

- 6.0. Objectives
- 6.1. Introduction
- 6.2. Application of Management Principles and Techniques in Agricultural Extension
- 6.3. Changing Role of Extension Managers in the context of Globalization in Agriculture
- 6.4. Management of Agriculture and Rural Development Programmes
- 6.5. Let us sum up

## 6.0 Objectives

- Know the importance and significance of management principles and techniques in extension
- Understand the management process in agriculture and rural development programmes

## 6.1 Introduction

The present situation has been created due to concentration on resource-based farmers on irrigated tracts with capital-intensive technological options for a few crops. This approach has led to social inequality by creating pockets of prosperity covering hardly thirty per cent of the area, while seventy per cent constituting primarily marginal and small farmers has to operate under constraints of extremely limited capital resource

base, traditional modes of operation, low productivity of the land and abundance of family labour. Hence, for sustainable agricultural production, agricultural extension is required to reorient its concept and change its approach. Besides sustainability and increase in productivity it is necessary to bring about equality to reduce regional or group imbalances.

To achieve this objective, emphasis has to be given on generation of appropriate technology through participatory research. The aim is to develop a basket of choices available to the complex, diverse and risk prone agriculture in the developing countries of the world. Extension can contribute considerably in this respect by helping the scientists to develop knowledge of the resource poor farmers and their indigenous technical know-how and by analysis of agro-ecosystem-technology interdependence.

Any extension effort directed towards development operates through two mutually dependent and interacting mechanisms namely the delivery and receiving/utilizing mechanisms. For resource poor villagers along with delivery mechanism equally important are also receiving/utilizing mechanisms, as they constitute client group. It has been felt that in such cases group approach or small group structure is needed for giving the poorer sector a group personality, initiative and bargaining power, as the priorities of the disadvantaged small people differ from the community as a whole.

Here question comes of management of agricultural extension or in other words how extension could be reoriented and redesigned through application of management techniques to suit the present needs of clients i.e. market demand in the context of globalization in agriculture. Following sections will provide that information.

## **6.2. Application of Management Principles and Techniques in Agricultural Extension**

Traditional notions and simple rules of thumb have long vanished and have gradually given place to principles and methods derived from a systematic study and

application of scientific management making it more efficient and effective for achieving better economic results or output. New concepts and techniques available in modern management science are fast changing to meet fresh requirements. More sophisticated information processing technology, qualitative and quantitative analytical techniques are reshaping planning, decision-making and controlling. There is a growing managerial understanding and use of behavioural concepts, which are fast altering our thinking in organizing, leading and staffing.

It would be meaningful to understand how scientific methods can be applied effectively and efficiently in agricultural extension management to accomplish the desired objectives of it. Generally, there are seven important steps involved in the application of scientific methods in management and its strategy building. These are:

1. Identifying the proposition of extension programmes and projects;
2. Preliminary examination of the proposition in relation to its implementation;
3. Stating tentative solutions to the proposition;
4. Thoroughly investigating the proposition through monitoring and evaluations;
5. Classifying the data/information received or obtained as per the programme structure;
6. Stating tentative answers/solutions to the proposition and
7. Stating answers to the proposition for adjustments and final evaluation.

### **6.3 Changing Role of Extension Managers in the Context of Globalization in Agriculture**

How well a manager can coordinate the efforts of the specialists in an organization will determine his qualification for higher jobs and greater responsibilities in the organization.

A manager while keeping abreast of all these changes must view them in their true perspectives and strive for coping with them.

In the context of globalization in agriculture, extension manager's major role would help the farmers to become competent decision maker in their farming endeavours. An effective extension manager has to function as a leader, coordinator, decision maker, human relation practitioner and motivator to enthuse clients, farmers and other extension personnel to be inspired to attain the mandated objectives of the programme and helping each other for every stakeholder's satisfaction and contentment.

#### **6.4 Management of Agriculture and Rural Development Programmes**

Rural development programme which encompasses agriculture and other essential areas must be seen in totality and as part of the organizational function or responsibility. As we all know an organization is a structure made up of two or more people who accept coordinated direction to achieve certain goals. It refers to a total system of relationships, arrangements and procedures of which the structure is a part. In an organization, there will be a *formal structure* consisting of a pattern of positions, and parts created by those in-charge of an enterprise which forms the institutional framework within which it operates, and the *informal structure*, a pattern of relationships which grows up as a result of interaction between people in the organization.

In any organization, there are four aspects in common: (1) a set of objectives, (2) a set of individuals in organization, (3) more or less clearly differentiated responsibilities for its members and (4) structure or system of coordinative relationships.

#### **ETHICS & VALUES RELATED TO SERVICE DELIVERY**

Agricultural Extension which is based on the faith of life long out of school learning for all stake holders tend to be better targeted to the poor by building local relationships and collaborative partnerships, helping people put scientific knowledge to work through learning experiences that improve economic, environmental, and social well-being.



### *Core Values of Agricultural Extension as Service delivery*

- **Inclusion of all stakeholders and partners** in programming and discussions related to issues that affect agricultural enterprises, the family, and the local community.
- **Integrity of information** is maintained through unbiased and relevant research.
- **Science-based knowledge** is gathered from the research of highly respected extension workers.
- **Engagement** of each partner in developing solutions for the challenges faced by the family, on the land, or in the community.
- **Partnerships** with all universities, state and federal agencies, community organizations, local and state governmental representatives, and other groups that provide access to vital resources.
- **Individual relationships** between Extension educators and specialists with farmers, families, and local community representatives.
- **Good stewardship of public trust** where investments of time, money, and intellectual resources are effectively applied to responding to local issues.

Extension is committed to providing access to unbiased, scientific information related to locally defined issues; a presence in local communities; the establishment of strong partnerships and collaborative coalitions; and innovative service to the commonwealth.

Developers of technology claim ownership and that makes the differences between a rich nation and a poor nation. There is a great deal of social responsibility on part of Extension workers during service delivery, Social responsibility, scientific values and professional ethics of extension workers are the great attributes that draw the line of difference between a research organization and any other organization. A extension workers is more like a composer or an artist since his intuition and personality play a significant role in opening up of pathways of service delivery. Many great extension workers of the past were great personalities with a strong sense of imagination. Qualities

such as deep interest, persistence, have often been identified with successful extension workers. One can go on listing several qualities for extension workers. But all the great extension workers have shown respect for scientific values and professional ethics. One qualifies as an extension worker at the expense of the state and continues to work and live at the expense of the state. The element of trust reposed on an extension worker is perhaps unmatched and yet there are no stringent accountability measures on extension workers. Should extension workers justify the research findings during transfer of technology or should situation demand the technology from extension workers during service delivery.

### *Stimulation of quality*

The efficiency in extension is based on a good commercial idea e.g., EMU farming, which attracts many extension workers and the financial support from competent authorities. These two attributes not only stimulate quality in research but also demand. Professional ethics play a major role in stimulating quality. A good idea may suffer due to lack of quality efforts and substantial financial back up may be wasted if professional ethics are flouted.

### *EMU farming ethics- a case study - Should extension workers promote it or not? Analyse:*

EIFA Emu Industry Federation of Australia is the peak industry body in Australia. Emu farming is a highly regulated industry and all farmers are licensed by the Government. All birds used for the purposes of Emu Farming are derived from the farms and no birds are removed from the wild. The emu is native to Australia and is a protected species, therefore, it is illegal to export live genetics out of Australia, including birds, chicks or eggs.

The Emu (*Dromaius novaehollandiae*) is a large flightless bird, native to Australia. It is featured on the Australian Coat of Arms, along with a kangaroo and a wattle sprig. The emu is a member of the ratite family. The medicinal effects of emu oil have been

recognised for a long time (but are only now being confirmed by medical research) and emu meat has all the benefits of other game meats, so interest in emus and emu farming is increasing.

The Emu is an Australian flightless bird which can grow up to 5 Feet tall and can weigh about 50 Kg. The Emu bird can live for as long as 40 Years and can lays eggs for 20 years. The Aborigines (an Australian Tribe) have been hunting down the emu birds for their meat, oil, skin, leather, feathers and nails. The oil extracted from the bird's fat is said to have many medicinal properties. Emu oil has been used by the Australian Aborigines for years due to its pain relieving properties. Emu meat has very minute fat content and tastes as good as beef. It is highly recommended to heart patients and diabetics.



The Emu farming business prospered when the emu birds were taken to USA and bred there. Ever since then the emu business has been growing rapidly. Although, Australia has currently banned the export of live emu and fertile eggs to other countries, it is the largest exporter of emu meat, emu oil and emu leather.

Emu Farming in India came into existence during the mid-1990 when 350 Pairs of emu birds were imported from USA to South India. Emu farming is now very well established in states of Maharashtra, Tamil Nadu, Gujarat and Andhra Pradesh. It is estimated that there are about 2,500 emu farms all over India. This business is now rapidly spreading to the states of Punjab, Himachal Pradesh, Haryana and Uttaranchal. Farmers are investing in the emu business and are setting up a lot of large hatcheries and breeding farms. As this business is new in the North Indian states, there are currently no emu meat and oil processing units. Presently emu farming is also being

supported by various government organizations all over India which are providing farmers with lucrative subsidies and offers.

Many farmers are shifting to emu farming and are currently selling emu chicks and breeder pairs to other aspiring farmers. Apart from selling emu chicks, certain farms are extracting emu oil and processing emu meat for the domestic market. This area is still under development and it is very unlikely that the demand for emu meat is going to spread across the country. Emu oil has many medicinal properties but the oil processing units present do not qualify for export into the international market.

Due to the rapid growth of this business it is expected that this business will get saturated in the next 5-7 years. Although there is a very huge export market for emu meat, oil, leather and fertile eggs, it is very difficult for the Indian emu farmers to meet their stringent quality control regulations. This is mainly due to the lack of modern slaughtering houses and oil extraction units. The lack of consultants with proper technical skills is also a major problem due to which the farmers are unable to set-up proper emu meat and oil processing units. Emu farmers in India still have a few years to improve their facilities and farms so as to meet the requirements of the international market. This will also prove to be very expensive due to the sophisticated machinery that is required to maintain such facilities.

Thus, the only way for emu farming to survive in India is to rely on the international export markets. This is a very difficult task to accomplish, and can only be achieved with the help of skilled technical consultants who have a thorough knowledge of the international market rules and regulations related to emu products. It is the right time for emu farms in India to improve and stand up to the global expectations and make a name for themselves in the international market.

The fact is that emu meat is a failure. It is tough and difficult to cook. In fact even Australians do not eat emu meat. Susi started a restaurant with emu meat as the main fare. No takers. The emus require lakhs to feed. They grow to 6 feet. They have to be

feed several times a day, 4 kg. of food each. They eat seeds, fruit, insects, young leaves, lizards, other small animals and animal droppings. They do not eat dry grasses or older leaves, even if that's all that is available to them. Emus also need charcoal to help them digest their food.

Each requires 10 litres of water daily. The female lays eggs only during October to March and the maximum number are 10-20 eggs, one every 3-5 days. Emus lay eggs with difficulty. Only a few lay eggs at one time and an incubator is needed to hatch them. But incubators are uneconomical unless there is a reasonable quantity of eggs to sustain the cost of production. They get diseases like encephalitis.

As far as selling them for food, the price of emu meat is Rs. 450 a kg – an impossible price. The egg sells for Rs. 2,200. The eggs are dark green and very difficult to eat at one go and impossible to keep. In 2010 Punjab Agro Tech promoted the emu at its business fair, saying that omelettes of its eggs were selling at Rs. 5,000 per omelette in 5 star hotels – a claim found to be utterly false. In fact, 5 stars do not even have emu on their menus. The egg is never sold because it is too expensive and it is needed for breeding more birds. After 15 years there are still not enough eggs in India to make a business out of selling them.

Now the emu companies are claiming that they will sell feather and nails, cooking oil and beauty products!

If the emu was being grown for meat and oil, any emu business has to have a slaughterhouse to kill the birds hygienically and another unit to process oil. No companies have these. They simply have birds which they contract out, take the money and run.

These emu contract businesses that offer Rs. 350 a bird and more are simply conning the farmer as this is unviable. If the company tells the farmer to bring in more investors, it is definitely planning to take and run.

There is no meat market developed yet for export or for local sale and no symptoms of it so far. In any case there are no foreign offers for the meat. So far the oil processing and other industrial ventures remain only in newspaper and radio advertisements.

An entrepreneur in Anand, Gujarat who expected to reap huge profits from killing the bird, is now selling them away as pets. The farmers of Hoshiarpur are now bankrupt as are the emu farmers of Maharashtra - a scam that broke in 2010 and was ignored.

Uttarakhand , Maharashtra and Tamil Nadu have crashed. But that doesn't prevent more states and more ignorant state administrations from pushing emu meat. Goa, Orissa and Madhya Pradesh are pushing this. Bihar's ignorant animal husbandry and fisheries resources department minister is asking the World Bank to give Bihar money to start emu farming! His department says that they will sell it as a medicine saying that its oil has anti-inflammatory and anti-oxidative effects - a claim that Australia does not make! Previously he had tried to make rat eating popular. Many farmers will have to commit suicide before India bans emu farming.

Taking birds and animals outside their natural habitats is considered cruelty in itself, and for that reason emu birds, The flightless birds are now staring at another disaster: Thousands of them face mass killing or starvation death after the emu business model burst, investors were lured into the business over more than a decade, with the promise that emus presented a good business opportunity, because emu meat was lean and the eggs provided another revenue stream. Another claim was that emu oil had anti-inflammatory and anti-oxidant properties. Many investors paid upward of Rs 40,000 per pair of emus, trusting that the bird's meat would sell for Rs 500 per kg and the return on investment would be as swift as the ostrich-like bird is. Their hopes have been shredded to mincemeat as some farm owners have gone missing, the economic offences wing has registered cases against some of them, and some farms are reportedly selling emu meat in an effort to realise some cash flow.

That has prompted animal rights organisations to plead for the birds. The Federation of Indian Animal Protection Organisations wants nothing short of a ban on emu farming in the country. "People are being duped and the birds are paying the price for it. We want complete prohibition of emu farming to rule out more people or birds being victimised in this failed business venture

## **ETHICAL DILEMMAS**

There are two types of problems linked to professional ethics in Extension.

### **Individual extension workers**

Any extension workers has a major role and responsibility in the stimulation of quality in extension like emu farming. The most important aspect in this direction is the professionalism at work by the individual extension workers. The technical and economic feasibility are of prime importance for agricultural extension workers. There should be no scope for compromising these two values in carrying out Extension work. The accuracy of data is predominantly dependent on these activities. Professionalism is absolutely essential through attention to detail, accurate observation, correct procedures for sampling and subsequent analysis. The accuracy of data is the single most important attribute for publication of results and their subsequent transfer. Irresponsible and careless approach to the, analytical techniques and to the data leads to worst consequences for the entire project as well as the individual extension workers. Right to mistake is a fundamental right of the extension workers but it should not be misused. Ignorance and carelessness can never be forgiven. We assume that feedback from the field data results are correct but if they turn out to be bogus, it can lead to the scientific death or isolation. In approaching a solution for the extension problems like emu farming an extension workers is expected to study the previous results published, follow new publications, refer to all publications regardless of personal feelings towards other authors, should exercise his/her right to express opinions freely and not to ignore others results. Professional ethics also come into picture while publishing the

results. Respect for professional ethics and norms play an important role in activities of extension workers.

## Organization of Extension promotions

Ethical problems arise while promoting new technologies and enterprises like emu farming to a farmers group, a department or in a project. It should be ideally based on actual field results. Quite often the promotion is based on administrative power or clout. Many extension workers show personal interest to seek positions of administrative power, or membership in a council, or a committee, etc. There is a tendency to spend substantial time in administrative work in a bureaucratized extension organization. There is also another tendency for extension workers who reaches a middle level in the hierarchy to feel that he has done enough and that he should now 'sit, guide and administer' rather than actively involve in research activity and offer leadership. An extension workers of high reputation and seniority is usually fanatically convinced of his/her correctness. A junior who questions the results and conclusions of seniors is considered as 'irrelevant', 'undisciplined' 'talks too much' and so on. A junior stands the risk of being ridiculed, harassed, rebuked and even threatened. Such situations can not only ruin the self-confidence of upcoming bright youngsters, the general organization of science in terms of culture and temper suffers. A kind of negative traditions may set in where in a doctrine rules that " Seniors are right whether you like it or not". Extension workers have to overcome personal feelings and sometimes may have to act contrary to his personal interests for the sake of science and research in particular. Subjective phenomenon is normal in research while objectivity and tolerances are an obligation for any extension workers. While we talk of promoting scientific tolerance, intolerance towards ignorance, carelessness, irrationality and non-professional approach is permitted and justified as well. If an extension workers fulfills the expectations of his organization, he or she feels certain about oneself, independent with inner freedom and equilibrium. Such feelings support his ethical behaviour and he or she will be sound in professional knowledge and skill. An extension workers with no professional knowledge



can be called a “man-in-the-wrong position”. Such a person has no confidence, no stability of his opinions, can never be independent. His/her position defines their behavior, and can never follow principles. Such persons always choose coworkers who are ready to toe their line for his/her image.

If we are talking of lack of ethics and values in extension organization, we all are, individually and collectively, responsible for the state of affairs. It is worthwhile to make a beginning in the right earnest. One last word of advice - avoid fashion in extension and avoid unfair competition for position, privileges and honours. The farmers and the country's benefit is of utmost importance.

## 6.5 Lets us sum up

Agricultural extension is a part of the technology transfer system, which is primarily concerned with transmitting information and knowledge of important agricultural technology from research to farmer. As with research, extension requires adequate human and financial resources with the technical and management skills and knowledge associated with new technology to be disseminated to farmers. There is a myth that good technology will spread by references among farmers by word of mouth. There is no doubt that farmer to farmer diffusion is important but extension organization is essential to accelerate this process and to make sure that an appropriate and valid technology is being disseminated.

Access to agricultural technology presumes that the national agricultural research sub-system has developed and adapted an appropriate technology for farmer use. Weak linkages between research and extension are recognized as probably the most serious institutional problem that constrains the flow of technology to farmers in many countries.

**AEM-103**  
**Principles and Practices of Extension Management**  
**(3 Credits)**

**Block-II**  
**Human Resource Management**

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## Unit -1

# Human Resource Management in Extension

### Structure

- 1.0. Objectives
- 1.1. Introduction
- 1.2. Importance and significance of Human Resource Management in Extension
- 1.3 Effective Planning and Process of Human Resource Management in Extension
- 1.4. Manpower Recruitment, Selection and Orientation training in Extension
- 1.5 Let us Sum up

## 1.0 Objectives

*After reading through this unit you will be in a position to :*

- ◆ Know the importance and significance of Human Resource Management;
- ◆ Identify the Planning and Development Process of Human Resources;
- ◆ Know the manpower selection and recruitment in extension and
- ◆ Understand training process of manpower in extension;

## 1.1 Introduction

As we all know, Extension is a professional communication intervention to change the voluntary behavior of people with a presumed public or collective utility. In the meantime, Extension education is an applied science consisting of content derived from research, accumulated field experiences, relevant principles drawn from the behavioural sciences synthesized with useful technology into a body of philosophy, principles, content and methods focused on the problems of out-of-school education for adults and youth. Since extension is an educational system, the knowledge and skill levels of its professional personnel are of prime importance. The success or failure of extension

system depends largely on having adequate number and mix of competent extension personnel. Thus, the level of education, training and experience of extension administrators/supervisors, subject matter specialists and field extension staff are important in assessing the adequacy of extension's human resources.

We also are aware of the inevitable requisite of personnel management. Good personnel management is also essential because the field staff is widely dispersed, its task is educational, and personal initiative, especially on the part of the frontline personnel, is required for the success of the programme.

Now, let's come to the terminology of the present topic of concern, the Human Resource Management or simply HRM. It can be unequivocally stated that, HRM refers to a set of programmes, functions and activities designed and carried out in order to maximize both employee as well as organizational effectiveness. Human Resource Management differs from personnel management both in scope and orientation. Human resource management views people as an important resource or asset to be used for the benefit of organizations, employees and society. It is emerging as a distinct philosophy of management aiming at policies that promote mutuality-mutual goals, mutual respect, mutual rewards and mutual responsibility. The belief is that policies of mutuality will elicit commitment, which in turn will yield both better economic performance and greater human resource development. Though it is a distinct philosophy, human resource cannot be treated in isolation. It is being integrated into the overall strategic management of business. Further, human resource management represents the latest term in the evolution of the subject. Personnel Management has limited scope and inverted orientation. It viewed labour as a tool, the behaviour of which could be manipulated for the benefit of the organization.

### ***Human Resource Development***

In simplified terms, Human resource development process is denoted as the means by which personnel are recruited, trained and put into use depending upon their skills,

knowledge and potential as per the need of the job and keeping in line with organizational objectives. Human Resource development process also take care of employees' interest and their future prospects so as to make every employee satisfied and contended for their maximum contribution in organizational growth.

### ***Objectives of HRM***

We know well that objectives are pre-determined goals to which individual or group activity in an organization is directed. Here, with regard to HRM, the major objective is to ensure the availability of competent and willing workforce to an organization. Beyond this primary objective, there are secondary and tertiary objectives too. Specifically, HRM objectives are four fold: Societal, organizational, functional and personal.

### ***Societal Objectives***

Societal objectives take care of requirement to be ethically and socially responsible for the needs and challenges of society while minimizing the negative impact of such demands upon the organization. It is often found that the failure of organizations to use their resources for society's benefit in ethical ways may lead to restrictions. For example, the society may limit human resource decisions through laws that enforce reservation in hiring and laws that address discrimination, safety or other such areas of societal concern.

### ***Organizational Objectives***

Organizational aims take care of the necessity to recognize the role of human resource management in bringing about organizational effectiveness. A major factor to be noticed here is that, HRM is not an end in itself; it is only a means to assist the organizations with its primary objectives. Simply stated, the department exists to serve the rest of the organization.

### ***Functional Objectives***

As the name indicates, the functional objectives take care of maintaining the department's contribution at a level appropriate to the organization's needs. Resources are wasted when human resource management is either more or less sophisticated to suit the organization's demands. It is imperative that, the department's level of service must be tailored to fit the organization it serves.

### *Personal Objectives*

This simply focusses on assisting employees in achieving their personal goals, at least in so far as these goals enhance the individual's contribution to the organization. Personal objectives of employees must be met if workers are to be maintained, retained and motivated. Quite often otherwise, employee performance and satisfaction may decline and employees may leave the organization. Hence, HRM plays crucial role in Agricultural Extension Management.

### *HRM vis-à-vis Personal Management and HRD: A Paradigm shift?*

Cynics might point to the fact that whatever term we use, it is finally "about managing people". The answer to this would be that the way in which people are managed says a lot about the approach that the firm is taking. For instance, traditional manufacturing units had personnel managers whereas the services firms have HR managers. Most often students of management and laypeople hear the term HRM or Human Resource Management and wonder about the difference between HRM and the traditional term Personnel Management. In earlier times, the Personnel Manager of a factory or firm was the person in charge of ensuring employee welfare and interceding between the management and the employees. In recent times, the term has been replaced with HR manager.

### *Human Resource Management*

With the advent of resource centric organizations in recent decades, it has become imperative to put "people first" as well as secure management objectives of maximizing the ROI (Return on Investment) on the resources. This has led to the development of the

modern HRM function which is primarily concerned with ensuring the fulfillment of management objectives and at the same time ensuring that the needs of the resources are taken care of. In this way, HRM differs from personnel management not only in its broader scope but also in the way in which its mission is defined. HRM goes beyond the administrative tasks of personnel management and encompasses a broad vision of how management would like the resources to contribute to the success of the organization. The new HRM model is composed of policies that promote mutuality-mutual goals, mutual influence, mutual respect, mutual rewards and mutual responsibility. The theory is that policies of mutuality will elicit commitment which in turn will yield both, better economic performance and greater human development.

### *Personal Management*

Traditionally the term personnel management was used to refer to the set of activities concerning the workforce which included staffing, payroll, contractual obligations and other administrative tasks. In this respect, personnel management encompasses the range of activities that are to do with managing the workforce rather than resources. Personnel Management is more administrative in nature and the Personnel Manager's main job is to ensure that the needs of the workforce as they pertain to their immediate concerns are taken care of. Personal management in simpler terms is about mapping a plan for your life that will involve setting short-range and long-range goals and investigating different ways to reach those goals. Education, training, and experience all help make your goals become a reality. To achieve your goals, you will choose the best path and make a commitment to it, while remaining flexible enough to deal with changes and new opportunities. Planning, organizing, directing and controlling of the procurement, development, compensation, integration, maintenance and separation of human resources to the need that individual, organizational and societal objectives are accomplished.

### *Human Resource Development*

Now let us look into the relevance of another important terminology, the Human Resource Development or HRD. It is the integrated use of training, organization, and career development efforts to improve individual, group and organizational effectiveness. HRD develops the key competencies that enable individuals in organizations to perform current and future jobs through planned learning activities. Groups within organizations use HRD to initiate and manage change. Also, HRD ensures a match between individual and organizational needs. It is the process of helping people to acquire competences. In an organizational context, HRD is a process by which the employees of an organization are helped in a continuous and planned way to:

- Acquire or sharpen capabilities required to perform various functions associated with their present or expected future roles
- Develop their general capabilities as individuals and discover their inner potential for their own or organizational purposes.

## **1.2 Importance and Significance of Human Resource Management in Extension**

It can be proclaimed that, Extension is a central mechanism in the agricultural development process both in terms of technology transfer as stated before and also human resource development in agriculture. This is very much applicable in most of the Asian nations as agriculture, its production process, person involved in the operation and this country's national agrarian economy are encompassed in its holistic development of agriculture. It is imperative that the extension machinery should be a strong link in the chain of development in Agriculture.

A thorough examination of agricultural extension in national and international contexts raises various important issues. Agriculture is the most well integrated sector of the economy throughout the world and agricultural extension is the nucleus of the agriculture cell. The development of agriculture is mostly dependent on the effectiveness of agricultural extension - its services, methodologies and processes. If



extension network is effective there will be no reason why proper agricultural technology will not reach to its users for its efficient adoption.

The extension education is the only means through which the desired transformations can be brought about in the agricultural land productivity of the farming community. It is in this perspective that technology development (through research) and technology transfer (through extension and education) have been identified as key inputs indispensable for developing and sustaining a productivity led agricultural sector. Yields are the eventual consequences of developmental efforts, and extension impact would be reflected more in yields than in other measures. Technological innovation has been a key element in the growth of agriculture throughout the world. But professional in agricultural development are gradually realizing that modern agricultural science and technology have a certain bias which causes a different impact on population, the low price for agricultural produce, structural changes, nomadic and sedentary agriculture as well as apparent short-term success of introduction of modern technologies and its appeal to study the more professional systems no longer seem to satisfy the needs of the people. Therefore, there is an urgent need to develop a holistic/integrated approach to combat the problems of agricultural production and productivity and find out viable solutions to satisfy the various needs of the people of the developing countries around the world. And perhaps, therefore, it is an inevitable requisite that agricultural extension and its service strategies have to be changed.

Further, the world is changing and changing very rapidly. Consequently, agriculture and rural developments are also subject to a variety of changes. In the process 'extension' has also been changing both in concept as well as in practice in the form of change instrument to meaningfully address the changing priorities and emerging challenges. One manifestation of such a transition in extension is the recent realization of pluralism in it even though it existed inherently in extension. What remains largely unchanged in this rapidly changing gamut is the plight of millions of

farmers and rural people. Hence, if these marginalized sections of populations are to be mainstreamed in to the economic development process, we must acknowledge, support and get the best out of plural extension service providers. The future extension necessarily will be pluralistic. However, the wisdom lies in combining the good management practices of diverse extension structures often working with diametrically opposite motives to 'serve' the rural and agrarian population including farmwomen. This is where a paradigm shift with associated strategic leads like the ones presented in this unit need to be discussed, debated and a comprehensive road map prepared for future extension to support rural and agricultural development in sustainable manner keeping in pace with the changes in global agriculture. And to face the challenges of globalization the extension has to be managed professionally by building capacities of its managers working in different strata of extension services and function. In this context, the importance of human resource management, assumes significance.

The components of the human resource management among other things include planning, recruitment, selection and orientation.

### **1.3 Effective Planning and Process of Human Resource Management in Extension**

#### *Meaning and Definition*

Human resources planning (HRP) is a process that identifies current and future human resources needs for an organization to achieve its goals. HRP should serve as a link between human resources management and the overall strategic plan of an organization. Ageing worker populations in most western countries and growing demands for qualified workers in developing economies have underscored the importance of effective Human Resources Planning. In simple words, HRP is understood as the process of forecasting an organization's future demand for, and supply of the right type of people in the right numbers. It is only after that the HRM department can initiate a recruitment and selection process. HRP is a subsystem in the

total organizational planning. Organizational future and determine the appropriate means for achieving those objectives. HRP facilitates the realization of the Organizational objectives by providing the right type and the right number of personnel. HRP, then, is like materials planning that estimates the type and quantity of the materials and supplies needed to facilitate the manufacturing activities of the organization. HRP is also called manpower planning, personnel planning or employment planning. Ageing worker populations in most western countries and growing demands for qualified workers in developing economies have underscored the importance of effective Human Resources Planning.

*A few definitions of HRP are worth quoting here:*

- HRP “includes the estimation of how many qualified people are necessary to carry out the assigned activities, how many people will be available and what, if anything, must be done to ensure that personnel supply equals personnel demand at the appropriate point in the future.
- Specifically, HRP is the process by which an organization ensures that it has the right number and kinds of people, at the right place, at the right time, capable of effectively and efficiently completing those tasks that will help the organization achieve its overall objectives. Human resource planning, then, translates the organization’s objectives and plans into the number of workers needed to meet those objectives. Without a clear-cut planning, estimation of an organization’s human resource need is reduced to mere guesswork.”
- HRP is the ongoing process of systematic planning to achieve optimum use of an organization's most valuable asset - its human resources. The objective of HRP is to ensure the best fit between employees and jobs, while avoiding manpower shortages or surpluses. The three key elements of the HRP process are forecasting labor demand, analyzing present labor supply, and balancing projected labor demand and supply.

### *Future Personnel needs*

Being practical extension functionaries, we know well that planning is significant as it helps determine future personnel needs. Surplus or deficiency in staff strength is the result of the absence or due to defective planning. All public sector enterprises find themselves overstaffed now as they never had any planning of their personnel requirements.

### *Coping with change*

We know that change is something uncertain and change challenges our paradigm. HRP enables an enterprise to cope with changes in competitive forces, markets, technology, products and government regulations. Such changes generate changes in job content, skill demands, number and type of personnel. Shortage of people may be induced in some areas while surplus in other areas may occur.

### *Creating Highly Talented Personnel*

It is a truth that jobs are becoming highly intellectual and incumbents are getting vastly professionalized. The people are known as job-hopping, thereby creating frequent shortages in the organization. Manpower planning helps prevent such shortages. Further more technology changes will often upgrade some jobs and degrade others.

### *Protection of Weaker Sections*

It is quite inevitable that, in matters of employment and promotions, sufficient representation needs to be given to SC/ST candidates, physically handicapped, children of the socially and politically oppressed and backward class citizens. These groups enjoy a given percentage of jobs, notwithstanding the constitutional provision, which guarantees equal opportunities for all. A well-conceived personnel-planning programme would protect the interests of such groups.

### ***Foundation for Personnel functions***

Extension functionaries do have personnel functions to be performed in professional field. Manpower planning provides essential information for designing and implementing personnel functions such as recruitment, selection, personnel movement (transfers, promotions, layoffs), training and development.

### ***Increasing Investment in Human Resources***

The investment an organization makes in its human resources is another compelling reason for HRP. Human assets, as opposed to physical assets, can increase in value. An employee who gradually develops his skills and abilities becomes a more valuable resource. Because an organization makes investments in its personnel either through direct training or job assignments, it is important that employees are used effectively throughout their careers.

### ***Resistance to Change and Move***

Change is always a phenomenon proclaimed as uncertain. Therefore, there is a growing resistance among employees to change and move. There is also growing emphasis on self-evaluation and on evaluation of loyalty and dedication to the organization. All these changes are making it more difficult for the organization to assume that it can move its employees around anywhere and anytime it wants, thus increasing the importance and necessity of planning a head.

### ***Other Benefits***

Following are other potential benefits of HRP:

- Personnel costs may be less because management can anticipate imbalances before they become unmanageable and expensive
- More time is provided to locate source talent
- Better opportunities exist to include women and minority groups in future growth plans.
- Better Planning of assignments to develop managers can be done.

## **1.4. Manpower, Recruitment, Selection, and Orientation Training in Extension**

Manpower Planning which is also called as Human Resource Planning consists of putting right number of people, right kind of people at the right place, right time, doing the right things for which they are suited for the achievement of goals of the organization. Human Resource Planning has got an important place in the arena of industrialization. Human Resource Planning has to be a systems approach and is carried out in a set procedure. The procedure is as follows:

- Analysing the current manpower inventory
- Making future manpower forecasts
- Developing employment programmes
- Designing training programmes

The very basic requisite for these is recruitment and selection of the competent staff.

### ***Recruitment and Selection***

Recruiting and selecting a competent work force are extremely important to any Extension Service. The basic goals of recruiting and selection are to hire, at the least cost, as many competent individuals in accordance with the law. These goals are not mutually exclusive. Again for extension work in rural areas the quality of extension personnel is of utmost importance. And therefore, manpower, recruitment, selection and their orientation in extension should be done with zeal and determination.

Recruiting and Selecting are closely related and often overlapping parts of a multistage decision process. Their distinction is that recruiting means “searching for and obtaining applicants to hire. Selection, in particular is a complex area, because even the best concepts and techniques will not guarantee that every individual hired will perform well, or that an organization will never be charged with unfair employment practices.

## *Recruiting*

Recruiting is the process of generating a sufficiently large group of applicants from which to select qualified individuals for available jobs. If this process is not carried out, an organization may not be able to select a qualified staff. In fact, there may be no selection at all; an organization may be forced to hire those people who are available or allow jobs to go unfilled. This is particularly true for organizations with affirmative action programs. Quite often these programs fail simply because no organized effort is made to develop sources of minority applicants. There is no generally accepted “best” way to recruit prospective employees. However, research suggests that the type and nature of information used in recruitment has a direct affect on who will apply and accept a particular position. Prospective employees may be recruited from a number of sources, depend the type of job opening. The following discussion, group recruiting sources as being either internal or external.

### *Internal Sources*

Current employees are an important applicant pool for job vacancies in an organization. These vacancies may represent promotions (upward moves) or transfers (lateral moves). In general, all vacancies should be publicized and all employees be allowed to apply for any opening. The consensus among experts is that individuals should be with an organization for a least a year and in their present job for six months in order to become eligible to bid on a vacancy. Posting and circulating notices of vacancies maximizes employee awareness of job openings.

### *External Sources*

One commonly used external recruiting source is advertising through radio, television and newspapers. Position announcements may also be posted in locations where they are likely to be seen by persons seeking jobs. Through advertising, you can be selective and indicate clearly the nature of a job and required qualifications. Another external recruiting source is walk-ins. This source is relatively inexpensive, and

applicants may be filed and processed whenever vacancies occur. Walk-ins provide an excellent public relations opportunity because well-treated applicants are likely to inform others. A second recruiting source is public employment agencies. These agencies are established to match job openings with listings of job applicants. Direct recruiting is also effective. When using this method, an Extension Service sends a representative to meet with potential applicants to encourage qualified individuals to apply for jobs.

### *Selection*

The basic objective of a selection plan is to select those applicants most likely to meet desired performance standards of Extension Services. Two basic selection strategies are available: multiple hurdle and compensatory.

To ensure that applicants are properly matched with jobs, most Extension Service use a sequence of selection techniques. When internal applicants are being considered, there is usually no need to make pre-employment inquiries, conduct background investigations, or require the completion of an application form.

### *Orientation Training in Extension*

Orientation training is an inevitable requisite in Extension work. The important objective of Human Resource Management is to ensure that performance levels are consistent with Extension objectives. This requires that newly hired persons are properly oriented and socialized. Once this has been accomplished, their performance must be assessed. Accurate measurement of performance facilitates the enhancement of a person's career in Extension through a continuing program of training and staff development. Contributions are rewarded through an equitable salary administration system. Finally discipline is occasionally necessary for maintaining performance.



## *Induction Training*

We know well that induction training is a type of training given as an initial preparation upon taking up a post. To help new people get to work initially after joining a firm, a brief programme of this training can be delivered to the new worker as a way to help integrate the new employee, both as a productive part of the business, and socially among other employee. In reality, extension services devote considerable time and resources to recruiting and selecting personnel. Although newly hired individuals already represent a considerable investment, they are not yet productive and satisfied members of the team. New personnel typically have acceptable educational preparation; however this is not enough to ensure job satisfaction and success. To be effective, new extension personnel must possess the necessary “process” skills to work within the Extension culture. Orientation programs may be effective in developing “process” skills and ensuring job satisfaction and success.

## *Purposes of Orientation*

The major purposes of orientation are creating a positive attitude and a favorable impression about the extension organization, educating new workers about their organization, their job tasks and their performance expectations and to ease entry into the organization by reducing stress and anxiety. Orientation introduces newly hired individuals to their job, superiors and peers. Effectively performed, it serves several purposes. Principal items among these are:

- i. It reduces start-up costs that invariably occur when a person is new to a job: Those individuals are generally unfamiliar with the specifics of their jobs, how an organization functions, and whom to see on different matters. Because, at least for a while, they are less efficient than their experienced peers, additional costs may be incurred.
- ii. It reduces the amount of anxiety and hazing people experience: Anxiety in this case means fear of job failure. This is a normal fear resulting from new employees’ anxiety about their ability to perform as expected. Such anxiety can be made worse

by hazing. Virtually all newly hired persons experience some form of hazing before they are deemed “acceptable” by their peers.

- iii. It reduces turnover: If newly hired persons judge themselves ineffective, or unneeded, and therefore experience negative feelings, they may seek to deal with them by quitting.
- iv. It saves time for superiors and peers: Improperly oriented individuals must still perform the work for which they were hired. To do so, they will often need help.

### ***Orientation Programs***

Let’s look into the perspective of orientation programmes. The orientation programs vary from the formal to the informal. Formal programs are usually held when an organization has hired a large number of people at roughly the same time. They frequently include an address by a Director or other top official, a tour of facilities, and some sort of presentation on an employer’s history, philosophy, and future prospects for continued success. Informal orientation programs may amount to nothing more than spending a day or so in each of organizations principal departments and becoming acquainted with key personnel and the jobs they perform.

### ***Formal Orientation Program***

#### **Overview**

- History and philosophy of Extension
- Educational services and clientele served
- Scope of organizational activities
- Organization Structure
- Chain of command

### ***Key Policies and Procedures Review***

- Probationary period
- Career ladder – Agents
- Rank and Tenure – Specialists

Performance appraisal

Administrative procedures – travel, leave, consulting, conflict of interest

### **Compensation**

Salary ranges

Merit pay plan

### **Benefits**

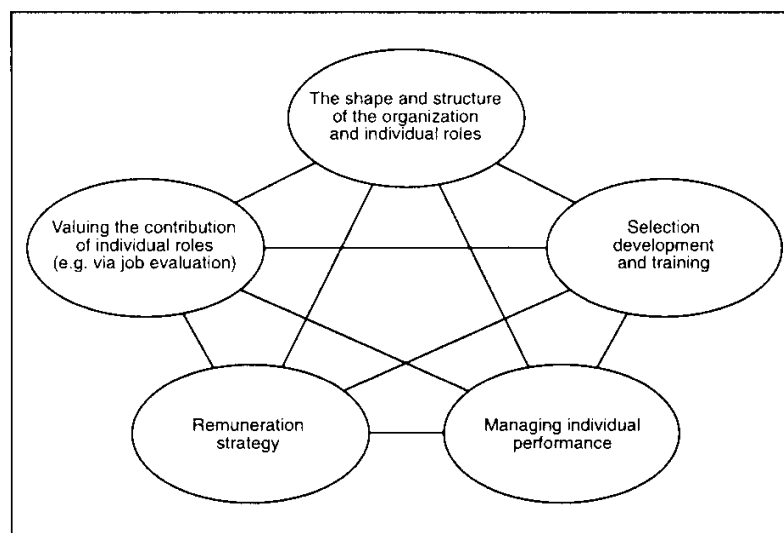
Federal and state retirement

Insurance program

Holidays

Source : Adapted from Walter D. St. John, "The Complete Employee Orientation Program," Personnel Journal 59 (May 1980), 376-377

In general, the following figure gives a strategic approach to Human Resource management interlinking structure of organization and individual roles, selection, development and training, Individual performance management, remuneration strategy, valuing contribution of individual roles etc.



Source: Roy Massey, (1994) "Taking a Strategic Approach to Human Resource Management", Health Manpower Management, Vol. 20 Iss: 5, pp.27 - 30

## 1.5 Let us Sum Up

Human Resource Management (HRM) is a management function that helps managers plan, recruit, select, train, develop, remunerate and maintain organization members. HRM is the latest nomenclature used to denote personnel management. HRM has four objectives, viz., (i) societal objectives, (ii) organizational objectives, (iii) functional objectives, (iv) personal objective.

Two issues arise when one talks about the organization of HRM function:

- Status of HRM department in the overall set-up
- Composition of the department itself. Both depend upon the scale of operations and attitude of top management towards HRM.

The human resource/personnel manager must be fair and firm, tactful and resourceful, sympathetic and considerate, knowledgeable about labour laws, have broad social outlook, and have competence and confidence. Academic qualifications will also be desirable. These qualities will make him/her successful in his/her profession. In agricultural extension work, the extension personnel are the key in linking source of technology and its users. Therefore, their qualities and competencies matters most in effective transfer of technology to the clients

An organization must have set policies, definite procedures and well defined principles relating to its personnel. These contribute to the effectiveness, continuity and stability of the organization.

## Unit-2

# Human Resource Planning

## Structure

- 2.0. Objectives
- 2.1 Introduction
- 2.2 Meaning of Human Resource Planning
- 2.3 Objectives of Human Resource Planning
- 2.4 Need for planning
- 2.5 Types of plans
- 2.6 Organizational objectives and process of planning
- 2.7 Basic steps in Human Resource Planning
- 2.8 Concept of Demand
- 2.9 Concept of Supply
- 2.10 Forecasting techniques
- 2.11 Role of HR professionals
- 2.12 HRP in Agriculture and allied sectors.
- 2.13 Let us sum up
- 2.14 Case study of DEASI

## 2.0. Objectives

*After reading this unit you will be able to understand:*

- Concept of human resources and its relevance to economic development
- Need for planning, types of plans
- Organizational objectives and process of planning
- Concept of supply and demand and forecasting techniques
- Role of HRP professional and barriers to HRP
- Human Resources Planning in Agriculture

## 2.1. Introduction

### 2.1.1. *The concept of human resources and its relevance to economic development*

As we are well versed with the concept of Human Resource Management in the first unit, don't you feel the necessity of understanding the great concept of human resources and its relevance to economic development? Human resource is the set of individuals who make up the workforce of an organization, business sector or an economy. Human beings are referred as 'resource' due to their productive powers. Human being is the contributors as well as the beneficiaries of economic development process, contrary to the material resources. At the same time, human being as resources on the demand as well as the supply side of two important parameters of economy viz. production of goods and services. "Human capital" is sometimes used synonymously with human resources, although human capital typically refers to a more narrow view; i.e., the knowledge the individuals embody and can contribute to an organization. Likewise, other terms sometimes used include "manpower", "talent", "labour" or simply "people".

It is interesting to look into the fact that the very basic objective of Human resource planning can be seen into 'Right man for right job'. The other may be developing manpower into effective team as an important function of Human Resource Planning. It is because Human Resource is the most important resource and performance of organizations depends upon the way it is used. Human Resource Planning can be defined, as a deliberate strategy for acquisition, development and retaining of human resources in organizations. It is a managerial function aimed at coordinating the requirements and availability of different types of employees. This ensures that the organization has enough of right kind of people at right time and also adjusting the requirements to the available supply. Vividly speaking, Human resources planning is a process that identifies current and future human resource needs for an organization to achieve its goals. Human resources planning should serve as a link between human resource management and the overall strategic plan of an organization. Ageing worker

populations in most western countries and growing demands for qualified workers in developing economies have underscored the importance of effective Human Resources Planning.

Being the field level professional extension functionaries, you have to be aware that the broad objectives of manpower planning is to open opportunities improve building capacity through training and employment decisions considering personnel choice and make adjustment as per changing demand.

Simply speaking, the HRP is the process for ensuring that the human resource requirements of an organization are identified and plans are made for satisfying those requirements. In late nineteenth and beginning of twentieth century, during the industrial revolution the need for mass education was realized to equip people with the required knowledge and skills to meet the requirement of the workers in the developed countries of Europe and USA etc. It came to its full bloom around middle of century. It was the period of industrial growth when the education and employment were complementary to each other and human beings were referred as 'human resources'. Complementarily between human resources and capital is quite close. With the endowment of capital and other material resources, human resources could accelerate the production process and hence economic growth.

### *2.1.2. The early reservations about role of human being in production*

It would be interesting to look into the views of very many economics and social thinkers about the role of human beings in production. The classical economists had early reservation about the role of human being in production and development of economy though they recognized the role of human resources in improving the production capabilities as well as in maintaining social structure; but even then, they did not treat human beings as means of production. The major school of economic thought, represented by well known economists Smith, Mill and Marshal held on the position and thoughts, while acknowledging the productive role of human resources.

Now let's glance to manpower planning. Manpower Planning is also called as Human Resource Planning and it consists of putting right number of people, right kind of people at the right place, right time, doing the right things for which they are suited for the achievement of goals of the organization. Human Resource Planning has got an important place in the arena of industrialization. Human Resource Planning has to be a systems approach and is carried out in a set procedure. The procedure is as follows:

1. Analysing the current manpower inventory.
2. Making future manpower forecasts.
3. Developing employment programmes.
4. Design training programmes.

In fact 'manpower planning' applies the processes of planning to the preparation and employment of people for productive purposes in the context of economy. Different terms "manpower", "labour", "work force" and now "human resources" are all being commonly used as they are conceptually identical or substitute of each other and denote productive power of human beings.

## **2.2. Meaning of HRP**

The simple meaning of HRP is the ongoing process of systematic planning to achieve optimum use of an organization's most valuable asset - its human resources. The objective of human resource (HR) planning is to ensure the best fit between employees and jobs, while avoiding manpower shortages or surpluses. The three key elements of the HR planning process are forecasting labor demand, analyzing present labor supply, and balancing projected labour demand and supply.

Technically the HRP is defined as the process of forecasting an organization's future demand and supply of human resource for achieving the objectives such as the right type of people in the right number for right place. The next step in this process is recruitment and selection of required manpower. In the total organizational planning HRP is an important subsystem. Organizational planning includes all managerial activities covering different sections/departments of the organization that set the



company's objectives and propose appropriate means for achieving those objectives by providing the right competencies and the right number of people. HRP is also referred as manpower planning, personnel planning or employment planning.

In other words, human resource plan can be referred as blueprint that translates the organization's objectives into the competencies and number of people required to meet those objectives. Without a clear cut planning, it is merely guesswork to project correct estimation of human resource need.

### 2.3. Objectives of Human Resource Planning (HRP)

Practical extension functionaries in the field level have to possess a sound knowledge on the purposes of HRP. Human resource planning involves the hiring, development and retention of employees in the achievement of organizational goals. This includes analysis of the current workforce and how it aligns with future employment needs. By planning for the future, human resources create action plans aimed to satisfy organizational goals.

To put in a nut shell, the major objectives of human resource planning are

- To ensure that the organization is manned with the requisite quality and complement of personnel on a sustained basis.
- To optimize the contribution and satisfaction of the organization's work force with a reasonable outlay.
- To set right the distortions in the size of personnel in the work units, ratio of managerial personnel to non-managerial employees, age distribution among the employees, availability of skills and capabilities and so on.
- To maintain effective control over the strength of work force and the patterns of absenteeism, turnover, development and upward mobility of personnel.
- Determination of the human resources requirements of the organization for the current level of operations on a scientific basis.
- Preparation of inventory of the present manpower strength and skill within the organization.

- Comparison of the normative with the actual level of human resources.
- Forecasting of the future human resources requirement of the organization at various points of time for a period of at least 3 to 5 years.
- Formulation of policies, programmes and procedures to develop and hire the required manpower talent to reduce the gap between the existing and desired level of personnel strength and quality.

## 2.4. Need for planning

It is a basic requisite for the extension functionaries to know the need for HRP. The planning has become an important activity due to the fact that, in today's turbulent business environment and highly competitive market economics, the organisations have to survive, operate and grow, where change is day to day affair. The change may be either revolutionary (sudden) or evolutionary (slow). The sector/areas of change may be change in technology, in population, in economic structures and systems, in business policies of government, internal employee attitudes, behaviour. etc. These changes results in threats and challenges. Modern time managers have to face the problems caused due to these changes and work for solutions tactfully to overcome the effects of these problems for the survival and growth of the organisation.

The vigilant and efficient managers in organizations keep watch over the problems likely to happen and develop contingency plans to prevent them. Successful managers act without loosing time, whereas unsuccessful managers remain struggling with unforeseen problems. The difference between these managers lies in their perception about planning. The successful managers plan for unforeseen events in advance, go into action at appropriate time, overcome the current problems, take care of future uncertainties, review, revisit and adjust the goals with the turbulent business environmental conditions and make use of their resources to achieve organizational goals, in order to keep the organisation dynamic.

**Every organization has to plan for Human resource due to:**

1. The shortage of certain categories of employees and/or variety of skills despite the problem of unemployment.
2. The rapid changes in technology, marketing, management etc., and the consequent need for new skills and new categories of employees.
3. The changes in organization design and structure affecting manpower demand.
4. The demographic changes like the changing profile of the workforce in terms of age, sex, education etc.
5. The Government policies in respect to reservation, child labor, working conditions etc.
6. The labor laws affecting the demand for and supply of labor.
7. Pressure from trade unions, politicians, sons of the soil etc.
8. Introduction of lead time in manning the job with most suitable candidate.

**Benefits of Human Resource Planning**

Human Resources Planning (HRP) anticipates not only the required kind and number of employees but also determine the action plan for all the functions of personnel management The major benefits of Human resource planning are:

1. It checks the corporate plan of the organization
2. It offsets uncertainly and change .But the HRP offsets uncertainties and changes to the maximum extent possible and enables the organization to have right men at right time and in right place.
3. It provides scope for advancement and development of employees through training, development etc.
4. It helps to anticipate the cost of salary enhancement, better benefits etc.
5. It helps to anticipate the cost of salary, benefits and all the cost of human resources facilitating the formulation of budgets in an organization.
6. To foresee the need for redundancy and plan to check it or to provide alternative employment in consultation with trade unions, other organizations and government through remodeling organizational, industrial and economic plans.

7. To foresee the changes in values, aptitude and attitude of human resources and to change the techniques of interpersonal, management etc.
8. To plan for physical facilities, working conditions and the volume of fringe benefits like canteen, schools, hospitals, conveyance, child care centres, quarters, company stores etc.
9. It gives an idea of type of tests to be used and interview techniques in selection based on the level of skills, qualifications, intelligence, values etc., of future human resources.
10. It causes the development of various sources of human resources to meet the organizational needs.
11. It helps to take steps to improve human resource contributions in the form of increased productivity, sales turnover etc.
12. It facilitates the control of all the functions, operations, contribution and cost of human resources.

## 2.5. Types of plans

To achieve organizational goals, human resource planning must use employee recruiting, development and retention. It must also analyze the current workforce and consider how it aligns with future employment needs. Attracting, training and retaining quality employees allow human resources to use different types of planning to meet future workforce requirements. The plans can be categorized into eight types:

- 1) **Philosophy:** The organisations' role that they wish to play in society in terms of philosophy. The philosophy of an organization should have clarity of thought and action in the accomplishment of economic objectives of a country. The philosophy bridges the gap between society and an organization.
- 2) **Purpose:** Every kind of organized group activities or operations has a purpose. For example, the purpose of a Credit Management Group (CMG) is to accept deposits and grant loans and advances to its members.

- 3) **Objectives:** Objectives are the ends towards which organizational activity is aimed. Every department has its own objectives which may not be completely same as of the other department or organisation.
- 4) **Strategies:** Strategy is determination of the basic long-term objectives of an enterprise and the adoption of courses of action and allocation of resources necessary to achieve these goals.
- 5) **Policies:** Policies are general statements or understandings which guide or direct thinking and action in decision-making. However, all policies are not statements.
- 6) **Procedure and Rules:** Procedures are plans that establish a desired method of handling future activities. They detail the exact manner in which a certain activity must be accomplished.
- 7) **Programmes:** These are complexes of goals, policies, procedures, task assignment rules, steps to be taken, or sources to be employed and other elements necessary to carry out a given course of action.
- 8) **Budget:** A budget is a statement of expected results in terms of numbers. It may be referred to as a numerical programme. Cash budget, sales budget, capital expenditure budget are some of the examples of budget.

## 2.6. Organizational objectives and process of planning

The very basic step in planning process is consideration of overall organizational objectives and scanning the environment. Besides this HRP involves the forecasting the human resource needs, assess the human resource supply and possible sources, matching demand and supply factors through human resource recruitment and development related programmes.

### 2.6.1 Organizational Objectives and Policies

In practice, the HR plans are made on the basis of organizational objectives; hence the objectives of the HR plan must be derived from the overall organizational objectives. Specific requirements in terms of number of people, competencies and specific characteristics of needed employees should also be derived from the organizational

objectives. The role of HRP is to achieve overall objectives of the organization by ensuring availability and utilization of appropriate human resources.

### *2.6.2 Concept and process of HRP*

Effective and efficient managing of staff requires a broad process called known as Human Resource Planning. It constitute one of the major strategies to enhance and improve work performances, this it does by removing deficiencies and prevent deficiencies from occurring. Human Resource Planning helps the organization to tap efficiently talents which will help to integrate both the individual and organizational goal. This will consequently minimize some of the problem associated with low productivity absenteeism and labour turn over.

The objective of human resource planning is to provide continuity of efficient manning for the total organization and optimum use of manpower resources, although that optimum utilization of people is heavily influenced by organization culture.

We know that practically manpower planning is concerned with manning in the organization, it cannot be a stand-alone activity, but must exist as a part of the planning process for the organization itself. The lack of suitable manpower can place severe restrictions on the ability of a organization to achieve its objectives, which highlights both the importance of realistic manpower planning and the need for it to be fully integrated with the overall organization planning process.

Similarly HRP constitutes an integral part of organization plan and serves the organizational purposes in more ways than one. For example, it helps organizations to (i) capitalize on the strengths of their human resources; (ii) determine recruitment levels; (iii) anticipate redundancies; (iv) determine optimum training levels; (v) serve as a basis for management development programming; (vi) cost manpower for new projects; (vii) assist productivity bargaining; (viii) assess future requirements; (ix) study the cost of certain activities need to be subcontracted.

In other words, HRP influences organization strategy and is in turn influenced by it. The planning process may not always give exact forecasts, and to be effective it should be a continuous process with provision for control and review. The manpower plan itself falls into two parts - the determination of the manpower required to run the programs at a series of points in time into the future, and the means of fulfilling those requirements. This is not limited to central or specialist activity but should involve all the functionaries fully in the review of options.

Another important fact is that review process, which brings demands and supply together, is frequently given insufficient time and attention in planning process. This may be because, once all data are brought together, the result can be complex and difficult to grasp, but any reduction in complexity if achieved only by ignoring some of the data and taking a limited view, which could reduce the potential for achieving the most effective re-sourcing.

The major aim of the comprehensive periodic review is to consider all the needs across the business and to match these with the career preferences and development of the people so that a complete pattern of decisions can be devised for the re-sourcing actions anticipated over the months ahead. This review provides a base of preliminary decisions for all following actions regarding people. There may be sound reasons for a subsequent change of decision, but then the options and alternatives, which were considered in the original review should help define the updated options quickly, and the implications of alternative actions. Should the scale of unplanned change of extensive, a fresh review might be initiated, at least locally.

The Planning, Development and Review process provides mechanisms for aligning goals and objectives and for planning the resources and development required to enable them. In the review process itself, the management task is to balance the many competing and sometimes conflicting elements. Some examples might be:

- Conflicting demands for available research and development resources at peaks of activity, with an excess supply available;
- Imbalance of skills emerging as technology alters the product range; and
- Uncertain timing of developments affects the timing of deployments. These reviews cannot anticipate situations, which develop at short notice, but should take into account the need for flexibility to cope with the manpower implications of events such as intended future acquisitions. Emerging new business opportunities not included in plans or retention actions needed to avoid the loss of key individuals, which might damage establishment plans.

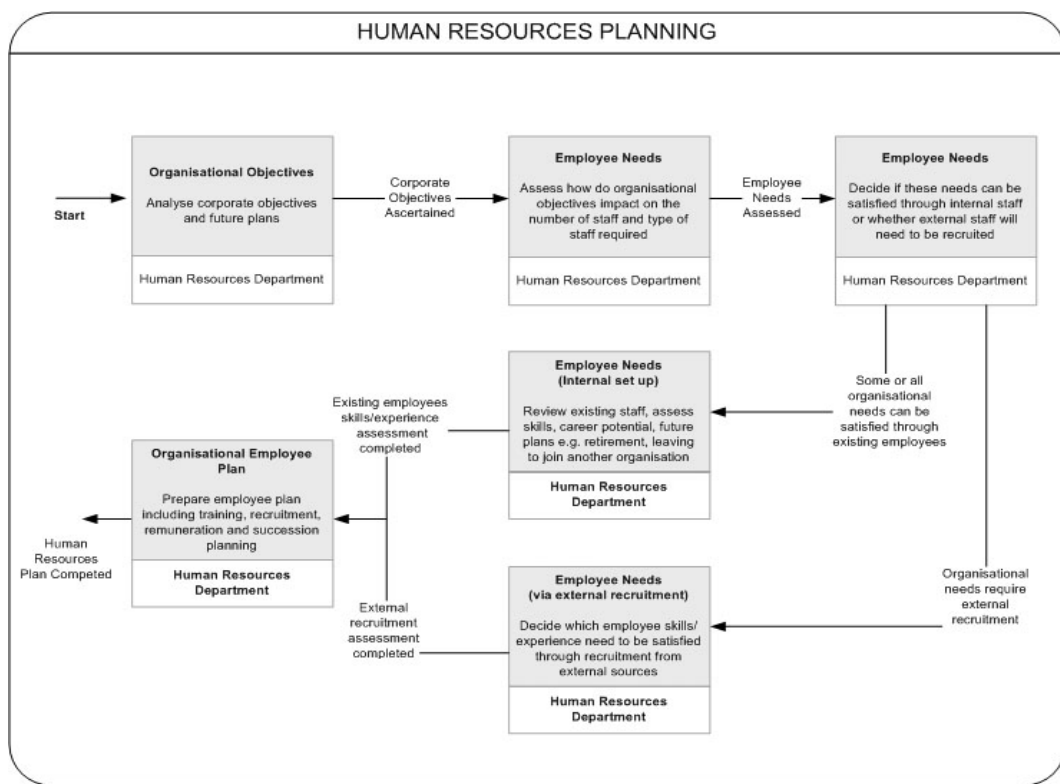
The systematic review process may be viewed as the master programme, which integrates re-sourcing activities with business planning at an operational level to ensure that organization structures and the preparation of manpower resources are matched with the manpower requirements necessary to achieve business objectives and respond to a changing and possibly hostile environment. In parallel, the process should optimize the utilization and growth of the human resources available. The emphasis in most reviews on the short-term (one to two years) actions, but there must be a longer term (three to five or five to ten years) perspective - particularly for management continuity which is a special section of the same process as the lead time for supply can require this notice.

It is obvious that meaningful manpower plans are only possible, if the review process brings together all of the relevant information at regular intervals and uses these data to re-examine at every level the relevance of present and planned future organizations and the competencies which will be required against those available. Outputs from each review should include: detailed decisions on future organization changes and anticipated manpower deployments for a period through two to three months after the next scheduled review; outline decisions on longer term organization changes, deployments and culture change plans; plus confirmation that business requirements can be adequately resourced (or not).



All manpower supply plans and actions should be developed through this process and should incorporate provision for continuous reappraisal to identify fresh problems, to respond to new or changed needs, and then to implement actions or monitor progress towards action. This is essentially the means of driving the process of effective re-sourcing within the business and involves management at every level in a network of associated decisions and action.

The following figures give a vivid view of Human Resource Planning components

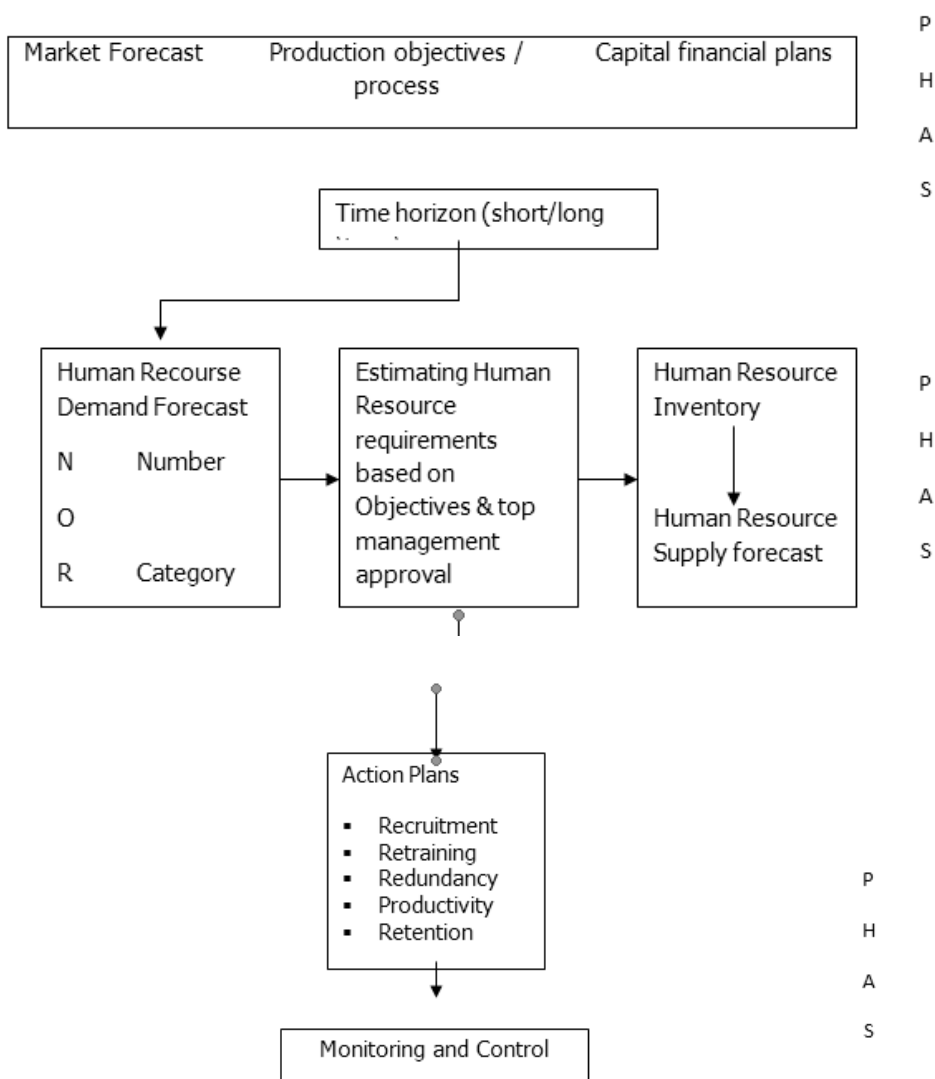


Source: Online reference of Berkeley Innovation sessions on management:  
[www.learnmanagement2.com](http://www.learnmanagement2.com)

### 2.6.3 Process and basic steps in HRP

#### The HRP Process \*

#### Company Objectives & Strategic Plans



\* **Source:** *Personnel Management and Human Resource* by C.S. Venkat Ratnam and B.K. Srivasthava, Tata McGraw Hill Publishing Co. Ltd., New Delhi. P.57

## 2.7. Basic steps in HRP

### *Environmental Scanning:*

It examines the methods used to in scanning the environment and the factors which are external to an organization and yet affect the human resource planning policies and strategies. They include the labour markets, Government policies, financiers' policies, competition, changing technologies, and other social-political factors. Environmental scanning Identifies and anticipates sources of threats, and opportunities; scanning the external environment (competitors, regulation) and internal environment (strategy, technology, culture)

### **Determining future organizational needs:**

Future needs of the organization are the prime important factor to be considered in HRP. This includes the number and category of employees types of skills required and productivity rates needed to complete successfully.

### *Determining future organizational capabilities:*

The other significant step of the human resource planning is analysis of future organizational or personal capabilities including skill level of employees, productivity rates and requirement of employees, etc.

- Labour Demand Forecast: Projection of how business needs will effect HR needs, using quantitative methods (trend analysis, simple and multiple linear regression analysis).
- Labour Supply Forecast: Project resource availability from internal and external sources.
- Gap Analysis: Reconcile the forecast of manpower supply and demand.
- Action Programming/planning: Implement the recommended solution from gap analysis and activities such as recruitment selection, induction, training / re-training, redundancy, productivity and retention.

***Control and Evaluation:***

Workforce Planning” is a process to ensure that the organisation meets its objectives by identifying its future needs for skilled staff and developing plans to meet these objectives. Control and evaluation are important here to monitor the effects of the HRP by defining and measuring critical criteria (e.g. turnover costs, breakeven costs of new hires, recruitment costs, performance outcomes).

***2.7.1 Environmental scanning***

The environmental scanning is considered as one of the most important step to begin the planning process. Essentially it allows HR planner to revisit all necessary factors in the light of set objectives for HR planning. These factors may be categorized as External & Internal factors

**(i) External Factors****a) Legal Environment**

- ★ National laws
- ★ State laws
- ★ Executive orders

**b) Labor Markets**

- ★ Availability of skilled and unskilled personnel
- ★ Workforce demographics

**c) Business Environment**

- ★ Degree of competition
- ★ Speed of technological change
- ★ Pay scales offered

**(ii) Internal Factors****a) Strategic Business Planning**

- ★ Corporate philosophy
- ★ Environmental scan
- ★ Assessment of organizational strengths and weaknesses

**b) HR Planning**

- ★ Projected staffing needs
- ★ Number of openings
- ★ Types of jobs
- ★ Time frame for filling openings

**c) Operational Planning**

- ★ Specific plans for growth, acquisition, diversification, and / or divestiture
- ★ Projected staff availability
- ★ Reconciliation of forecasted needs and availability
- ★ Formulation of action plans for activities such as

Recruitment of new employees, layoffs, retirement incentives, retraining, transfers, increase productivity etc.

**iii) Examining external and internal issues for environmental scanning**

There are a number of external and internal issues / forces that influence process of human resource planning. The internal issue refers any event or trend that has the potential to influence output of human resource plan. These may be motivation of employees, organization's turnover, problem of absenteeism, the number and types of manpower needed, business strategy, organizations structure and profitability and so forth. The external issues / forces outside the organization boundary that influence process of HR planning include work force demographics, technology and overall

business and economic environment etc. the internal issues refer to events or trends within the organisation. A few important issues are discussed below;

**iv) Workforce Demographics:**

This is an important external issue referred to the composition of the national workforce. Asians at International level are becoming large percentages of the workforce. There are likely to be changes in the social, gender and age composition of the workforce. Presently women are forming the large segment of the workforce in agriculture and IT sector than in the past. The number of married women who are employed has doubled since 1970, resulting in pressure on organizations to provide pro-family policies, such as flexible work time; work norms and facilities of child care to support working mothers. Availability of manpower from different groups such as racial, linguistic, backward classes has provided harmonious relationship among workers. The growing number of older workers presents distinct challenges. The fifty years and older age group is the fastest growing segment of the workforce. As this generation leaves the workforce there will be fewer employees to replace them.

**v) Technology:**

Being extension personnel it is a must for us to be aware on the technology. Technology has played crucial role in economic development. Organizations are investing large amounts on technologies and one such new area is information technology since last decade. Given the size of the investment, human resource requirements have come down from the past due to technological changes and mechanization.

**vi) Organizational Structure:**

Many businesses organizations today are changing their organizational structure from Bureaucratic to flat, matrix or other structures and management styles with reference to issues like task assigned, who reports to whom, communication channels

and authority for decision making. As part of restructuring some organizations are creating teams and task force to perform the work efficiently.

### **vii) Business Strategy:**

If you look at a typical organization, every company has a strategy. On the back end, you have the results you generate. But in most companies, there's an "execution gap" between strategy and results, which is where real work gets done and where value gets created for a business. The approach that a company adopts for conducting business operations is referred to as its business strategy. A particular company may adopt strategy on quality enhancement when competition is high or may go for cost reduction and soon as per situation. It is important for organizations to monitor both the internal and external environment to anticipate and understand the issues that will affect the business prospects as well as human resources needed for.

#### ***2.7.2 Determining future organizational needs***

HR planning is a process that identifies current and future human resources needs for an organization to achieve its goals. It means forecasting an organization's future demand and supply for employees, based on its business needs; and subsequently developing and employing the strategies required to meet these needs. It involves a gap analysis between current HR supply and future demand. The organisation must determine what will be its human resource needs in the future. There are several procedures and methods for predicting the number of employees needed in the future. This is referred to as the human resource demand. Two basic approaches for estimating human resource demand are qualitative and quantitative methods.

Do you know the two quantitative techniques commonly used for estimating human resource demand? They are 'ratio analysis' and 'regression analysis'. Ratio analysis involves the number of employees to some index of work load. If an organisation is planning for its future Training and Development (T&D) staffing demand in five years. It needs to look for the estimation of the number of employees

likely to be employed by the organization during next five years, and then use this ratio to determine the number of T&D staff needed in given years.

Now let's see what is 'Regression analysis?' This uses the factors or predictors that determine the demand for employees, such as 'revenues', level of automation etc. Data on these predictors of the organization from past years, as well as the number of workers employed in each of these years is used to produce an equation or formula. The organisation can then enter expected figures for the predictors mentioned above into the formula to obtain an estimated number of employees needed in future years. 'Regression analysis' is a sophisticated method than 'ratio analysis' and lead to more accurate predictions for demand of manpower. As such both the procedures are widely used by HR executives, still they have certain weaknesses. A major weakness is related to workforce size which may not be relevant factor in future years.

Can't we turn now to qualitative tools for estimating the demand for employees? Of course the most common tool is the 'bottom-up forecast', where departmental managers make estimates of future human resource demands based on issues, such as new positions needed, positions to be eliminated or not filled, expected overtime hours to be worked by temporary, part-time or independent contract employees and expected increase in workload by department. Like any other technique, bottom-up forecasting has its shortcomings, for instance, line managers may overestimate the demand in order to ensure that they don't find themselves understaffed, when work in increased suddenly.

### ***2.7.3. Determining future organizational capabilities***

In simple words, Human Resource Planning is understood as the process of forecasting an organization's future human resource demand for, and supply to meet the objectives such as the right type of people in the right number. After this process only the HRM department can initiate recruitment and selection process. HRP is a sub-system in the total organizational planning. Human resource planning is important for



helping both organizations and employees to prepare for the future but you might be thinking "Are not things always changing?" Estimating the Future Organizational Structure or Forecasting the Manpower is an inevitable requisite in FRP. In the past, more emphasis was on predicting the number of employees the company was likely to have in the future. Organizations may use variety of procedures focusing on quantitative or qualitative data to estimate the supply.

Normally, the quantitative process uses previous data about employees in different jobs viz, number of people retiring, being terminated, leaving the organisation voluntarily and being promoted in each category of job. One of the well known quantitative procedures is the Markov analysis. This technique uses historical rates of promotion, transfer and turnover to estimate future availabilities in the workforce. Based on the past data, one can estimate the number of employees who will be at different positions within the organisation in the future. Qualitative judgmental approaches are much more popular in forecasting human resource supplies. Among the most frequently used methods are replacement planning, succession planning and vacancy analysis. Replacement planning evolves an assessment of potential candidates to replace existing executives and other top-level managers as they retire or leave to join other organizations. Succession planning is similar to replacement planning, except that it is more long term and development oriented approach to prepare a suitable person to take over within the organization. Finally, the vacancy analysis is much like the Markov analysis, except that it is based on managerial judgments of the probabilities. If knowledgeable experts provide estimates, vacancy analysis may be quite accurate.

'Bench marking' is one the techniques for forecasting supplies, which has become very popular. It comprises comparison of an organizations human resource practices and programmes to other organization. Bench marking often focuses on standards set by competitors, best practices used, programmes and policies used by outstanding organisation in particular sector. Benchmarking is the process of comparing one's business processes and performance metrics to industry bests or best practices from

other industries. Dimensions typically measured are quality, time and cost. In the process of benchmarking, management identifies the best firms in their industry, or in another industry where similar processes exist, and compare the results and processes of those studied (the "targets") to one's own results and processes.

#### ***2.7.4. Control and Evaluation***

The very basic requisites for a complete HR plan include budgets, targets and standards. It should also indicate responsibilities for implementation, control mechanization and establish reporting procedures about the plan. These may be simple report on the numbers of people employed against and establishment and on the numbers recruited against the target fixed for recruitment. The report should indicate employment costs against proposed budget and trends in wastage and employment ratios.

### **2.8. Concept of Demand**

We know in economics, demand is an economic principle that describes a consumer's desire and willingness to pay a price for a specific good or service. Demand refers to how much (quantity) of a product or service is desired by buyers. From economists point of view demand for a particular category of manpower represent a schedule of relationship between quantities of labour required and a series of possible wage rates. Both demand and supply have common base of 'quantities' which will be offered in the case of supply, whereas quantities which will be asked for in the case of the labour demand is governed by certain factors such as prices, incomes, consumer tastes, industrial policy etc . The general nature of these factors is shown below:

#### ***2.8.1. Factors affecting demand for human skills***

Basically there are ten factors affecting human skills demand.

1. Labour productivity: quality and number of output per unit of time National development goals, public expenditure patterns and monetary policies
2. Tax structure, tax administration, investment and incentive packages

3. Laws regarding training and career development
4. Public and private saving; investment trends and patterns
5. Consumer present and future demand pattern; composition of produced goods and services.
6. Working conditions for labour
7. Law regarding training, career development etc
8. Social demand functions status, basic needs
9. Career guidance, job information and placement
10. Production and upgrading of labour

For establishing a balance, the demand and supply of a particular manpower group in developing situation, the educational planners should have information about the kind of manpower that industries need. Feed back to educational and training institutions from industry enables them to produce the right kind of manpower.

Actually in a developing economy, manpower problems of this kind are mainly are noticed at higher and middle levels. It is not a problem of shortages, but may be problem of regional imbalances. Rural-urban imbalance or gender imbalance. The problem of the shortage of key categories of manpower is extremely important. Sometime these imbalances create problem of utilizing our surplus manpower for promoting all round economic development.

### ***2.8.2. Demand forecast***

Generally speaking, demand forecasting is the activity of estimating the quantity of a product or service that consumers will purchase. Demand forecasting involves techniques including both informal methods, such as educated guesses, and quantitative methods, such as the use of historical sales data or current data from test markets. Demand forecasting may be used in making pricing decisions, in assessing future capacity requirements, or in making decisions on whether to enter a new market. Practically in other words, demand forecast is the process of estimating the future

quantity and quality of people required. The basis of the forecast must be the annual budget and long term organizational plan translated into activity levels for each function and department.

In the strict sense, the Demand forecasting must consider certain factors both external as well as internal. The external factors include competition, economic climate, laws and regulatory bodies, changes in technology and social factors. The internal factors, include budget constraints, production levels, new products and services, organizational structure and employee capabilities.

## 2.9. Concept of Supply

In economics, supply is the amount of product that the producers are willing and able to sell at a given price all other factors being held constant. Usually, supply is plotted as a supply curve showing the relationship of price to the amount of product businesses are willing to sell. Normally the term 'supply' when used in context of manpower denotes the labour force, which includes the skilled and unskilled workers and the unemployed people. The supply sources are divided into two categories namely

(i) Internal supply and

(ii) External supply

**(i) Internal Supply :** For supply of manpower from internal sources following factors are considered;

- i. Age distribution of employees
- ii. Skills inventory in the organization
- iii. Length of service of employees
- iv. Promotion due
- v. Acquisitions and mergers – redeployment

**(ii) External Supply:**

For hiring manpower, certain factors to be considered such as supply position, lead time to hire, lead time to induct, their basic training, ability of organization to attract and retain talent.

A major conceptual problem in the context of manpower supply is related with the differentiation to be made from the two criteria, viz., (i) educational standard and (ii) occupation, whereas, the Organization for Economic Cooperation and Development (OECD) have used the criterion 'trained as' which covers both. The National Science Foundation in the USA used the criterion of 'working as' which covers the occupation.

In mainstream economic theories, the supply of labor is the total hours (adjusted for intensity of effort) that workers wish to work at a given real wage rate. Labor supply curves are derived from the 'labor-leisure' trade-off. More hours worked earn higher incomes but necessitate a cut in the amount of leisure that workers enjoy. When "manpower supply" defined in terms of educational standard, it again consists of two components viz., (i) working people having specific educational standard and (ii) unemployed people having the same educational standard. People may have more than one degrees, diplomas or certificates which are regarded as equivalent, then the possession of any one of them would satisfy the criterion of the specified educational standard. Similarly when "Manpower supply" defined in terms of occupation is equally complex. Conceptually, this also consists of two components, viz., (i) people those who are working and have a specific occupation and (ii) people unemployed but are looking for work corresponding to that occupation. Further it requires considering those workers who have some occupation now, but who are looking for some other occupation.

Did you ever try to define manpower in your extension profession? Really speaking, "Occupation" and "Educational standard" are the two important criteria most commonly used to define manpower. Besides these, certain other characteristics

are also very important. For example, an industrial distribution of worker is often used to assess the stage of growth of an economy. An organizational distribution in terms of public and private sectors, large, medium and small establishment, the employees and status, urban-rural location, district, region and state is needed for a number of purposes. There are other aspects like length of work, experience, status, rank and income, which throw useful light on the quality of supply. Distribution of supply taking two or more characteristics at a time is very useful. Such distributions in general are called “matrices”. Some of the most commonly needed matrices are (i) industry by occupation, (ii) occupation by education, (iii) industry by education, and (iv) occupation by size of establishments in an industry.

### **2.9.1. Supply forecast**

Supply Forecasting involves determining what personnel will be available. The two sources are internal and external: people already employed by the firm and those outside the organization. Factors managers typically consider when forecasting the supply of personnel include promoting employees from within the organization; identifying employees willing and able to be trained; availability of required talent in local, regional, and national labor markets; competition for talent within the field; population trends (such as movement of families in the United States from Northeast to the Southwest); and college and university enrollment trends in the needed field. Supply forecasting measures the number of people likely to be available from within and outside an organisation, after making allowance for absenteeism, internal movements and promotions, wastage changes in hours and other conditions of work.

### **2.9.2. Techniques for supply forecast are given below**

#### **1. New Venture Analysis:**

New venture analysis will be useful when new ventures contemplate employment planning. This technique requires planners to estimate HR needs in line with companies

that perform similar operations. For example, in an industry set up, a petroleum company that plans to open a coal mine can estimate its future employment by determining employment levels of other coal mines. Another example in our extension context is, Agri-retail sector company that plans to open a fruit and vegetable outlet can estimate its future employment by determining employment levels of other similar outlet of other agri-venture.

## 2. *Other Forecasting Methods*

There is immense number of forecasting techniques. Generally organizations follow more than one technique for forecasting their people needs. Many large organizations follow 'bottom-up' of 'management judgment' and 'work study techniques' for demand forecasting. Normally forecasting process begins well in advance every year preferably in October/ November months. At unit level department heads prepare their personnel estimates (based on details of production budget supplied to them) and submit the estimates to the respective personnel managers. The HRD heads review the estimates received from personnel managers with the departmental heads and send final requirements to corporate / head office, where data is computed centrally. The corporate HR department review estimates and final figures are made known to those personnel managers at unit level, who initiate steps to hire the required number of people in the following year. Normally the forecast is made for once in five years, indicating year wise requirement.

### **2.10. Forecasting Techniques**

Manpower planning essentially makes projections of supply and demand of manpower.

Forecasting techniques vary from simple to sophisticated ones. It may be stated that organizations generally follow more than one technique. The forecasting techniques are:

- Managerial Judgment
- Ratio Trend Analysis
- Work Study Techniques
- Delphi Technique
- Flow Models

### ***2.10.1. Managerial Judgment***

As the title denotes, this is a simple technique where the managers sit together, discuss and arrive at a figure, very close to the future demand for labour. The technique may involve a 'bottom-up' or a 'top-down' approach. In bottom up, line managers submit their departmental proposals to managers, who finalize at the overall company forecasts. In the 'top-down' approach corporate managers prepare overall company as well as departmental forecasts. These forecasts are examined by the departmental heads and agreed upon. In fact non of these approaches are very accurate. In the 'bottom-up' and 'top-down' approaches, departmental heads are provided with broad guidelines, to propose and later agree for the needed manpower, using these guidelines, and consultation with the HRP section in the HRM department. Departmental managers can prepare forecasts for their respective departments. Simultaneously, top HR managers consolidate the data and prepare company forecasts. A committee comprising departmental managers and HR managers may review the two sets of forecasts and arrive at final figures, which are then presented to the corporate management for their approval. The technique is more suitable for smaller organizations or in those companies where sufficient database is not available.

### ***2.10.2. Delphi Technique***

Basically the 'Delphi technique' is a decision making tool. The method is a structured communication technique, originally developed as a systematic, interactive forecasting method which relies on a panel of experts. In the standard version, the experts answer questionnaires in two or more rounds. After each round, a facilitator



provides an anonymous summary of the experts' forecasts from the previous round as well as the reasons they provided for their judgments. Thus, experts are encouraged to revise their earlier answers in light of the replies of other members of their panel. It is believed that during this process the range of the answers will decrease and the group will converge towards the "correct" answer. Finally, the process is stopped after a pre-defined stop criterion (e.g. number of rounds, achievement of consensus, and stability of results) and the mean or median scores of the final rounds determine the results.

In case of human resource planning, Delphi technique it is used for estimating personnel needs of the employees as perceived after gathering necessary information by a group of experts, usually managers. The HR experts act as intermediaries, summarize the various proposals, responses and reports of HR needs from the managers. The experts survey again and the HR needs are summarized after getting feedback. The survey results are shared among the experts in different rounds until the expert opinions begin to arise. Normally by the third round the agreement is reached among experts about HR needs of the employees.

### ***2.10.3. Flow Models***

The 'Flow models' are closely associated with the forecasting of manpower needs. The simplest one is called the Markov model. In this technique, the forecasters determine the time that should be covered for planning. Shorter lengths of time are generally found more accurate than longer ones. However, the time horizon depends on the length of the HR plan, which in turn, is determined by the strategic plan of the organisation. The forecasters establish categories, also called states, to which employees can be assigned. These categories must not overlap and must take into account every possible category to which an individual can be assigned. The number of states can neither be too large nor too small.

In this technique, forecasters count annual movements (also called 'flows') among states for several time periods. These states are defined as absorbing (gains or losses to

the company) or non-absorbing (change in position levels or employment status). Losses include death or disability, absences, resignations and retirements. Gains include hiring, re-hiring, transfer and movement by position.

There are alternatives to the simple Markov model. One, called the Semi-Markov, takes into account not just the category but also the tenure of individual in each category. After all, likelihood of movements increases with tenure. Another method is called the 'vacancy model', which predicts probabilities of movement and number of vacancies. While the Semi-Marko model helps estimate movement among whose situations and tenure are similar, the vacancy model produces the best results for an organization.

Markov analysis is more advantageous, because it makes sense to decision makers and corporate managers. They can easily understand underlying assumptions. Hence, likely to accept results. The disadvantages of these techniques include: (i) heavy dependence on past data, which may not be accurate in periods of turbulent change, (ii) accuracy in forecasts about individuals is sacrificed to achieve accuracy across groups.

## **2.11. Role of HR Professional**

In general the HRP professionals have to perform the following roles that may be divided into three categories:

- Administrative role
  - i. Managing the organizational resources
  - ii. Employees welfare activities
- Strategic role
  - i. Formulating HR strategies
  - ii. Managing relationships with managers
- Specialized role
  - i. Collecting and analyzing data
  - ii. Designing and applying forecasting systems
  - iii. Managing career development

These roles are neither necessarily found in every HRP work, nor they are evenly weighted in time allocation. Different combinations of roles are possible with different focuses based on circumstances prevailing in organization. The two roles namely managing relationships with managers and for formulating strategies are weighted equally. The activities in these areas are equally important to HRP, because of the implicit purposes of anticipating and implementing change in the organization. The strategic roles are crucial to the HR professionals' effectiveness. These skills are very specific and are difficult to develop when compared to administrative skills. The administrative aspects of the work include in managing the staff function of HRP and in managing employee welfare activities. From Human Resource Development point of view these aspects are often seen as secondary to other aspects and demand a lot of attention. The remaining three roles represent specialized functions performed by HR professionals. Primary attention is given to a combination of three categories of activities - collecting and analyzing data, designing and applying forecasting systems and managing career development. These activities may be new to the HR function in many organizations, and are closely linked with the mission of anticipating and managing change. Accordingly, they are viewed as central roles of HRP professionals.

Once an organizations personnel and supply forecast are made, the two must be reconciled in order that vacancies can be filled by the right employees at the right time. Hence, HR programming play important role in the planning process.

Implementation of plan is nothing but putting an HR plan into action. Action programmes are initiated as a part of HR plan implementation. There programmes include recruitment, selection placement, training and development, retraining and redeployment and implementing the retention and the redundancies plan.

### **2.11.2 Barriers to HRP**

Planners face significant barriers while formulating an HRP. A lot of difficulties are faced by planner. A few important barriers are;

- HR practitioners are considered the experts in handling personnel / HR matters, but not experts in managing business.
- Many a time the importance of making HR practices future oriented and the role of HR practitioners in formulation of organizational strategies are questioned. When HR planning task is considered simple, where the need for is elaborate and time consuming planning for human resources.
- HR information often is incompatible with other information used in strategy formulation. Strategic planning focuses more towards financial forecasting and it take precedence over HRP.
- Conflict may exist between short term and long term HR needs. For example, there arises a conflict between the pressure to get the work done on time and long-term needs, such as preparing people for assuming greater responsibilities. Many corporate managers believe that the HR needs can be met immediately because skills are available on the market, as long as wages and salaries are competitive. Therefore, long time plans are not needed.
- There is conflict between quantitative and qualitative approaches to HRP. Some experts have view that HRP as a number game designed to keep the flow of people across the department in organization.
- Non-involvement of line managers / operating managers makes HRP totally ineffective. HRP is strictly a coordination task. Successful planning can be done through coordinated effort on the part of line managers / operating managers and HR personnel.

## **2.12. HRP in Agriculture and Allied Sectors**

Developing database for manpower requirement in agriculture and allied areas was not considered in the beginning and no serious thought was given to its direction. Studies made on agricultural manpower (including veterinary doctors) are not as planned and detailed as those on medical / engineering manpower. Normally the estimates of supply of agricultural graduates / veterinary doctors have been generally worked out using the same methodology as for medical manpower but the rates of annual attrition have been generally lower than those of medical doctors. This is mainly

due to the fact that there has not been any significant migration of agricultural / veterinary degree-holders to western countries. Hardly any attention has been paid to the non-participation of many agricultural graduates, though the problem does not seem to be as serious in the case of veterinary graduates. In fact, in both these categories males predominated and therefore temporary withdrawal from the labour-force on account of family reasons is not as important a factor as in other categories. Prior to economic reforms, on the demand side the estimates of requirements of agricultural manpower used to be worked out generally on the basis of requirements of different government and government-supported programmes. It was also assumed that there would not be any significant demand for agricultural graduates in the private sector outside agro-industries, even though in practice many agricultural graduates have reverted to self-employment in farm sector in the agriculturally advanced areas. However post economic reform era has opened many employment and business opportunities in private sector. Also, multinational agribusiness companies and Government are encouraging agriculture graduates to become entrepreneurs in different fields.

The attrition rates ranges between 1 -2 percent per year and generally no allowance is made for any net in or out-migration from the state. No allowance for international migration is made at the national level. On the demand side, attempts could be made to estimate the requirements for such personnel on a public and private sector.

In fact the HRP is one of the most needed activity in agriculture for overall development of economy and well-being of around 60% of our population earning livelihood from this primary sector. In recent years the planning commission has taken measures to identify the skills needed for agriculture and allied sector.

### *2.12.1 Efforts in HR Planning in Agriculture*

In human resource planning, one of the important factors is demand and supply forecast, where, education standards play an important role. A beginning has been made through agricultural education programmes (agriculture, forestry and veterinary science) offered by Agricultural Universities, Agricultural colleges, Agricultural schools, courses offered by NGOs, Vocational schools and Multipurpose high schools. Some schools and colleges for Arts and science education also impart agricultural education in rural areas. These facilities in agricultural education can be broadly divided into school and college level education. The school level agricultural education is covered under vocational education whereas college level education covers specialization subjects.

Besides, school and college level education other forms of programmes are also planned for teachers and trainers, training in-service candidates in various agricultural and related fields. For developing broad plans for human resources for agriculture and other allied sector, planning process need information on the following aspects.

- Area and number of agricultural holdings classified according to size (total area), kind of tenure and principal crops;
- Number of agricultural holding classified by type of machinery and equipments, irrigation, power and implements used;
- Gross capital formation in agricultural machinery and equipment
- Index of agricultural production
- Member of person's engaged and average earnings.
- Marketing structures, operational systems for marketing of agriculture and other products post harvest storage, processing information.
- Government policies and programmes for agricultural development
- Private sectors initiative in agriculture and allied sector

In addition to for improving educational standards in agriculture and allied sector, the HR planning require to look into employment and entrepreneurship opportunities in this sector and develop elaborate plans to fulfill demands of required manpower with appropriate knowledge and skills. With boom in agribusiness sector and initiatives taken by national and multinational companies in activities such as retailing, supply chain, logistic management, procurement management, banking, micro finance, commodity finance, crop insurance, weather insurance etc. the HRP has assumed greater importance in agriculture sector.

As usual the government department / private sector continued to project demand of technical professionals for teaching, research, extension and marketing. With entry of private sector in agribusiness the management discipline is regarded as potential area of growth. Demand of techno managers with dual qualification in technical as well as management is increasing day by day to man agribusiness operations.

### **2.13. Let us sum up**

We have understood from this unit that human being is considered as 'resource' due to their productive powers. The term Human Resource Planning is defined as the process of forecasting an organization's future demand and supply of human resources for achieving the objectives as the right type of people in the right number for right place. The broad objectives of manpower planning is to open opportunities for recruitment and selection, building capacity through training and development, retention of employees, decisions considering personnel choice and make adjustment as per changing demand.

The planning has become an important activity in today's turbulent business environment and highly competitive market economics, where the organizations have to survive, operate and grow. The basic steps in HRP include environmental scanning, labour demand forecast, labour supply forecast, action programming and control and evaluation.

Manpower planning essentially makes projections of supply and demand of manpower. Organizations use different forecasting techniques varying from simple to sophisticated ones. Normally organizations follow more than one technique. These techniques include: Managerial Judgment, Ratio Trend Analysis, Work Study Techniques, Delphi Technique, Flow Models and others. Both the demand and supply forecast are the essential steps in human resource planning. In general the HR professionals have to perform various roles under three broad categories viz., administrative role, strategic role and specialized role. However no specific role is assigned for HRP work. A suitable combination of different roles such as collecting and analyzing data, designing and applying forecasting systems and managing career development forms are specific roles in HRP.

The initiative taken by both state and central government to boost the growth of agriculture sector and due to entry of national and multi-national companies in the field of agriculture lead to born in agri-business activities like retailing, supply chain, logistic management, procurement management, micro-finance, commodity trading, crop insurance etc. These emerging areas project demand of techno-managers, and hence requires proper HRP to meet the demand and supply gap in agriculture and allied sector.

#### **2.14. Case study of DEASI**

Young Siva Sanker Reddy, after completing his education was in search of a respectable business, which, he could run from his town Guntur in Andhra Pradesh. He decided to start a business centre for selling agricultural inputs to the farmers. He started agribusiness by opening a shop in Guntur in 2001. He sells all agri-inputs and yet times forced to provide advisory to the farmers. The business was flourishing fast with many farmers approaching him for purchase of seeds, fertilizers and pesticides. This was all right. But he was uncomfortable whenever his clients – the farmers ask him for technical advisory on the use and application of seeds, fertilizers and pesticides for better farming practices. This was due to the fact that he doesn't have sound knowledge



on agricultural subjects particularly he lacks practical knowledge on difficulties faced by farmers in the field. He realized that he is not the only odd man out. Most of his friends in the same business are also like him. To his surprise, he also found that many of the agribusiness dealers and distributors do not have relevant knowledge on agricultural technologies. Siva Sankar Reddy has great aptitude for learning. He is sure that he will excel in his profession, if he can acquire knowledge on agricultural technologies and other subjects related to his business. He is also sure that updating his knowledge will help him to provide quality services for his clients - the farmers with confidence and professionalisms. So he gave a serious thought on how he can improve his knowledge on agricultural subjects. He was in search of a knowledge source or a college where he can attend classes on agriculture. His search continued till he could identify a vocational course offering Diploma in Agriculture Services in his own town. In the beginning he was worried about the availability of time for attending the classes and running his business as well. Later he found that the Diploma in Agriculture Extension Services for Input Dealers (DAESI) was offered by National Institute of Agricultural Extension Management (MANAGE), Hyderabad in his own town. The classes are organized on market holidays thus solving his problem of time management. Though the course fees was little high around Rs.20,000/-, he was willing to spend this money to fulfill his quest for knowledge in agriculture. The course offered him many more opportunities to advice farmers such as right choice of input, correct quantity, skills to negotiate with distributors, discharging regulatory responsibilities, maintenance of various records related to sales of inputs etc.

This one year course brought a new vigor and confidence in Siva Sankar Reddy. After the completion of Diploma, his experiences of business are different. He shares "One farmer by name Shri. Raghavaiah of Brahmanakoduru village of Chebrolu Mandal brought paddy plant with some problems. The plant was showing the symptom of Zinc deficiency and brown spots caused by *Helmintho sporium oryzzae* I enquired with the farmer about the fertilizers and pesticides applied so far. Later I advised him to apply

zinc Monohydrate 33% @ 100 gram per acre and Monocozeb 75%, 2.5 gram per liter and to spray 150-200 liters spray fluid per acre. This recommendation worked and the crop was revived and this farmer also suggested his fellow farmers to approach me". Since then the farmers are in regular touch with me for advises. Narrating this with pride, Siva Sankar Reddy told that he has developed self confidence in providing advisory to farmers, gained respect among farming community and increased his business turn over by 50% most importantly with self satisfactions.

- i. Who is at fault for the plight of farmers for technical knowledge as mentioned in above case the dealer of agri input, government programmes , lack of planning, or the farmers themselves and, why?
- ii. Can this problem be solved through timely planning of human resource development in agriculture sector?

This case developed by Dr. B.D. Tripathi, Principal Coordinator (PPABM), MANAGE, on the basis of document provided by DAESI cell of MANAGE, Hyderabad.

## Unit-3

# Performance Management

## Structure

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Performance Appraisal for Human Resource Development.
- 3.3 Objectives of Performance Appraisal
- 3.4 Approaches to Performance Appraisal.
- 3.5 The Evaluation Process.
- 3.6 Methods, Techniques or Tools For Appraising Performance.
- 3.7 Why do appraisal techniques prove failure?
- 3.8 Let us sum up

### 3.0. Objectives

*After studying the lesson, students will be able to :*

- Identify the various factors which affect adversely in performance appraisal of employees.
- Enumerate various techniques for appraising the performance of employees.
- Link performance appraisal with HR decisions effectively.
- Appreciate the importance “Performance Appraisal” in developing employees.

### **3.1. Introduction**

Now it is let's come to an important paradigm in any extension organization, the Performance appraisal. A performance appraisal (PA) or performance evaluation is a systematic and periodic process that assesses an individual employee's job performance and productivity in relation to certain pre-established criteria and organizational objectives. In the development of human resources in an organization, besides training, PA becomes a great tool in the hands of a leader. It has a developmental dimension if it is used properly by a leader. The process of PA is followed by performance counseling and interpersonal feedback. If necessary, coaching and advanced training are adopted for the development of human resources on the basis of performance appraisal. According to one of the authors performance appraisal helps in arriving into decisions related to pay, promotion, determination of learning needs, transfers, demotions or terminations etc.

In this unit, an attempt has been made to cover –

- i. The concept of performance appraisal;
- ii. Objectives of performance appraisal;
- iii. Various approaches to performance appraisal;
- iv. Methods and techniques appraising performance;
- v. Factors which affect performance appraisal very adversely like Halo effect, central tendency errors, stereotyping etc.

### **3.2. Performance Appraisal for Human Resource Development**

Just think for a while practically the relevance of performance appraisal in human resource management in your own organisation. We know that Performance Management is an ongoing process of communication between a supervisor and an employee that occurs throughout the year, in support of accomplishing the strategic objectives of the organization. At the same time, a formal performance appraisal is an important opportunity to summarize the informal evaluations of the employee's

performance over a longer period of time. Effective performance appraisal enhances the development of human resources in an organisation. Very many behavioural experts proclaimed, HRD is a continuous process to ensure the development of employee competencies, dynamism, motivation and effectiveness in systematic and planned way. HRD helps employees in acquiring and sharpening capabilities, discovering and exploiting inner potential and developing and organisational culture.

HRD goals generally include a good number of items as follows:

- Enable the capability of each employee as an individual in relation to his present & future role.
- Develop the individual to realise his potential.
- Develop the individual's capabilities to perform his present job better.
- Develop the capabilities to handle future likely roles.
- Develop and maintain a high motivation level of employees.
- Strengthen superior-subordinated relationships.
- Strengthen team spirit among different teams.
- Promote inter-team collaboration.
- Promote Organization Climate Development and Organization Health Development.
- Develop the dyadic relationship between each employee & his/her superior.
- Integrate the people development with the organizational development.
- Develop the human resources philosophy for the entire organisation & get the top management committed to it openly.
- Maximize learning opportunities of individuals in an organisation.
- Maintain the overall health of an organisation by Balancing of change & adaption.
- Develop competencies by creating environment for the trainees conducive to their character building.
- Promote a culture of creativity, innovation, human development, respect and dignity.

- Provide opportunity for development of different level of employees need based training programs
- Prepare newly inducted staff to perform their work with high level of competency and excellence

We know the goals go on like this. But in the real sense, briefly speaking, some of HRD developmental directions are:

### *Individual*

- Self management competence development with respect to the present role.
- Development with respect to the future role.

### *Role*

- Role Clarity.
- Interrole Linkages.
- Performance under optimum stress.

### *Dyads*

- Trust
- Mutuality

### *Interteam*

- Collaboration.

### *Teams*

- Cohesiveness
- Optimum Resource Utilization.

### *Organisation*

- Self-Renewal Mechanisms.

Following are the HRD instruments/Techniques available for a leader:

- Role analysis and development exercises.

- Performance planning.
- Performance analysis and review. (Performance Appraisal).
- Performance counselling and interpersonal feedback.
- Induction training
- Job rotation.
- Potential appraisal and development
- Career planning and development.
- Stress audit and stress management.
- Organization development exercises.
- Quality circles.
- Task forces.
- Weekly and monthly meetings.
- Appraisal system.
- Career system.
- Training system.
- Work system
- Cultural system
- Self Renewal system.

In nutshell, Performance Appraisal is one of the most important requisites in HRD.

### **3.3. Objectives of Performance Appraisal**

Importance and purpose of Performance Appraisal

While looking into the true perspective of Performance appraisal, it can be seen that, it has been considered the most significant and indispensable tool for an organization. The information it provides is highly useful in making decision regarding various aspects such as promotion and merit pay increases. Performance measures also

link information gathering and decision making processes which provide a basis for judging the effectiveness of personal sub-divisions such as recruiting, selection, training and compensation. Accurate information plays a vital role in the organization as a whole. They help pinpoint weak areas in the primary system e.g. marketing, finance and production. It is easier for managers to see which employees need training or counseling because jobs are grouped by categories (e.g. production, foreman, sales manager, financial analyst). These categories can be broken into smaller and smaller groups, if necessary. Timely, accurate, objective, standardized and relevant performance data are available management can maintain consistent promotion and compensation policies throughout the total systems.

The following are the given views of some experts on purposes of performance appraisal:

- Formal performance appraisal plans are designed to meet three needs, one of the organizational and the other two of the individual namely:
  - They provide systematic judgments to back up salary increases, transfers, demotions or terminations.
  - They are means of telling a subordinate how he is doing and suggesting needed changes in his behaviour, attitudes, skills or job knowledge. They let him know “where he stands” with the boss.
  - They are used as a base for coaching and counselling the individual by the superior.
- Performance appraisal determines who shall receive merit increases; counsels employees on their improvement; determines training needs; promotability; identifies those who should be transferred etc. Moreover, it improves employees’ job performance; encourages employees to express their views or to seek clarification on job duties; broadens their outlook, capacity and potential; promotes a more effective utilization of manpower and improves placement, facilitates selection reward and promotion of the best qualified employee, prevents grievances and increases the analytical abilities of supervisors” – (Ronald Benjami)



- Levinson has given three functions of performance appraisal (i) it seeks to provide an adequate feedback to each individual for his or her performance. (ii) It purports to serve as a basis for improving or changing behaviour toward some more effective working habits (iii) It aims at providing data to managers with which they may judge future job assignments and compensation. He stresses the fact that the existing system of performance appraisal do not serve any of these functions effectively but focus on 'outcome of behaviour'.
- Performance appraisal utilization is for performance improvement ("initially at the level of the individual employee, and ultimately at the level of the organization"). Other fundamental reasons include "as a basis for employment decisions (e.g. promotions, terminations, transfers), as criteria in research (e.g. test validation), to aid with communication (e.g. allowing employees to know how they are doing and organizational expectations), to establish personal objectives for training" programs, for transmission of objective feedback for personal development, "as a means of documentation to aid in keeping track of decisions and legal requirements" and in wage and salary administration.

Anyway, let's see after all, the overall objective of performance appraisal is to improve the efficiency of an enterprise by attempting to mobilize the best possible efforts from individuals employed in it. Such appraisals achieve four objectives including the salary reviews, the development and training of individuals, planning job rotation and assistance promotions" (Cummings)

*The main objectives of performance appraisal are:*

- To enable an organization to maintain an inventory of the number and quality of all managers and to identify and meet their training needs and aspirations.
- To determine increments and provide a reliable index for promotions and transfers to positions of greater responsibility.
- To maintain individual and group development by informing the employee of his performance standard.
- To suggest ways of improving the employee's performance when he is not found to be up to the mark the review period.

It is quite obvious that, that performance appraisal is an important tool of personnel management. It is a judgment of the characteristics, traits and performance of employees and has a wide range of utility. In short, the main purpose of performance appraisal is to provide the 'deadlock' and research data for improving the overall personnel information system.

### **3.4. Approaches to Performance Appraisal**

Now, let's see the approaches in PA. In fact, an approach to employee performance appraisals depends on the employer's type of performance management system. Other factors that affect your approach to employee evaluation include company size, organizational goals and performance standards. Different ways to approach performance appraisals include an informal communication with the employee, a formal rating method or a blend of evaluation methods that serve the interests of the employer and the employee.

Generally speaking three approaches are used in making performance appraisal.

- A casual unsystematic, and often haphazard appraisal: This method was commonly used in the past, but now it has given place to a moral formal method, the main basis being seniority or quantitative measures of quantity and quality of output for the rank and file personnel.
- The traditional and highly systematic measurement of (i) employee characteristics, and (ii) employee contributions or both. It evaluates all the performance in the same manner, utilizing the same approach, so that the ratings obtained of separate personnel are comparable.
- The behavioural approach emphasizing mutual goal setting. According to McGregor, in the traditional approach, the supervisor is placed in the position of "Playing Gods". He judges and at times criticizes the personal worth of his men. Therefore, emphasis has been laid upon providing mutual goal setting and appraisal of progress by both the appraiser and the appraisee. This approach is based on the behavioural value of fundamental trust in the goodness capability and responsibility of human beings.

### 3.5. The Evaluation Process

Don't you right now feel the necessity of becoming aware on the evaluation process? Being extension functionaries in the field level, it is an imperative aspect. Broadly speaking, the process of evaluation begins with the establishment of performance standards. At the time of designing a job and formulating a job description, performance standards are usually developed for the position. These standards should be clear and not vague, and objective enough to be understood and measured. These standards should be discussed with the supervisors to find out which different factors are to be incorporated weights and points to be given to each factory and these then should be indicated on the Appraisal Form, and later on used of appraising the performance of the employees.

Naturally, the next step is to communicate these standards to the employees, for the employees left to themselves, would find it difficult to guess what is expected of them. To make communication effective, 'feedback' is necessary from the subordinate to the manager. Satisfactory feedback ensures that the information communicated by the manager has been received and understood in the way it was intended.

Now comes the third step i.e the 'measurement of performance.' To determine what actual performance is, it is necessary to acquire information about it. We should be concerned with how we measure and what we measure. Four sources of information are frequently used to measure actual performance; personal observation, statistical reports, oral reports, and written reports.

Next step, i.e the fourth one is the comparison of actual performance with standards. The employee is appraised and judged of his potential for growth and advancement. Attempts are made to note deviations between 'standard performance' and 'actual performance'.

After noting the deviation, in the next stage, the results of appraisal are discussed periodically with the employees, where good points, weak points, and difficulties are

indicated and discussed so that performance is improved. The information that the subordinate receives about his assessment has a great impact on his self-esteem and on his subsequent performance. Conveying good news is considerably less difficult for both the manager and the subordinate than when performance has been below expectations.

Finally we come to last step taking care of the initiation of corrective action when necessary; immediate corrective action can be of two types. One is immediate and deals predominantly with symptoms. The other is basic and delves into causes. Immediate corrective action is often described as “putting out fires,” whereas basic corrective action gets to the source of deviation and seeks to adjust the difference permanently. Coaching and counselling may be done or special assignments and projects may be set; persona may be deputed for formal training courses, and decision-making responsibilities and authority may be delegated to the subordinates. Attempts may also be made to recommend for salary increase or promotions, if these decisions become plausible in the light of appraisals.

### **3.6. Methods, Techniques or Tools for Appraising Performance**

Now, won't it be interesting to explore a bit further to know the glimpses of methods, techniques and tools for performance appraisal? Several methods and techniques of appraisal are available for measuring the performance of an employee. The methods and scales differ for obvious reasons. First, they differ in the sources of traits or qualities to be appraised. The qualities may differ because of differences in job requirements, statistical requirements and the opinion of the management. Second, they differ because of the different kinds of workers, who are being rated, viz., factory workers, by the degree of precision attempted in an evaluation. Finally, they may differ because of the methods used to obtained weightings for various traits.

In fact, there is little agreement on the best method to evaluate managerial, professional or salaried performance. Different authors have suggested different approaches. For example:

Rock and Lewis have classified the method into two broad categories viz., the narrow interpretation and broad interpretation of appraisal. The former is considered a 'a post-mortem of subordinate's performance by his superior during a pre-determined period of time, often the preceding during a pre-determined period of time, often, preceding year. It involves assessment of performance vis-à-vis specified criteria or in terms of a particular method rating. Methods such as the traits or characteristics' rating scale, the ranking method, the employee comparison method and performance standard method are included under this category. The latter, "also known as accountability management, management by objectives or management by enresults, involves a broad purview, and aim at improving the entire managing process and the individual managers on a year round basis."

According to Robins, there are three categories, viz., (i) single-trait, single subject, in which subjects are not compared with any single subject, in which subjects are not compared with any other person and each trait is measured alone. The check-list, the numerical and graphic scale methods are more popular of such category. (ii) single-trait, multiple popular of such category. (ii) Single-trait, multiple subjects, in which the subjects are compared with other subjects. Group order ranking individual ranking and pair comparison methods belong to this category (iii) Multiple trait, single-subject, in which force choice rating is done by either the subject himself or the evaluation, into trait offered for evaluation.

The widely used categorization is that given by Strauss and Sayles. They have classified performance appraisal methods into traditional, and newer or modern methods. The traditional methods lay emphasis on the rating of the individual's personality traits, such as initiative, dependability, driver responsibility, creativity, integrity, leadership potential, intelligence, judgment, organizing ability, etc. On the

other hand, newer methods place more achievements – than on personality traits. Results oriented appraisals tend to be more objective and worthwhile, especially for counselling and development purposes.

Techniques used for Performance Appraisal (Anderson)

- Alphabetical/numerical rating.
- Forced choice rating, including force rating indices.
- Personality trait rating.
- Graphic rating scale.
- Forced Distribution.
- Ranking.
- Paired comparisons.

#### *Alphabetical/numerical rating*

Here the appraiser is asked to rate employees on a number of different work qualities such as:

- Quantity and quality of work.
- Job Knowledge.
- Problem-solving ability.

Figure: 1 Example of alphabetical/numerical ratings.

Instruction to appraiser  
Using the 5-point scale below, please place a tick in the column which most closely represents your view of the level of employee performance for each element.

Assessment of Current Performance	High ..... Low				
	1 A	2 B	3 C	4 D	5 E
Knowledge of present duties		√			
Planning ability			√		
Skill in implementing work plans			√		
Decision-making ability			√		
Accuracy of work				√	
Ability to communicate orally			√		
Ability to communicate in writing				√	
Willingness to accept new ideas		√			
Problem-solving ability			√		
Relationships with superiors		√			
Relationships with peers		√			
Relationships with subordinates	√				
Relationships with clients			√		

**Forced choice rating**

This method uses a number of adjectives or phrases to indicate higher or lower performance. The appraiser is asked to identify the adjectives or phrases that best describe the performance of each employee. This method was developed to eliminate bias and the preponderance of high ratings that might occur in some organizations. The primary purpose of the forced choice method is to correct the tendency of a rater to give consistently high or low ratings to all the employees. This method makes use of several sets of pair phrases, two of which may be positive and two negative and the rater is asked to indicate which of the four phrases is the most and least descriptive of a particular worker. Actually, the statement items are grounded in such a way that the rater cannot easily judge which statements apply to the most effective employee. The following box is a classic illustration of the forced choice items in organizations.

Figure 2 : Example of Forced Choice rating

Instruction to appraiser  
 Statements about work performance are arranged in groups of four. For each group of statements tick which is most representative of, and which is least representative of the employee being assessed.

	<i>Most</i>	<i>Least</i>
Unwilling to assume responsibility		
Knows how and when to delegate responsibility	✓	
Offers useful suggestions		
Too easily changes his/her ideas		✓
Over-confident	✓	
Inspires pride in the organization		
Lacks tact		
Thoughtful of others		✓
Criticizes organizational policies		✓
Others experience difficulty in working with him/her		
Admits mistakes when wrong	✓	
Others know they can rely on his/her judgement		

### *Personality trait rating*

This is simply rating based on personality traits. A structured form is used requiring the appraiser to rate each employee on a scale containing usually four, five or six points on a number of personal qualities and personality characters such as : confidence, enthusiasm, maturity, steadiness under pressure, initiative.



**Figure 3: Example of Personality Trait Rating**

**Instruction to appraiser**  
Please circle the number on each rating scale which you feel is most applicable to the employee.

1. How confident is the employee?				
1	2	3	4	5
Low confidence				High confidence
2. How much enthusiasm does the employee show in carrying out his/her job?				
1	2	3	4	5
Unenthusiastic				Extremely enthusiastic
3. How mature is this employee?				
1	2	3	4	5
Immature				Extremely mature
4. How steady is this employee under pressure?				
1	2	3	4	5
Unstable				Highly stable

**Graphic rating scale**

Perhaps the most commonly used method of performance evaluation is the graphic rating scale. Of course, it is also one of the oldest methods of evaluation in use. Under this method, a printed form, as shown below, is used to evaluate the performance of an employee. A variety of traits may be used in these types of rating devices, the most common being the quantity and quality of work. The rating scales can also be adapted

by including traits that the company considers important for effectiveness on the job. A model of a graphic rating scale is given below.

**Table: Typical Graphic Rating Scale**

Employee Name..... Job title .....

Department ..... Rate .....

Data .....

Quantity of work: Volume of work under normal working conditions	Unsatisfactory	Fair	Satisfactory	Good	Outstanding
Quality of work: Neatness, thoroughness and accuracy of work Knowledge of job					
A clear understanding of the factors connected with the job					
Attitude: Exhibits enthusiasm and cooperativeness on the job					
Dependability: Conscientious, thorough, reliable, accurate, with respect to attendance, reliefs, lunch breaks, etc.					
Cooperation: Willingness and ability to work with others to produce desired goals.					

Here in graphic rating, the appraiser is asked to rate employees in terms of a number of defined work or personal qualities by placing a tick somewhere along a line from 'very high' to 'very low'. The principal advantage of this method are:

- its relative simplicity.
- ease of comprehension.
- avoidance of having to slot people into specific categories.

Figure 4 : Example of Graphic rating scale

**Instruction to appraiser**  
Please place a tick somewhere on the line running from 'very high' to 'very low' to indicate the employee's performance for each quality.

Quality	Scale
Quantity of work Consider the amount of work accomplished.	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="width: 20%; text-align: center;">✓</div> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <span>very high output</span> <span>very low output</span> </div>
Quality of work Consider the accuracy of work and the extent to which work of a high standard is regularly produced.	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="width: 20%; text-align: center;">✓</div> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <span>very high quality of work</span> <span>very low quality of work</span> </div>
Co-operation with others Consider level of co-operation shown at work towards peers.	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="width: 20%; text-align: center;">✓</div> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <span>very high co-operation</span> <span>very low co-operation</span> </div>
Innovation Consider the extent to which suggestions for carrying out work in a new but better way are made.	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="width: 20%; text-align: center;">✓</div> <div style="width: 40%; border-bottom: 1px solid black; margin-bottom: 5px;"></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <span>very high innovation</span> <span>very low innovation</span> </div>

This rating scale is the most common method of evaluation of an employee's performance today. One positive point in favour of the rating scale is that it is easy to understand, easy to use and permits a statistical tabulation of scores of employees. When ratings are objective in nature they can be effectively used as evaluators. The graphic rating scale may however suffer from a long standing disadvantage, i.e., it may be arbitrary and the rating may be subjective. Another pitfall is that each characteristic is equally important in evaluation of the employee's performance and so on.

***Forced Distribution***

A number of categories are established for each work quality that is to be assessed: low, below average, average, above average, high.

Figure 5 : Example of Forced distribution method

Instruction to appraiser  
On any one quality, about 40% of the employees rated by you should be rated in the middle category; around 20% of your employees in each of categories 2 and 4, and around 10% in each of categories 1 and 5.

A. Quality of work	10%	20%	40%	20%	10%
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	low	below average	average	above average	high
B. Attitude to work (enthusiasm; willingness to accept instructions)	10%	20%	40%	20%	10%
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	low	below average	average	above average	high
C. Flexibility (ability to adapt easily to change)	10%	20%	40%	20%	10%
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	low	below average	average	above average	high

## Ranking

The appraiser places employees in order of merit (best to poorest). Ranking is usually carried out on an assessment of overall performance. The obvious advantages are:

- simplicity.
- it forces the appraiser to discriminate between different levels of performance.'

Figure 6 : Example of a ranking method

**Instruction to appraiser**

- List in any order, in the space below, all employees whom you are responsible for appraising.
- Look over the list and decide who you feel has been the best performer over the past year, draw a line through his/her name and write it in the space marked '1 – Highest'.
- Look over the remaining names and decide who has been the poorest performer, draw a line through his/her name and write it in the space marked '1 – Lowest'.
- Next, select the person you think is the second best performer, draw a line through his/her name and write it in the space marked '2 – Highest'.
- Select the person who has performed least well of those remaining on the list, draw a line through his/her name and write it in the space marked '2 – Lowest'.
- Continue this ranking procedure, selecting next highest, then next lowest, until you have drawn a line through every name on the list.

<i>Employees to be ranked</i>	<i>Rankings</i>	
<i>(List names in any order in this column)</i>	1 – highest	<i>(insert name)</i>
	2 – next highest	
	3 – next highest	
	4 – next highest	
	4 – next lowest	
	3 – next lowest	
	2 – next lowest	
	1 – lowest	

**Paired comparisons**

Paired comparison analysis is a good way of weighing up the relative importance of options. A range of plausible options is listed. Each option is compared against each of the other options. The results are tallied and the option with the highest score is the preferred option. This is a form of ranking in which the appraiser is required to indicate which of two employees is rated higher, in a series of pairs. The number of times each individual is preferred is calculated, and a performance rating index determined, based on the number of times an employee is rated higher than his/her peers.

Figure 7 : Example of Paired Comparisons method

Instruction to appraiser  
 In each row compare each pair of names, i.e. the employee A. Smith and each other employee in the same work group; indicate 'higher' if you rank Smith's performance better during the past year, and 'lower' if you consider it lower.

<i>Name of employee</i>	<i>Other employees in the same work group</i>	<i>Overall work performance Higher/Lower</i>
A. Smith	B. White	Higher
A. Smith	C. Brown	Higher
A. Smith	D. Black	Lower
A. Smith	etc.	etc.
A. Smith	etc.	etc.

- It is useful where priorities are not clear.
- It is particularly useful where you do not have objective data to base this on.
- It helps you to set priorities where there are conflicting demands on your resources.
- This makes it easy to choose the most important problem to solve, or select the solution that will give you the greatest advantage

### 3.7. Why do appraisal techniques prove failure?

Performance appraisal techniques have often failed to give a correct assessment of the employee. Let's quickly have a glance of the major reasons why performance appraisals fail: According to Zevala, the causes of such failures are:

- a) The supervisor plays dual and conflicting role of both the judge and the helper.
- b) Too many objectives cause confusion.

- c) The supervisor feels that subordinate appraisal is not rewarding.
- d) A considerable time gap exists between two appraisal programmes.
- e) The skills required for daily administration and employee development are in conflict.
- f) Poor communication keeps employees in the dark about what expected of them.
- g) There is difference of opinion between a supervisor and a subordinate, in regard to latter's performance.
- h) Feedback on appraisal is generally unpleasant for both supervisor and subordinate.
- i) Unwillingness on the part of supervisors to tell employees plainly how to improve their performance.
- j) Some supervisors are too nice and they sugar-coat the negatives and thereby they are missing an opportunity to help their employee grow.

### 3.8. Let us sum up

In general, a good performance appraisal system should help every employee to become more clear about his role; identify opportunities for taking challenges, experimenting and growing in the role; and to understand one's own strengths and weaknesses in performing different functions in the role.

It is obvious that all organizations must face up the challenges of how to evaluate, utilize and develop the skills and abilities of their employees to ensure that organizational goals are achieved, and also to ensure that individuals gain as much satisfaction as possible from their jobs while making effective contributions. As competition in many markets becomes more intense and global in nature, it is hardly surprising that an increasing number of organizations are recognizing the importance of performance appraisal as a key element of human resource management.

The appraisal systems in most organizations are designed today to meet the following objectives:

1. To control employee behaviour by using it as an instrument for rewards, punishments and threats;
2. To make decisions regarding salary increases and promotions.
3. To place people to do the right kinds of jobs.
4. To identify the training and developmental needs of the employees.

A number of long-established techniques used in systems of performance include:

- Alphabetical/numerical rating
- Forced choice rating, including forced choice rating indices.
- Personality trait rating
- Graphic rating scale
- Forced distribution
- Ranking
- Paired comparisons.

Halo effect, stereo typing, Central tendency errors etc., effect the appraisal of the employees badly.



## Unit-4

# Training and Human Resource Development

## Structure

- 4.0. Objectives
- 4.1 Introduction
- 4.2 Importance and Significance of Training in Human Resource Development
- 4.3 Learning Theories and Adult Learning Styles
- 4.4 Training Cycle, its Process and Training Needs Assessment
- 4.5 Let us Sum Up

## 4.0 Objectives

*After going through this unit you will be in a position to :*

- Understand the importance and significance of training in Human Resource Development
- Know the learning theories and adult learning principles
- Get exposed to training cycle and its phases

## 4.1 Introduction

Being responsible extension personnel, is it not a must for us to be well versed with the relevance and practical utility of training? Of course we ought to learn about training. We know that training is skill/job oriented. Its intention is simply to make the person qualified for a job. Looking into a broader perspective, training is an important and effective tool for capacity building and for assisting policy leaders, government officials, development project personnel, extension experts, and agriculturists in the realization of their programme objectives and plans. Often, we are faced with the need to change something or to implement a new way of doing something. Training allows

us to orient those who will be involved in and/or affected by the change. Also we may need to provide people with new knowledge or new skills that are necessary to implement a change. Training is a potential solution.

Often training, however, is an underestimated activity. Sometimes experts simply think all they must do is to communicate to others and change will occur. Development personnel sometimes think they can just hire a technical or subject matter expert to conduct a workshop or a training session. In either case, or in similar cases, the expectation may be over-simplified. Training is a complex activity and must be carefully planned and implemented.

In the real sense, the design and preparation of training are the major activities usually consuming more time and energy than the delivery of training. Further, training is a key mechanism for developing the skills of individuals those enhancing our human resources. When people's skills are improved, they produce more, are happier and contribute more to the well-being of their families, communities and countries.

Another important aspect to be given prime consideration in training is Curriculum development. When the Curriculum development is done systematically, can make the training process better and help us build our human resources. Curriculum development that results in written plans for systematic training can help to be sure that quality is being maintained. For the trainer, a course description and set of lesson plans can provide a road map for implementing training. This road map will help in keeping the training on course and preventing problems. Additionally, the curriculum can help to assure consistency of training when more than one trainer is teaching the same course or when the same trainer is teaching a course more than once.

Training is a means to reduce obsolescence among people and organizations in the face of relentless technological innovations. Therefore, training or capacity building is the essential ingredient of human resource development so as to make personnel in the system to work better, work systematically, keeping the objectives of the programme

and projects in view for over all satisfaction of the client groups. Specially, in extension, the training for extension personnel must be the regular feature to up keep the knowledge and skill of agricultural technologies and its relevant fields which are changing rapidly in the context of globalization and technological revolution.

## 4.2 Importance and Significance of Training in Human Resource Development

Now it is high time to go ahead with the importance and significance of training in HRD. Training plays an important role in the development of human resources. To put the right man at the right place with the trained personnel has now become essential in today's globalised market. No organisation has a choice on whether or not to develop employees. Therefore training has nowadays became an important and required factor for maintaining and improving interpersonal and intergroup collaboration. We know that human resources is the life blood of any organisation. Only through well-trained personnel, can an organisation achieve its goals? At a glance, we find that training gives the following results:

1. Growth, expansion and modernisation cannot take place without trained manpower.
2. Increased productivity and profitability, reduced cost and finally enhanced skill and knowledge of the employee.
3. Prevents obsolescence, helps in developing a problem solving attitude
4. Gives people awareness of rules and procedures.

Training and development programmes, as was pointed out earlier, help remove performance deficiencies in employees. This is particularly true when (1) the deficiency is caused by a lack of ability rather than a lack of motivation to perform, (2) the individual (s) involved have the aptitude and motivation needed to learn to do the job better, and (3) supervisors and peers are supportive of the desired behaviours.

For the successful growth in an organization, the inevitable requisites are stability, flexibility and capacity. Training contributes to employee stability in at least two ways.

Employees become efficient after undergoing training. Efficient employees contribute to the growth of the organization. Growth renders stability to the workforce. Further, trained employees tend to stay with the organization. They seldom leave the company. Training makes the employees versatile in operations. All-rounders can be transferred to any job. Flexibility is therefore ensured. Growth indicates prosperity, which is reflected in increased profits from year to year. Who else but well-trained employees can contribute to the prosperity of an enterprise? Dissatisfaction, complaints, absenteeism, and turnover can be reduced if employees are trained well. This equally holds good in agriculture, particularly for farmers and extension personnel for their capacity building in their endeavours.

Following are the benefits of training, to the organization:

- Leads to improved profitability and / or more positive attitudes toward profit orientation
- Improves the job knowledge and skills at all levels of the organization
- Improves the morale of the workforce
- Helps people identify with organizational goals
- Fastens authenticity, openness and trust
- Improves the relationship between boss and subordinate
- Aids in organizational development
- Learns from the trainee
- Helps prepare guidelines for work
- Aids in understanding and carrying out organizational policies
- Provides information for future needs in all areas of the organization
- Organization gets more effective decision making and problem solving
- Aids in developing leadership skill, motivation, loyalty, better attitudes, and other aspects that successful workers and managers usually display
- Aids in increasing productivity and / or quality work

- Develops a sense of responsibility to the organization for being competent and knowledgeable
- Eliminates suboptimal behaviour
- Creates an appropriate climate for growth
- Aids in improving organizational communication
- Helps employees adjust to change
- Aids in handling conflict, thereby helping to prevent stress and tension.

Again, the individuals who undergo training get enormous benefits and the organization benefits from him / her. The benefits are:

- Helps the individual in making better decisions and effective problem solving
- Through training and development, motivational variables of recognition, achievement, growth, responsibility and advancement are internalized and operationalized
- Aids in encouraging and achieving self-development and self-confidence
- Helps a person handle stress, tension, frustration and conflict
- Provides information for improving leadership knowledge, communication skills and attitudes
- Increases job satisfaction and recognition
- Moves a person toward personal goals while improving interactive skills
- Satisfies, personal needs of the trainer (and trainee)
- Provides the trainee an avenue for growth and a say in his / her own future
- Develops a sense of growth in learning
- Helps a person develop speaking and listening skills, also writing skills when exercises are required
- Helps eliminate fear in attempting new tasks.

In nut shell, therefore, the most important and significant benefits of training accrue to not only individual but also to his organization for its overall development.

### 4.3 Learning Theories and Adult Learning Styles

#### The Learning Theories and Process

It is obvious that teaching and learning are the components of education. Teaching is a process in which we provide a situation where learning takes place and learning is the process in which a person becomes changed in his behaviour through his own self activity. Learning is defined as the empowering experience and discovering one's learning style that can lead to an increase in achievement and self-confidence. Knowledge and skills are involved in learning. Further, learning is an active process and it cannot be passive. Learning also means acquiring knowledge and skill and related information which can help the learner to perform better in any kind of endeavor. There are many different theories of how people learn. It is interesting to think about one's particular way of learning and to recognize that everyone does not learn the way another person does. There are several theories of learning like:

#### *Sensory stimulation theory:*

Its basic premise is that effective learning occurs when the senses are stimulated. By stimulating the senses, especially the visual sense, learning can be enhanced. However, this theory says that if multi-senses are stimulated, greater learning takes place. Stimulation through the senses is achieved through a greater variety of colours, volume levels, strong statements, facts presented visually, use of a variety of techniques and media.

#### *Reinforcement theory:*

The theory was developed by the behaviorist school of psychology and it stresses that learner will repeat the desired behaviour if positive reinforcement follows the behaviour. Positive reinforcement, or 'rewards' can include verbal reinforcement such as 'That's great' or 'You're certainly on the right track' through to more tangible rewards such as a certificate at the end of the course or promotion to a higher level in an organisation. Negative reinforcement also strengthen a behaviour and refers to a

situation when a negative condition is stopped or avoided as a consequence of the behaviour.

***Holistic learning theory:***

The basic premise of this theory is that the individual personality consists of many elements specially, the intellect, emotions, the body impulse, intuition, and imagination that all require activation if learning is to be more effective.

***Cognitive-Gestalt approaches:***

The emphasis here is on the importance of experience, meaning, problem solving and the development of insights. This theory has developed the concept that individuals have different needs and concerns at different times, and that they have subjective interpretations in different contexts.

***Facilitation theory (the humanist approach) :***

The root premise of this theory is that learning will occur by the educator acting as a facilitator through establishing an atmosphere in which learners feel comfortable to consider include ideas and are not threatened by external factors.

***Experiential learning:***

This theory asserts that without reflection people would simply continue to repeat their mistakes. The experiential learning cycle consists of concrete experience, conceptualization, and active experimentation.

***Action learning:***

Action learning is the approach that links the world of learning with the world of action through a reflective process within small cooperative learning groups known as 'action learning sets'. The 'sets' meet regularly to work on individual members' real-life issues with the aim of learning with and from each other. The 'father' of Action

Learning, Reg Revans, has said that there can be no learning without action and no (sober and deliberate) action without learning.

### ***Adult learning (Andragogy):***

This theory highlights that when adulthood arrives in the people they behave in adult ways and believe themselves to be adults. They feel they should be treated as adults. The adult learning was special in a number of ways. For example:

- Adult learners bring a great deal of experience to the learning environment. Educators can use this as a resource.
- Adults expect to have a high degree of influence on what they are to be educated for, and how they are to be educated.
- The active participation of learners should be encouraged in designing and implementing educational programs.
- Adults need to be able to see applications for new learning.
- Adult learners expect to have a high degree of influence on how learning will be evaluated.
- Adults expect their responses to be acted upon when asked for feedback on the progress of the program.

### **Adults as learners & their learning styles**

A professional extension man has to learn about adult learning styles. A major part of being an effective instructor involves understanding how adults learn best. Compared to children and teens, adults have special needs and requirements as learners. Adult learners have the following characteristics:

- Adults are *autonomous* and *self-directed*. They need to be free to direct themselves. Their teachers must actively involve adult participants in the learning process and serve as facilitators for them.



- Adults have accumulated a foundation of life experiences and knowledge that may include work-related activities, family responsibilities, and previous education. They need to connect learning to this knowledge / experience base.
- Adults are *goal-oriented*. Upon enrolling in a course, they usually know what goal they want to attain.
- Adults are *relevancy-oriented*. They must see a reason for learning something. Learning has to be applicable to their work or other responsibilities to be of value to them.
- Adults are *practical*, focusing on the aspects of a lesson most useful to them in their work. They may not be interested in knowledge for its own sake. Instructors must tell participants explicitly how the lesson will be useful to them on the job.
- As do all learners, adults need to be shown respect. Instructors must acknowledge the wealth of experiences that adult participants bring to the classroom.

### *Motivating the Adult Learner*

Another aspect of adult learning is motivation. At least six factors serve as sources of motivation for adult learning:

- **Social relationships:** to make new friends, to meet a need for associations and friendships.
- **External expectations:** to comply with instructions from someone else; to fulfill the expectations or recommendations of someone with formal authority.
- **Social welfare:** to improve ability to serve mankind, prepare for service to the community, and improve ability to participate in community work.
- **Personal advancement:** to achieve higher status in a job, secure professional advancement, and stay abreast of competitors.
- **Escape/Stimulation :** to relieve boredom, provide a break in the routine of home of work, and provide a contrast to other exacting details of life.

- **Cognitive interest** : to learn for the sake of learning, seek knowledge for its own sake, and to satisfy an inquiring mind.

#### 4.4 Training Cycle, its Process

The simple conceptual framework of training cycle essentially consists of only four dimensions like Training Need Analysis, Design, Delivery and Evaluation. It is presented in Figure 1.

**Figure 1 : Conceptual framework of training cycle**



Source: Online reference of Training and Development services:

[development-opportunities.co.uk](http://development-opportunities.co.uk)

Now we are well aware that training helps in building capacities among the individuals so as to improve their performance in their job activities. When question of extension and technology transfer comes it provides all unique opportunity to the participant trainees (extension personnel / trainers) to know the ground realities and farmers' preferences and changing situations of agriculture which help them to act effectively. Generally, three types of training are necessary and provided to extension personnel. They are :

- Induction training
- Orientation training, and
- On the job training.

There are three phases to be remembered for a training cycle and they are planning, implementation and evaluation:

**Planning :** Involves determining what we want to achieve and how we will achieve it. This phase is essentially the curriculum development process, and it includes a series of steps that, if followed, will help ensure a consistent and effective training effort.

**Implementation :** Takes care of doing what is necessary to achieve our goals and objectives. Implementation is the process of putting training programmes into operation. The planning phase results in a curriculum. At this point we activate the curriculum. We should conduct the training according to the content we have identified and the procedures we have outlined.

**Evaluation :** Consists of checking to see that we have succeeded in achieving our objectives and, where necessary, making changes to improve training activity results in the future. Evaluation and feedback should normally occur at each step in the curriculum development and implementation phases. In addition, we should conduct formal evaluation at the conclusion of the training activity, using the tests and other learning assessment procedures to determine the level of training effectiveness. What we learn from the evaluation should be used to identify additional training needs and to make changes that will improve the training when it is conducted again.

With the above mentioned explanations, we have distinguished between validation and evaluation. The former relates to assessment of whether the training has achieved its laid down objectives and later involves measurement of total effects of the training program. In practice, however, this distinguishing is not always meaningful since, it may be difficult to obtain the information on the total effects of the training.

*There are four levels of evaluation as given below:*

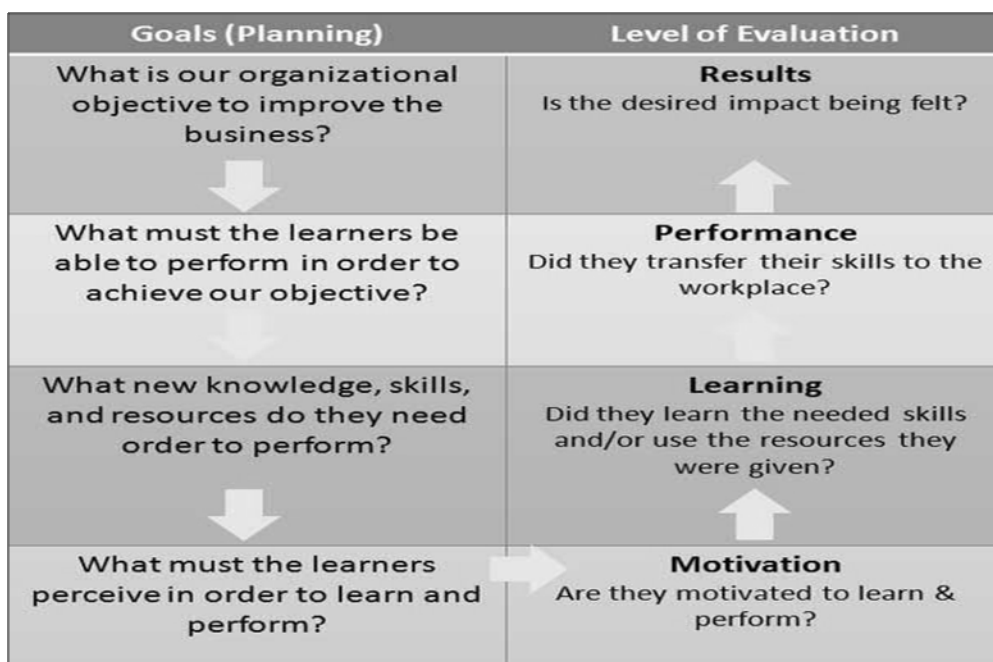
1. The reaction level: Trainees react to the training on the method of presentation, peacefulness and interest of the subject matter, their participation etc.

2. The learning level: Trainees learning in terms of acquiring knowledge, skills and attitude as a result of training.
3. The job behaviour level: The trainees apply the learnings from training in the form of change in behaviour in the back-home job situation
4. The functional level: The changed job behaviour as result of training will lead to changes in the functioning of the organization.

Another model of planning goals and levels of Evaluation by flipping it upside down and adding a couple of changes, changes takes care of results, performance, learning and motivation.

- Result - What impact (outcome or result) will improve our business?
- Performance - What do the employees have to perform in order to create the desired impact?
- Learning - What knowledge, skills, and resources do they need in order to perform?
- Motivation - What do they need to perceive in order to learn and perform?

This makes it both a planning and evaluation tool which can be used as a troubling-shooting heuristic:



The model can now be used for planning (left column) and evaluation (right column). In addition, it aids the troubleshooting process. For example, if you know the performers learned their skills but do not use them in the work environment, then the two more likely troublesome areas become apparent as they are normally in the cell itself (in this example, the Performance cell) or the cell to the left of it:

There is a process in the work environment that constrains the performers from using their new skills, or the initial premise that the new skills would bring about change is wrong.

Simply speaking in other words, it essentially involves the extent to which the training has made an impact on the organizational performance. There is a wide range of techniques of evaluation. The selection of a technique or a combination of techniques for a particular situation depends on the nature of training objectives, the design of training, the finance available and other factors. The techniques include questionnaires, reviews, tests, observations on the job etc.

#### **4.5 Let Us Sum Up**

We understood that the design and preparation of training are the major and important activities. It can be focused on a hour long, day long, week long, or year long training course. The Curriculum of a training programme spells out the content to be covered in training, specifies expectations for trainees, delineates procedures for covering content, suggests the methods for facilitating the learning process, identifies ways for evaluating or assessing learning and puts everything in a time frame. Hence, the Curriculum becomes a blue-print for the training. If Curriculum is correct, and prepared based on the needs of the participants and objectives of the programme, the training is likely to be successful. Therefore, Curriculum development is to be viewed as a process used to determine training needs, prepare training objectives, identify and organize training content, select methods for training, and develop support materials for training and trainee assessment. It is a process, and is therefore an action-oriented activity. The result of curriculum development is a course description and lesson plans. The training curriculum informs and guides the trainer in the act of doing training.



## Unit-5

# Training Need Assessment & Designing Training

## Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 Importance of Training Needs Assessment & Designing of Training Module
- 5.3 Training Needs Assessment Process
- 5.4 The process of Designing Training module
- 5.5 Let us sum up

## 5.0 Objectives

*After going through this unit, you will be in a position to*

- Make out the importance and significance of Training Need Assessment
- Know the Techniques of purposeful design of Training Module
- Have a distinct idea about the process of Training Needs Assessment, and
- Learn the process of Designing meaningful Training Module

## 5.1 Introduction

Before organizing any training programme, a very important practical step to be learnt for an extension professional is the procedure of Training Need Assessment. The main purpose of a training needs assessment is to identify performance requirements or needs within an organization in order to help direct resources to the areas of greatest need, those that closely relate to fulfilling the organizational goals and objectives, improving productivity and providing quality products and services. The needs

assessment is the first step in the establishment of a training and development Program. It is used as the foundation for determining instructional objectives, the selection and design of instructional programs, the implementation of the programs and the evaluation of the training provided. These processes form a continuous cycle which always begins with a needs assessment.

We already came across with the terminology of 'Training' as an important process of capacity building of individuals so as to improve his performance in his endeavour. Whenever training programs have to be conducted, there needs to be an assessment of the training needs which needs to preclude everything else. Assessment of the training needs should be done in an elaborate and methodical manner and should be comprehensive. Before we discuss how training needs are to be assessed, we need to understand what training needs are. To start with, employees in any organization often have to upgrade their skills or learn new skills to remain competitive on the job. This means that they need to be trained on the latest technologies or whatever skill is needed for them to get the job done. Further, employees moving up the ladder might need to be trained on managerial skills and leadership skills. All this means that each employee has a real need to get trained on either technical skills or soft skills. These form the basis for the training needs which need to be identified and acted upon.

Hence, training needs assessment is vital to the training process. This includes the content of the training curriculum, modules and levels of training, its techniques and methods, learning situation, kind of skills necessary to be built among the trainees. All these depend on the organizational needs to which the trainees belong and on their personal needs through which they get satisfied and contribute to meet their organizational needs. Further the training process includes:

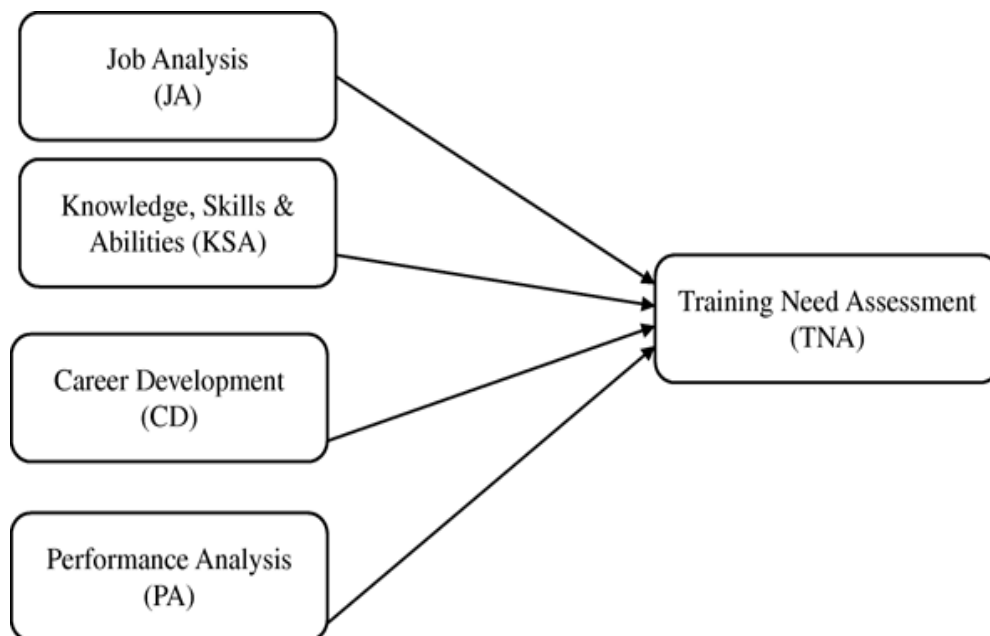
- Organizational objectives and strategies
- Assessment of training needs
- Establishment of training goals
- Devising training programme
- Implementation of training programme and
- Evaluation of results.



Naturally the first step in the training process in an organization is the assessment of its objectives and strategies. What business are we in? At what level of quality do we wish to provide this product or service? Where do we want to be in the future? It is only after answering these and other related questions that the organization must assess the strength and weakness of its human resources.

Needs assessment helps to identify present problems and future challenges to be met through training and development. Organizations spend huge amount of money (usually as a percentage on turnover) on training and development. Before committing such huge resources, organizations would do well to assess the training needs of their employees. Organizations that implement training programmes without conducting needs assessment may be making errors. For example, a needs assessment might reveal that less costly interventions (e.g. selection, compensation package, job redesign) could be used in lieu of training.

**Figure 1 : Brief conceptual framework of Training Need Assessment**



Source: Amna Asrar Mirza, Sumaira Riaz .2012. Training needs assessment in Islamic banking sector", *Qualitative Research in Financial Markets*, Vol. 4 Iss: 2/3, pp.142 - 155

Further, training needs assessment is required to find out and identify the needs of individual training on which they should build their professional competencies to carry out the assigned job in his organizations. However, together with his professional need the personal and development needs are also to be taken care of, which will help him facilitating his efficiency to carry out his assigned duties. These needs generally described as :

- a) A Training need may be described as existing in any time, an actual condition which differs from a desired condition in the human expect all organizational purpose or more specifically when a change in present human knowledge, skills or attitudes can bring about the expected purpose.
- b) A personal need may be said to exist always and personnel set to actively seek to satisfy it within the constraints imposed by the organization. Advancement in career is an example of personal need or also the orientation towards family or other non-work issues.
- c) A development need deals within the total growth and efficiencies of the individual, particularly as a person expands realized abilities towards the potential that he or she seems capable of achieving.

The details of training needs assessment and designing of training curriculum have been dealt in the subsequent sub-sections.

## **5.2 Importance of Training Needs Assessment**

It's the training manager's job to make sure the people in the organisation have the skills they need to meet the organisation's objectives. The complete process of deciding on "What" to include in training is called determining training needs. This process is divided into three major steps namely, i) Needs identification, ii) Needs analysis and iii) trainee skill assessment and gap analysis.

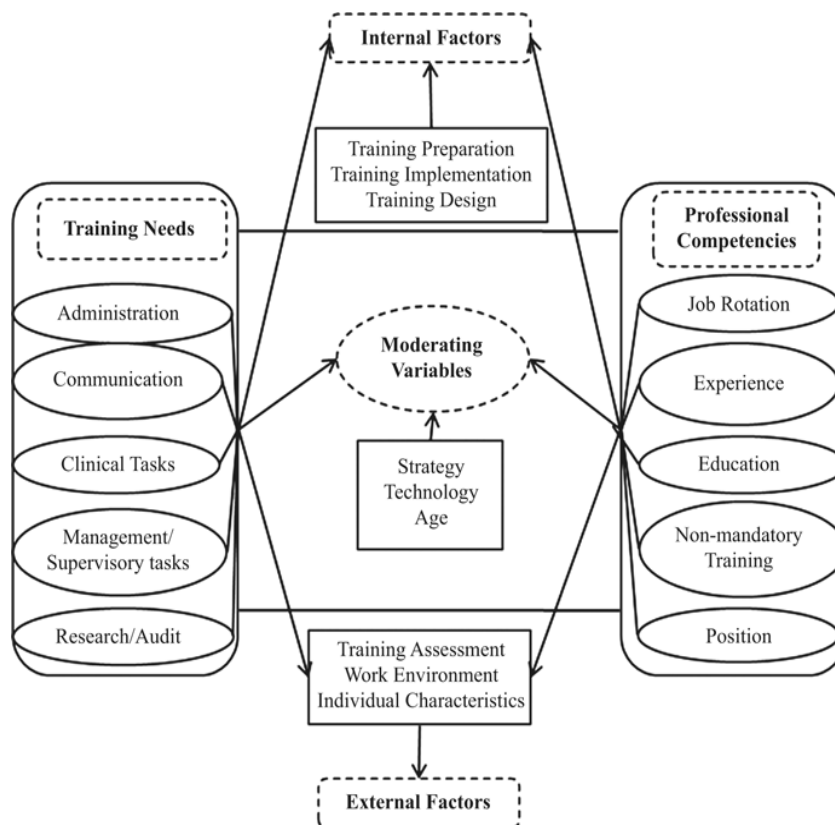
Training Needs analysis occurs at two levels: group and individual. An individual when there is performance deficiency. Inadequacy in performance may be due to lack of skill or knowledge or any other problem. The problem of performance deficiency caused

by absence of skills or knowledge can be remedied by training. Faculty selection, poor job design, uninspiring supervision or some personal problem may also result in poor performance. Transfer, job redesign, improving quality of supervision, or discharge will solve the problem. An example of diagrammatic overview of the concept of training needs analysis (TNA), in public hospitals in Australia is presented in Figure 2.

The Training Needs Analysis (TNA) is a primary tool to identify which skills the organisation needs to develop in its people.

- A good TNA will help you make sure that the training/learning interventions you put in place are highly targeted
- It's a valuable tool to make sure you are spending your training budget in the best way
- It will help you understand the 'performance gap' at the individual, team and organisational levels.

**Figure 2: An overview of the concept of Training Need Analysis**



Source: Joanna Carlisle, Ramudu Bhanugopan, Alan Fish .2011. "Training needs of nurses in public hospitals in Australia: Review of current practices and future research agenda", *Journal of European Industrial Training*, Vol. 35 Iss: 7, pp.687 – 701

Assessment of training needs must also focus on anticipated skills of an employee. Technology changes fast and new technology demands new skills. It is necessary that the employee have to be trained to acquire new skills. This will help him to progress in his or her career path. Training and development is essential to prepare the employee to handle more challenging tasks. Deputation to a part-time MBA programme is ideal to train and develop such employees.

Individuals may also require new skills because of possible job transfers. Although job transfers are common as organizational personnel demands vary, they do not necessarily require elaborate training efforts. Employees commonly require only an orientation to new facilities and jobs. Recently, however, economic forces have necessitated significant retraining efforts in order to assure continued employment for many individuals. Jobs have disappeared as technology, foreign competition, and the force of supply and demand are changing the face of our industry.

Assessment of training needs occurs at the group level too. Any change in the organization's strategy necessitates training of groups of employees. For example, when the organization decides to introduce a new line of products, sales personnel and production workers have to be trained to produce, sell and service the new products. Training can also be used when high scrap or accident rates, low morale and motivation, or other problems are diagnosed. Although, training is not a cure-all, such undesirable happenings reflect poorly trained workforce.

Hence, almost all training organizations assess training needs of the trainees and accordingly training curriculum with distinct modules are designs to make the training programme effective, meaningful and purposeful to fulfill the organization and individual needs.

Designing of training module is done largely based on the assessed needs of the trainees. The types and kinds of courses to be selected and delivered as topics with suitable proportions of theories and practical ensuring desired skills to be developed among the trainees form the basis of curriculum designing and development.

### 5.3 Training Need Assessment Process

Let's think for a while the process of TNA. A Training Needs Assessment is the process of separating the job tasks into those for which training is needed and those for it is not and then developing an Individual Training Plan for accomplishing the needed training. This does not merely mean selecting those knowledge, skills or abilities, which are critical to the job performance, but also means determining what are the capabilities of the current job incumbents (target population). Many training programs fail because we try to train people on things they already know or are capable of doing. Most of us have had the poor experience of attending a training session of this type at one time or another. If we properly assess each individual's or group's training needs this will not happen.

Now, what are the methods of TNA? There are several methods for training need assessment. Some of them are useful for organizational level needs assessment and others for individual need assessment. Following tables depicts the methods used in training needs assessment in both group and organizational and individual analysis.

<b>Group or organizational analysis</b>	<b>Individual analysis</b>
Organizational goals and objectives	Performance appraisal
Personnel/skills inventories	Work sampling
Organizational climate indices	Interviews
Efficiency indices	Questionnaires
Exit interviews	Attitude survey
MBO or work planning systems	Training progress
Quality circles	Rating scales
Customer survey / satisfaction data	Observation of behaviour
Consideration of current and projected changes	

These methods exactly are used in facilitating the processes of training need assessment. Training needs assessment only helps the trainer to decide on training curriculum, content, methods, techniques of training, evaluation and outcome so as to make the training programme complete and successful. Again to make training programme effective and purposeful, the trainer has to decide on the selection of resource persons, appropriate training venue with suitable training learning situations based on the assessed needs of the participants.

### *5.3.1 Benefits of Training Needs Assessment*

A needs assessment is a systematic process for determining and addressing needs, or "gaps" between current conditions and desired conditions or "wants". The discrepancy between the current condition and wanted condition must be measured to appropriately identify the need. The need can be a desire to improve current performance or to correct a deficiency. A needs assessment is a part of planning processes, often used for improvement in individuals, education/training, organizations, or communities. It can refine and improve a product such as a training or service a client receives. It can be an effective tool to clarify problems and identify appropriate interventions or solutions. By clearly identifying the problem, finite resources can be directed towards developing and implementing a feasible and applicable solution. Gathering appropriate and sufficient data informs the process of developing an effective product that will address the groups needs and wants. Needs assessments are only effective when they are ends-focused and provide concrete evidence that can be used to determine which of the possible means-to-the-ends are most effective and efficient for achieving the desired results.

As was pointed above, needs assessment helps diagnose the causes of performance deficiency in employees. Causes require remedial actions. This being a generalized statement, there are certain specific benefits of needs assessment. They are :

1. Trainers may be informed about the broader needs of the training group and their sponsoring organizations.

2. The sponsoring organizations are able to reduce the perception gap between the participants and his or her boss about their needs and expectations from the training programme.
3. Trainers are able to pitch their course inputs closer to the specific needs of the participants.

Once training needs are assessed, training and development goals must be established. Without clearly set goals, it would be difficult for the trainer to design a effective training and development programme and after it has been implemented there will be no way of measuring its effectiveness. The goals must be tangible, verifiable, and measurable. This would be very easy where skilled training is involved. But behavioural objectives like attitudinal changes can be more difficult to state. Nevertheless, clear behavioural standards of expected results are necessary so that the programmes can be effectively designed and results can be evaluated.

Only one thing the trainer has to keep in mind always is that the training benefits must accrue to all participants and their organizations. The trained participants/personnel after going back to their respective work place must make initiatives to transmit and share the new knowledge, skills, ideas and related information to the fellow colleagues and co-workers.

### ***5.3.2. Processes of Training Needs Assessment***

It is interesting to learn a 7 step strategy in the process of Training Needs assessment. Every training and development programme and its needs are assessed on the following steps, namely:

1. The participants of the programme and their background
2. Their expectation from the programme
3. Their previous / existing knowledge and skills on the subject of the training programme
4. Deciding on the methods and techniques to be used for the training
5. The level of training

6. What learning principles are to be followed to expose the participants towards the training objectives, and
7. Training learning situations – the location and venue of the training programme

It is interesting to note that the needs assessment process is vital and its effectiveness to really identify the needs solely depends on the trainers. If it is identified, with holistic information then only desired training curriculum, to be developed and content of the module to be made to provide desired information to the participants which will be compatible with their expectations from the programme.

#### **5.4 The Process of Designing Training Module**

Next item to be taken care of seriously is the process of designing a training module.

Underlying Assumptions in developing a training module are

- Basics in adult learning theory are incorporated.
- Modules are developed with full recognition of who was being trained and why.
- Modules have to adhere to specified time.

Based on the training needs assessment, with all the detailed information about the trainee participants, their expectations, their existing knowledge and skills, their expectation to learn the things, training methods and techniques to be employed and training objectives to be attained and training evaluation, curriculum design or training module are to be developed. Hence, the process should include the following 10 steps:

##### ***1. Determining training needs***

The very first step in developing curriculum is to determine training needs. The most effective way to determine appropriate content for training activities is to conduct a needs analysis. Needs analysis is the process of determining if there is a discrepancy between desired performance and actual performance of the trainees.



## ***2. Specifying training objectives***

We know, once training needs have been identified, we need to describe those needs as objectives worth meeting. Unless training objectives are developed, a training activity cannot be systematically designed to achieve particular outcomes. It has been said that : “ If you’re not sure where you’re going, you’re likely to end up somewhere else – and not even know it.” To avoid this situation, we must be able to state exactly what you want the trainees to accomplish and also what we are willing to accept as proof that they are able to do this.

## ***3. Organizing training content***

We should use the training objectives we have developed as the starting point for selecting the subject matter we will include in the training activity. For each objective there is certain information that we can include which the trainees will be able to use to meet that training objective. We will rarely be able to include everything we want to teach. Specifying objectives tells us where we want to go. Organizing content into a lesson plan helps us to plan the details of the lesson.

## ***4. Selecting training methods and techniques***

Now comes the methods and techniques of training. Although outlining the training content is important, just outlining content will not ensure that trainees learn anything. As a trainer, we must be concerned with providing trainees with learning activities that effectively present the training content and help them accomplish training objectives.

## ***5. Identifying needed training resources***

At this point, we need to identify the resources require to conduct the training. We will need to determine what facilities, equipment, and materials are required. In addition, we must identify necessary administrative and personnel support.

## ***6. Assembling and Packaging Lesson Plans***

This is the important point where we pull together the training objectives, training content, training methods, and training resources into a plan we will use in conducting the training. The lesson plans serve as our written record of how we plan to conduct the training. They will help we stay organized and on schedule. Most importantly, they will help us to provide effective training that will facilitate achievement of the training objectives.

## ***7. Developing training support materials***

Along with the necessary facilities, equipment, administrative and personnel support, we will be required to develop training support materials. Training support materials are those things that help us teach the training content and help the trainees learn. Training support materials include audio-visual teaching aids, trainer reference materials, trainee handouts and reference material, and trainee learning aids.

## ***8. Developing tests for measuring trainee learning***

Another important requisite is to measure the extent of learning in the training. It is much more difficult for us to measure actual learning that takes place than it is to determine what trainees think about or how they feel about a training activity. It is important to know how trainees feel about the training, since unmotivated trainees are not likely to be involved in the training and, therefore, not learn much. However, more importantly, we also need to know how much trainees are learning.

It is also important for us to check trainees' progress along the way. Measuring trainees' learning during the course of training allows you to make necessary adjustments in your pace of instruction and the methods we are using. When we have finished training and the trainees are ready to return to their work, you need to know their skills in performing all the training objectives. Measuring trainees' learning provides you with concrete feedback about what the training programme has achieved.

### ***9. Trying out and revising training curriculum***

Once the entire training programme is put together, we should try it out on a small group of people to determine its strengths and the areas that need to be revised. Training programme “try out” includes evaluation of training materials for technical accuracy and instructional effectiveness. Subject matter experts should be involved in the “try out” to provide feedback on the technical accuracy of materials. If possible, trainees and other trainers should be involved in the “try out” to provide feedback on effectiveness of instructional materials and methods.

### ***10. Getting Feedback from Trainees***

Feedback from participant trainees helps immensely in improving the training content, curriculum design and overall preparing training module for the next programme on the similar nature and subject area. To gather meaningful feedback the trainer must design an effective evaluation proforma to have objective responses from the participants on all aspects of the training.

#### ***Skill gap analysis***

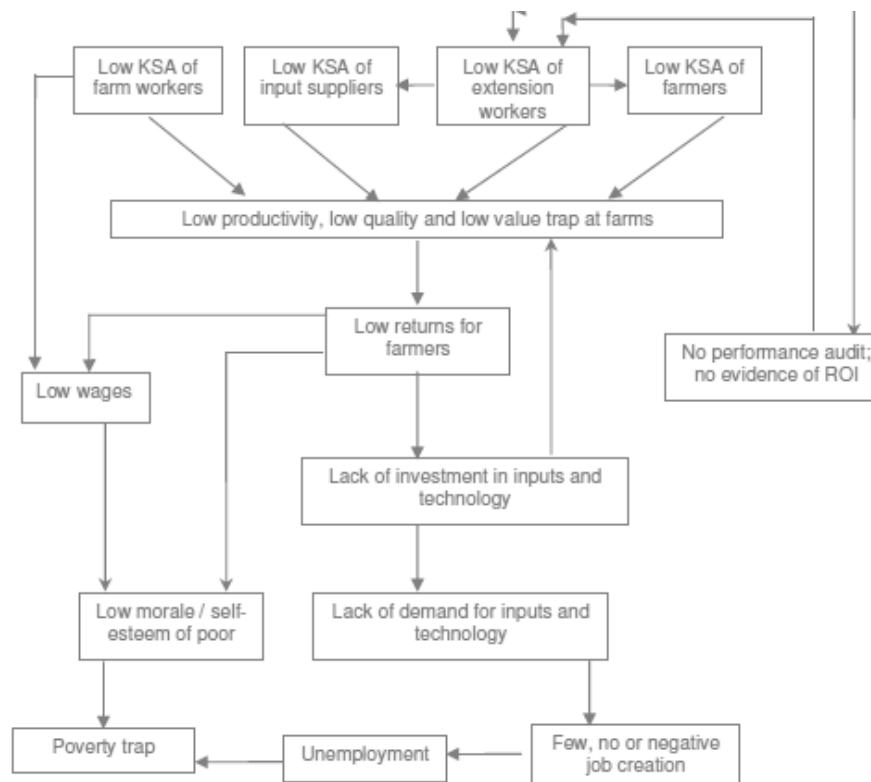
Improvement in knowledge, skills and attitude (KSAs) is a pre-requisite for continuous improvement in the cotton farming system, poverty alleviation, and human development. Low level of KSAs result in low productivity, and low quality, so farming system gets into low-value trap. Eventually, farmers get low returns, who then neither have capability and nor the incentive to invest in technological upgradation of the farming system.

Gap analysis identifies gaps between the optimized allocation and integration of the inputs (resources), and the current allocation level. This reveals areas that can be improved. Gap analysis involves determining, documenting, and approving the variance between business requirements and current capabilities. Gap analysis naturally flows from benchmarking and other assessments. Once the general expectation of performance in the industry is understood, it is possible to compare that expectation

with the company's current level of performance. This comparison becomes the gap analysis. Such analysis can be performed at the strategic or operational level of the farming system

Gap analysis provides a foundation for measuring investment of time, money and human resources required to achieve a particular outcome (e.g. to turn the salary payment process from paper-based to paperless with the use of a system). Note that 'GAP analysis' has also been used as a means for classification of how well a product or solution meets a targeted need or set of requirements. In this case, 'GAP' can be used as a ranking of 'Good', 'Average' or 'Poor'. This terminology does appear in the PRINCE2 project management publication from the OGC (Office of Government Commerce).

The farming system must fill that gap to survive and grow. An example of skill gap is given below.



### *Skill Gaps*

There are several areas in farming system, where there are evident skills gaps. Following sub-sections briefly discuss skill gaps related with these areas

#### *Lack of Skills in Quality Seed Production*

There is shortage of good quality, high-yielding, insect and pests resistant varieties of seeds. Example in cotton 20 percent of the seed is wasted during the process of germination. Wastage is mainly attributed to two factors i.e. poor quality of seed, poor practice of sowing practices. As discussed in Section 8.5, treatment of seed is required before, sowing to protect the crop from infestation of sucking insect pests at early stage. Majority of the farmers buy the cotton seed from the seed companies or fellow farmers. Quality seed production at farm level is concern of high priority. The farmers had limited or no skills of quality seed production at their own farm. Good seed initiatives could contribute in managing the quality seed issue at farm.

*Table Satisfaction with quality of seed*

Seed quality	Frequency	Percent	Valid Percent	Cumulative Percent
Highly Satisfied	11	12.6	12.6	12.6
Satisfied	41	47.1	47.1	59.8
Just Okay	28	32.2	32.2	92.0
Not Satisfied	7	8.0	8.0	100.0
Total	87	100.0	100.0	

#### *Poor Pest and Diseases Management Practices*

Pests and diseases have proven to be the major constraint in production of cotton. Cotton leaf curl virus (CLCV) badly impacted the yield of cotton. Increasing intensity of insects and pests attack is one of the major constraints in the production of cotton. Cotton mealy bug has emerged a devastating pest during the last couple of years. Furthermore, unfavourable weather conditions increase incidence of pest attack in the early growth of the crop as well as at the time of flowering and boll formation,

reduce the number of bolls and weight and raise weed intensity. Number of sprays on cotton crop is showing an increasing trend. It increased from maximum of two in 1988 to 11 in 2001. (Similarly, according to CCRI average number of sprays on 2006 crop was higher than that on previous year crop. Maximum number of sprays applied on the latest crop was 12 sprays. number of pesticides sprays range from 3 to 13. in a crop.. These trends show that resistance of existing varieties have eroded away. This phenomenon has also led to escalation in cost of production and dwindled the competitiveness of the farmer in the international market. farmers heavily rely only on the chemical method of pest control. Therefore, farmers need proper training in understanding the agro ecosystem of the crop and the role of beneficial in managing the insect pests. Moreover, they should also be given training in proper selection of variety to avoid the attack of insect pests and diseases.

**Table: Sprays per hectare**

No. of sprays	Frequency	Percent	Valid Percent	Cumulative Percent
3	3	3.4	3.4	3.4
4	5	5.7	5.7	9.2
5	8	9.2	9.2	18.4
6	11	12.6	12.6	31.0
7	15	17.2	17.2	48.3
8	21	24.1	24.1	72.4
9	7	8.0	8.0	80.5
10	8	9.2	9.2	89.7
11	4	4.6	4.6	94.3
12	4	4.6	4.6	98.9
13	1	1.1	1.1	100.0
Total	87	100.0	100.0	

### ***Poor Soil Health Management***

Farmers heavily depend on the use of chemical fertilizer with a perception to enhance their crop yield. This immoderate use of chemical fertilizers had increased the cost of cultivation by leaps and bounds, which thus reduced the profit margins and had caused deterioration of soil health, resulting in reduction of yield. The soil health depends on the physical as well as the biological environment. Failure to manage soil

health effectively can degrade soil biological functions; causing far reaching consequences. Poor quality soils are less able to retain chemicals such as pesticides, nutrients and fertilizers. Majority of farmers have no knowledge and skills of managing the soil health issues based on STCR (Soil test crop response).

### ***Lack of Skills in Integrated Water Management***

Deficiency skills in managing irrigation water both ground and canal water is a source of concern that average yields in lags well behind average irrigated yields. Australian farmers work closely with universities, cooperative research centres, government departments and consultants to maximize water use efficiency (Pakistan uses around 4914 m<sup>3</sup> water to produce one, tonne of cotton where Australia uses 2278 m<sup>3</sup> water to produce same quantity of cotton (Chapagain, et al, 2005, p. 15). So lessons can be learnt from the practices of Australia Farmers in the country use to scheduled irrigation (Wara Bandi- a weekly turn system) for cotton crop regardless the water requirement of the crop. Furthermore, the cotton planting in flat field worsen the situation, by consuming 30-35% more water as compared to bed/furrow planting method. There is need to build the capacity of farmers in implementing the integrated water management strategies in cotton production.

### ***Poor Harvest and Post-harvest Management practices***

Cotton products are labelled as low quality and low priced products . Generally raw cotton contains more than 8% trash. Trash in US cotton varies from 0.31% to 0.78% (average less than 0.40%). Existence of high impurity content and high counts trash and moisture in cotton of other countries, which result in poor ranking as per international standards. Eventually, farmers realise much lower returns than what can be achieved. estimates on cotton cotton suffers loss of around 10-15 percent in value, equivalent to around \$350 million per annum, which is attributed to:

1. Poor quality
2. Improper picking methods,

3. Adulteration of cotton with water and other material,
4. Mixed grades and seed varieties and
5. Improper packing, storage and transportation means.

Improper picking method is mainly due to two factors i.e. lack of incentives for quality, and lack of training of the cotton pickers. Payment is generally made to the pickers on the basis of weight, which offers least incentive to them to pick carefully and present cotton free of contaminations. In countries like Australia, farmers are paid according to the quality of cotton. Farmers would have to encourage adopting such practices so as to improve quality of cotton produced in the country. Besides, proper training of cotton pickers should also be arranged. Adulteration with water and other material is due to improper ways of storing the cotton. There is a temptation to stock cotton piles in wet places so that its weight increases. Mixing of varieties is due to the fact that a farmer is in a temptation of cultivating two or more than two varieties in different fields so as to minimize the risk. Eventually, at the time of picking, mixing of cotton of different varieties is very common practice among the farmers. This practice badly impacts the quality of their produce. There are several areas, where skill gaps exist. Therefore, farmers should be given training in proper harvest and post harvest management.

### ***Unorganized Farming Community***

There is an uneven situation of the influence of various players on the Government policies. For example, yarn manufacturers have developed into a powerful lobby which has the potential to influence the government policies. On the other hand, cotton producers, especially, small farmers are weak in strength on this account. It is generally believed that spinners exploit ginners, who in turn exploit farmers. Cotton producers may be facilitated to form associations at district, provincial and federal levels. Once the associations are formed, their capacity building would be needed in how to participate in policy dialog. These associations would also be used as an instrument for capacity building of farmers in a bid to improve cotton production and marketing practices. Small farmers



in particular are poorly organized.. They have weak social networking among themselves.Eventually, on one hand, they are unable to influence the Government Policies and the markets andon other hand sharing of information among them is poor. It is therefore, proposed that small farmersshould also be organized into groups on similar patterns. These groups should not only provide aplatform to the small farmers to raise their voices and provide a mechanism of information sharingamong the small farmers aiming at improvement in their knowledge and skills in cotton productionpractices.

### **Poor Marketing Skills**

Farmers lack skills of marketing their products. Resultantly, they resort to adulteration, mixing ofvarieties, etc. to gain more returns. This is another skill gap where farmers need training. There isneed to develop a proper marketing information system as well.

## **5.5 Let us sum up**

Training involves meeting the instructional needs of people. Trainee which fails to meeting learning needs is a waste of time, effort and resources. Hence determining training needs is the basis for all instructions. If there is a deficiency in peoples' performance that can be attributed to a lack of knowledge or skill then there is training need. Once it has been determined that there is a need worth meeting, you have to describe that need as an objective to be realized.

After completion of assessing the needs of the training, curriculum development i..e. contents of the module to be taught are to be developed. This curriculum directs what will be taught and how it will be taught. After completion of these two basic requirements of effective trainee trainers develop his confidence to conduct the training successfully. Based on these training needs he has to develop training objectives which are foundation of effective training. After training objectives are set lesson plans are systematically designed to achieve set objectives and particular outcome.



## Unit-6

# Training Methods and Aids

## Structure

- 6.0 Objectives
- 6.1. Introduction
- 6.2 Common and Widely Used Training Methods (Lecture, Workshop, Seminar, Group Work)
- 6.3 Innovative and Modern Training Methods (Brainstorming, Role Play, Buzz Group, Method Demonstration)
- 6.4 Management/Business Training Methods (Conference, Business Games, Panel discussion, Case Study)
- 6.5 Exposure visits
- 6.6 Let's sum up

## 6.0 Objectives

*After going through this unit, you will be in a position to*

- Have a clear-cut idea about training, its significance and importance of capacity building in individuals;
- Know the various training methods;
- Understand the characteristics of different training methods and
- Know the roles of trainer in conducting different kind of training programmes.

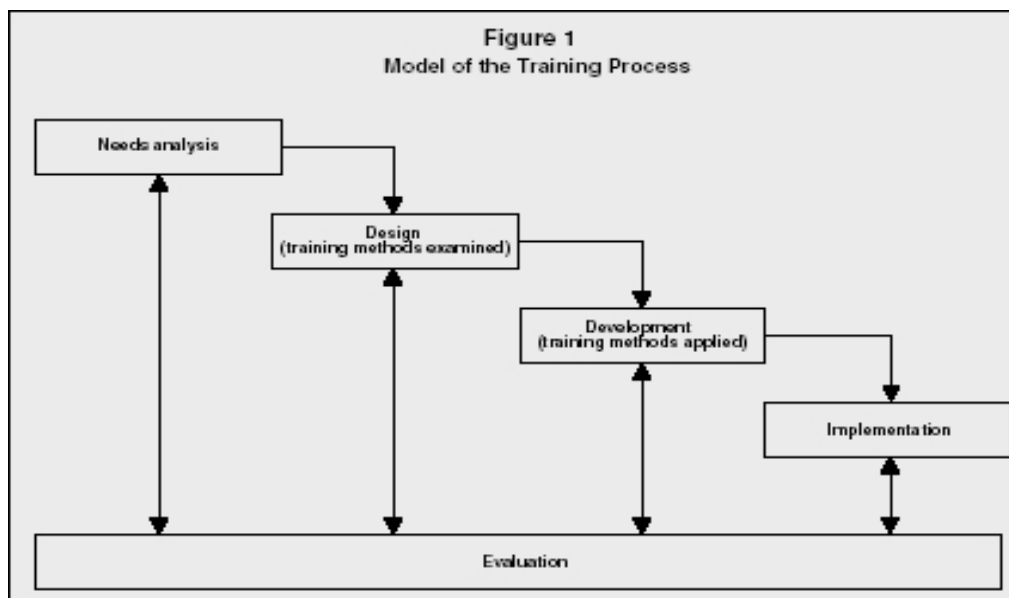
## 6.1. Introduction

So far we understood the fact that Training is the process of aiding employees to gain effectiveness in their present or future work through the development of appropriate habits of thoughts, actions, knowledge, skills and attitude. It is a process through which a person enhances and develops his efficiency, capability and

effectiveness at work by improving and updating his knowledge, understanding and skills relevant to his job satisfaction. Training also helps a person in cultivating appropriate and desired behaviour and attitude towards work and people.

Training is different from education in many ways. While education is concerned chiefly with enhancement and development of knowledge, training aims essentially at improving knowledge and understanding, stimulating aptitude and imparting skills related to a specific job or work. Education primarily concerns with opening out the world to students so that he can choose his interest and mode of living and also his career. Whereas training concerns with preparing the participant with certain lines of action which are delineated by technology and by organization in which he works. In simpler terms education is learning to know and training is learning to do.

It is interesting to see that, besides the change in attitudes, behaviour and understanding, the skills of the trainees are also improved through the effective process of training. Therefore, it may be said that the training is structured and organized effort through which an atmosphere of learning, sharing and synthesizing of information, knowledge and skills are transmitted to the trainees with the help of trainers. And of course in the process both trainers and trainees draw benefit from each other. A typical model of On the job Training is presented in Figure 1.



Source: Encyclopedia of Management, 2006 Gale Cengage.

In general, training is the responsibility of three partners – the training institution, the participant organizations and the participant.

Broadly, the 'training' intends to fulfill the following objectives:

- i. To help the trainees in acquiring knowledge of the subject matter.
- ii. To bring about the change of the attitudes, understanding and behaviour among the trainees towards the particular object, programme and problem.
- iii. To help in putting the theory into practice and bringing generalization from the various hypotheses.
- iv. To help in evaluating the abilities, potentials and competency of the trainees for a particular job or work skills.
- v. To induce the zeal and enthusiasm among the trainees for self-learning and development.
- vi. To enhance the problem-solving and decision-making capability of the trainees.
- vii. To help in narrowing down the gap between expected level of performance and actual level of performance among the trainees.
- viii. To provide scientific pace of knowledge and skills to discharge the duties and responsibilities of the trainees meaningfully and purposefully.

Some cardinal principles are to be followed to make any kind of training in management development programmes, social and rural development or extension activities more effective and efficient. These are:

1. The training should be based on the existing field situation of the trainees and should be meaningful and purposeful to them.
2. It must start from the level at which the trainees are.
3. It must provide nature and scope for relevant experiences to the trainees for their self-improvement.
4. Training must also help the individual to experience change, which occur or ought to occur in their existing field situations.
5. It must provide the opportunity to the trainees to equip themselves with techniques and means to grapple with the specific problems.
6. The training process should be such that it ensures fuller participation and involvement of all the trainees.

7. The training process should ensure three distinct ways of information transfer from trainer to the trainees; from the trainee to the trainee; and from the trainees to the trainer.
8. The training situation should be in informal environment so that the trainees would be able to react and participate without any hesitation in the process of learning and sharing of ideas.

Now, we can have a glance of different training methods. Today, there are several kinds of training methods available for management and development training. And to select and design a particular training method, it is important and necessary for the trainer to consider the above objectives and cardinal principles of training. Above all it is to be kept in mind that training helps an individual to learn as to how to carry out satisfactorily the work assigned to him by creating a learning environment in which the desired knowledge and skills can be effectively and meaningfully acquired by the trainees.

## **6.2. Common and Widely Used Training Methods**

### ***LECTURE***

The lecture method is one of the most commonly used training methods where the trainer is active and the trainee is passive. Even though the effectiveness of the lecture method is often questioned because the trainee assumes passive role. It is one of the oldest and most basic training method. Broadly, a lecture has three components, viz. introduction, presentation of body of the lecture, and conclusion. Care must be taken to arrange the presentation of lecture in a logical sequence and visual aids can be used to supplement the talk.

### ***Contents of Lecture***

All types of content cannot be presented effectively through lecture method. For example, 'manufacturing oxygen' cannot be presented through lecture.

The content, which can be clearly and easily explained in spoken words without depending on aids, should usually be selected for presentation through lecture as the spoken words play a dominant role in this method.

The content to be presented through lecture should be simple ideas and information for description or it could be very complex philosophical thoughts, which should be made simple to the extent possible for effective presentation. In the delivery of the lecture, well setting of physical facilities and arrangements, perfect posture, cautious appearance, courteous manner, natural gesture and vocabulary with simple language are to be considered.

#### *Advantages of using Lecture Method*

1. One need not heavily depend upon audiovisual aids and other gadgets for presentation. We may not even use any audiovisual aids and gadgets for a lecture.
2. Most economical one from cost point of view assuming that the trainer is competent in lecturing on the particular content.
3. Knowledge-level content can very conveniently be passed on to the participants.

#### *Disadvantages of Lecture Method*

1. Practically some trainers take advantage of the method because of its medium (the spoken words) and speak anything and get away with it. Thus, they misuse the method.
2. Some trainers make use of the obsolete lecture notes, which they might have prepared several years back. They present outdated information through lecture method and waste the time allotted.
3. Effective oral presentation depends heavily upon the strength of vocabulary and knowledge of grammar rules including structures of sentences. Someone poor in these aspects is likely to give a very poor performance in lecturing.

## WORKSHOP

### *Nature and Background*

One of the training methods used in management training and technical training is workshop method. The word workshop is borrowed from the area of industry. As we know, in the workshops of industries, practical work is done by the workers. Similarly, through workshop method, some work is done by the participants who are actively involved in the same. A workshop is a series of educational and work sessions. Small groups of people meet together over a short period of time to concentrate on a defined area of concern. The purpose of the workshop may be informing, problem-solving or training.

One component which is common for all the methods is the person who conducts the proceedings of the method. We may call him a trainer or more appropriately for this method the director of the workshop. In using workshop method, the trainer needs a few experts who we may call consultants or co-trainers. The trainer cannot handle the workshop situation single-handed.

### *Modus Operandi of conducting Workshop*

We have to know the basic aspect that workshop is essentially a gathering for providing practical experience. This method provided flexibility and it emphasizes individual proficiency. It is a mix of theory and practice and the end result is a tangible mix of theory and practice. The trainer should organize the material he requires for conducting the workshop. He should systematically arrange everything at the venue so that the sessions of the workshop are conducted smoothly. The participants also be briefed about the procedural details of the workshop where the group has to work in sub-groups under the close supervision and active cooperation of the co-trainers. This preparation is necessary to avoid breakdowns in the proceedings of the sessions.

In workshop also, the session starts with a lecture from the trainer about the instructional objectives of the workshop, the role of the co-trainers, the role of the co-



trainers, the activity that the participants shall have to take up and all the other minute details of what the trainer expect others involved to know.

### *Advantages of the Workshop Method*

1. It makes the participants work with full involvement to produce something concrete and not merely discuss something.
2. It produces something concrete which is practically useful to its members as well as to others needing it.
3. The discussion generated in the workshop situation helps develop the higher cognitive attributes and thereby sharpens the intellect of the participants.
4. It develops certain affect attributes like controlling emotions, having patience in discussion, accepting others' views, having an open mind to learn and so on.

### *Disadvantages of Workshop Method*

1. The method suits top and middle level officials only and does not help that much to the junior staff. Youngsters will not be as much benefited by this method as the grown up higher-level executives can.
2. The trainer's ignorance about the details of the theme can be hidden as the method does not expect the trainer to do much on his own rather he is expected to make the group work. But this covering up of weakness is only to some extent.
3. With the help of competent co-trainers the trainer can manage the whole thing nicely. But if the co-trainers are not really competent to that extent, the whole thing may fail. This may be considered as a disadvantage because the trainer is dependent on a team of competent or otherwise co-trainers.

## **SEMINAR**

### *Nature and Scope*

A very important training method that our extension personnel are to be well versed is seminar. Seminar is known widely as a meeting for giving, exchanging and discussing information systematically under the direction of a trainer, and it is a discussion dominated method. A seminar is, generally, a form of academic instruction,

either at an academic institution or offered by a commercial or professional organization. It has the function of bringing together small groups for recurring meetings, focusing each time on some particular subject, in which everyone present is requested to actively participate.

The idea behind the seminar system is to familiarize students/participants more extensively with the methodology of their chosen subject and also to allow them to interact with examples of the practical problems that always occur during professional work. It is essentially a place where assigned readings are discussed, questions can be raised and debates can be conducted. Instructional objective-wise also, the seminar is very much different from that of lecture method. Seminar through discussions attempts at developing higher cognitive attributes whereas the lecture aims at giving information at knowledge and comprehension level. Seminar takes care of application, analysis, synthesis and evaluation abilities to be developed in the participants.

Seminar is also categorized as specialized study under the leadership of an expert, where the leader may give a brief opening of the presentation often on provocative issues and ultimately gained general discussion. It is normally reserved advanced study and it provided opportunity for in depth study of issue or series of issues with an expert.

### *Components of Seminar Method*

Let's see the components of a seminar. Generally it may be said that the components of seminar method are:

- i. Presentation
- ii. Discussion
- iii. Trainer
- iv. Speaker
- v. Participants

### *Procedural Details of Seminar Method*

In the beginning of a seminar session, the trainer himself should briefly introduce himself, his co-trainer (if any) and should announce who would preside over and who would make the presentation.

Truly, a trainer is a catalyst in the whole process of seminar method where he has to play a dynamic role. The trainer as a catalyst has to start with fixing up a suitable venue, though venue is not the most important component. The venue should be such that it accommodates all the participants with ease. It should be a spacious room with adequate facility for ventilation and also the required furniture should be available there.

### *Advantages of Seminar Method*

1. The trainer succeeds in involving the whole group of participants in the process of the method.
2. Involvement of the group could be observed in two different ways. One, when the involvement is passive at the time of presentation. Two, when the involvement is active at the time of discussion.
3. Since meticulous preparation of the content to be presented, not only the speaker gets prepared mentally and through write-up, the participants also remain informed about what is going to be presented with what purpose.
4. The participants learn how they should participate in a formal situation like seminar where their observations and questions, are to be directed through the chairman to the speaker. Face-to-face dialogue is normally not permitted in a seminar method.
5. A wealth of knowledge usually, presented by many speakers at one time in one place. A lot of "learning" at one clip, with most material compressed into two or three days' worth of time.
6. A sense of camaraderie, where individuals can meet others with the same interests/problems/concerns that they may have in their chosen field.

7. A sense of renewed hope and inspiration (this is especially true for Internet marketing seminars), as sometimes business concerns are lessened by sharing experiences with others. Being with others that “understand” individual’s problems or concerns, is usually a great morale booster!
8. A great way for those that don’t like to read, or attend classes, to improve their knowledge of a specific subject.
9. A nice vacation, in usually, a good hotel or a popular academic institution. Most seminars take place in quality hotels, as this is part of the incentive to attracting attendees or well reputed academic institutions.

#### *Disadvantages of Seminar Method*

1. Not suitable for large groups (about 50). One may mechanically try to use this method with around 50 participants but undoubtedly that would end in chaos and confusion.
2. The nature of content, which requires simple descriptive presentation through lecture and where elaborate discussion for generating ideas is not necessary, employing seminar method would result in utter failure. Instead, that would be a lecture by the speaker and no discussion worth mentioning to follow.
3. Though the interaction through discussion is the most precious thing in this method, sometimes it may sidetrack to unnecessary and irrelevant exchanges between members. This way, a lot of time is wasted.
4. Cost, of course, as all attendees must absorb their own costs quite often. The seminars themselves sometimes also have an entry fee that can be quite high. Normally all travel costs, food costs, hotel costs, and other miscellaneous costs must be absorbed by the attendees.
5. The time spent away from your actual business, or life, to attend is also a limiting factor. Time is always a concern when scheduling activities and some individuals simply can’t spare the time away from their lives for activities such as this.
6. The chance that the topics may not actively help your business or your concerns, and that the seminar will be a waste of time, where nothing you learn is of any use to you. The chance that attendees will expect too much from a seminar and thus be disappointed.

Realism must rule here. These are not “instant answers” to anything. Overall, seminars, if chosen carefully, can be a good experience. They are not miracle cures to business problems or other problems, however, and this must be kept in mind when deciding to attend a seminar.

## **GROUP WORK**

### *Nature and Scope*

This is one of the methods of training used occasionally by a few trainers is group work. As it literally means, a group works to learn through the process of that work duly guided by the trainer. Group work a form of cooperative learning. It aims to cater for individual differences, develop students' knowledge, generic skills (e.g. communication skills, collaborative skills, critical thinking skills) and attitudes. Specifically in psychotherapy, "group work" refers to group therapy, offered by a practitioner trained in psychotherapy, psychoanalysis, counseling or other relevant discipline.

While many practitioners may describe what they do as 'group work', they often have only a limited appreciation of what group work is and what it entails. This method may sound somewhat similar to that of field work and assignment method. There is, however, some similarity in the sense in all those three methods, there are groups and those groups work, but group work as a method has some specific significance which may not be found in the other two methods.

### *Procedural Details of using Group Work Method*

The first and foremost important aspect of a group work method is that, the trainer has to choose the input which can be conveniently and profitably be dealt with by the group work method. After choosing the input, the trainer must place the input suitably by having appropriate inputs to follow and proceed. The aim of group work is to produce better (more effective, more detailed, more comprehensive) presentations and

reports. This is achieved through the combined talents of group members, contributing knowledge and ideas.

Having the input and groups, the trainer has to proceed further in designing a plan outline of how the group/groups would work on the inputs. Such a design he may prepare in advance also. However, he may have to modify that considering the nature of the group. Design of the plan-outline is done by the trainer keeping in mind the instructional objectives of that specific input. This design has to be shared with the participants in order to enable them to work systematically in the desired direction.

Now it is time for the groups to start working with the help of the design of plan outlines, the references and mainly with the readily available guidance of the trainer. Not only the trainer should be available to guide but also all the co-trainers, if any, should remain alert to guide whenever the need arises. This sounds more or less like the workshop method.

Another important thing is when the groups get into action, the trainer has to keep an eye on the on-going activities and make timely intervention if and when the need arises. It may sometimes be necessary to intervene to keep the activity of the group in the right direction.

#### *Advantages of Group Work Method*

1. Develops great spirit of academic work.
2. Participants learn through work or in another words they learn by doing the intellectual exercise. It is not a passive listening or anything of the sort.
3. The product of the group work is not only useful for the group but also for others who need it. Therefore, you can say that group work method has a by-product, which is useful to others.
4. Through the group-work method, the participants are made to exert themselves considerably to come out with something meaningful. This process of involvement is very useful for the participant. Simply listening or watching is not that useful to him.

5. Group work is an effective means of dividing the workload. Many companies undertaking large projects divide the work into more manageable units by assigning groups to undertake the work.
6. Group work allows work to be divided and completed to strict deadlines. Also the group as a whole can tackle problems when they arise. Productivity is further increased if an effective is chosen.
7. Each group member brings their own skills and knowledge into the group. The more skills and knowledge available, the easier a certain project or task becomes as work can be assigned on the basis of ability and experience.
8. Group members must communicate and co-operate with each other in order to bring together different parts of a project or task. Such communication also ensures that any problems can be discussed with and dealt with by the group as opposed to individually.

#### **Disadvantages of Group Work Method**

1. Some participants do not take active part in the group work as they think that others can do the work. At the same time they feel that their negligence cannot be noticed by the trainer.
2. If the trainer fails in providing adequate reference material and library facility, the participants are bound to suffer and the method is sure to flop.
3. In sub-group formation, the trainer has to keep in mind the expected cooperation he would require from the co-trainers.
4. One difficulty with group work is that you can't work as quickly as you can by yourself. Patience, communication skills and commitment are all required to make the most of the contributions of all group members. Thus, effective group work requires each member to focus on the process rather than just the product.
5. Some participants may feel that it is unfair that they are in a group in which members do not have the interest, motivation or ability to attain the grades that they are used to. Thus any work produced will not be up to that participant's usual standard and their overall mark may be affected.
6. Some participants may have had experiences of working within a group where a lack of communication within the group affected the working atmosphere. The

group members may not have co-operated very well together and this showed in the work produced and the results attained.

7. Some participants may have had to deal with a lack of planning and organisation in previous group work activities. This is also made worse by the fact that members may not deal with issues that they face while working together. This can produce constant conflict, which can be very difficult to overcome. All this may affect their view of the benefits of working as a team.

### **6.3. Innovative and Modern Training Methods (Brainstorming, Role Play, Buzz Group, Method Demonstration)**

#### **BRAINSTORMING**

##### *Nature and Scope*

The Brainstorming method is one of the training methods and the only method in recent times, which attempts at developing creative ability through uninhibited expression in a formal setting. Participants generate as many ideas on an issue without any restriction including that of practicability. It aims at creativity and it encourages thinking in new lines. Brainstorming is a group or individual creativity technique by which efforts are made to find a conclusion for a specific problem by gathering a list of ideas spontaneously contributed by its member(s). The term was popularized by Alex Faickney Osborn in the 1953. Osborn claimed that brainstorming was more effective than individuals working alone in generating ideas, although more recent research has questioned this conclusion.

Brainstorming is a popular group method of finding ideas. The process involves a group working together and stating ideas, arguing the merits of those ideas, supplementing those ideas or rejecting those ideas. Brainstorming is often seen in the workplace, when a work group meets to consider and create multiple ideas.

Brainstorming as a method of instruction is of recent origin. It started when the US space scientists at NASA were working on the design of a spacesuit for astronauts, the



scientists invited scholars from other areas of specialization to express their ideas without any inhibitions and even when the idea seemed apparently very silly. To their surprise, a biologist's idea in designing a spacesuit was most appropriate. Since then this system of free expression of ideas in a session has been in practice under the brand name of 'Brainstorming'. Literally also the meaning is clear as the ideas come from the brain when it is liberated to function uninhibitedly and in a stormy condition.

### ***Key Elements in Brainstorming Method***

Among the key elements, the first and foremost is the trainer in brainstorming. He is expected to know the pros and cons of the method. He also has to know the learning input for which he is employing that method. The participants are another component of the method. They are the people for whom the method is employed to achieve desired learning objectives. The trainer should engage one recorder to note all the observations of the participants. Therefore, the recorder forms the third component of the method.

### ***Stage and Procedural Details***

The trainer should know the procedural details of the method. He should also know what type of theme should be selected for this method. The nature of the theme should be such that it gives enough scope for discussion to arrive at a conclusion, which is the answer to some specific problems.

Further, the content of the theme is selected not merely for elaborate discussion but to provide a forum for the participants where they can think creatively and develop their creativity. This is the main consideration in selecting the theme for brainstorming method.

### ***Role of Trainer***

The trainer's role is very important when this session is on. He has not only to facilitate a situation for free flow of ideas but also to guard against any interference by

the co-participants which would disturb the proceedings by making the participants conscious of what he is saying.

### ***Advantages of Brainstorming Method***

1. It creates an atmosphere for free expression of ideas. This free expression develops the ability to express the suppressed thoughts and the fresh ideas coming to one's mind instantaneously.
2. Through the ability to express one's ideas one develops the ability to think creatively as creative thoughts come to a free mind. Therefore, brainstorming method helps develop creativity in an individual.
3. The brainstorming method is employed when a problematic situation requires a solution for which no readymade answer is available. To solve the problem, sometimes, logical thinking alone would not do. One is expected to think very freely even if the solution procedure looks silly. Brainstorming method provides the opportunity.
4. Uncommon problematic situations require creative thinking for solution of the problem. The brainstorming method provides the opportunity of free thinking and free expression for generating creative ideas.

### ***Disadvantages of Brainstorming Method***

1. Participants do not get exposed to a full-length presentation, which could enable the participants to comprehend certain things to develop their knowledge and ability for comprehension. In other words, the content which is informative in nature cannot be taken up through brainstorming method.
2. The method has the limitation of basic requirement in the form of mature participants who can think critically and imaginatively at a higher cognitive level. In other words, the method is not suitable for chronologically young ones.
3. A dynamic trainer who knows the *modus operandi* of a brainstorming method is essential to employ the method successfully. His proper direction makes the method meaningful in getting desired results.
4. In a group participants have to listen to others and may spend time repeating their ideas until they get sufficient attention.

5. Going through the protocol, processing and ordering the ideas can become a complex procedure. This also depends on the number and order of the generated ideas.
6. Advising participants to let others speak without making them feel offended or intimidated can be difficult.
7. Participants with the ability to express their ideas faster and more effectively gain the general attention of the group. Some form of leadership can be formed in this way within the group, which might make participants feel intimidated.
8. On the one hand, people are not very skilled at controlling their non-verbal reactions and might influence the creativity of others with their posture, gestures or facial expressions. On the other hand, attempting to control their non-verbal behavior might inhibit their own creativity.
9. More discrete or introvert participants might find it difficult to express their crazy or unorthodox ideas.

## ROLE PLAY

### What it is

Being the extension functionaries in the field level, it would be of vital significance to know what role play is. Role-play method is one of the simulation methods used in training. Learning takes place in "Playing" the "Roles" and in discussing the same. This training method is widely used by trainers in management and technical training organizations. It is an educational technique in which some problems involving human interaction, real or imaginary is presented when spontaneously acted out.

In Role play, actors are not given the detailed script as in a drama. As the words *Role* and *Play* indicate, the method is based on playing the roles of some people from the areas of concern to the participants who play the roles. However, it is not a drama or one-act-play but the playing of roles with certain specific instructional objectives. Some participants play the roles assigned to them and the remaining observe the role-play. We may group them as players and observers or audience.

### *Trainer's Role*

To begin with, the trainer decides the input for which role-play method is appropriate. Any type of content will not be suitable for role-play method. To decide the input, the trainer carefully studies the instructional objectives of each input in the programme and chooses the input, which would have maximum impact on the participants if direct experience is given instead of theoretical presentation.

The next activity for the trainer is to give an introductory lecture or better we may say a lecturette by explaining the purpose of using role-play method for that particular input. He should also explain what role-play means as the participants might not be knowing this very clearly.

Then the trainer selects the participants who would play the roles. Those selected participants are taken out of the classroom and briefed adequately regarding their roles. The briefing is done both orally and by the role-brief. In role play, we give emphasis on social roles. We act out concrete details in a contrived situation and we observe the participants interact each other. Actors will be given a brief description of the script.

1. Actually four kinds of learning takes place in role playing.
2. Learning by practice of desired skill.
3. Learning through imitation of desired behavior.
4. Learning through observation and feedback about the effectiveness and weakness.
5. Learning through analysis and conceptualization.

### *Advantages of Role-Play Method*

1. The participants experience the roles directly either as players or as observers instead of studying the same theoretically.
2. As a result of the direct experience, the participants develop certain skills, which would otherwise be difficult to be developed through theoretical reading.

3. The method also helps in developing sensitivity and to acquire insight into the problems of human relations. The roles played by the participants and also observed and experienced by other participants help achieving the goal of developing sensitivity and in understanding the problems of human relations.
4. The method helps diagnosing problems in different situations where human beings interact. Such diagnosis is possible because of the special feature of role-play, which may not be available in other training methods.

### *Disadvantages of Role-Play Method*

1. If the trainer is not clear about the instructional objectives and the suitability of the content to be treated through role-play and simply uses the method for the sake of using the method, it is bound to flop.
2. The trainer has to prepare the role-briefs clearly and precisely. If the role-briefs are such that they do not do what they are expected to do, the participants will be confused and cannot play the roles as desired.
3. Selection of participants for the roles is also another tricky situation. Unless the choice is made with great care, the proceedings of the role-play session will be in peril.

## **BUZZ GROUP**

### **The Concept**

'Buzz'-group method is one of the best methods of instruction in management training. Sometimes, the buzz group method forms a part of another method where discussion is predominant. As the words, *buzz* and *group* mean, it is a group that buzzes or a few groups that buzz to interact more freely, informally and without the strict observation of any outsider. However, the emphasis of the method is on "buzzing" in small groups. Here a small discussion group formed for a specific task such as generating ideas, solving problems, or reaching a common viewpoint on a topic within a specific period of time. Large groups may be divided into buzz groups after an initial presentation in order to cover different aspects of a topic or maximize participation.

Each group appoints a spokesperson to report the results of the discussion to the larger group. Buzz groups are a form of brainstorming.

The difference between any group buzzing and a buzz-group session in training is that the latter is structured keeping in mind certain instructional objectives are to be achieved. The former is just incidental buzzing without any specific preplanned purpose. The buzz-group method is used with considerable effectiveness when there is a need for the group of participants to freely discuss in an informal setting to maximize uninhibited participation. Buzz-group session tends to be sloppy with large number of participants. Therefore, ideal number could be a group of 15 or 20.

#### *Modus Operandi of Conducting Buzz-Group Method*

A buzz group is a small group, consisting of three to six people who are given an assignment to complete in a short time period. Generally, each buzz group records their output then reports to the larger group. The consideration of the modus operandi of conducting buzz-group method is of paramount importance in terms of chronology that a trainer would rather follow in the process. Initially, the trainer has to select the theme, which requires brief presentation and elaborate discussion. The presentation in the beginning can also be in detailed manner like that in a seminar. However, the presentation is to motivate the participants sufficiently by giving adequate information systematically so that it leads to a healthy and in-depth discussion.

After the presentation, the trainer has to divide the group into smaller sub-groups. The sub-groups are then directed to sit separately for starting the buzz-session. The sub-groups may sit in the same hall at different places, if the hall is large enough. Alternatively, they can sit in separate rooms in absence of any large place.

After the small group buzzing is over, all the participants have to reassemble for starting the discussion in a formal setting under the chairmanship of the trainer. There is no in between activity except a small break.

### *Advantages of using Buzz-Group Method*

1. Buzz group creates a situation where the participants discuss freely and uninhibitedly to give their best and receive the best from the interaction.
2. The free discussion of the buzz-group generates enough interaction through which the participants develop their higher cognitive attributes.
3. Buzz-group develops certain affect attributes in the participants.
4. Buzz-group provides sufficient momentum for intensive interaction in the discussion to follow. Effective buzz-group session can be experienced through the involved deliberations in the discussion session to follow.

### *Disadvantages of using Buzz-Group Method*

1. The buzzing sound of one group may be disturbing to the other groups when they are in the same hall. If physical facility is no problem, they should sit in the same hall only. So, even in an ideal buzz-group session there is the possibility of expected disturbance though the noise is a part of the whole process of buzz-group method.
2. There may be difficulty in finding so much time for buzz-group method. The time consumption is more because of the three important components of the method, viz., presentation, buzz-session and discussion.
3. As the major 'discussion' is to follow the buzz-session, the participants carry a feeling that somehow the buzz-session should be completed soon. This affects in not creating that much seriousness in the participants for buzz-session.
4. Too much repetition in the reporting process and the facilitator exerting too much control over the buzz group output.
5. One participant dominating the small group process. Assigning a task too large to be accomplished in the allotted time.
6. Buzz groups becoming repetitive and boring for participants when they are used too often.

## METHOD DEMONSTRATION

### *Nature and Scope*

You people, the field level extension functionaries have to be aware method demonstration technique as one of the best group contact methods. This is given before a group of people to show how to carry out an entirely new practice or an old practice in a better way. This demonstration shows an audience how to perform an act or to use a procedure. The chief purpose of a demonstration is to present an improved technique or practice in an interesting, convincing way so that people will appreciate its application and its desirability to their situations.

Method demonstration is an important extension tool when a new skill or an improved practice is to be taught to a group. It essentially involves demonstrating people as to how to do something. Method demonstration is an effective technique since it involves the learner's senses; people learn best when all their senses are used.

### *The major objectives of method demonstration include*

1. To teach skills and stimulate people to action.
2. To get rid of inefficient or ineffective movements.
3. To improve up on the result by doing a job in a better way.
4. To build up learner's confidence and satisfaction on a practice.

The method demonstration is essentially skill training, where the emphasis is on effectively carrying out a job, which shall improve upon the result. It involves seeing, hearing, participating and practicing in a group which shall stimulate interest and action.

### *Organizing Method Demonstration*

**The Introduction:** It is the step in which interest is generated among the audience so that they feel that it is worth to listen and watch out demonstration. This is actually the planning and preparation parts of the demonstration.



**The Body:** This is the “action” part of the demonstration. In this part, the audience are taken through the skill we are demonstrating one step at a time. As we do each step, we tell the audience what we are doing and why are we doing it. We may also give extra information about the materials or equipments.

**The Summary:** This is the last step in method demonstration and it is the last opportunity for the demonstrator to sell his ideas and also for repeating his key points. The summary should be very brief. We should show the finished product and encourage the audience to use the information or method.

#### *Advantages of Method Demonstration*

1. It is particularly suited to teaching skills to many people.
2. Seeing, hearing, discussing and participating in a group stimulate action.
3. It builds confidence in the presenter, when the demonstration is performed skillfully.
4. Simple and good demonstrations readily help in repeated use of the method/practice.

#### *Disadvantages of Method Demonstration*

1. Considerable time and expense can be involved in obtaining necessary materials. For example, heavy objects are extremely difficult to transport.
2. If small objects are used, there is a strict limitation as to the number of people that can adequately observe the demonstration.
3. If a limited supply of materials is available, only one member of the group may be able to imitate what has been demonstrated.
4. Another limitation is that it is suitable mainly for the practices involving skills.
5. Needs good deal of preparation, equipments and skill of the extension agent.

## 6.4 Management/Business Training Methods

### CONFERENCE

#### What it is

The simple meaning of a conference is a meeting of people who "confer" about a topic. Conference is one of the training methods widely used by trainers in management and technical organizations. People from different organizations assemble for discussing issues of common interest. There will be varied representation of participants. This method is somewhat similar to that of seminar, syndicate and symposium methods as discussions dominate the proceedings of the method. Conference has an agenda and the end result will come as set of recommendations for policy makers.

As the word *conference* literally means it is a large group of delegates that confer. It is a step ahead of seminar where the number of delegates or participants is comparatively less.

#### *Steps in Conference Method*

The conference starts with the plenary session, which is the first point in the agenda. The purpose or the objective of the papers to be presented and the discussions to be held are explained in this session.

The plenary session is followed by the paper presentation by the delegates. Each delegate's name is announced and he is requested to make the presentation. As the number of presentations is also large, discussion for each presentation is not taken up separately. After completing all the presentations, the whole group of delegates is divided into a few small groups. Each small group is put in charge of a container who should also have presented a paper.

### *Advantages of Conference Method*

1. It takes care of a large number of delegates for presentation and discussion.
2. The participants are exposed to the plenary session where they learn that the discussions to be followed by their presentation are conducted with some specific objectives and not for fashion.
3. The participants also learn to discuss the issues presented through different papers. Ability to participation in discussions is a significant gain for the participants.

### *Disadvantages of Conference Method*

1. The management of the activity for a large group of delegates. Sometimes the number creates a problem.
2. A very suitable venue is necessary for conference method. It should not only be spacious but also should have adequate furniture, public address system and all that. In case all these things are not possible to arrange, the method may flop.
3. A team of qualified and well-oriented co-trainers is essential to have in advance for the conference method. Any difficulty in this aspect may create considerable problems for the method to succeed.

## **BUSINESS GAMES**

### **What it is**

Business game (also called business simulation game) refers to simulation games that are used at an educational tool for teaching business. Business games may be carried out for various business training such as: general management, finance, organizational behaviour, human resources, etc. Often the term Business simulation is used with the same meaning. Business games are used as a teaching method in Universities, and more particularly in business schools, but also for executive education.

Business game is one of the simulation methods used in top management executives training. As the title of the method indicates, certain games are played by the participants. Those games are necessarily from the area of business management.

Therefore, the method is titled as “Business Games”. The players in this method are the managers and other executives of high caliber.

### **Modus Operandi of Business Games**

The trainer starts with the analysis of instructional objectives to be achieved. Only when he feels that for achieving those instructional objectives, business games method is most appropriate, he should go ahead and plan for further activities.

The next item for the trainer is to have a thorough knowledge about the participants for whom the course is designed where the input under consideration is to be treated through business games. With thorough understanding of the instructional objectives and participants’ background, the trainer decides the particular games, which are to be played by the participants. The game begins with the trainer’s instructions to start and continues till the time given by the trainer is over. All the participants are expected to stop playing when the trainer announces it so. The trainer in that situation is not merely an announcer but also a strict observer of the whole thing. He may also record his observation on paper without disturbing the proceedings of the game.

The game generates data for analysis. The data are supplied by the participants and also by the trainer. In a simulated situation, the participants put themselves in various positions because business games simulate a total business environment of several companies competing together in a common market. The game includes operations for decision-making. Decisions are to be made in connection with the problems in personnel, executive teamwork and internal organization.

### ***Advantages of Business Games Method***

1. One advantage is that business games are most suitable for managers and other executives.
2. Another advantage of business games is that the games offer a variety of challenges to management skills.
3. As a result of the involvement in business games, the participants are likely to learn and retain more than they could in a less interesting static situation.

### *Disadvantages of Business Games Method*

1. All sorts of instructional objectives cannot be achieved through this method. From that consideration, the business games method has limited use.
2. Another disadvantage is that the method will not be applicable to all types of clientele. As explained earlier, only the managers and other executives would benefit the most through this method.
3. Games may go in its own direction without seriousness and participants may not realize its significance in real life situation unless they are instructed properly.

## **PANEL DISCUSSION**

### *Nature and Scope*

Won't it be of interest to know about a Panel Discussion? Of course, Panel discussion method is one of the training methods when a small group of panelists presents divergent views on some issues worth deliberating. The participants listen and then involve themselves in the combined discussion. Panel is a group of three or more people often skilled in various fields, who conduct before an audience a discussion on a topic in order to stimulate interest and to present different points of views rather than to arrive at a single solution or to establish the superiority of one view.

In a panel discussion, there will be moderate description of a single subject by experts, usually representing different fields of disciplines. We get an in depth analysis of the problem in the panel. The audience will be given opportunity to react by asking questions and suggestions. Only a trained moderator can conduct a good panel discussion.

### *Theme for Presentation in Panel Discussion*

The theme is an important factor that should be selected for presentation through the panel discussion method. If the theme is completely informative and there is no possibility of having different views on the same, the theme should not at all be taken up. Only that type of theme which can elicit different view points from the individuals

of the group and generate discussion thereafter and when such divergent views and discussion are necessary for the participants to achieve instructional objectives, the theme should be chosen for presentation through panel discussion method.

### *Modus Operandi of Panel Discussion*

The most important thing for the trainer to do after selecting the topic is to arrange experts who form the panel. The selection of the panel has to be done with utmost care, as they are the people who would stimulate thinking in the participants by expressing diverse views. The experts are expected to have been well-informed people on the topic chosen and they should also know in advance the purpose of the panel discussion. The panel members are to be adequately briefed about their role and the topic under discussion. The trainer has also to help the experts in getting access to relevant material, which would enrich their level of awareness and expertise on the topic.

Next activity for the trainer is to orient the participants by adequately briefing them with regard to the topic under discussion, the role of panel members in the discussion and the role of participants after the panelists complete their discussion.

### *Advantages of Panel Discussion*

1. It provides the participants with divergent and diverse views on the same topic instead one view. This process enriches the knowledge of the participants and enables them to see particular theme from different angles.
2. Panel discussion stimulates the thinking of the participants when they observe the panelists at discussion. Therefore, we can say that the method helps develop the higher cognitive attributes of the participants.
3. The higher cognitive attributes are developed even when the discussion is open after the panelists complete their discussion.
4. In addition the higher cognitive attributes also get developed through the discussion sessions in the panel discussion method.

### *Disadvantages of Panel Discussion*

1. When the panelists fail to deliver the goods; the method fails and the trainer obviously becomes helpless in such a situation.
2. Selection of the theme or topic is equally important, as the competent panelists can do nothing if the topic is not suitable one.
3. If the participants are not briefed adequately, they may get bored and disillusioned during the discussion by the panelists, as they have to keep silent during the period. Any sort of communication gap may disturb the participants.

## **CASE STUDY**

### *Nature and Scope*

In Case study method, situations/ cases will be analytically experimented. It is an excellent medium for developing analytical skill. Started by Harvard Business School, this method is a narrative account of a series of events or situations around a specific problem. It is a written description of an actual situation, which provokes in the learners the need to decide what is going on, what the situation really is or what the problems are and what can and should be done.

A case is an objective description of a real life situation in which executives are required to take action and are responsible for results. Case study is essentially a problem identification, problem solving activity. The technique does not demand a decision or resolution at the end of the exercise. The main focus of the case study should be on thinking, talking and deciding about the many ways solving the problem, and analyzing the factors, which may have contributed to the situation. This technique assists the learners in developing analytical and problem solving skills. It is also useful in giving participants an opportunity to practice a method of tackling difficult problems before one is personally involved in a “real” situation that may be difficult, confusing, frightening or overwhelming.

Case study method provides a learning situation for the trainees. Because the training approach is a sort of discussion type. They discuss about the problems and it should be informal. The trainer has to catch the attention of the trainees and must stimulate discussion properly and it is better to select the right case at the right time.

### *Procedural Details of Case Study Method*

**Construction:** A case starts with the identification of what the trainers want the participants to learn.

**Writing:** After the situation for a case study is constructed, the thoughts have to be properly written in the form of a case.

**Introduction:** Where is the situation occurring and in what context? (This sets up the framework for the problem the case study would be addressing).

**Body:** What problem situations are developing?

What events and factors are contributing to the problems?

Where the major characters and what are they doing?

**Conclusion:** What is the status of the problems now?

What are the major/minor characters doing and what are their thoughts and feelings?

What has happened to the relationships between the major characters?

### *Applications*

The case study provides a learning situation, which depends on involvement and participation in group discussion for its success. Discussion should be focused, yet informal.



### *Analysis*

The case studies can be analyzed by participants in two ways either individually or in small groups where individuals discuss and analyze as a team. In both the cases, the trainer's role is to facilitate discussions, where analysis, viewpoints, opinions, etc. are compared and contrasted.

### *Advantages of Case Study Method*

1. It enables the pooling of the experiences of a group of participants.
2. It distributes knowledge and facts.
3. It promotes the process of synthesis of several concepts and principles into one multifaceted explanation or plan of action.
4. The method helps in group cooperation and improves interpersonal skills.
5. It provides a great amount of description and detail. Researchers can learn a lot from one case. This volume of details suggests many future research questions to follow up in other studies.
6. It presents opportunities that researchers could not otherwise have. It would be unethical to take a volunteer and damage his or her hippocampus just for the purpose of studying memory effects. However, if a person undergoes surgery or some other event for another purpose, psychologists can study the outcomes. Much of what we know about the human brain comes from case studies of people who have had surgeries or accidents.

### *Disadvantages of Case Study Method*

1. It is very time-consuming compared to more direct, expositive teaching method.
2. It requires the participants to engage in deep-processing of the general principles involved, through a process of reflection and abstraction, and the promotion and control of this process, in turn, requires special skills and expert knowledge on the part of the trainer.
3. The results might not generalize to others. In other words, the experiences of one person might not apply to other people. Eg; Researchers at the National Zoo are doing case studies with the two pandas (one male, one female). They have a great amount of information on the pandas, but what they find might not be true of all pandas.

## 6.5 Exposure visits

Exposure visits are organized for officers and progressive farmers to show latest developments in agriculture and allied activities within and outside the country. During the exposure visit one person will be nominated to take notes and photographs. Upon return the nominated person will prepare a “trip report” that can be used in the local media. In the case of extension officers exposure visits each of the participants will conduct a debriefing seminar to his/her colleagues and subordinates explaining the lessons learned and how they may be extended into the wider community. For farmer exposure visits the nominated person will prepare a report on the trip for use in the local media. Farmer participants will be encouraged to adopt and disseminate findings to other members of their and local communities to spread the trip report.

**Domestic visits** will be organized to the National Institute, ICAR or State Agricultural Universities which are engaged in the research, development and training in agriculture technology to expose the officers and farmers to the ongoing programmes.

**International visits** will be organized to other countries where similar agro-climatic conditions prevail and commendable work in agricultural development has been made. The Officers of the Department will be exposed to the research, and development in those countries and apply the technologies relevant to local field situations.

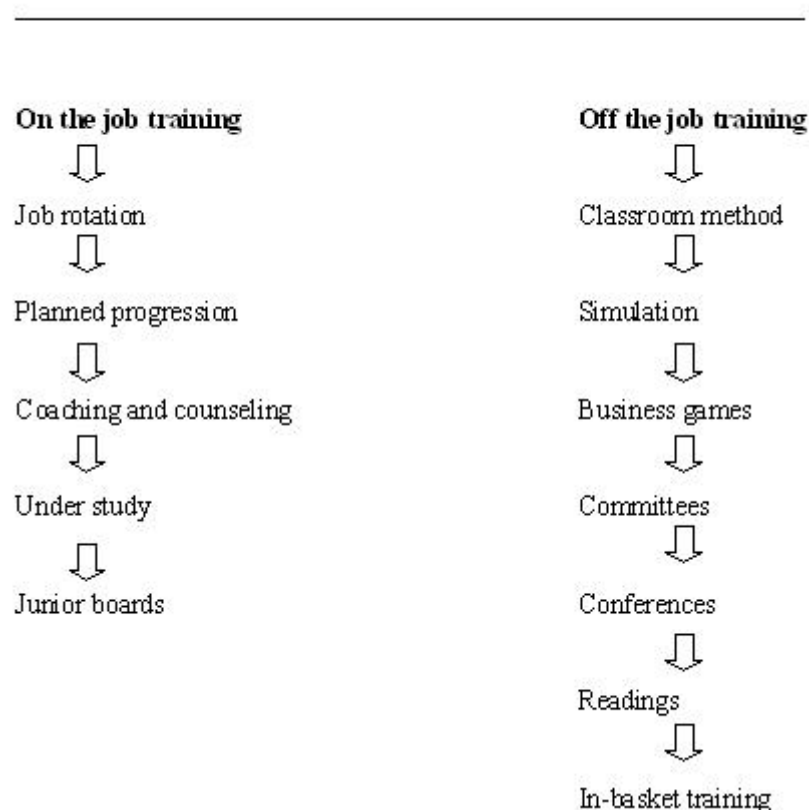
## 6.6 Let us sum up

To put in a nutshell, training is a proactive, planned and continuous process of change and development for an individual and an organization as a whole. Through training only an individual can acquire new knowledge, improve his concerned skills, reorient and redesign his attitudes for growth and efficiency together with the organizational effectiveness and development. Training helps in changing the internal dynamics of an individual to cope up with the changing scenario in the organization and in society. Therefore, training is considered as one of the most valuable, significant

and important tool for human resource development in any organization in modern-day world.

Training methods broadly categorized as on the job and off the job have a lot of sub-components as we have already seen. A diagrammatic view of such a classification is given below in figure 2.

Figure 2:  
Methods of training



Source: Online reference of Human Resource Management Notes: [studyvalue.com](http://studyvalue.com)

It is a truth that, everyone has natural capacity and even an eagerness to learn to grow and to improve his status and competency in the organization as well as in the society. And training enhances and facilitates these phenomena.

Further, trainers play an important role in the training process in human resources development. A trainer plays the roles of administrator, consultant, facilitator, expert,



designer of learning experience, instructor, motivator and friend as per situation and time demands. And the trainee and trainers are the two most significant components of the training process.

There are several training methods for capacity building in individuals. The trainer has to decide and choose the best suitable method depending upon the trainees' nature of job, skills required to be developed, trainees' competency and training-learning situation.



**AEM-103**

**Principles and Practices of Extension Management  
(3 Credits)**

**Block-III**

**Managerial Skills and Organizational Behaviour**

<b>Unit - 1</b>	<b>:</b>	<b>Motivation and Personality Development</b>	<b>215 - 244</b>
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## Unit-1

# Motivation and Personality Development

### Structure

- 1.0. Objectives
- 1.1 Introduction
- 1.2 Meaning of Personality
- 1.3. Personality determinants
- 1.4. Personality traits
- 1.5. Theories of Personality
- 1.6. Motivation
- 1.7. Theories of Motivation
- 1.8. Creating Proper Motivational Climate-Implication for Managers\
- 1.9. Motivation at Different Levels
- 1.10. How to Motivate your Subordinates
- 1.11. Intrinsic Versus Extrinsic Motivation
- 1.12. The Pygmalion Effect or The Self Fulfilling Prophecy
- 1.13. Lets us sum up

### 1.0 Objectives

*After going through this unit, you will be in a position to*

- Understand the meaning of personality development and factors influencing the personality development
- Know the various personality traits and personality theories
- Explain meaning, types and determinants of motivation
- Exposed to early and contemporary theories of motivation and
- Learn the creation of proper motivational climate

## 1.1. Introduction

The development of the personality of an individual is influenced by various factors such as biological, physiological or psychological characteristics, culture of the society in which individual is brought up and also different situation bring out different aspects of an individuals personality. There are some important traits form the basis of an individual's total personality and affect his performance at work such as extraversion, agreeableness, conscientiousness, emotional stability, openness to experience and the self esteem and self efficacy. Some of the efforts of the 4-H Youth Development –cultivates important life skills in youth that build character and assist them in making appropriate life and career choices. At-risk youth participate in school retention and enrichment programs. Youth learn science, math, social skills, and much more, through hands-on projects and activities. Experts in the areas of personality have proposed various theories of personality. Leadership Development –trains extension professionals and volunteers to deliver programs in gardening, health and safety, family and consumer issues, and 4-H youth development and serve in leadership roles in the community. Managing the employees/ group members requires understanding the personality of the employees, also creation and maintenance of an environment in which individuals work together in groups towards the accomplishment of a common objective. The manager's role is to recognize what motivates people to act them in a designed manner. The motivation may be intrinsic as well as extrinsic. Motivation is complex and it varies with individual and situation. Specialists have proposed various motivation theories. All the above aspects are discussed in detail in this Unit.

## 1.2. The meaning of Personality:

- Personality is the sum total of ways in which an individual interacts with people and reacts to situations. It also encompasses the traits exhibited by a person during these interactions.
- The development of the personality of an individual is influenced by various factors such as heredity, environment, maturation, and learning.





### 1.3. Personality determinants

There are three main determinants of personality – (i) Heredity (Nature) (ii) Environment (Nurture), and (iii) Situation (it depends). The other attributes that influence personality are – (i) locus of control (ii) Machiavellianism (iii) Self-esteem (iv) Self-monitoring (v) Risk-taking propensity, and (vi) Type A and Type B personality.

- *Heredity*: The biological, physiological or psychological characteristics that an individual is born with constitute heredity. Characteristics that an individual may partially or wholly inherit from either of the parents are physical stature, facial features, skin and hair colour, temperament, muscle composition and reflexes, energy levels and biological rhythms. There are three research findings that show the role played by heredity in determination of personality:
  - If heredity alone influenced personality characteristics, then it would be impossible to alter an individual's personality. However, research shows that personality can be changed. Hence, there are other determinants of personality besides heredity.
- *Environment*: Environment refers to the culture of the society in which an individual is brought up; the norms set by parents, teachers, significant others and social groups with whom the individual interacts; and other situations and experiences that the individual undergoes in his life.
- *Situation*: Different situations bring out different aspects of an individual's personality. Example, a person will attempt to control his behaviour when interacting with the MD of the company; however, when he is among his friends he will be relaxed and make minimum efforts to control his behaviour.
- *Locus of Control*: Refers to an individual's perception of what controls his fate; it also refers to the degree to which an individual believes he can control his fate or any situation.
  - Those who believe that they control their destiny are said to have an internal locus of control and are called internals
  - Those who believe that luck, fate, chance or external forces control their destiny are said to have an external locus of control and are called externals.

The difference between internals and externals is tabulated below:

<b>Internals</b>	<b>Externals</b>
Highly satisfied with their job	Are dissatisfied with their job
Committed to their work	Show little commitment to work
Have a low rate of absenteeism	Frequently absent from work
Believe that they themselves can shape their future	Perceive themselves as having minimal control over organizational outcomes
Attribute success or failure to internal abilities, not to external factors	Fail to make attempts to improve organizational outcomes
Attribute failure to their own actions and try to learn new skills to enhance their prospects for career growth	Blame the management and their fate for inability to rise in the organizational hierarchy
Perceive themselves to be responsible for their health and take good care of their health. Consequently, incidence or sickness or absenteeism is less	Do not consider themselves responsible for their health.
More regular and productive	Less regular and productive
Highly achievement oriented	Reluctant to take the initiative
Capable of complex information processing and learning, and perform effectively in managerial jobs that demand such skills	Better suited for jobs involving routine and structured tasks and jobs in which superiors give instructions.

- *Machiavellianism*: Refers to the extent to which an individual is practical in his approach, maintains an emotional distance from others, and believes that the ends justify the means. Those who score high on Machiavellianism are good at manipulating others and try to win by any means. They do not need to be persuaded to work but instead are able to successfully persuade others. They perform well in situations that involve face-to-face meetings. They are especially productive in jobs that require the use of bargaining (persuasion) skills and in jobs that offer substantial rewards for the achievement of goals.



- *Self-esteem*: Refers to the degree of liking an individual has for himself.
- People with high self-esteem are generally confident that they possess the abilities required for succeeding at work. They prefer to take up unconventional or challenging jobs. They do not care about pleasing others and fail to be influenced by external factors. They are not afraid of taking unpopular stands. They derive a lot of satisfaction from their jobs.
- People with low self-esteem lack confidence, look for approval from others, and are not likely to take a stand that opposes others' views. Thus, they seek lower level jobs. They derive less satisfaction from their jobs.
- *Self-monitoring*: Refers to the ability of an individual to adapt his behaviour to the demands of the situation.
- High self-monitors are capable of changing their behaviour to the demands of the situation. They can play multiple and even contradictory roles. The way they behave with their employees, boss, clients, and suppliers is entirely different in each case. They make successful managers and tend to get promoted faster than others.
- Low self-monitors find it difficult to disguise their true feelings, emotions, and reactions and cannot adapt quickly to situations. Their behaviour is consistent with the way they feel. They do not advance as far in their career as high self-monitors.
- *Risk-taking*: Refers to the extent to which an individual is prepared to take risks. Such behavior is required to develop Entrepreneurship in Agriculture
- High risk-takers make decisions very quickly without searching for much information.
- Risk-averse people do not make decisions in a hurry and gather a lot of information before making any decision.
- Despite the dissimilarity of approaches, the accuracy of decisions taken by both risk-takers and those who are risk averse is almost the same.

- The suitability of a person's risk taking or risk averse behaviour depends on the duties and responsibilities of the job. Example, currency traders require high risk taking propensity; clerical staff require low risk taking propensity.

Type A and Type B Personality: Individuals who strive continuously to achieve more things in less time, even in the face of opposition, have a Type A personality; Type B personality is a direct contrast of Type A Personality. Their characteristics are tabulated below:

Type A	Type B
Try to be fast in everything that they do – eating, walking, talking, etc	They do not experience a sense of urgency when performing tasks
The pace at which things generally happen upsets them	They do not get upset or impatient if tasks are not accomplished in time
They try to be involved in more than one thing at a time	They do not consider it necessary to reveal or discuss their achievements unless the situation demands it
They are always busy	They try to make best use of their leisure time and relax without feeling any guilt
They find themselves unable to cope with leisure time	They are suitable for top management positions since they tend to be wise, tactful, and creative in decision making
They emphasize numbers and quantity and measure their success in quantitative terms	
They set ambitious deadlines for themselves and work under continuous time pressure	
They constantly experience moderate to high levels of stress	
Since they emphasize quantity rather than quality, they some time end up doing a hasty job that lacks quality	
They tend to rely on past experience to solve problems and do not feel the need to be innovative in developing new solution to	

Type A	Type B
problems	
Their emphasis on speed prevents them from spending too much time on any problem. This causes to make poor decisions	
Since they are hardworking by nature, they are suitable for jobs that call for continuous hard work.	

### 1.4. Personality traits

- There are five important traits that form the basis of an individual’s total personality and affect his performance at work. They are also called the Big Five personality traits:
- *Extraversion*: Refers to the extent to which a person is comfortable with other people
- People who have a high degree of extraversion are sociable, talkative, and friendly. They tend to prefer jobs that require them to interact with a number of different people – HR, marketing, PR, etc. such farmers can be used as contact farmers and model farmers to communicate with others.
- People who are low in extraversion are called introverts. They prefer to be by themselves instead of talking to others. They are reluctant to interact with other people and avoid developing new relationships.
- *Agreeableness*: Refers to the extent to which a person subjugates his interests for the sake of the group.
- People who are very agreeable give importance to maintaining harmony and do not insist that others agree with what they say or follow their suggestions. Agreeable people are good-natured, cooperative and trust others. They are likely to develop good working relationships with all organizational constituents (co-workers, subordinates, superiors, customers, and suppliers). They can be used as harmonisers of Interest groups and self help groups
- People who are less agreeable give more importance to their own needs, opinions and values than those of others. They are unlikely to develop good relationships

- **Conscientiousness:** Refers to the extent to which a person is responsible and achievement oriented.
- People who are very conscientious limit the number of goals they set for themselves, devote their time and energy to those goals, and often succeed in achieving their goals. They are responsible, dependable, persistent and highly achievement-oriented. They are more organized, responsible and self-disciplined and perform better in their jobs than those who are not so conscientious.
- People who are less conscientious set too many goals for themselves and often fail to achieve any of them.
- *Emotional stability:* Refers to the individual's ability to withstand stress.
- Individuals who have positive emotional stability feel emotionally secure and tend to be calm. They are enthusiastic about their work and are capable of withstanding the tensions and pressures of a job. Such farmers should be selected as model farmers.
- People who have negative emotional stability are emotionally insecure and experience feelings of anxiety, nervousness, and depression. They are unable to withstand job pressures.
- *Openness to experience:* Refers to an individual's range of interests and indicates how innovative or how rigid he is in his beliefs.
- An individual with high level of openness tends to be creative and had a wide range of interests. Such individuals are open to learning and make good workers./ and contact farmers
- Individuals who have low level of openness have a narrow range of interests, rigid mindsets and tend to be less curious and willing to accept new ideas. Such individuals make poor workers.
- **The Self Concept: self-esteem and self-efficacy:**
- 'Self' refers to the personality of an individual as viewed by that person himself.
- Self concept refers to the efforts made by an individual to understand his own self



- Self concept is closely related to the concepts of self esteem and self efficacy
- *Self-esteem*: Self esteem refers to the self perceived competence and self image of people
- It has a moderating influence on employees' emotional and behavioural responses to various situations and the stress experienced by them.
- Employees with high self-esteem perceive themselves as unique, competent, secure and empowered.
- They possess the ability to positively influence situational factors in order to accomplish the assigned tasks.
- Such people are able to confidently and freely interact with people around them
- Self esteem is a generalized trait (it is present in all situations)
- *Self-efficacy*: Self-efficacy refers to a person's perception of his ability to cope with different situations as they arise.
- People with high self-efficacy have the capability and the required confidence to rise to the occasion.
- Self-efficacy is situation specific.
- Self-efficacy and employee performance are highly correlated.
- The relationship between self-efficacy and performance is cyclical – self-efficacy affects performance and performance affects self efficacy.
- The role of self efficacy is vital in helping an individual cope with tough jobs, make a career choice, learn and achieve something and adapt to new technology
- Organizations can enhance self efficacy of employees by training them
- The self-efficacy of a person can be measured along three dimensions – level, strength and generality.
- Level refers to the number of tasks a person can effectively perform
- Strength refers to how firmly an individual believes he is capable of performing a task

- Generality refers to the extent to which the self-efficacy expectations of an individual can be generalized, instead of varying from situation to situation.
- Therefore farmers with high self efficacy would be model farmers and act as our extension agents for multiplier effect.

## 1.5. Theories of Personality:

### 1.5.1. Levinson's Theory of Adult Life stages

- Daniel Levinson proposed that the personality development of an individual progresses with age.
- He theorized that there are four transitional periods and four periods of stability.
- Personality development takes place during the transitional periods; during the periods of stability, no development takes place.

The transitional periods and periods of stability are as under:

Periods of stability	Periods of transition
Stepping into the adult world: Age 22-28	Age 30 transition: Age 28-33
Settling down: Age 33-40	Mid-life transition: Age 40-45
Stepping into middle adulthood Age 45-50	Age fifty transition: Age 50-55
Culmination of middle adulthood: Age 55-60	Late adult transition: Age 60-65

- The maximum development of one's personality takes place during the mid-life transition
- An individual's attitude towards work undergoes tremendous change during periods of transition rather than during periods of stability
- There is, however, no evidence to back up Levinson's theory.
- Since he was not able to explain the vast differences in personality among people of the same age, he redefined the stages as eras – early adult, mid-life, and late adult – each of which included a transition-in period, a period of stability, and a transition-out period



He later modified his approach to suggest that every stage of an individual’s life cycle is characterized by interplay of mobility and stability.

**1.5.2. Hall’s Career Stage model:**

Hall blended Levinson’s theory with other adult stage theories to develop a model for career stages

Stage	Activity
Exploration stage	<ul style="list-style-type: none"> <li>➤ Seeks an identity for himself</li> <li>➤ Attempts to understand himself and his personality</li> <li>➤ Tries out various roles in his career</li> <li>➤ Relatively unstable in his career and less productive</li> <li>➤ Keeps switching jobs in search of the right one</li> </ul>
Establishment stage	<ul style="list-style-type: none"> <li>➤ Employee tries to settle down in his job</li> <li>➤ Interacts with co-workers to develop a good relationship with them</li> <li>➤ Productivity increases</li> </ul>
Maintenance stage	<ul style="list-style-type: none"> <li>➤ Productivity reaches its peak</li> <li>➤ Feels the need to contribute something to the next generation (may act as a mentor to his Subordinates)</li> <li>➤ Productivity may either increase or remain stagnant</li> </ul>
Decline stage	<ul style="list-style-type: none"> <li>➤ Productivity starts declining</li> <li>➤ Individual evaluates his life and tries to convince himself that he made the right choices</li> </ul>

**1.5.3. Chris Argyris’ Immaturity to Maturity Continuum:**

- Proposed that the degree of development of an individual’s personality can be explained in seven dimensions – (i) Passivity – Activity (ii) Dependence – independence (iii) Behaving in a few ways – Capable of behaving in many ways (iv) Erratic, shallow interests – Deeper and stronger interests (v) Short time perspective – Long time perspective (past and future) (vi) Subordinate position – Equal or superordinate position, and (vii) Lack of awareness of self – Awareness and control over self

- Just as a human being develops ‘from an infant to an adult, human personality development too takes place along a continuum, rather than stages, from immaturity to maturity.

It is not essential that all individuals exhibit all the seven dimension of personality on reaching the mature end of the continuum

<b>Immaturity characteristics</b>	<b>Maturity characteristics</b>
Passivity	Activity
Dependence	Independence
Few ways of behaving	Diverse ways of behaving
Shallow interests	Deep interests
Short-time perspective	Long time perspective
Subordinate position	Superordinate position
Lack of self awareness	Self awareness and control

- The seven dimensions reflect only one aspect of an individual’s personality. Personality also depends on other factors like perception, self-concept, and the ability to adapt or adjust.
- As an individual progresses from infancy to adulthood along the continuum, there is a continual change in the level of development along different dimensions
- This model can only measure and describe the development of an individual’s personality but cannot predict any specific behaviour of the individual.
- The latent characteristics of personality, which form the basis of the seven dimensions, may be quite different from the externally visible behaviour of people.
- The personalities of employees in an organization are generally at the mature end of the continuum. However, organizations fail to recognize this maturity and treat employees as if they are immature. This leads to conflict.

Therefore farmers with high level of maturity should be used as contact or model farmers



#### **1.5.4. Edgar Schein's Socialization Process :**

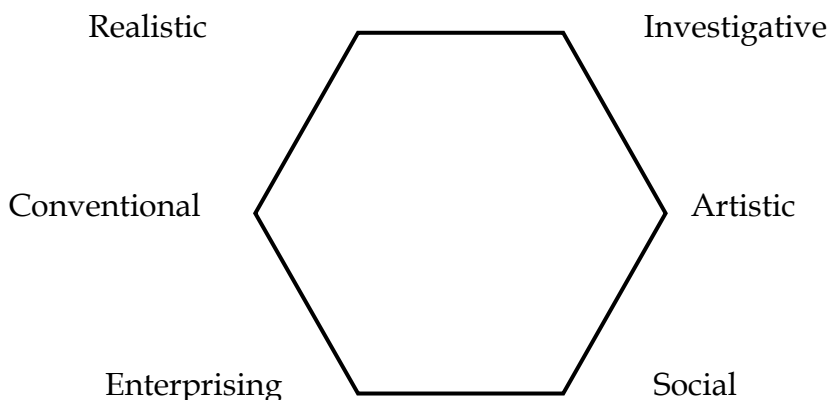
- Socialization refers to the process through which an individual's personality is influenced by his interaction with certain persons, groups, and society at large.
- It is a continuous process that goes on life-long
- Since socialization has a major impact on the behaviour of employees in organizations, Schein proposes that it is important to analyze and control the socialization forces in an organization.
- The socialization process in an organization is mostly confined to learning the prevailing values, norms, and behavioural patterns
- Socialization can take place through mentorship programmes, training and orientation, and reward systems. Other steps that an organization can take to socialize employees include:
- Offering them interesting and challenging work
- Providing them proper and relevant training
- Providing them with objective and timely feedback
- Appointing an experienced supervisor to conduct the socialization process
- Designing an informal orientation programme
- Assigning new employees to work groups that are highly satisfied and have high morale.
- Socialization is also necessary when organizational member move up the hierarchy
- Socialization can also take place through job rotation.

#### **1.5.5. Holland's Typology of matching personalities with jobs:**

- John Holland established a relationship between personality characteristics, the requirements of a job, and job performance.
- Developed a Vocational Preference inventory and plotted the results in the form of a hexagonal diagram, with each corner representing an occupational personality type.

- The closer two personality types are in the hexagon, the more compatible they are. Those that are adjacent to each other are similar, whereas those that are diagonally opposite are dissimilar in nature.

When personality type and occupation match each other, job satisfaction is high and turnover is low.



Type	Personality characteristics	Congruent occupations
<i>Realistic</i> : Prefer physical activities that require skill, strength, and coordination	Shy, genuine, persistent, stable, conforming, practical	Mechanic, Drill press operator, assembly line worker, farmer
<i>Investigative</i> : Prefers activities that involve thinking, organizing and understanding	Analytical, original, curious, independent	Biologists, economists mathematician, news reporter
<i>Social</i> : Prefers activities, that involve helping and developing others	Sociable, friendly cooperative, understanding	Social worker, psychologist, teacher counselor, clinical
<i>Conventional</i> : Prefers rule-regulated, orderly, and unambiguous activities	Conforming, efficient, practical, unimaginative, inflexible	Accountant, Corporate manager, bank teller, file clerk
<i>Enterprising</i> : Prefers verbal activities where there are opportunities to	Self-confident, ambitious, energetic, domineering	Lawyer, real estate agent, PR specialist, small business

Type	Personality characteristics	Congruent occupations
influence others and attain power		manager
<i>Artistic:</i> Prefers ambiguous unsystematic Activities that allow creative expression	Imaginative, disorderly, idealistic, emotional, impractical	Painter, musician, writer, interior decorator

Therefore people who are enterprising should be used as contact farmers or model farmers

## 1.6. Motivation

### 1.6.1 What is Motivation ?

Managing requires the creation and maintenance of an environment in which individuals work together in groups towards the accomplishment of a common objective. A manager cannot do this job without knowing what motivates people. The manager’s job is not to manipulate people but, rather, to recognize what motivates people.

Literally motivation means incitement or inducement to act or move. It means to make a sub-ordinate act in a desired manner. Obviously ‘desired’ implies as desired in the interests of the organization or employer. It implies that the sub-ordinate should act in a disciplined manner, but also he should act in an efficient and productive manner. To motivate, therefore, is to induce, persuade, stimulate, and even compel an employee to act in a manner which may help in attaining an organizational objective. This may be a limited view. Motivation really comprises all the internal urges which are described as desires, wishes, drives, etc. which make a person strive for doing a thing. Motivation is what makes people do things. Eg., Higher income motivates the farmer to produce

### **1.6.2 Need Want -Satisfaction Chain :**

We can then look at motivation as involving a chain reaction – starting out felt needs, resulting in wants or goals sought which give rise to tension (That is unfulfilled desires), then causing action towards achieving goals, and finally satisfying wants.

### **1.6.3 Types of Motivation:**

In the industrial set up motivation may be intrinsic as well as extrinsic. Intrinsic motivation is related to the job one is doing. When a skilled operative performs a job well, he derives a sense of satisfaction. This is intrinsic motivation which satisfies the creative instinct in man.

Extrinsic motivation is external to the job of task. For example, financial incentives for doing a job well or giving higher production may motivate the workers. Other external motivations are praise from the superiors for good work, recognition of good performance in the form of an award, admiration of fellow workers and improved working conditions and other facilities.

### **1.6.4. Determinants of Motivation:**

It is recognized that the motivation is the result of the following three groups of factors

- i. **INDIVIDUALS** To know what can motivate employees we must know their aims, objectives and values. Human needs are both numerous and complex, and often it is difficult to identify them. We have to first observe individual action and behavior at work and interpret the same in terms of underlying motivation.
- ii. **ORGANIZATIONAL COMPONENTS** Organizational structure, technological system, physical facilities which constitute in internal environment of an organization affect motivation.
- iii. **EXTERNAL OR EXOGENOUS VARIABLES** A Worker's life outside the factory is also an important factor affecting his motivation or willingness to work inside the office/factory. Life at work and life outside the work are bound together.



### **1.6.5. Characteristics of Motivation:**

Some important characteristics of motivation are as follows:

- i) Individuals differ in their motivations
- ii) Motivation is highly situational
- iii) Motivation change
- iv) Motivation is expressed differently
- v) Sometimes the individual himself is not aware of his motivations
- vi) Motivation is complex

### **1.6.6. Indications of Motivation and De-motivation:**

#### **i. Motivated Worker :**

- a) One who wants to come to work and works willingly
- b) When at work he gives his best
- c) He has a definite sense of belongingness and pride in the organization and in the improvement of Management Practices

#### **ii. Demotivated Worker :**

- a) Increasing absenteeism among employees and excessive labour turnover
- b) Low output and productivity
- c) An increasing rate of accidents and wastage of raw-materials
- d) Frustration and unrest in the work force
- e) Defiant and violent behaviour at workers at or outside the work place and frequent confrontation or arguments with supervisors and managers
- f) Non-cooperation

### **1.6.7 What De-motivates Employees:**

There are some management practices which affects the moral and motivation or willingness of workmen to give their best or work in the desired manner. Some of these practices are:

- a) Under assignment : If a skilled man is assigned an unskilled or routine job, it may cause frustration or job dissatisfaction and thus demotivation
- b) Over assignment : If a good worker is over loaded to the point where he feels being exploited this may make him less interest in work. In big organizations, it is rather a common practice to pick up good workers as others cannot be trusted or depended upon.
- c) Buck master shop : An expression coined by pakinson can also be a demotivator. Superiors or leaders avoiding hard work themselves and passing on the same to their subordinates, and then finding fault with them is a common management practice which may erase employee motivation.
- d) Coercive type of control or supervision which may give a worker a feeling that he is not being trusted may also demotivate him or erode his interest in the work.
- e) Manipulative behaviour of the management which may take the form of divide and rule policy or tactics, marking promises which are not fulfilled encouraging groupism etc. may also have a demotivating effect.

## **1.7. Theories Of Motivation**

### **A) EARLY THEORIES OF MOTIVATION**

- 2.1 Hierarchy of Needs Theory
- 2.2 Theory of X & Y
- 2.3 Motivation – Hygiene Theory

### **B) CONTEMPORARY THEORIES OF MOTIVATION**

- 2.4 Three Needs Theory
- 2.5 Goal Setting Theory
- 2.6 Equity Theory
- 2.7 Expectancy Theory
- 2.8 Reinforcement Theory





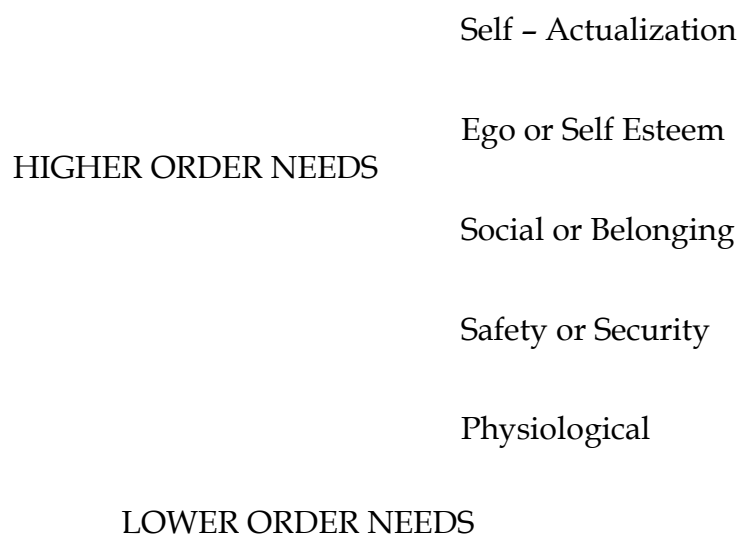
**A) EARLY THEORIES OF MOTIVATION**

Hierarchy of Needs Theory:

Abraham Maslow (1943) a humanistic psychologist, propounded a theory of human needs that has widely influenced modern understanding of motivation. He hypothesized that within every human being there exists a hierarchy of five needs. These needs are:

1. Psychological – Includes needs for the basic necessities of life, such as food, clothing, shelter and sex.
2. Safety – Includes for things that provide safety from physical and psychological harm
3. Social – Includes affection, companionship and support from others
4. Esteem – Includes internal factors such as self-respect, autonomy and achievement, and external factors such as status, recognition and attention.
5. Self – actualization – The drive to become what one is capable of becoming, includes growth, achieving one’s potential and self-fulfilment.

**FIG .1.. MA SLOW’S HIERARCHY OF NEEDS**



### 1.7.1. Theory of X and Y:

Douglas Mc Gregor proposed two distinct views of human beings: one basically negative, labeled theory X, and the other basically positive, labeled as Y. After viewing the way managers dealt with employees. Mc Gregor concluded that a manager's view of the nature of (human beings is based on a certain grouping of assumptions, and that he or she tends to hold his or her behaviour towards subordinates according to these assumptions.

Under theory X, the four assumptions held by the managers are :

1. Employees inherently dislike work and wherever possible will attempt to avoid it.
2. Since employees dislike work, they must be coerced, controlled or threatened with punishment to achieve desired goals.
3. Employees will shirk responsibilities and seek formal direction whenever possible.
4. Most workers place security above all other factors associated with work, and will display little ambition.

The contrast to these negative views towards the nature of human beings, Mc Gregor listed four other assumptions that he called theory

1. Employees can view work as being as natural as rest or play. Employees can view work as being as natural as rest or play.
2. A person will exercise self direction and self control if he is committed to the objectives.
3. The average person can learn to accept, even seek, responsibility. The average person can learn to accept, even seek, responsibility.

Mc Gregor, himself, held to the belief that theory Y assumptions were more valid than theory X. Therefore, he proposed ideas like participation in decision making,

responsible and challenging jobs, and good group relation as approaches that would maximize and employees job motivation.

Therefore Theory Y type farmers should be used as contact farmers

**1.7.2. Motivation on Hygiene theory:**

Frederick Herzberg found that people have two different categories of needs in the work situation, and these are essentially independent of each other and affect behaviour in different ways. He found that when people felt dissatisfied with their jobs, they were concerned about the environment in which they were working. On the other hand, when people felt good about their jobs, this had to go with the work itself. Herzberg called the first category of needs hygiene or maintenance factors. Hygiene because they describe people’s environment and serve the primary function of preventing job satisfaction, maintenance because they are never completely satisfied. They have to continue to be maintained. He called the second category of needs motivators since they seemed to be effective in motivating people to superior performance.

TABLE 1: MOTIVATION AND HYGIENE FACTORS

MOTIVATORS	HYGIENE FACTORS
ACHIEVEMENT	POLICIES AND ADMINISTRATION
RECOGNITION FOR ACCOMPLISHMENT	SUPERVISION
CHALLENGING WORK	WORKING CONDITION
INCREASED RESPONSIBILITY	IMPERSONAL RELATON
GROWTH AND DEVELOPMENT	MONEY, STATUS, SECURITY

**B. Contemporary Theories Of Motivation:**

**1.7.3. Three Needs Theory:**

David McClell and others have proposed that there are three major relevant motives or needs in the workplace.

1. The need for achievement (n Ach) the drive to excel, to achieve in relation to a set of standards, to strive to succeed.
2. The need for power (n Prw) the need to make others behave in a way that they would not have behaved otherwise- many farmers exhibit this tendency and they can be effectively used as contact farmers and extension agents
3. The need for affiliation (n Aff) the desire for friendly and close interpersonal relationships.

#### ***1.7.4. Goal Setting Theory***

There is considerable evidence to support the theory that intentions-expressed as goals-can be a major source of work motivation. If people participate in goal setting, they are more likely to accept even a difficult goal than if it is arbitrarily assigned to them by their boss. Thus goal setting theory deals with people in general.

#### ***1.7.5. Equity Theory:***

The equity theory of motivation formulated by Adams, (1963) focuses on the employee's perception of fair treatment meted out to him/her as an important determinant of his or her level of motivation.

#### **Two Criteria :**

- i. The extent to which outcomes or rewards are with the outcomes or rewards obtained by performing similar jobs in the past.
- ii. The extent to which the rewards they get for performing a certain job are comparable with the rewards that other people get for doing similar jobs.

The major implications of equity theory for management are:

- i) Management must strive to reward employees equitably. It is important that Managements must not only be fair but also be seen to be fair by their employees.
- ii) Managements need to develop effective appraisal and reward system.



### 1.7.6. Expectancy Theory :

Victor Verson (1964) formulated a theory which attempts to explain what determines the willingness of an individual to contribute his personal efforts to achieve organizational tasks. The theory is based on the promise that, people will do what they can do when they want to". The point, however, is under what circumstances are people likely to want to do something. The answer, according to version depends on three factors.

1. The extent to which the person believes that a particular behaviour or effort will enable him to perform better. This is termed as expectancy.
2. The extent to which the person believes that better performance will bring in better rewards on outcomes for him. This is termed as instrumentality.
3. The extent to which the individual considers the possible rewards attractive on worthwhile – in other words, the amount of values he attaches to the rewards on outcomes. This is known as valence.

These three factors together determine an individual's strength of motivation. The interaction between these factors resulting in motivation was expressed by the equation

$$\text{Motivation} = \text{Expectancy} \times \text{Instrumentality} \times \text{Valence}$$

Therefore the expectancy of farmers must be kept in mind before extension activities and programs do false promises. False promises will terribly fail our extension programs

### 1.7.7. Role of Management:

1. Management need to identify these reward which are highly valued by their employees.
2. The achievement of valued rewards should be clearly linked with performance.
3. Management need to take measures to develop the task skills and abilities of employees.

### **1.7.8. Reinforcement Theory:**

B.F. Skinner's reinforcement theory considers human behaviour as being largely determined by its consequences. Reinforcements refer to the outcomes of behavior. Outcomes may be desirable to the individual (rewards), or undesirable (punishments). There are four strategies of behavior modification:

1. Positive reinforcement
2. Negative reinforcement
3. Punishment
4. Extinction.

## **1.8. Creating Proper Motivational Climate-Implication for Managers**

If you are a manager, concerned with motivating your employees, how do you apply these theories of motivation and the strategy you may adopt are distilled on the following suggestions

### ***Recognise Individual Differences***

Almost every contemporary motivation theory recognizes that employees are not homogenous. People have different needs. They also differ in terms of attitudes, personalities, and other important individual variables.

### ***Match People to Jobs***

There is abundant evidence to support the idea that motivation benefits accrue from carefully matching people to jobs. High achievers should not be put into a job that is inconsistent with his or her needs. At the same time, it should be kept in mind that not everybody will be motivated by jobs with increased autonomy, variety and responsibility.



### *Use Goals*

The goal setting literature gives us considerable confidence in suggesting that managers should ensure that employees have hard and specific goals, as well as feedback on how well they are doing in pursuit of these goals. The manager can use assigned goals or participatory depending upon its practice or your perception of goal acceptance.

- Ensure that goals are perceived as attainable.
- Managers must be sure that employees feel confident that their effort can lead to performance goals.
- Individualize Rewards Managers should use their knowledge of individual differences to individualize the rewards over which they have control.
- Link reward to performance : Managers need to make rewards contingent on performance. Managers should initiate actions that will make rewards more visible and potentially more motivating.
- Check the system for Equity Rewards or outcomes should be perceived by an employee as equaling the inputs they give.
- Don't Ignore Money: It is easy to get so caught up in settling goals or providing opportunities for participation that one can forget that money is a major reason why most people work, "Money still serves as a best motivator".
- Create conditions where workers energies are not expended totally in meeting their basic needs.
- Create a climate for inter dependent work rather than dependency. An effective manager encourages people to work independently or in a team, interdependently. He only provides guidance when needed and by that he also helps them satisfy their social needs of belonging affection and security.
- Create a competitive climate through recognition of good work
- Create a productive climate through personal example.
- Create a climate of approach and problem solving rather than avoidance.
- Motivate individually through guidance and counseling.

## 1.9. Motivation at Different Levels:

### *At the Top*

At the top you will be dealing with people – senior people and therefore, people issues will fill your day and success or failure will be your leadership area.

So how do you motivate your senior managers?

This is the level at which, 'inspirational as opposed to 'mechanical' leadership has a very definite part to play. Whether you are successful in that, and thus in motivating your senior managers, will depend very largely upon how you have prepared yourself for the top position and the attributes you have acquired in the process.

Specifically it will depend on your ability to

- take responsibility and not duck it
- promote confidence by acting, and looking the part
- project a cheerful, hopeful, enthusiastic, encouraging, and optimistic image
- avoid fussing, worrying and constant interference
- walk the job and be seen
- set the right example in your personal life, off the job think positively
- be in one of the 'new ideas' people in your organization
- be seen to be an opportunist
- accept and capitalize on change
- learn new tricks as they come along
- show that you care for those under you
- have the courage to take the right – albeit the unpopular decision
- match your dedication to the organization by equal dedication to the one above (if there is one)
- have the courage to delegate
- take hard decisions, remove 'passengers' and deadwood





- communicate continuously to all points of the compass
- listen
- avoid needless confrontation
- recognize and deal with stress in yourself and others
- pick winners
- enthuse people – what is called ‘charisma’
- make people laugh (but only if you can do it naturally)

### *In the Middle*

The role of the senior managers is to guide middle managers in translating business policies and directives into acceptable and feasible work commitments, objectives and targets.

The senior managers should clarify the following with middle managers – their

- duties and responsibilities
- objectives and targets
- performance levels, i.e. standards of quality, quantity, cost and completion dates
- resource level – manpower, machines and money
- levels of authority and accountability
- relationships with other middle managers ‘working groups
- scope for personal action, and when to call for help

The middle manager will repeat the senior manager’s actions with individual first-line managers by agreeing their objectives and targets and preparing break up actions, plans and work programmes.

The senior manager will

- leave the middle manager the maximum scope for getting on with the work unhindered but will be readily available for consultation and guidance.

- encourage the middle manager to delegate and devolve to the full, learning when to check and when to trust
- equip the middle manager with efficient means of monitoring work flow which detect early signs of developing trouble which can be nipped in the bud, i.e. 'exception reporting'.
- encourage middle managers to be decisive, developing their own management style
- discourage 'perfectionism' which escalates costs and stresses subordinates
- only judge mistakes often all the facts are established, giving constructive criticism and remedial guidance in strict privacy.
- after judgment consider mistakes as closed chapters, except for avoiding repetitions
- do a periodic review with each middle manager making a 'stock take' of the adequacy of resources and support system
- let middle managers know exactly how they stand
- teach the principle of creative thinking and problem solving much earlier than the problem can find 'the middle manager
- give credit publicity when credit is due

### **At the Frontline**

'Motivation at the front line' – quite a difficult subject but a vital issue

- Motivating at frontline can be aided if they are treated as people: even though it is an incredibly rotten job, it is essential that they realise just how important their role is in the operation as a whole, and for the supervisor to gain their respect.
- To create a good working atmosphere, and get the wash-up area working as a team
- Genuinely show politeness and respect that person's intelligence who is doing worthwhile job.
- Showing concern and interest in their problems and difficulties, but still firm and putting them under pressures; e.g. deadlines and time limits, can be an extreme effective motivator.



## 1.10. How to Motivate Your Subordinates

### Action checklist (some ideas)

- \* **Exercise Leadership**
  - # provide vision and direction
  - # understand your job and those of subordinates
  - # adjust the support you give to the skills and needs of subordinates
  - # establish a climate of fairness
- \* **Understand the psychological contracts Understand of your people**
  - # Know what their expectations are dfds=know what their expectations are
  - # take steps to help them meet them take steps to help them meet them
  - # think about ways of designing their jobs to create a better fit with expectations
- \* **Establish two – way Communication**
  - # listen as well as tell
  - # share ideas and thoughts to encourage two-way communication
  - # create a climate in which people feel free to communicate
- \* **Treat people with respect**
  - # recognize effort
  - # never undermine their dignity
  - # courteous
  - # be aware of individual differences
- \* **Give people the chance to develop**
  - # allow personal growth
  - # be willing to delegate
  - # provide opportunities for training
  - # be willing to enrich jobs
  - # but be aware that each person is an individual and what you do must match his/her

### **1.11. Intrinsic Versus Extrinsic Motivation**

The Qualitative result of people's activities would be extremely high if they were primarily motivated by the interest, enjoyment, satisfaction and challenge of the endeavour itself. This is what psychologists refer to as 'Intrinsic motivation'. Conversely, if they are applying themselves to a task due to any 'extrinsic Motivation' in that they perceive the possibility of achieving other goals through accomplishment of a task – like the satisfaction of physiological, safety, belongingness or recognition needs – the quality of performance can be expected to be of a relatively inferior level. Research data has supported the conclusion that intrinsic motivation leads to relatively superior performance as against extrinsic motivation. Moreover, it has been demonstrated that the introduction of extrinsic motivation negatively affects the level of intrinsic motivation previously present.

### **1.12. The Pygmalion Effect or The Self Fulfilling Prophecy**

The essence of the Pygmalion effect lies with the fact that the expectation of a result most often leads to that result actually being achieved. The research findings had proved the following

1. What Managers expect of their subordinates and the way they treat them largely determine their performance and career progress.
2. A unique characteristic of superior managers is their ability to create high-performance expectations that subordinates can fulfil
3. Less effective managers fail to develop similar expectations and as a consequence, the productivity of their subordinates suffers;
4. Subordinates, more often than not, appear to do what they believe is expected of them; and
5. The highest output is achieved by job holders whose expect – and insist upon – high performance (come on, have it in you to do better than that supervisors I know you



Knowledge of the Pygmalion effect has existed for some years now, inviting managers to first correct their attitudes and beliefs about others and then worry about what else needs to be done to ensure great performance from them.

### 1.13. Let us sum up

We have seen that personality of an individual is influenced by various factors like heredity, environment and situation. If heredity alone influenced personality characteristics, then it would be impossible to alter an individual's personality. However, research shows that personality can be changed by understanding and altering other determinants of personality like environment and situation. Various theories of personality discussed in this unit will help the managers to understand the type of personality with which they are working. The need of the each type of personality varies. Each type of personality requires different motivation. Motivation means to make individuals to act in a designed manner in the interest of the organization or employer. Motivation satisfies either satisfies the creative instinct in man or external to the job of task. Early to contemporary theories of motivation exposed to you in this unit will help to understand the human needs that influence the understanding of motivation. Based on the understanding of the concept of personality development, personality traits, differential needs of an individuals, you can create a proper motivational climate and thereby achieve a desired organizational and employer's interest.





## Unit-2

# Team Building

### Structure

- 2.0. Objectives
- 2.1. Introduction
- 2.2. Task and Process
- 2.3. Process Skills
- 2.4. A Systematic Approach
- 2.5. Aims
- 2.6. The Information Stage
- 2.7. REVIEWING *in order to improve*
- 2.8. Analysing Skills
- 2.9. Feedback of Observations
- 2.10. Supportive Development *building on ideas*
- 2.11. Authority
- 2.12. Aspirations
- 2.13. Let us sum up

### 2.0. Objectives

*After reading through this unit you will be in a position to:*

- Understand the principles of teamwork and getting work done effectively in cooperation with the people;
- Familiarizes with various components and processes in team building;
- Realize the importance of identifying and using skills of people.
- Understand the practices which contribute to the formation of effective team.

## 2.1. Introduction

Team building is a philosophy of job design in which employees are viewed as members of interdependent teams instead of as individual workers.[1] Team building refers to a wide range of activities, presented to businesses, schools, sports teams, religious or nonprofit organizations designed for improving team performance. Team building is pursued via a variety of practices, and can range from simple bonding exercises to complex simulations and multi-day team building retreats designed to develop a team (including group assessment and group-dynamic games), usually falling somewhere in between. It generally sits within the theory and practice of organizational development, but can also be applied to sports teams, school groups, and other contexts. Team building is not to be confused with "team recreation" that consists of activities for teams that are strictly recreational. Team building can also be seen in day-to-day operations of an organization and team dynamic can be improved through successful leadership. Team building is an important factor in any environment, its focus is to specialize in bringing out the best in a team to ensure self development, positive communication, leadership skills and the ability to work closely together as a team to problem solve. The effectiveness of the organisation will depend on the extent to which the individuals and groups work as teams. People vary in their need to belong to teams. Some people are loners while to others it gives them satisfaction to be a part of the team. However, the demands of an organisation are such people have to work as teams to get the work done and achieve set goals and objectives. When work together they use two types of skills-task and process. Since process influences, often critically, task results it follows that people need to develop both sorts of skills, and to be aware of them in others. The operative and cooperative processes will have bearing on team building. In other words, the extent to which the people in a group are able to develop a common vision and method of work to be done will help groups of people to emerge as teams. The common method has to be based on systematic approach starting with clarity and on aims of a given task. Secondly, the various processes such as supportive development of ideas, listening, receiving and giving feedback, identifying and use of



skills, both self and others etc., will influence of development of team work among group of people and in getting the work done efficiently and effectively.

## 2.2. Task and Process

Whenever people work together they use two sorts of skills. First, in respect of the job itself, they use their professional or technical skills, such as accountancy, engineering, brewing, computer programming, pest control, soil conservation etc.

Source : Coverdale Organization & MANAGE Principles and Practices of Teamwork, developed as part of Agricultural Extension Management Training Project

Second, they interact with the other people involved in the job, using skills such as listening to others' ideas, presenting their own ideas clearly, managing time, establishing common comprehension. In the first place they are dealing with the job itself, the task to be performed. In the second they are concerning themselves with people, the way they co-operate, the way they control their resources', the process of human interaction: 'process' for short.

An example of TASK would be the launching of a new product. An example of PROCESS would be the interaction between people engaged in the launch, the things that each of them did to promote purposeful and methodical work, and the effects these efforts produced on their colleagues.

The kinds of process issues that occur when people interact are

- The way they think (with differing patterns of thought)
- The way they act (with a variety of behavioural skills)
- The way they feel (the emotions that arise)
- The values they respect, the ethics they uphold, the judgements they make

Process also embraces the reaction of people to the physical and emotional environment in which they work, how they are affected by it and what they do to influence it.

Since Process issues influence Task results, and often critically, it follows that people need to develop both sorts of skills, and to be aware of them in others.

### **2.3. Process Skills**

People working together each bring a unique cluster of personal skills, not just those connected with their craft or profession but also ones that affect the interaction of people, no matter what the task is. These human, or process skills merit exploration since the way they are used will influence the team's working effectiveness, which in turn affects the job performance.

The more each of us is aware of the strengths that we bring to a group, the better able we are to use them in a timely and effective way. The more we are aware of the skills and qualities of others in the group, the better able we are to encourage their use, draw upon them, complement them and perhaps copy them.

Some skills can benefit a group even if only one person has them: for example, the ability to visualise clearly a desired end result, or a flair for detail and precision at the planning stage. Other skills are enhanced in their effect if everyone possesses them: for example, a respect for each others' views by carefully listening to them.

Some strength is readily apparent: for example, the ability to chart what is said quickly and accurately or skill in summarising. Others, such as an air of confidence or of caring for others, are harder to pin point and may be noticed more in their absence when a member is not present.

An interesting addition to our perception of others arises when we examine what at first sight appear as hindrances, Often an attribute can be seen as a valuable asset by one person and an irritation or hindrance by another: for example, a meticulous



attention to detail may also be seen as 'nit picking'. Again, behaviour which is seen as helpful in one set of circumstances would be distinctly unhelpful in another: thus a timely joke might help to relieve tension, but constant joking out of context can encourage flippancy.

So, obstinacy in a person may also be seen as tenacity, according to the circumstances and to our own view as to the validity of the point being expressed. This duality, which may be called the 'Principle of Obstenacity' can be used to advantage if what is first perceived as a hindrance is examined honestly for its reverse aspect, revealing, perhaps, how a slight change in timing or use will release a precious skill.

## 2.4. A Systematic Approach

'A Systematic Approach' is based on the way people think when they are getting things done in a purposeful and efficient way. Naturally, therefore, many people find the approach familiar. It may be akin to other patterns of logical thought they know, some of which may have been developed for other uses such as problem solving or systems analysis. According to their purpose such systems may omit certain stages of Systematic Approach and expand others.

Systematic Approach makes us more aware of the stages of thought we go through naturally. This enables us to recognise where we are in our thinking at any time, and to recover a logical sequence if we digress. It provides us with a framework for presenting a train of thought in a way that others can readily follow. It can help us to see the thought processes in which we are strong, and those where we are vulnerable, opening a way towards improving our actual skill at thinking.

Systematic Approach is directed at getting things done, and, importantly, at drawing lessons from experience. These features are especially significant when it comes to tackling problems, which are new and open. The future continually faces us with situations we are not able to predict. Unable to prepare for every particular situation, it is left to us to cultivate the thinking skills that will cope with the general

case. We can develop confidence, not through knowing the answers, but through having the means of finding them.

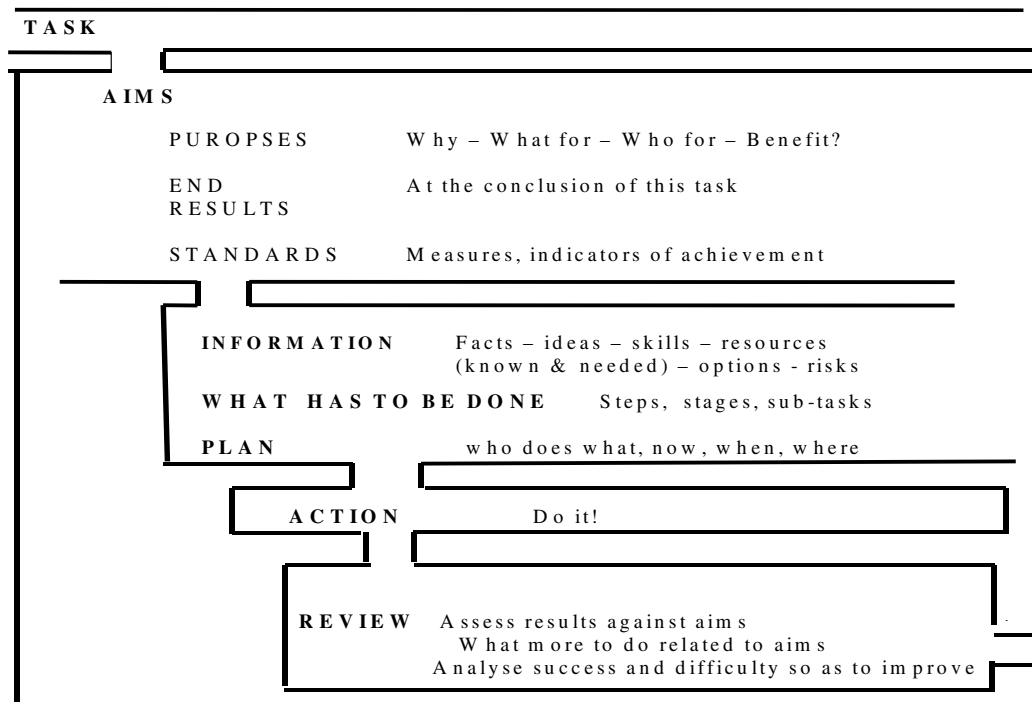
While most people can quite properly claim to follow the stages of Systematic Approach, this is not to say that everyone does so in the same way, at the same pace and with the same degree of emphasis. One person may glance at the information, seize upon what has to be done and then really concentrate on planning the action stage in detail. Another may search out the information and analyse it rigorously before being ready to move on. Differences like these can cause difficulty when people come to work together; they find themselves immersed in different aspects of the task and find it hard to see the relevance of others' contributions. These same differences can be an asset to a group, which sees them in relation to the stages of a Systematic Approach. Used like an agenda, it shows which stage is being addressed at a particular moment, and offers some assurances that the following stages will be dealt with when the current one is complete. Systematic Approach provides a common language to help teamwork and co-operation.

The sequence of steps which make up a Systematic Approach can be entered at any point. It is not unusual, for example, to begin by reviewing some significant event in the past and then move into the information stage relating to a future action. Likewise, there are times when the most important thing is to act, now and fast, without formal planning.

Each stage of Systematic Approach may need handling differently for different applications. The information stage may call for logical research and analysis on one occasion, and for organised brainstorming on another. Statements of what has to be done may take the form of a simple job list, or a complex critical path network.

No system is a substitute for judgement, and Systematic Approach must remain the servant and not become the master. Skill and discernment in its use come from practice.

**A SYSTEMATIC APPROACH**



**2.5. Aims**

'Aims' is a useful collective term embracing goals, targets, objectives, purposes, intentions, aspirations, standards, ambitions, ideals, mission, all of which relate to the direction we wish to take or the future we want, or need to bring about. The setting of aims calls upon the skills of imagination and foresight.

Three aspects of aims can be distinguished

- Purpose
- End Results
- Success Criteria/Standards

which link together in a coherent form along the lines

We are doing this **IN ORDER TO ...**

our desired **END RESULT** is .....

and the following STANDARDS ....

will enable us to judge how effective our action has been.

**Aims arise in various ways; they may be**

- given, as part of our brief, instruction, or job description
- self-evident; circumstances being familiar and the needs obvious
- deduced, from what we know and can reasonably infer
- evolved by ourselves, faced with a new problem or opportunity
- latent, within us but not previously expressed.

In each case there are issues that have to be addressed. When aims are given, are they understood in the way intended by the originator? When self-evident or deduced is there a chance of assumptions being made that ought to be checked. If evolved by ourselves, are the immediate aims in line with longer term aspirations'. And if people are jointly evolving aims, is there common comprehension of what is agreed; do all have the same level of commitment to what is agreed? Where aims have hitherto been latent, are the things we are doing really in keeping with what we now see as desirable?

There are obvious practical benefits in being clear about aims. Purposes give a basis for decisions, a reference point as we proceed. End Result provides a vision of what we want to bring to reality, so that we can begin devising the ways and means. Success Criteria identify parameters within which to work, standards to be attained, positive indications of our achievement. Then there are the emotional benefits. People like to know why they are being asked to do things. When they are strongly attached to the purposes being pursued their readiness to help is marked. When people share a common vision of what is required, their contributions are focused and a sense of pulling together is developed.



Conversely, when aims are unclear, purposes may be incorrectly assumed. Arbitrary decisions are made to satisfy the letter rather than the spirit of instructions. Insufficient work may be done, or superfluous work, with consequent waste of effort. Initiative is stifled, since the overall direction being taken is unclear. With no way of knowing how worthwhile the activity is, commitment to it is low.

Undoubtedly there are occasions at work when, for certain reasons such as confidentiality, company or organisation aims cannot be adequately explained. In such circumstances it is as well for those who have to initiate tasks to be aware of the possible consequences and take whatever steps they can to compensate.

Purposes: A sense of purpose gives direction and motivation at individual, team and organisation level. Few activities are simply an end in themselves-most serve a purpose, or a range of purposes, both short term and long term.

**Questions which help clarify purposes include:**

WHY is the task being done?

WHO or WHAT is it for ?

WHAT BENEFITS will it lead to?

WHAT USE will it be?

Establishing purposes is a forward-looking activity requiring vision and imagination, so it is worth remembering that the answers to the question 'why?' will fall into two categories:

- those which describe the future (purposes), often phrased 'to ... , so that ... , in order to...'
- those which describe past events and give background (reasons), often phrased 'because...'

Asking 'Why?' to a statement of something which is to be done may produce several purposes, many of which may be quite compatible. Commonly, for example, task and process purposes exist side by side and can be pursued simultaneously.

Eg "Secure contract with major new customer"

Why? - to improve sales volume (task)

Why? - to reduce seasonal variation in sales (task)

Why? - to improve morale within the sales team (process)

In addition, by exploring purposes and asking why repeatedly, we are able to check that our immediate goal is a worthwhile one in the long term.

For example, a task might be:

"Maintain a record of our customer comments"

Why? - To identify features of the service that attract customers.

Why? - To extend successful features to other locations.

Why? - To enhance company reputation.

Why? - To increase profitability.

Purposes give us a reference against which to make future decisions. Thus, in the example given, a proposal to record only customer complaints would be rejected after referring to the purpose 'to extend successful features to other locations'.

Exploring and clarifying purposes needs to be done to the extent that is helpful to those undertaking work in order to give that work value and a context. Often, purposes are already clearly specified, or easily deducible on the basis of experience. Mindless use of 'Why?' as a ritual may not prove to be helpful.

Success Criteria : Success Criteria (standards) are part of the general area of Aims. They help us judge whether we have succeeded or are making satisfactory progress. When criteria are precise and measurable the question. "have we succeeded?" can be answered with certainty.



*Success Criteria can be considered at different level*

- i. They may be linked to the purposes for which the work is being done, eg. 'recommendations are implemented and lead to forecast savings.'
- ii. Often, the achievement of purposes can only be assessed some time by beyond the completion of the job in hand, so the success criteria can only be checked in the long term.
- iii. They can be associated with the desired end result, eg. 'available in three colours'. In this case the criteria may simply be extensions of the description of the end result, rather than defined separately.
- iv. There are times when it is not possible to define an end result, for example, continuing task with no definable end point eg. 'improving inter-departmental co-operation'. In this case, success criterial can replace the concept of end result, acting as "staging posts" for measuring progress.
- v. they can relate to the means of achieving the end result or the way the work is undertaken, eg. 'within a budget of £2,000'.

Further dimensions of standards or criteria are

Subjective : eg. 'people like it'.

Objective : eg. 'less than 5% waste'.

Comparative : eg. 'better than X in the following aspects....'

Direct (deliberate steps can be taken to meet them) : eg. 'daily output of 10,000.

Indirect (they cannot be directly controlled) : eg. 'complaints diminish'.

It is sometimes helpful to approach the establishing of criteria from one to other direction : 'What would not do? What kind of end result would we(or our mangers) reject? It may then, by contrast, be easier to define what will be satisfactory.

Like purpose, it is helpful always to think of criteria or standards in the plural. Even through there may be priority or key ones, there is rarely just on standard by which something succeeds or fails.

## 2.6. The Information Stage

In everything we do, time needs to be balanced between thinking and doing. Within the thinking, or preparation period, we need to apportion time between the Aiming, Information, What Has To Be Done and Planning stages.

An understandable desire to get into detailed planning and action can lead to the Information stage receiving less attention than it should, thus leading to inadequacies in the subsequent action.

The information stage of a task embraces the following considerations:

- Background circumstances, needs, conditions
- Available resources and constraints of time, people, money, knowledge, skills, experience, equipment, materials
- Ideas on how to set about the task - 'what might be done's' ranging from an initial concept through its subsequent development and modification into a workable proposition. Note that the subsequent What Has To Be Done stage is a decision statement of what will be done; the build up and development to that decision is part of the Information stage.
- The risk associated with the different courses of action open to us, the risks of inaction, and corresponding proposals to reduce them or cope with them.

Having identified what information we need - more knowledge, check assumptions, more equipment - we can decide what has to be done to get it, plan who will get it, how, and then get it: a small and often very fast cycle of Systematic Approach simply to collect more information.

Similarly, the development of ideas into a workable possibility often requires mini cycles of action and review to test and develop the ideas and gain practical experience of their feasibility.

In complex situations, there is an armoury of techniques, whose sole purpose is the assembly, analysis or interpretation of information.



Some examples are:

- Problem Analysis
- Potential Problem Analysis
- Decision Analysis
- Brainstorming
- Force Field Analysis
- Lateral Thinking Techniques
- Systems for Creative Thinking
- Risk Analysis

A thorough treatment of the Information stage will be rewarded in the smoothness and speed of the subsequent stages and ultimately in the quality of the final job result.

## 2.7. REVIEWING in order to improve

Reviews may be concerned with Task achievement or with Process. In either case, if their purpose is to bring about improvement and progress, they must deal with the future as well as the past.

### *Task Reviews*

These can take place during a task, as well as at the end. Useful questions include:

- Have we achieved what we set out to do? Have we met our purposes and success.criteria?
- What progress has been made and what remains to be done?
- What has gone well that can be repeated another time?
- What technical or other problems have occurred, and how should they be avoided in the future?

### *Process Reviews*

Process reviews help to secure effective working relationships or teamwork, so that the job gets done well. Useful questions to consider are:

- When did the group make progress, what caused this?
- When were there delays, and why?
- What have individuals done that helped, how did they do it'?.?
- What principles emerge that can be applied more widely
- When we resume our task how can we co-operate better, for example, by extending our successes and overcoming our difficulties?

Whether related to Task or Process, reviewing needs to analyse the past, derive lessons and look to future improvement.

## 2.8. Analysing Skills

Numerous process skills come to light once we analyse our initial assessments of contributions made in a group.

For instance, a person may be seen as 'good at aims'. The skills that give rise to that impression may be any one or more of the following:

- Visualising results to be achieved in the short term
- Producing clear statements of purpose
- Questioning, probing, to discover and to clarify aims
- Proposing specific, measurable success criteria
- Keeping aims continually in sight
- Checking continuing relevance of aims

Similarly for each stage of Systematic Approach a variety of skills can be observed;

- Providing factual information
- Producing creative ideas
- Giving balanced assessment of risks
- Questioning to draw out facts
- Interpreting, recognising the implications of information
- Outlining things to be done, activities, sub-tasks



- Ensuring that plans are complete and understood
- Recognising when action is needed and giving the lead.
- Initiating review, checking achievement of aims
- Recalling what happened accurately
- Identifying successes and their causes
- Indicating improvements for the future.

It is also fruitful to look at the way particular functions are performed; Chairing /Co-ordinating /Leading, for example. The skills involved will probably include some mentioned above, and in addition.

- Listening attentively
- Encouraging ideas
- Creating enthusiasm
- Observation, sensitivity to others' needs
- Summarising at important moments
- Clarity of expression
- Patience and tolerance of opposition
- Objectivity
- Setting and maintaining high standards
- Judging time requirements and monitoring the use of time

Note that the opportunity to exercise such skills remains, whether or not we are occupying a formal office in a group.

Other skills, qualities or attributes that have a marked effect include:

- Timely humour
- Integrity, reliability
- Courage, determination

- Honesty, humility
- Concern for human values

The list is probably endless, as is the particular combination of skills which makes each person different. A group grows as members recognise more of each other's unique value.

## 2.9. Feedback of Observations

- Feedback intended to help a person or a group to develop has to be acceptable and has to be useable. Otherwise, despite the best of intentions, it is wasted.
- Given in the right manner, feedback win support and reinforce the desire to improve. Badly done, it will provoke resentment and rejection.
- Identifiable details help the recipient to recognise the precise circumstances being referred to, whereas sweeping generalisations present a confused picture and open the way to misunderstanding.
- Facts provide the basis for reasoned interpretations of events, with constructive dialogue where appropriate. Opinions about performance, divorced from facts, offer little on which to build, and naturally invite counter arguments.
- Straight factual reporting often makes the most acceptable feedback, leaving it to the recipient to form whatever judgements are to be made. When this is the intention, tone of voice and facial expression must be taken into account, since both can communicate the views of the speaker in a very powerful way.
- Speculation, eg. "What would have happened if...", might prompt ideas worth pondering for the future, but must be differentiated from fact. If not, rigid pronouncements are made, often with increasing vigour, forgetting that these are solely matters of opinion.
- It is so easy to spot failures and dwell on them that reviews become known as "postmortems". Annual appraisals are viewed with disquiet where such negative bias has been the rule. Clearly, a balance needs to be struck between the attention given to success and that given to failure.



- Care and effort are required to analyse successes. But feedback of the details that emerge brings great rewards. It indicates positive and practical things to do in the future. It produces legitimate feelings of satisfaction and confidence.
- As a basis for self-improvement, we can also observe and give feedback to ourselves. We benefit from being sensitive not only to what we do, but also to how we do it and the effect our behaviour has on others.

## 2.10. Supportive Development *building on ideas*

Supportive Development describes the process of building on one another's ideas so as to get things done and achieve worthwhile results. When this process operates, progress is fast and the atmosphere rewarding, Ideas are nurtured rather than criticised. Credit for results is shared.

The absence of Supportive Development becomes apparent in lengthy circular discussion, competing ideas and destructive comments, all of which waste time and produce a sense of frustration and ill-feeling. The causes often include

- A reluctance to proceed without examining all alternatives
- Making the best the enemy of the good
- Injecting ideas whether they are needed or not
- Thinking aloud: tentative phrasing, posing questions or dilemmas
- Seeking the imperfection rather than the potential of ideas
- Careless use of 'not necessarily... isn't there a danger that... Yes, the only thing is though... it might be better if... yes but... what if?' all of which easily lead to ideas being squashed.

A supportive and progressive atmosphere in a group is marked by contributions like

- 'Yes and ... '
- 'As well as that we can...'
- 'One way around that would be to...'

- 'Good idea - lets try it' or simply actioning a proposal.

Supportive Development can only come about through:

- a common understanding of the aims being pursued
- positive actionable proposals worthy of support
- concern for the meaning of what people say
- respect for others and for the ideas they offer
- weighing the risk of moving on against the risk of delay

Support demands active listening and careful thought. It is not simply agreeing or merely conforming for the sake of harmony. It is carrying ideas forward, with energy and conviction, towards purposeful action.

### ***Handling Ideas***

When people speak of 'ideas' they mean a range of things such as facts, suggestions, questions or just random thoughts. Furthermore, the ideas may be related to different stages of a Systematic Approach. It is not surprising then, that when asked to think of 'ideas', people respond in many different ways. A useful practice before any thinking period is to agree the kind of ideas required and also how they will subsequently be handled.

A chart can be, for a working group, what a notebook or jotting pad is for an individual. It can serve as a group memory of agreed aims, key pieces of information, decisions made and operating plans. It can also be used to develop tentative ideas into workable proposals and to clarify understanding, a picture being worth a thousand words.

The method used to chart ideas needs to suit the type and status of the ideas being gathered.



**FACTS...**

- Where statements are not open to dispute, for example, when individuals say what they personally want from a meeting, the need is to chart accurately to help everyone understand. The same applies to charting known, factual information. The contributors must provide comprehensible statements at a pace that can be charted, so minimising time wasting repetition.

**SUGGESTIONS...**

- A search for possible ways forward may bring out a number of tentative ideas. Chart rapidly to capture the ideas, recognising the chart as a working aid, not an historical record. Then, identify what has been agreed or developed, for reference when required. Contributors should provide suggestions they see as relevant, feasible and capable of being developed.

**CREATIVE IDEAS...**

- When pure creativity is required, rather than logical deduction, it is important to remove barriers and to stimulate thought. This is the function of 'Brainstorming, the guidelines being: many ideas wanted - all are welcome - no debate - chart everything quickly - set a time limit.

Whatever the nature of what is being charted, the person writing should resist the temptation to change what is said into different words or to summarise it to such an extent that the real essence is lost. Debates about 'what shall I write?' can be very time consuming and it is generally far quicker to write exactly what is said, especially if the contributor helps by a concise and exact use of words in the first place.

***Contributions in a Group***

A working group makes progress only through the contributions made by its members. The effect of a contribution is influenced by the way it is made as well as 'its substance. Some considerations are:

**RELEVANCE ...** to the aims and current needs of the group. We easily become so captivated by our own idea that we voice it regardless of its relevance to the task, to the aims, to the current situation, to what has already been said.

Others may need help to see the relevance of what we say or do. Introductory phrases such as 'About resources...','One criterion could be....', 'To get over that problem I suggest...', 'To further Mary's idea ... 'can help to do this.

**TIMING ...** choosing a moment when our contribution is likely to be accepted and used. Matching it to the appropriate stage of Systematic Approach helps. So, our idea for how to do the job is best offered when the group is in the information stage and is looking for ideas. In contrast, totally new ideas or pieces of information will probably not be welcomed just before the group goes into action, unless there are compelling reasons for stopping the group in its tracks.

It is hard to justify launching our thoughts while another person is speaking. Interruptions demonstrate our lack of respect for what another person has to say. It is salutary to realise that when we do interrupt, often we have no real understanding of what the other person was saying, so absorbed have we been in our own thoughts.

**WORDS ...** that will be understood by other people and will convey the meaning we intend. There are pitfalls to avoid: even fairly common-place words can mean slightly different things to different people, especially if the word is abstract, like 'objective'. A phrase made up of simpler words: 'by the time we finish, we want to have produced ...' will reduce the risk of misunderstanding. Jargon saves time and aids precision when used between people who commonly understand it. When they do not, it confuses, irritates, frustrates and wastes time.

**PHRASING ...** such that our contribution helps the group forward. As a general rule, questions, alternatives and dilemmas cause a group to pause, think and debate, Highlighting problems and pointing out difficulties in an existing idea promotes discussion and, in excess, leads to resentment, frustration and depression. Positive proposals for how to proceed or for how to overcome a problem tend to gain ready acceptance and help to move the group towards action.



A common self-inflicted difficulty occurs through introducing suggestions in the form of questions: 'Shall we ... ?','What about if ... ?' Being directed at no-one in particular, no-one answers, and the suggestion dies. Or it can divide the group, prompting an alternative suggestion (there is **always** an alternative) and discussion, rather than action, ensues. In short, the most effective contributions to any group are **relevant, timely and understandable proposals.**

### *Degrees of Agreement*

When people signify their agreement or disagreement, different strengths of feeling behind what they say give their words different shades of meaning.

Some examples of what can be meant by 'I agree' 'I disagree' are given below. These are arranged in levels or degrees of agreement, and obviously there will be intermediate positions as well.

**SHARE** 'I am fully committed to that aim and will do everything in my power to achieve it with you'

**SUPPORT** 'I shall willingly help you to pursue that aim'

**SYMPATHISE** 'I respect your intention and will not stand in your way, though I do not feel obliged to *help*'

**ACQUIESCE** 'I do not care one way or the other. I am quite indifferent to your intentions'

**REJECT** 'I will have nothing to do with that. Count me out!'

**OPPOSE** 'I will do everything in my power to prevent you achieving what you want'

Reference to such a scale may help group members assess the state of agreement between themselves over proposed aims or courses of action. This in turn will lessen the chance of assumed unity, and false expectation as to the energy each person will apply. It can prompt efforts to secure greater commitment, avoiding the disintegration that can occur as the need for action, and consequently the risk, approaches.

A similar scale can be used to illustrate the contrasts between

Co-operation -- where people hold aims in common and have the will to work together towards their achievement, And

Negotiation -- where people have different or conflicting aims but share a desire or need to find common ground and an agreed course of action.

### *Active Listening*

Listening demands effort. It is all too easy to follow our own line of thought while someone else is talking. Often we are just waiting for the chance to speak our own piece, without regard for what the other person is trying to say.

Active listening involves 'switching on' and staying 'tuned in' to others, giving thought to several questions, such as:

What are they saying?

What does it really mean? How does it fit in?

How can I support it?

What shall I say in response?

We think fast, but it still takes time. So effective listening can be difficult during animated discussions. A pause when a speaker has finished helps, and serious conversations are often notable for the periods of silence, rather than for volume of talk. Quality takes precedence over quantity.

Speaking and listening are interactive processes, each one influencing the other. If the listener shows clear signs of attention, the speaker is less inclined to repeat things. Equally, if the speaker is concise, the listener finds it easier to maintain concentration.



## 2.11. Authority

To have authority is to have the power to take action. The sources of authority are several; no one source is universally or probably even widely effective.

### **There is:**

Authority based on the ability to reward or punish

Authority based on the control of resources and upon hierarchical position

Authority stemming from contacts and influence with powerful people

Authority related to the possession of information or technical expertise

Authority deriving from personality, character, process skills, and personal attributes

One kind of authority, task authority, is linked to the position that a person holds in an organisation. People hold different degrees of task authority according to their job and its position in the hierarchy. This authority is delegated by other people, generally people in positions of higher authority. Correspondingly, this authority can be withheld or withdrawn, and it has no value outside the organisation which supports it.

Another kind of authority is inherent in each one of us: process authority. It finds expression in our ability to offer relevant information, listen to others, question to clarify understanding, make proposals, offer skills and expertise, synthesise and build ideas, encourage and help others. Equally, it lies within our power to withhold such help. Such authority is not given to us for we already possess it; neither can it be taken away or denied.

We face choices repeatedly: whether to try to help others and improve situations, remain silent and inactive, or seek to hinder and destroy. We can choose to co-operate to mutual benefit or manipulate to personal gain.

Often, a skilful remark or question will benefit a situation at little or no risk to the person making it, for example, a question which prompts discussion about the desired end point of a meeting. Sometimes, considerable personal risk is involved, as when

speaking out against a popular tide of opinion or established order. In all such matters, there is personal choice and consequent personal responsibility.

## 2.12. Aspirations

There is no intrinsic virtue in complexity. A call to 'keep it simple' can lead to results, which are neat, economical and satisfying. It can also encourage low aspirations and poor results, satisfying no-one.

The challenge for a group of six or seven people faced with a job can be expressed by the question, 'How can we get the best from the group in the time available to us?'. And useful check in review is to ask 'Do the results we have achieved merit the total man-hours that were available to us?'

'Keep it simple' may be avoiding the risk of setting challenging standards. People may be 'playing safe' to avoid all possible risk of failure. It is worth examining this attitude, especially as 'playing safe' can seriously impair the learning opportunities the course provides.

To illustrate : we often ask groups to 'Make paper note-pads'. An extreme of 'keep it simple' would lead to the group having one member make on paper note-pad while the rest watch. Needless to say this approach involves negligible risk of failure. There is little planning to be done and very few interaction occur. Little can be said about the experience during the review and little learned from it. Alternatively a group may decide to stretch itself by setting a target of making dozens of note-pads. Much detailed planning is needed; there are many ideas to handle and test. A lot needs to happen and be managed by the group in order to achieve the target. During the review there is more to be learned from the experience, and crucially, a greater potential for taking useful practices and principles back to work.



### *Risks*

The major risk of team building is that a team member may become cynical of the organization. This could happen as a result of the organization holding team building events outside of the normal context in which the organization usually functions under. For example, if an organization hosts team building events when individual goals and efforts are the norm with the organizational culture, the team building event will have no lasting impact.

It is crucial to follow up a team building event with meaningful workplace practice. If the team members do not see an improvement within an organization as a result of team building events, members may view such events as a waste of time. This may lead to loss of trust in the organization, harm motivation, as well as decrease employee morale and production.

## **Managing Farmer groups**

### *Types of groups*

Farmer organizations can be grouped into two types: one is the community-based and resource-orientated organization; the other is the commodity-based and market-orientated organization.

Community-Based, Resource-Orientated Farmer Organizations.

This type could be a village-level cooperative or association dealing with inputs needed by the members, the resource owners, to enhance the productivity of their businesses based on land, water, or animals. These organizations are generally small, have well-defined geographical areas, and are predominantly concerned about inputs. However, the client group is highly diversified in terms of crops and commodities.

There are many primary-level agricultural cooperatives in the developing world, but the majority of them have been financially vulnerable and ineffective. Strategies have been developed to strengthen these organizations (see the section on how to

strengthen existing farmer organizations). This group of organizations can generate income from the sale of inputs and outputs. The income can then be put back into the organization by spending it on extension, data generation, business planning, and administration. It is essential to have professional and honest management with constant monitoring and periodic rounds of evaluation (Gupta, 1989). Commodity-Based, Market-Orientated Farmer Organizations. These organizations specialize in a single commodity and opt for value-added products which have expanded markets. They are designated as output-dominated organizations. Not specific to any single community, they can obtain members from among the regional growers of that commodity who are interested in investing some share capital to acquire the most recent processing technology and professional manpower. These FOs are generally not small and have to operate in a competitive environment. Research, input supply, extension, credit, collection of produce, processing, and marketing are all integrated to maximize the returns on the investments of the members who invested in the collective enterprise. Several successful cases are found in India, such as Anand Milk and other dairy FOs.

The rate of success of these organizations is determined by their capacity to arrange for major investments and a continuous flow of raw materials. This requires the competent and convincing management of both enterprise-related and member-related aspects. The profits generated are used to provide supplementary and supportive services at reduced cost to encourage members to use them. To do this requires a high calibre of representative and enlightened leadership from among the grower members. It is a challenging and demanding task to conceive, design, build, and nurture this type of FO.

VEWs can consult and work with other governmental agencies and nongovernmental organizations. However, each farmer organization will need to define its own BASE (basic activity sustaining the enterprise). In India, or for that matter in many developing countries, there is tremendous potential for expansion of commodity-based FOs. One rule of thumb suggests that any commodity which accounts for more





than 50 percent of the costs of the raw material can be considered for value-added processing by a farmer organization (V. R. Gaikwad, personal communication, 1994).

### *Issues Influencing Participation in FOs*

The following issues will influence the extent of participation:

- The degree of the farmer's dependence on the outputs of the organized activity.
- The degree of certainty of the availability of the outputs.
- The extent to which the outputs will be available only as a result of collective action.
- The extent to which the rewards associated with the collective action will be distributed equitably.
- The extent of availability of rewards within a reasonable time frame.
- The extent to which the rewards are commensurate with the costs associated with continued participation (Shingi&Bluhm, 1987).

### *The Role of Extension in Farmer Organizations*

The role of extension will vary with the role of the organization, the sectors in which the organization operates, the services offered, and the organizational form used. In community-based organizations, extension is used as a supplementary or supportive activity to realize the objectives of the BASE function of the organization. In commodity-based organizations, extension is integrated with all the other aspects of the organization to maximize the returns on the investment of the collective enterprise. Extension is taken seriously by both the organization and its members because both derive direct and measurable benefits from it.

The following issues need to be considered when developing the extension role, especially for farmer organizations which are set up to specialize in the extension function:

- Is there an identifiable need for extension in specific commodities in the area covered by the FO?

- Would the FO be able to generate enough revenue from the extension activity alone (with farmers willing to pay for these services) to meet the FOs expenses and to provide satisfactory rewards to its members for their monetary and nonmonetary contributions? It will be important to anticipate the high potential for unresolved conflict over the issues of equity and charges for extension services.
- How sustainable will the extension activity be over time, and therefore how sustainable will the organization be? It is possible for advice to be converted to freely transmittable knowledge which can be transferred to anyone without payment. The cost of the extension advice limits access to this knowledge. Therefore, the revenue earned from the extension activity could decline, especially with a client group which has a low resource base and is primarily concerned with a subsistence economy.
- Can the advice given be actually put into practice and produce tangible benefits to the FO members? The FO would need to control or arrange for the supply of necessary inputs to ensure this; otherwise, the extension organization will fail, as has happened in the past in many developing countries. This means that the extension function needs to be integrated backwards with research recommendations and forward with the supply of inputs.
- The organization will need to provide specific information in addition to the general information available from research centres. To do this and to survive, the organization will need a research linkage with government and university research institutions. It is beneficial if the FO can employ qualified and committed extension workers who have active contacts in research organizations or who can act as consultants to groups of members. This would increase the cost of extension advice to members if the FO is supposed to be financially self-supporting.
- It is necessary to appreciate that "extension markets" are governed by factors such as agroclimatic variations, infrastructure development, and the strength of market forces. FOs operating in desert regions, single-crop rainfed areas, and predominantly irrigated areas will have different occupational and extension needs; therefore, variable response patterns to extension have to be anticipated (Gupta, 1981, 1985). Similarly, FOs operating in food-deficit and food-surplus stages will have different roles, expectations, and returns.



### *Steps in establishing farmer organizations*

Some of the principles and steps for social action models, community organizations, and management are used in designing the simplified step-wise approach in establishing FOs (Chamala, 1990). Care needs to be taken in selecting a person or a group of people who will take the lead in establishing community-based or commodity-based farmer organizations. This person - from another FO or government or other organization, such as a village extension worker - needs to be acquainted with and convinced of how the FO can be used to increase the income of small producers. In the following steps, the term VEW will be used to refer to the person or group of people selected to establish the FO.

#### *Step 1. Understanding the Village Community*

VEWs should enter the community with an open mind and understand the community structure. They must understand the community power structure, problems, and opportunities for development. Walking around and talking to key people can help ease their entry into the community. VEWs should also develop an understanding of the entire community, including the poor and marginal farmers and women.

Some of the techniques that can help to understand the community are using key informant techniques, participating in the community meeting and tea stalls, and walking around. Understanding the ownership of community resources and people's attitude, knowledge, and skills in the development of agricultural production will help the VEW learn about the community. The VEW can also understand the situation in more depth by collecting both qualitative and quantitative information on the levels of income and productivity, costs of cultivation, post-harvest losses, output utilization, and the likelihood of making striking improvements to each of these factors.

Step 1 is crucial and cannot be done in a hurry. VEWs must spend some time (up to a month or so) to get the feel of the village community structure, politics, groups, and past experience in FOs.

## *Step 2. Identifying Potential Leaders in the Community*

The usual tendency is for the VEWs to talk to formal leaders and commercial sections of the community. By using the sociometry method (see Box 1 for details on the methodology), they can identify potential leaders. However, it is also important to be sensitive to the leadership structures operating in that culture and to the knowledge and skills needed to be a successful leader of a farmer organization.

In some cultures, it is wise to search for and contact middle-aged leaders of the area who are not too young or too old. Preferably, they should come from better-off families, have social status and respect, and be from farming households. Case studies of leaders who have established farmer organizations show that these leaders initially made considerable sacrifices, experienced financial losses, and had to be supported by their families. These leaders also had to struggle and negotiate with bankers, bureaucrats, politicians, critics, and others including their own farmer members (Seetharaman&Shingi, 1992). This family background and grooming helps these leaders to deal with situations which they will have to face with confidence and without being cowed. Leadership of an FO is not a job for a sincere but ordinary farmer.

Opinion leadership is a concept that arises out of the theory of two-step flow of communication propounded by Paul Lazarsfeld and Elihu Katz[1] Significant developers of the theory have been Robert K. Merton, C. Wright Mills and Bernard Berelson.[2] This theory is one of several models that try to explain the diffusion of innovations, ideas, or commercial products.

The opinion leader is the agent who is an active media user and who interprets the meaning of media messages or content for lower-end media users. Typically the opinion leader is held in high esteem by those who accept his or her opinions. Merton [3] distinguishes two types of opinion leadership: monomorphic and polymorphic. Typically, opinion leadership is viewed as a monomorphic, domain-specific measure of individual differences, that is, a person that is an opinion leader in one field may be a



follower in another field.[4][5] An example of a monomorphic opinion leader in the field of computer technology, might be a neighborhood computer service technician. The technician has access to far more information on this topic than the average consumer and has the requisite background to understand the information, though the same person might be a follower at another field (for example sports) and ask others for advice. In contrast, polymorphic opinion leaders are able to influence others in a broad range of domains. Variants of polymorphic opinion leadership include market mavenism,[6] personality strength [7] and generalized opinion leadership.[8] So far, there is little consensus as to the degree these concept operationalize the same or simply related constructs.[9]

In his article "The Two Step Flow of Communication" by Elihu Katz,[10] he found opinion leaders to have more influence on people's opinions, actions, and behaviors than the media. Opinion leaders are seen to have more influence than the media for a number of reasons. Opinion leaders are seen as trustworthy and non-purposive. People do not feel they are being tricked into thinking a certain way about something from someone they know. However, the media can be seen as forcing a concept on the public and therefore less influential. While the media can act as a reinforcing agent, opinion leaders have a more changing or determining role in an individual's opinion or action.

In his article, Elihu Katz[1] answers the question, "Who is an opinion leader?" One or more of these factors make noteworthy opinion leaders:

1. expression of values
2. professional competence
3. nature of his social network.

Opinion leaders are individuals who obtain more media coverage than others and are especially educated on a certain issue. They seek the acceptance of others and are especially motivated to enhance their social status. In the jargon of public relations, they are called thought leaders.

### ***Box 1. Sociometry and its use in managing Self help groups***

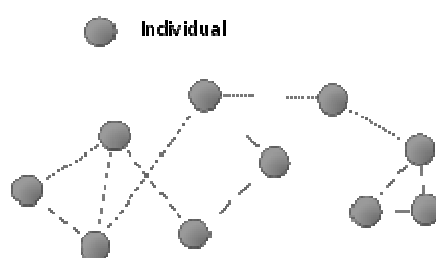
Sociometry is a quantitative method for measuring social relationships. It was developed by psychotherapist Jacob L. Moreno in his studies of the relationship between social structures and psychological well-being.

The term sociometry relates to its Latin etymology, *socius* meaning companion, and *metrum* meaning measure. Jacob Moreno defined sociometry as "the inquiry into the evolution and organization of groups and the position of individuals within them." He goes on to write "As the ...science of group organization, it attacks the problem not from the outer structure of the group, the group surface, but from the inner structure. "Sociometric explorations reveal the hidden structures that give a group its form: the alliances, the subgroups, the hidden beliefs, the forbidden agendas, the ideological agreements, the 'stars' of the show".

He developed sociometry within the new sciences, although its ultimate purpose is transcendence and not science. 'By making choices based on criteria, overt and energetic, Moreno hoped that individuals would be more spontaneous, and organisations and groups structures would become fresh, clear and lively'.

One of Moreno's innovations in sociometry was the development of the sociogram, a systematic method for graphically representing individuals as points/nodes and the relationships between them as lines/arcs. Moreno, who wrote extensively of his thinking, applications and findings, also founded a journal entitled *Sociometry*.

### **Sociogram**



An example of a social network diagram

A sociogram is a graphic representation of social links that a person has. It is a graph drawing that plots the structure of interpersonal relations in a group situation

Within sociology, sociometry has two main branches: research sociometry, and applied sociometry. Research sociometry is action research with groups exploring the socio-emotional networks of relationships using specified criteria e.g. Who in this group do you want to sit beside you at work? Who in the group do you go to for advice on a work problem? Who in the group do you see providing satisfying leadership in the pending project? Sometimes called network explorations, research sociometry is concerned with relational patterns in small (individual and small group) and larger populations, such as organizations and neighborhoods. Applied sociometrists utilize a range of methods to assist people and groups review, expand and develop their existing psycho-social networks of relationships. Both fields of sociometry exist to produce through their application, greater spontaneity and creativity of both individuals and groups.

Ask a few people informally the following questions:

1. I am new to the village. Could you tell me three names of leaders of the village? (These are positional leaders who are currently holding leadership positions.) Write down their names or remember them and write them down later.

*Positional Leaders*

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

2. Name three leaders whose opinions or ideas on agriculture have influence on their friends and community leaders. (Make sure to get these names from each section of the society: the larger, medium, and small farmers because opinion leaders exist in each socioeconomic strata of the community.)

*Opinion Leaders*

Higher .....

Medium .....

Lower or poorer .....

***Step 3. Talking to the Identified Leaders and Seeking Cooperation from Other Agencies***

VEWs might talk to these leaders on general agricultural development and get ideas and information on FOs in the village. They might also seek cooperation from government agencies and especially from NGOs (if there are any in the area) to help establish FOs and support them in achieving success.

Does the community have a farmer organization? If not, is there a need for such an organization? If the community has an FO, what is its structure and history of performance. How could the FO play a role in village or community development? VEWs can canvass for ideas from the community and add their own ideas on the need for and the role of FOs in the entire process of broad-based agricultural development. They can explain how FOs in other communities helped them in development. It is important to provide facts and figures to convince potential leaders of the possibilities and approaches for increasing the income of a sizeable number of farmers and for contributing to the economic development of the region. Good FO leaders might also receive political advantages through satisfied farmers and people living in the region. The leaders' support should be secured and key people encouraged to consult among themselves about the pros and cons of forming FOs in the community.

***Box 2. Steps in Developing an Organizational Structure.***

The core group leaders' main goal is to understand the appropriate organizational structure, composition, and working rules for the efficient management of their farmer organization.





*Stage 1. Leaders should secure the relevant guidelines of other FOs and study them carefully.* An FO can be initiated by the government or by farmers and the community. If it is government initiated, the leaders should obtain copies of guidelines and rules. If it is community initiated, they should talk to other FOs and get their guidelines and constitution. The core group should study them carefully and discuss how they can fit into their community needs.

*Stage 2. Leaders should then draw up a tentative organizational structure and working rules for their farmer organization.* They should consider various models or types of organizations that serve their special needs for agricultural development and discuss them with other experienced leaders from that village or neighbouring villages. The structure should serve the functions. Are subgroups needed to achieve each task?

***Step 4. Helping Local Leaders to Call Community Meetings.***

VEWs can help enthusiastic local leaders to call for community meetings. Sometimes more than one meeting may be needed to discuss the need for and the role of FOs in agricultural development. FO leaders from neighbouring villages can be invited to speak at these meetings. Farmer-to-farmer information exchange helps them. Sometimes smaller meetings can be held for low-resource (small and marginal) farmers and minority groups. They may prefer having a separate FO to serve their specific needs. There is no harm in having more than one FO in a village.

It is important that producers from all sectors in the village participate in these meetings because the success of an enterprise-based FO depends on the volume of raw material procured from member producers. Every small or big producer contributes to this volume. The volume itself is more important than the socioeconomic status of the supplier.

Prospective members need to be convinced that everyone benefits in proportion to his or her contributions, not just the big farmers, as is widely perceived.

### ***Step 5. Nominating Core Group Leaders to Develop or Establish the FO***

From the community meetings, core group leaders are elected or nominated to design the FO with further community consultation. In some cultures, however, this approach may lead to the appointment of leaders who are unable to cope with the complexities of a farmer organization, as mentioned in step 2. If leaders are elected or nominated, VEWs should consider the issues raised in step 2 when assessing each candidate for election or nomination.

In situations where it is more appropriate to appoint a leader, the search for a suitable person is critical and requires time and patience. It is also critical that the selected leader be involved in the search for a potential agro-based enterprise to act as a BASE (basic activity sustaining the enterprise) for economic development. This process requires time, patience, and interactive and intellectual inputs. The VEW can help the appointed FO leader in this process.

### ***Step 6. Developing an Organizational Structure for the FO***

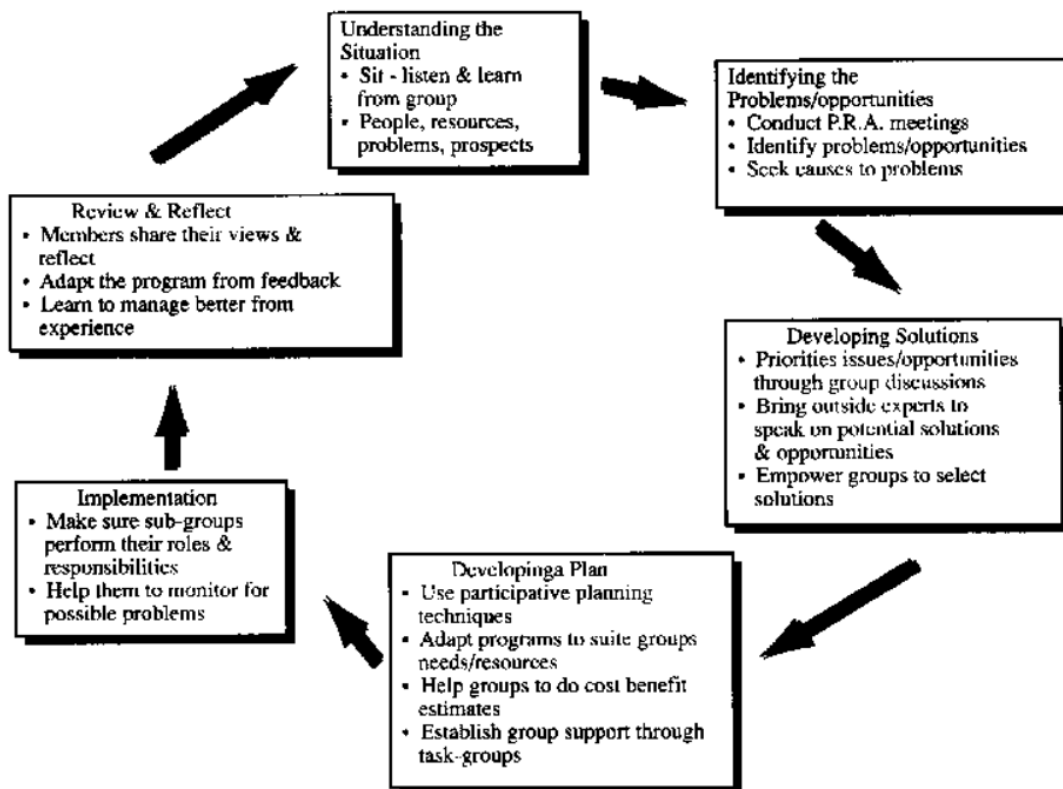
The VEW can help the core group of leaders in developing an organizational structure for their farmer organization. In the past, the "blueprint" approach was taken without understanding the function that the FOs structure plays in its performance. Group discussions help to highlight the need for careful planning. See Box 2 for details.

The structure should serve the organization's functions and goals. Understanding various types of FOs is useful. Should they be commodity-based organizations, cooperatives, partnerships, groups, or syndicates? Should they be multipurpose? Should there be one FO for the entire village or several to cater to the needs of special-interest groups (low-resource farmers, women, craftsmen, small businesses, and the like)? Should they have subgroups and an advisory committee? It is the farmers' organization, so they must go through the process explained in Box 2 and design it carefully by describing roles, responsibilities, rewards, and punishments for the people who perform tasks in the FO. At this stage, the VEW should, as far as possible, play a passive role

because the leaders are the ones who are building the FO. NGOs also may share their experience and help leaders to develop an organizational structure.

Several less exacting chores also need to be taken care of at this stage. These include locating premises and negotiating for land, money, technology, personnel, construction, and infrastructure services such as power lines and telephones (if available).

Figure 1. Detailed six-stage PAM planning cycle. Source: Chamala (1995a).



**Step 7. Developing the FO's Management through Education and Action Learning**

An essential part of community empowerment is to help educate the leaders and members in management principles covering planning, implementing, and monitoring their projects and programmes. The following empowerment methods may be useful:

- *Educating.* Organize formal and informal learning activities.
- *Leading.* Help the leaders to lead and to learn from their actions by reflection as a team.
- *Mentoring and supporting.* Help the members initially by mentoring or supporting them in their planning and implementation stages.
- *Providing.* Obtain the services of other stake holders, FOs, and VEWs in providing various services to nurture the FO in the early stages of development.
- *Structuring.* Help the FO to structure its meetings and various participative planning activities and to learn from their experience through reflection.
- *Actualizing.* Help them to reflect on the process of managing their FO. Learning by doing can help them in self-actualization.(For more details on empowerment, see Vogt and Murrell (1990).

### ***Step 8. Gearing up for Action***

In this step, FOs examine their action plans, and task groups are set up to mobilize human and financial resources. Understanding the participative action management (PAM) planning process is useful (for details see Chamala, 1995a). A detailed six-stage PAM planning cycle (Figure 1) can help FO leaders in designing an inclusive and participative planning process. This is the stage to start considering the timing, scale, and content of the extension and research input of the FO.

### ***Step 9. Implementing Selected Projects***

In this step, the village extension worker can help the FO leaders implement the projects they have chosen.

#### **The following process may be useful:**

- Start implementing the selected project(s).
- Secure resources and allocate tasks.
- Develop a calendar of activities to achieve the goal.



- Develop monitoring processes for reflecting on events and activities regularly, either formally or informally.
- Ask committee members to meet to discuss actions periodically and report to general members regularly to keep them informed and involved.

### *Step 10. Monitoring and Evaluating the FO's Progress*

Usually evaluation is done annually to meet formal requirements. But VEWs can encourage FOs to reflect on their activities more frequently so that they learn and improve their management skills. They need to watch for people who want to take over the FOs for their self-interest. It is important to take action against any negative influences. These monitoring or reflection processes help strengthen FOs and avoid self-defeating problems. Learning organizations are created through collective reflection and openness on financial and the other managerial matters (Senge, 1990).

The success of the farmer organization can be evaluated by measuring the increase in the members' productivity, the increase in their net income, and the net reduction in the cost of cultivation due to bulk purchases of inputs by the organization. It is essential to conduct monitoring and periodic evaluations.

### *How to strengthen existing FOs*

Many farmer organizations that go through a high activity phase become inactive or defunct over a period of time. This is a normal process for many groups or FOs. VEWs can help the community to understand the reasons and causes for decline.

By reviewing the literature on groups and management, Chamala (1995b) identified twenty-six factors that factors, (2) service agency factors, (3) community factors, and (4) other external factors.

VEWs need to understand the factors that influence group or organization effectiveness or success (see details in Box 3). Many FOs have failed because of corruption, mismanagement, conflict, and lack of clear goals. It is important that VEWs

understand these forces that influence their functioning. Several steps are suggested below to revive or revitalize existing FOs.

***Box 3. Factors Influencing Community Group Effectiveness.***

*Group (FO) Internal Factors.* At least ten factors are identified under this category:

1. Group composition
2. Group structure and size
3. Group atmosphere
4. Cohesion
5. Group standards and norms
6. Leadership styles
7. Balance between group maintenance needs, individual needs, and task needs
8. Level "group think" characteristics in the group
9. Development phase of the group
10. Group culture: empowering or controlling or a balance

*Service Agency Factors.* Government and nongovernment agencies can influence the effectiveness:

11. Technical capabilities of extension staff
12. Staff's "people skills" in managing groups
13. Staff attitudes and commitment to groups
14. Types of planning methods used: directive or participative, top-down or bottom-up, or balance of methods to maximize participation
15. Means or ends distinction: some groups are formed as means for development, while others are formed to harvest government subsidies. A group could get help, but it needs to mobilize its resources too.
16. Support for field extension officers

*Community Factors.* Groups and organizations are part of the community in which they exist. Hence the community influences a group's success.



### ***Step 1. Understanding the Village Community and Gaining Their Trust***

This step is similar to step 1 for establishing farmer organizations. The key factor here is for the VEW to gain the community's trust in order to help them develop.

### ***Step 2. Talking to Leaders about Why FOs Are Less Active***

Getting the multiple perspectives of identified leaders in the community informally is the next step. Putting pieces of the jigsaw puzzle together to understand why FOs are inactive requires diplomatic and detecting skills. The historical perspective of the FOs and various local factors that influenced their inaction must be obtained. The factors influencing community group effectiveness (Box 3) can be used as a guideline by selecting the relevant factors and ignoring the irrelevant ones.

### ***Step 3. Seeking Ideas on Strengthening and Revitalizing Community FOs***

Again, VEWs can talk to key leaders and seek their ideas on how to strengthen or revitalize the existing FOs or how to create new ones. It is the community's organization for their development, so the leaders' opinions and support should be obtained.

### ***Step 4. Encouraging Local Leaders to Call Community Meetings***

The VEW can help the leaders in setting up a community meeting to strengthen FOs or to form a new one.

The VEW can unobtrusively provide the format and make suggestions on how to conduct meetings and how to strengthen FOs.

### ***Step 5. Establishing a Core Group of Leaders to Draft a Proposal***

A core group of leaders or a steering committee will further deliberate, using the suggestions made by the members to design and develop a strategy to strengthen or revive the farmer organization.

### ***Step 6. Getting Comments on and Community Endorsement of the Strategy***

Leaders should be careful not to let the meetings and the community mood for "head hunting" or "apportioning the blame for the FO's inefficiency" to take control.

It is necessary to guide the community in a positive direction to develop working strategies. Several methods are available, such as SWOT (strengths, weaknesses, opportunities, and threats) analysis, prioritizing, and action-planning methods. See Chamala and Mortiss (1990) and Carman and Keith (1994) for techniques on participative planning and community consultation.

Useful procedures are outlined in steps 7 to 10 in the section on establishing farmer organizations. It is important to help the community to understand that it is in everybody's interest to strengthen FOs with win-win strategies. Helping them to see beyond petty politics and personal jealousies and to develop inclusive principles for development is one of the main roles for extension personnel. Acquiring facilitation skills is important.

#### ***Policy issues in establishing and strengthening farmer organizations***

Several macro-level policy issues influence the establishment of farmer organizations. Some were discussed earlier, but two issues need clarification and discussion (see also Korten, 1989; Esmann & Uphoff, 1984; Burkey, 1993; Garforth, 1993).

#### ***Increased Demand for Services***

Will strong farmer organizations create more demand for services, and if so, how can this issue be resolved? Some policy makers believe that strong farmer organizations could create more demand on research and extension. This is partly true, but if the overall policy framework emphasizes empowerment, self-help, or user-pay systems, then more local resources could be mobilized and help increase the correct way of using current natural resources on a sustainable basis. Several low-resource farmer groups working with other stakeholders like banks, agribusiness, NGOs, private consultants,





and religious and philanthropic agencies will bring more resources to the development process. Retired professional teachers, nurses, and agricultural extension workers could be encouraged to work as volunteers with FOs. In many developed countries, volunteers are a major force in providing services to the community.

### *Competition for Services*

Will organized low-resource farmers compete for extension services with the existing commercial farm sector, and if so, how can this issue be resolved? In principle, farmer organizations with full empowerment reduce the pressure on "routine extension" activities, which take up a lot of the VEW's time. For example, "Landcare" groups in Australia and some successful FOs in Malaysia, the Philippine, Thailand, India, and Africa are helping other farmer groups or farmer organizations to be effective not for egalitarian or welfare reasons, but because they see that the commercial sector is dependent on low-resource farmers or upland farmers in solving their salting, erosion, water quality, and pest and weed management problems. Ecologically, the commercial sector is dependent on resource-poor or other minority tribes and groups for their survival. Just as in farmer-to-farmer extension methods, VEWs should help link the commercial sector with the low-resource farm sector so that win-win projects can be developed.

Similarly, the commercial sector needs peace and prosperity to avoid social unrest and to stop thefts and other problems. VEWs can play a positive role in developing a common or shared vision for sustainable development. Again, several techniques like future research, problem census, and SWOT analysis will help develop a shared vision for the commercial sector as well as the low-resource farming sector or minority groups. Collective action is crucial for survival and sustainable development. Community organization is essential for rural development. One should not take a blueprint approach, but rather a learning-process approach within an action-learning framework.

### **2.13.Let us Sum up**

The operative and cooperative skills and processes formed important component of teamwork. The systematic approach in getting work done while working with others will help to have common method and vision of the given task. Whenever people work together they use two types of skills relating to task and process. As process influences task results people need to have the skills in the same and to be aware of these in others. Processes such as supportive development of ideas, listening, the way feedback is received and given and the method reviewing will have a bearing on the developing teamwork among the people. In this context, what is also more important is awareness of identification and use of one own skills as well as others, which influences critically the task results.



## Unit-3

# Leadership Development

## Structures

- 3.0. Objectives
- 3.1. Introduction
- 3.2. Understanding Leadership
- 3.3. Leadership Functions
- 3.4. Theories of Leadership
- 3.5. Leadership Patterns in Various Participating Organizations
- 3.6. Develop a mission / goal for the group
- 3.7. Let us sum up

### 3.0. Objective

*After going through this unit, you will be able to:*

- understand the concept of leadership
- recognize various styles of leadership
- understand bases of power and spheres of influence
- understand how leaders of various organizations are influenced by their organizational context
- develop your leadership abilities
- understand leadership functions in participative group management.

### 3.1. Introduction

Leadership has been described as “a process of social influence in which one person can enlist the aid and support the others in the accomplishment of a common task. Leadership is "organizing a group of people to achieve a common goal". The leader

may or may not have any formal authority. Students of leadership have produced theories involving traits,[2] situational interaction, function, behavior, power, vision and values,[3] charisma, and intelligence, among others. Somebody whom people follow: somebody who guides or directs others. Eg., contact farmers/adarsha raithu/model farmers/Extension worker.

To be an effective leader, you need to understand and develop skills for performing various roles in your group. several of these skills are dealt with in detail in other chapters. This chapter explores various aspects of leadership- its theory, styles and functions.

Several community-initiated projects have come to a grinding halt owing to a lack of leadership and other management skills. Many local leaders have the best of intentions for solving environmental problems in their community and initiate a project only to see it fail through poor leadership. Sometimes they have an outdated philosophy of management which does not sit comfortably with volunteer members of government and non-government agencies. Ideas about leadership have changed considerably, and the expectations of groups and communities are changing also. As people become better educated they become more articulate and no longer respond to authoritative styles of leadership in every situation. There is a need and also a demand for community involvement in decision-making. Participative styles of management are needed when addressing the complex problems that land and water management groups have to solve.

Most members of land and water management groups will need to develop these and other leadership skills. Leaders perform various roles such as planning and implementing, evaluating, monitoring, controlling, motivating, managing conflicts, organizing task groups, mobilizing human and financial resources, and above all, setting an example to the group.

Source: Chamala Shankaraiah, Developing Leadership Skills, Australia, Academic Press Pvt. Ltd., 1990



### 3.2. Understanding Leadership

While most people already have their own idea of what leadership is, it is in fact a political concept. Attempts to define leadership therefore often generate strong personal reactions. Australians are ambivalent towards leaders. We recognize that leadership is necessary for efficiency, but because of our egalitarian tradition, we are uncomfortable with any suggestion of superiority (1).

In Australian rural communities, leadership has often been exercised by just a few people. For example, the Shire Chairman and the presidents of local groups would all probably be leaders in three or four different organizations. However, as a society becomes more complex, there is a need for more specialized leadership spread among a greater number of individuals and organizations.

There are a number of major theories about leadership. Each focuses on a different aspect of human behaviour, and provides useful insights into what makes a good leader.

Leadership is sometimes viewed as headship, as in a formal position such as that of chairperson, director, or politician. A person who lacks leadership skills may still be appointed to such a position. In due course, this person may be replaced by new leaders if he/she does not learn to exercise the functions of leadership in such a way as to satisfy the needs of the group or the community. While government officers or corporation staff are usually termed “managers”, and people elected from the community are labeled “leaders”, both positions involve leadership and management functions.

Leadership has been defined as “the process of influencing the activities of an individual or a group in efforts towards the achievement of goals in a given situation” (2). The source of influence may be formal, or informal. Leaders can emerge from within a group as well as being formally appointed.

Although we all start with different amounts of natural talent, leadership is a learned behaviour. The skills involved can be acquired. Leaders are not born, they are made. Each person is a potential leader. As in any other field of endeavour, such as cricket, medicine or farming, natural abilities can be developed through study and practice. Many of today's prominent leaders in the rural community began as inexperienced members of community groups.

## Give a lead in rescuing the future

### 3.3. Leadership Functions

Each member of a participative action group will be performing one or more leadership functions. These functions are related to the three needs of any group and can be categorized under the headings shown below



**LEADERSHIP FUNCTIONS**

The functions that land care group leaders perform toward achieving the group task are:

- inspiring the group and the community with a well-informed vision for a better future based on long-term sustainable use of land and water resources
- setting an example in what they say and what they do to help make that vision a reality
- scanning various information sources to form an idea of the threats and opportunities ahead for the group, and the strengths and weaknesses of the group in dealing with them.



- developing a comprehensive database to assist the group in participative decision-making coordinating the contributions of the leadership roles of various government and non-government agencies
- initiating action
- keeping members' attention on goals clarifying issues
- developing a procedural plan with the participation of the rest of the group
- helping decide who does what, when, where and how through participative planning methods
- motivating group and community members by both transactional methods (i.e. by exchanging benefits) and transformational methods (i.e., by making members aware of new priorities)
- mobilizing the human and financial resources necessary for projects IJ monitoring progress
- helping solve problems and seize opportunities as they emerge.

The functions that leaders in participative action groups perform for group maintenance and individual needs maintenance are:

- maintaining good working relationships with the other group members, and with key individuals and organizations outside the group
- keeping interpersonal relations pleasant
- providing encouragement
- giving minorities a chance to be heard
- stimulating self-direction and self-development
- increasing the interdependency among members
- giving due recognition to people and agencies
- managing conflicts of needs and values
- following a definite program of developing leadership skills and qualities in other group members.

The social style of leaders must be participative and group-centred. The degree and type of leadership action must be appropriate to the situation and to the maturity of the group.

### *Self-leadership*

Self-leadership is a process that occurs within an individual, rather than an external act. It is an expression of who we are as people

### *Bases of Power*

Why is it that we are able to influence people ? And why do some people have more power of influence than others? Research has revealed that there are in fact five bases of this influence (3).

1. **Reward Power** : In some situations, people have the ability to give out money, promotions, recognition or resources and they use this to influence others. Not everyone can offer these material rewards, but everybody has the ability to give praise and support.
2. **Coercive Power** : People who have the ability to punish those who do not comply with their wishes have coercive power. This power may be based on a formal position, as with police, employers, or supervisors, or it can stem from the Working Together For Land Care ability to withhold such things as custom, recognition, or service It can also be based on the exertion of other pressures such as harassment or social censure.
3. **Legitimate Power** : This stems from internalized values which recognize that particular people, because of their position, -have the legitimate right to influence others. If legitimate power is used outside its recognized sphere, there will be a decrease in the legitimate power of the person exercising it. In other words, leaders who abuse power will be rejected in the long run.
4. **Referent Power** : This is based on the desire to identify and be closely associated with a person or group. The “reference group” is a concept which has emerged from the recognition of this power. Any person or group that people look up to and follow has referent power.





5. **Knowledge Power** : Sometimes called “expert power”. this results from the perception that a person knows more than oneself about certain things. The range of expert power is limited to particular areas of knowledge.

A sixth source of power is “people power”. By organizing into groups. a once loosely--knit community can acquire new strength and power. If these groups join at catchments, regional and national level, this will further increase and extend their influence. The participative action model provides a basis for building sustainable community groups.

These sources of power are interrelated and are found in everyone in every community, in varying degrees. The practical implication of understanding this concept is that you can increase your or community power in any of these areas except legitimate power, although this too may be acquired as a result of an overall increase in power. Leaders need to recharge their power bases periodically by gaining new knowledge and skills.

### *Spheres of Influences*

In our society, different leaders influence different spheres of activity. Some will be opinion-leaders on only one topic (monomorphic leaders); others will be opinion-leaders on a variety of topics (polymorphic leaders). It is important to understand in which area/s of knowledge an individual commands trust, respect and credibility. (An effective operational leader uses the different kinds of opinion-leaders for their various specialized skills).

Another facet of influence is that of its geographical extent. A leader may be influential at a district, shire, region, state, national or even international level.

In other words, the influence of a leader can be specific to a topic or to a geographic region. The group can benefit from an understanding of the spheres of influence of various leaders and by networking with them.

### 3.4. Theories of Leadership

The phenomenon of leadership has fascinated people since the earliest times. More recently, sociologists, psychologists, political scientists and historians have put forward a number of theories on leadership. A brief summary of the more important theories is given below, to provide an understanding of leadership behaviour.

#### *Trait Theory (Great Man Theory)*

According to this school of thought, leadership is rooted in biology. Researchers mainly focus on isolating physical and psychological qualities of leaders such as height, strength, body type, enthusiasm, intelligence, self-confidence, decisiveness, bravery and charisma. Some of those who support the trait theory believe that leaders are born, not made, while others take the view that everyone can lead, but he or she will lead differently. The most popular interpretation of this view is the leadership development philosophy based on the Myers-Briggs Type Indicator (MBTI), a long-established personality assessment questionnaire. Using the MBTI supposedly allows people to discover and nurture their own leadership traits as well as understand and relate effectively to other leaders of differing types.

The trait approach basically states that you either have it or you don't, and the "right" person will be selected to fill formal positions. Some behavioural scientists however, have focused more on the behaviour of effective leaders. Maybe there is something unique about leadership behaviour, e.g. is it more democratic than Working Together For Land Care autocratic? This approach has been seen as more useful than the trait theory as it may provide more definitive answers on effective leadership, and suggests that people can be trained as leaders.



## *Contingency Theories*

### *(Leadership dependent or contingent on many factors)*

Over time, researchers have realized that the process of successfully predicting leadership is much more complex than simply isolating a few traits or preferable behaviours. Instead, they focus on situational influences. As the situation changes so should the styles and roles of leadership. One of the most basic mistakes a leader can make is to use the same leadership approach in all situations.

Two major approaches stem from contingency theory – that of styles and roles, and that of situational leadership.

### *Opinion leadership*

Our Opinion leadership concept we use for contact farmers is a type of contingent leadership theory. Opinion leadership is a concept that arises out of the theory of two-step flow of communication propounded by Paul Lazarsfeld and Elihu Katz[1] Significant developers of the theory have been Robert K. Merton, C. Wright Mills and Bernard Berelson.[2] This theory is one of several models that try to explain the diffusion of innovations, ideas, or commercial products.

The opinion leader is the agent who is an active media user and who interprets the meaning of media messages or content for lower-end media users. Typically the opinion leader is held in high esteem by those who accept his or her opinions. Merton [3] distinguishes two types of opinion leadership: monomorphic and polymorphic. Typically, opinion leadership is viewed as a monomorphic, domain-specific measure of individual differences, that is, a person that is an opinion leader in one field may be a follower in another field.[4][5] An example of a monomorphic opinion leader in the field of computer technology, might be a neighborhood computer service technician. The technician has access to far more information on this topic than the average consumer and has the requisite background to understand the information, though the same person might be a follower at another field (for example sports) and ask others for

advice. In contrast, polymorphic opinion leaders are able to influence others in a broad range of domains. Variants of polymorphic opinion leadership include market mavenism,[6] personality strength [7] and generalized opinion leadership.[8] So far, there is little consensus as to the degree these concept operationalize the same or simply related constructs.[9]

In his article "The Two Step Flow of Communication" by Elihu Katz,[10] he found opinion leaders to have more influence on people's opinions, actions, and behaviors than the media. Opinion leaders are seen to have more influence than the media for a number of reasons. Opinion leaders are seen as trustworthy and non-purposive. People do not feel they are being tricked into thinking a certain way about something from someone they know. However, the media can be seen as forcing a concept on the public and therefore less influential. While the media can act as a reinforcing agent, opinion leaders have a more changing or determining role in an individual's opinion or action.

In his article, Elihu Katz [1] answers the question, "Who is an opinion leader?" One or more of these factors make noteworthy opinion leaders:

expression of values

professional competence

nature of his social network.

Opinion leaders are individuals who obtain more media coverage than others and are especially educated on a certain issue. They seek the acceptance of others and are especially motivated to enhance their social status.[11] In the jargon of public relations, they are called thought leaders.

In a strategic attempt to engage the public in environmental issues and his nonprofit, The Climate Project, Al Gore utilized the concept of opinion leaders. Gore found opinion leaders by recruiting individuals who were educated on environmental issues and saw themselves as influential in their community and amongst their friends



and family. From there, he trained the opinion leaders on the information he wanted them to spread and enabled them to influence their communities. By using opinion leaders, Gore was able to educate and influence many Americans to take notice of climate change and change their actions.

**The Styles and Roles Approach:** This approach analyses the leadership roles and behavioural styles of successful leaders. It acknowledges that group situations are often different, and emphasizes the need for flexibility in styles and roles. A person must play many roles and employ different styles in order to be an effective leader.

The leadership function moves around in a group depending upon who is doing what. For example, one person might lead in the initiation of a group task. Another may assume leadership by offering information. Yet another member may move into the lead by including everyone in the discussion. Leadership is dynamic and situational, requiring different skills and knowledge as a group progresses towards its goals.

Some researchers (4) have identified five major leadership roles: the Activator, the Controller, the Martyr, the Cavalier and the Abdicator. These roles can be described with regard to the degree of flexibility and of activity they exhibit.

**The Activator :** When a person plays the part of an activator, the chosen behaviour style is active and flexible. He/she is interested in involving other members of the group in a problem or situation and shares the decision-making process, operating on the principle that “People support what they help create”. The activator style also incorporates initiating, assimilating, reinforcing and solidifying functions.

**The Controller :** When a leader plays this role, the source of power comes from rewards and punishments. He/she attempts to frighten the group into action and the leadership behaviour is rigid but active. This rigidity comes from his/her role expectations. The controller style incorporates regimentation, judgmental behaviour, and giving rewards and punishments.

**The Martyr :** In this role, the leader attempts to induce guilt feelings in the followers. Martyrs try to impose their own values and policies on everyone. Rules may become an end in themselves, rather than a means to an end. Martyrs have a behaviour style which is primarily passive, but they can become very active in enforcing their own norms. Over-working themselves and seeking pity are other aspects of the martyr role.

**The Cavalier:** In this role, the leader wins group support through fun and games. The behavioural style varies between active and passive and has too much flexibility. The leader tries to entertain, avoids judgment, and seeks approval. There is an element of larrikanism in his/her behaviour.

**The Abdicator :** The abdicator avoids responsibility, postpones action, takes no risks, and often withdraws from the group. The style is passive and usually rigid, but it can be flexible on occasion. He/she manipulates every situation so that others take on responsibilities and get the blame when things go wrong.

While the activator role is usually the appropriate one in participative action groups, each of the other roles can be usefully adopted in certain situations.

Leadership can be exercised in a variety of social styles. Four such styles – Analytical, Amiable, Expressive and Driver – can be represented by using two dimensions of behaviour, assertiveness and responsiveness (5). You should bear in mind that these styles are neither good nor bad, just different. People of each type have achieved impressive successes in both leadership and supportive roles.

**Analytical style :** People with an analytical social style combine a high level of emotional self-control with a low level of assertiveness. They tend to take a precise, deliberate, systematic approach to their work. They gather and evaluate much data before acting. People with this style are generally hardworking, objective and well-organized. When their strengths are over-extended, however, they can be inflexible and given to ‘nit-picking’. Their preferred fall-back behaviour is avoidance.



**Amiable style :** Persons who have an amiable social style combine higher-than-average responsiveness with a comparatively low level of assertiveness. They tend to be highly sensitive and sympathetic to the needs of others. Their trust in other people may bring out the best in the people with whom they mix. Extremes of this style give rise to conformist and permissive behaviour. Amiable people fall back to an acquiescing position.

**Expressive style :** Persons with an expressive social style are the most flamboyant, having a high level of assertiveness integrated with much emotional expression. They tend to look at the broad picture and take a fresh, novel approach to problems. They are willing to take risks in order to realize their goals. Their love of fun, use of humour and spontaneous ways often lift the morale of their coworkers. Their ability to charm, persuade, excite and inspire people with a vision of the future can be a strong motivating force. When unrestrained, people with this style can be over-bearing and pursue unrealistic goals. Their back-up strategy is to attack.

**Driver style :** Persons with driver social style blend a high level of emotional self-control with a high degree of assertiveness. They are task-oriented, know exactly what they want, and express themselves clearly. They are competitive, willing to take calculated risks and are valued for their ability to get things done. Drivers, when over-extended, can become domineering and unfeeling. Their back-up strategy is autocratic.

The group should capitalize on the strengths of each social style exercised by various members, and develop strategies to minimize the damage caused by any weaknesses.

**Situational Leadership Theory :** This is based on the idea that leadership style should vary with the maturity of the group (2). It means that task behaviour and relationship behaviour, two critical dimensions of leadership, should change with the level of group development. For example, in a group of competent and experienced professionals, the leader will need to give very little direction in structuring the group task, and members will probably be skilled in maintaining good working relationships. On the other hand,

if most people in the group are new to the task and to the group, the leader must give a lot of direction on how the task is to be done, and spend time fostering relationships.

In situational leadership theory, maturity is defined as: the capacity of an individual or group to set high, but attainable, goals (achievement-motivation); a willingness and ability to take responsibility; and a degree of education and/or experience. Groups and individuals tend to have varying degrees of maturity, depending on the specific task they are attempting to accomplish. A group member may, for example, be highly competent in carrying out on-ground work, but require considerable help in formulating written proposals for projects.

Figure 4.4 shows how leadership style changes according to the level of maturity. In any group, the leader must help achieve the common goal (task) and at the same time maintain appropriate relationships with fellow members. His/her style changes according to the level of maturity in the group. If the level is low, “telling” is the major style. As maturity increases, it changes first to “selling”, then to “participating” and finally, when maturity attains a high level, to “delegating”. Effective group leaders know their members well and adapt their own style to the ever-changing abilities of the members, and to the demands of the leadership role.

### *Organisational Theory*

According to this theory, leadership is a function of position and role in a hierarchical organization. Some writers make a distinction between Managing and Leading. To manage means “to bring about, to accomplish, to have charge of or responsibility for, to conduct”. Leading is “influencing, guiding in direction, course, action, opinion” (6). The distinction is crucial. Managers are people who do things right, whereas leaders are people who do the right thing. Leadership in this view refers to the head of some group or organization.



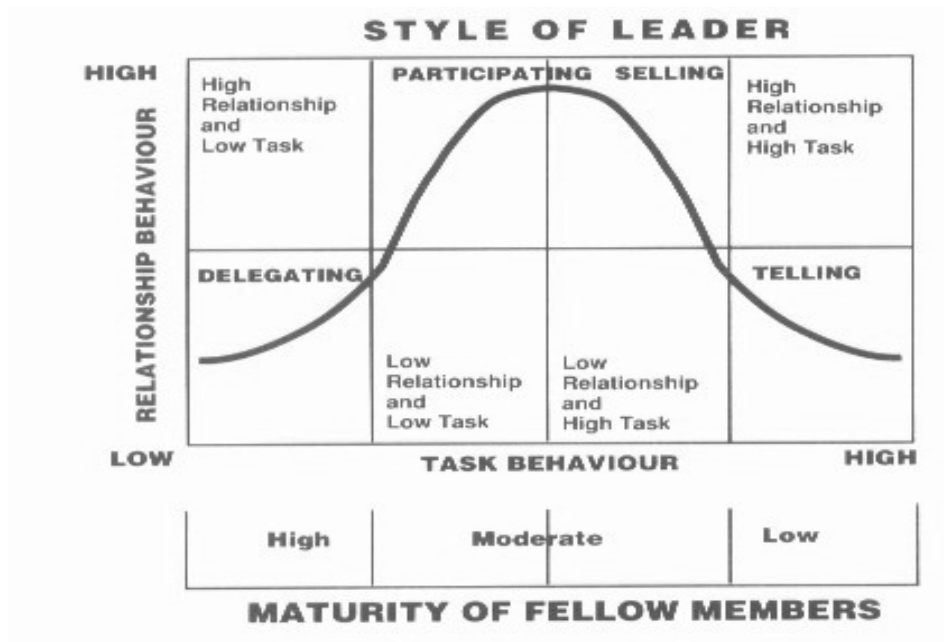


Fig. How Leadership style changes with the level of maturity of the group

Any organization can usually be identified as having three distinct levels of management in terms of their roles and authorities (7). Corporate managers are concerned with the total operation of an entire organization or a division. Executive management is concerned with only part of the management function. Operating management is concerned with carrying out specific functional tasks in accordance with prior schedules developed by superiors. Managing involves delegating while operating means doing. As one moves up in the organization, the managing function increases and the operating function decreases.

**Power Theory**

Leadership as power involves the ability to make something happen to satisfy individual, group or task needs. It means being able to make a difference, e.g., getting something done or influencing the direction the group takes.

According to one view, this power emanates from positional power (a symbolic position such as President, Director etc.) or operational power (by people who get things done without any formal position). We all know people who passively occupy positions

of authority while others without any formal position are able to achieve impressive results. In other words, operational leaders using non-positional power bases can exert more impact than passive symbolic leaders.

A second type of power theory focuses more on empowerment of followers or fellow members than on accomplishing the will of the leader. Empowerment is the process/method in which people are actively encouraged to take responsibility for their actions. This process enables them to take charge rather than search for a magical leader to solve their own or community problem. Empowered members of the group/community help select projects, implement programs and monitor progress.

Leadership, according to this view, empowers people to do their own work. The leaders create structures and follow policies are followed. The focus is on the marshalling of resources so that people can get things done. Empowering leadership uses skills such as organizing, team building, problem solving and conflict resolution (“people skills”). Empowerment also involves raising awareness and increasing the knowledge and skills of followers and fellow group members. As people become empowered, a leader can first delegate some tasks to them, and may finally give over the entire project, including the leadership, to them. Empowerment is seen both as an end (democratic right) and a means (participative processes) for human action (8).

### *Vision Theory*

According to this theory, the critical ingredient in leadership is vision. Leaders scan current trends and future threats and opportunities, then engage in strategic redirection of people/groups towards a desired future (9). Such vision is clearly communicated by the leaders, who from time to time are able to inspire their fellow citizens to strive for new national goals. Strategic management methods (briefly discussed in Chapter 2 under the title: “Things to consider in managing participative action groups”) are designed to attain skills in this type of leadership. They are methods for increasing “vision”.



### *Ethical Assessment Theory*

Leadership, in this view, is inherently ethical. The view is that ethics is at the centre of every human action, and hence, at the centre of leadership (9), (10). Some argue that leadership must be ethical on two counts: in the character of leader-follower relationships and in the leadership's vision of human needs.

This means that a leader must engage in dialogue and conflict with followers, recognizing that they too have the right to influence events. The person who simply imposes his/her will on followers is a tyrant, not a leader. A leader also takes followers up the hierarchy of human needs, while a tyrant drags them further down the hierarchy.

Very few psychological theories of motivation discuss the role of spiritual needs or ethical issues in leadership, but the human search for meaning in existence draws people to assess the world, and the decisions and actions in which they become involved, in moral terms. Ethical dilemmas emerge, along with competing needs and values, e.g. private property rights vs. the public interest, present need vs. future need.

Thus, the ethical leader must not only be able to exert leadership in a moral way, but be visionary and able to focus followers' concerns on fair and just solutions which promote the good of the community.

### *Developing a Leadership Framework Using All these Theories*

Human action is generally a complex process, and leadership is a part of human action. Such action goes beyond any one aspect of leadership as described in each of the theories above. Thus no one theory on its own is adequate to explain leadership.

According to one writer "Leadership is grounded in traits, yet required skills are not exhausted by traits. Leadership is sensitive to shifting situations, yet it recognizes complexities beyond situational theory's reach. Leadership is shaped by roles and position, yet is greater than any organization hierarchy. Leadership is activated by power, yet challenges the primacy of power. Leadership is driven by vision, yet is not

satisfied with just any direction. Leadership is ethical, yet always tempered by an awareness of existence, ambiguities and unforeseen consequences” (6). Leadership empowers human beings to claim ultimate fulfillment.

This view holds that the six significant features of leadership that the various theories emphasize can be combined to form a framing tool to shape leadership action. According to this approach, every leader must have a mission and inspire others to strive towards a commonly-owned vision of a desired future. He/she must develop/work through structures (organizations) relevant to existing resources, and use the various types of power to achieve goals. The degree of fulfillment of goals in each situation is limited by the leader’s abilities (natural talents and acquired leadership skills) and by the degree to which she/he can convince others of the ethical value and higher meaning of their efforts.

Guidelines for developing leadership functions which can be utilized within this framework are provided later in this chapter.

### *Transactional or Transformational Leadership*

Common to all leadership theories is some description of how leaders motivate others. In Chapter 9, motivation was discussed in detail. A major part of influencing people (leadership) is satisfying their needs. Human needs are the basis for transactions in which the leader and the followers exchange certain things (material and non-material).

Transactional leaders approach others with a view to exchanging one thing for another, such as jobs for votes, or recognition for services etc.

Transformational leaders motivate their followers, not by exchanging goods, but by sharply arousing or altering the strength of needs that may have lain dormant, e.g., higher order needs for self-actualization. Key skills include being able to crystallise community thinking and communicate action strategies persuasively to significant individuals and groups.



*Transformation can be achieved in three ways :*

1. by raising the level of awareness in people
2. by getting people to transcend their own self-interest for the sake of the team, country etc.
3. altering the need level on Maslow's hierarchy, or expanding the portfolio of needs and wants (I).

### **3.5. Leadership Patterns in Various Participating Organizations**

Studying the theoretical basis of leadership gives an insight into the process, function, styles and the general orientation of leadership. However we need to understand leadership patterns in various government and non-government organizations to appreciate the context in which participative groups operate. Community groups need to collaborate and network with numerous other organizations. The types of leadership in all these agencies can be grouped into these categories:

- ❖ Political leadership pattern
- ❖ Leadership pattern in research/educational and service agencies
- ❖ Environmental/conservation movement leadership pattern
- ❖ Business/industry leadership pattern.

The styles, roles and effectiveness of land care (soil and water management) group leaders are influenced by the other organisational leaders with which they work. This is shown in the figure-3.

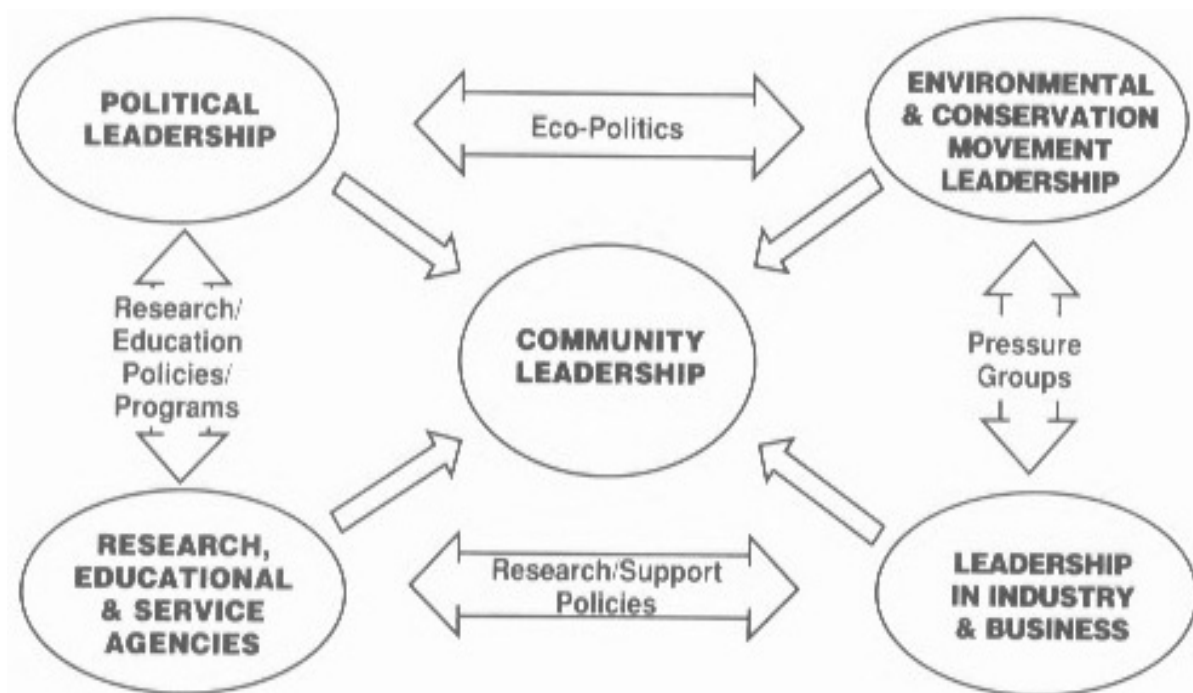


Fig-3: Interaction of various leadership function influencing the evolution of a community leadership pattern.

Figure-3 is based on the systems approach, which is explained in detail later in this chapter. The systems approach is one way of understanding people and groups, and their behaviour in social and organisational contexts.

The diagram indicates the interactions between the leadership of major categories of organizations and between the leadership of these organizations and that of a community group. These interactions include: eco-politics; pressure groups; research/support policies; and research/education policies and programs.

All of the organizations involved have a stake in the management of land and water resources for sustainable production. In any given situation, a community group could find itself interacting with a score of these agencies, groups or institutions. Leadership in seven types of these organizations is discussed below.



### *Leadership in local government*

Local government is the closest level of government to the people, with an immense impact on the day-to-day life of the community. It can play a vital and active role in land and water management.

Local government organizations are driven by community concerns. Both their professional staff and local councillors are under pressure to respond to local needs and the demands of interest groups because politicians and staff live within the constituency and have more face-to-face contact with the public than at higher levels of government. Leaders in local government, unlike those at state and federal level, are often affected directly and immediately, in their own business or occupation by local government policies. They feel, or at least can be easily shown, the results of these policies as much as the rest of the electorate. For these reasons they are generally more accountable to rural constituencies.

Of course, federal government and state governments are also responsive to local needs, voiced by means of indirect political processes, either through elected representatives or through lobbying. But the interests guiding the decisions of federal and state authorities are bound to diverge sometimes from local interests. Thus one may speak of their responsiveness more readily than accountability.

Local government organizations have a direct and immediate stake in promoting the sustainable use of land, water and vegetation resources. Through their involvement in numerous and diverse rural development activities, they have a number of resources at their disposal. Some members of landcare groups may also be councillors in local government. They can play a key role in organizing the sharing of staff services, machinery and material with these community groups. This may result in savings to other development efforts by the shire.

Some local government leaders may also belong to producer organizations or service clubs as well as landcare groups. It is important for group members to

understand the spheres of influence of these leaders so that the group can develop its “coordinating and cooperating” role for local action. These leaders are needed as active partners in participative groups.

Local political leaders are involved in several types of competition for the rewards of *office*. Respect, the opportunity for service, community influence, and a step toward future opportunities, are all regarded as more or less legitimate returns on a leader’s efforts and costs. Established leaders and emerging leaders compete with each other for power at the local level, and sometimes with other leaders at state and federal level. The emergence of a new force on the local scene in the form of a new participative group will be watched by existing and aspiring leaders of local government with great interest.

Like that of other leaders, the behaviour of local government leaders is influenced by a number of other factors, such as occupation, age, economic status, political aspirations, and degree of identification with the electorate.

Leaders of local government organizations (both elected members and professionals such as shire clerks and engineers) can play a crucial role in land and water management projects. Landcare group leaders must harness the strength of local government to help their cause. If they lack the skills to do this, local government strength could become a frustrating hindrance to their efforts in carrying out new community projects.

### ***Leadership in Primary Producers’ Organizations***

Primary producers in Australia have a long tradition of forming groups and associations. A number of state organizations, with grass-roots structures at shire/regional level based on a particular industry, have served the needs of farmers for a number of years.

In 1979 the National Farmers Federation was formed. The federation is comprised of 21 affiliated organizations, representing each of the major farming industries. It is the





voice of the nation's 170,000 primary producers (14). Commodity Councils give representation to specific industries, thus giving farmers a direct say over policy-making for their industry.

The NFF aims to give Australian farmers, and the issues important to them, a high political profile. Priority areas include representations to help shape policy on budget matters, federal economic strategies, trade, drought aid, transport, fuel, rural research, and increasingly, conservation and resource management.

The NFF lobbies political figures, maintains contact with government agencies, and informs the general community about rural matters through the national media and other publications. It keeps its members informed of issues and activities through a monthly newsletter, circulars and personal contact. It also publishes and circulates occasional papers on specially-researched subjects.

Based in Canberra, the NEF maintains a full-time secretariat staffed by professional officers with secretarial support. Through its affiliates, it has proved an effective body for channeling concerns from the grass-roots upwards to state and national level. Through its membership, it has linkages with major political parties. In some states, these links are very close indeed. In addition, many of its members also serve on funding bodies for research and development. Thus, the NFF's sphere of influence goes well beyond producer associations.

In recent years, the National Farmers Federation (NFF) has taken a pro-active approach to improving land and water management as a part of maintaining sustainable primary production. To this end, it has been very active in educating primary producers and the general community, in political lobbying and in shaping government policies. The NFF had a major part, together with the ACF, in formulating the land care program. The contribution that these two bodies, working together, were able to make to resource management policy, is truly historic. That they could do this after years of being at

loggerheads on numerous counts, is evidence of the high level of leadership skills in both organizations and the federal government.

### ***Leadership in Participative Action Groups***

One of the major advantages of working in participative groups is the opportunity they offer for human resource development. Groups should put effort into helping individuals develop their knowledge, skills and abilities for managing other resources such as land, labour, capital and market opportunities. Any efforts in this direction will help the group achieve its goal of efficiently managing soil and water resources.

The leadership pattern in community action groups must be participative in style and function. Leaders of groups will be working with other personnel in several leadership functions in a variety of organizations. The role of any participative action group will evolve over a period of time and several external and internal factors will influence its evolution (see Chapter 5, on rules, roles and responsibilities, especially Figure 5.2 and Table 5.2). The following guidelines will help community leaders to work with groups.

***Use an integrated systems approach to understand people and groups and their organisational/social context.***

The dynamic nature of human relationships creates a major problem in working with people individually and in groups. Because relationships are constantly changing, a static description is often out-of-date and dangerous as a guide to action.

The systems approach considers every social unit (individual, family, agency, political party, community, etc.) as a system, that is, a whole, made up of interrelated and interdependent parts (16). A change in one part will cause a compensating change in the others.

A system works through exchanging information and energy with its environment. It has two tasks, to maintain itself internally by keeping its parts in balance, and to perform the function it was designed for, by interacting with its environment. Thus every vital system is part of a larger system. If too much energy goes into maintaining internal relationships, or if the system becomes closed off from new sources of energy and information, its output is limited.

*The systems approach helps you to :*

- take a unified view of the interlocking components, to evaluate the relationships within the system, and to predict how they will be affected by change within any one part of the whole
- understand what elements strive to maintain the status quo as well as those which are oriented towards activity and change
- pinpoint crucial points where intervention is most likely to bring about the desired change
- determine the type and method of action to be used
- predict probable results of action on each level (16).
- *You can make practical use of the systems approach by asking yourself three questions :*
- What are the boundaries of the system or systems with which you are working ?
- What are the patterns and channels of communication both within the individual system under consideration, and among the related external systems?
- What are the rules (explicit) or norms (implicit) that govern the relationship among parts (both internally and externally) particularly with respect to inputs (openness to new ideas or materials), processing (working with ideas or materials) and output (results of this work or feedback)? (16).

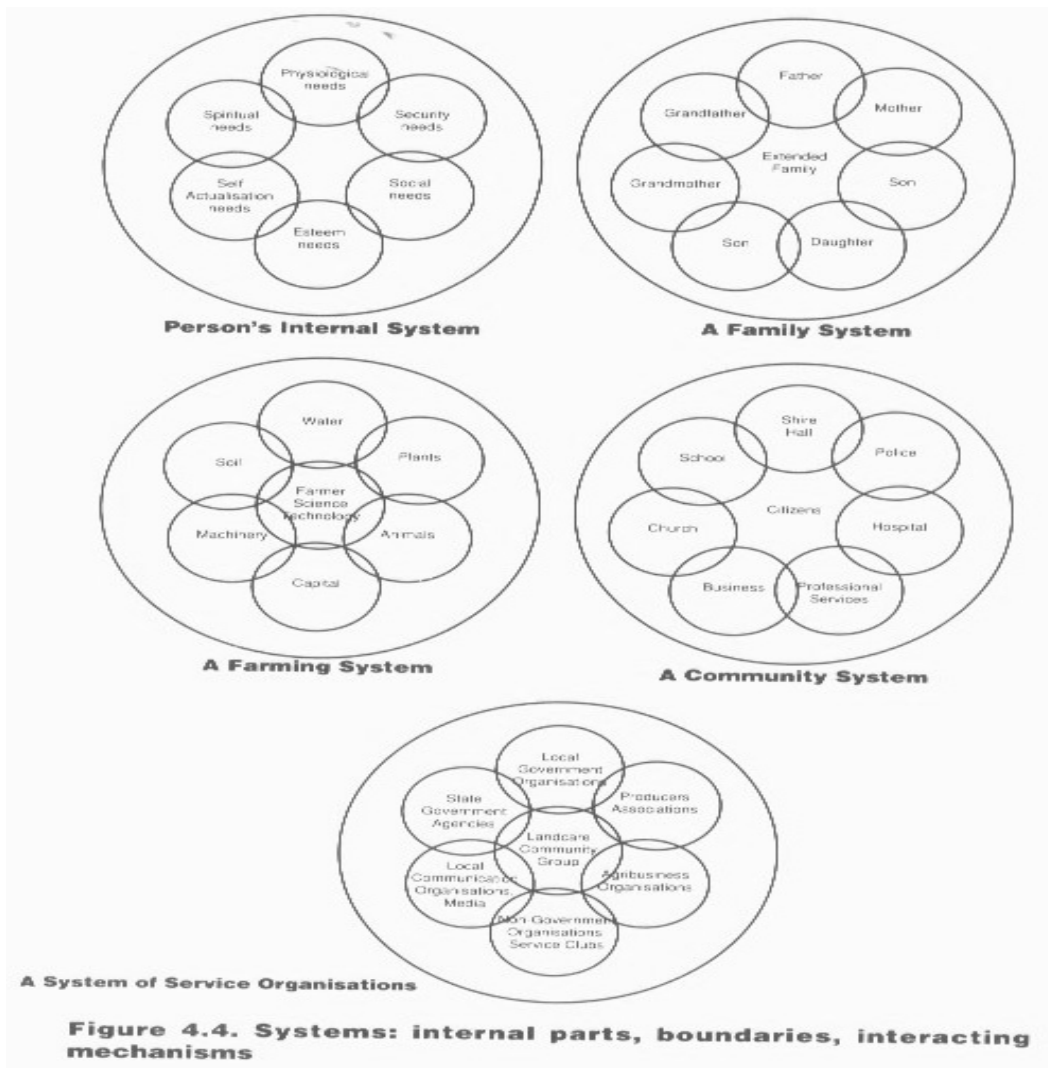
Figure 4.4 illustrates some examples of a systems approach that views people as individuals, family members, part of a farming system, citizens in a community, and

members of landcare group servicing the community. This approach helps to understand the balance between the sub-systems or parts, their boundaries, and their inter-locking nature. It is vital to remember that when a change is made in one part of the system there must be adjustments in the others.

It is equally important to remember that there is a factor of inertia, a push toward retention of the status quo balanced by a push towards change. Leaders of participative action groups need to get a clear picture of people, in their organisational and social contexts, and of the interacting mechanisms of the various systems.

### **3.6. Develop a mission / goal for the group**

Leaders must have vision, an ability to foresee future needs and possibilities. Several techniques derived from the field of management have been developed for this purpose. One technique is the WOTS UP analysis of Weaknesses, Opportunities, Threats and Strengths discussed in Chapter 2. Discussions with specialist agencies, use of information sources, and keeping in touch with the community, as well as monitoring the media, can help you predict future avenues of action.



Develop structure, roles, responsibilities and an enabling culture in the group

The organizational structure of a group can impede or facilitate the development of leadership abilities in its members. Structures which are top-heavy or lop-sided can lead to out-of-date and rigid methods of management which prevent group members from reaching their leadership potential. In groups where there are several task groups or sub-committees, there is scope for individual members to develop competence in leadership. Examples of the various structures of existing land and water groups which practice participative management were given in Chapter 2. Group projects also offer opportunities for individual members to undertake leadership roles and responsibilities

in various areas, e.g., managing a P.R. campaign, supervising a tree-planting program, or mobilizing human or financial resources.

The possibilities for leadership development through structures and roles can be frustrated if the group culture is not open and supportive. Details on how to foster a culture favourable to individual development are given in Chapter 5.

### *Select the right person for each job*

Leaders of a community group should understand the strengths and weaknesses of group members and leaders of other organizations associated with the group. They need to understand the nature of the job to be undertaken, then match the right person to the right job. Remember, there is no point in trying to put a square peg into a round hole. Many leadership studies have emphasized the need for matching the right people to the right jobs.

### *Empower the other members of the group.*

Leadership power in community groups comes from people. Empowering is the process by which people are actively encouraged to do their own work and to take responsibility for their actions. It is an effective way of getting things done.

Leadership for empowerment must develop enabling strategies with people and groups by identifying **exchange** and **coordination** as two important relationships among various leaders and sub-units of community sub-systems. The task of the empowering leader is to facilitate participative planning, defining problems, identifying opportunities, goal setting, developing plans of action and articulated implementation. This is the key to achieving commitment and action. Empowering must be seen both as an end (democratic right) and as a means (participative process) for group action. Monitoring and giving recognition to the participating agencies and individuals must accompany the empowering process.



Leaders should also use social or people power and must identify individuals with various power bases within the community. They must also learn about outside resources so as to be able to motivate power holders and mobilize human and financial resources from within and outside the community (see Chapters 12 and 13).

*Develop a number of leadership styles and use the most appropriate one for each situation.*

As stated previously, leadership style should suit the task, the environment, and the level of group maturity. Sometimes a leader needs to act the role of activator, controller, martyr, cavalier or abdicator depending on the situation. The social style could be either analytical, driver, amiable or expressive as long as it is not over-extended. Situational leadership theory provides clear guidelines when to tell, sell, participate and delegate.

*Maintain an open and supportive group climate.*

Group climate is the result of the psychological and social interactions within the group. Components which create a climate favourable to the development of leadership abilities in members include:

- a friendly atmosphere
- a reasonable degree of conformity
- group cohesiveness (but not so much as to produce “group-think”) a cooperative spirit
- tolerance of mistakes
- a constructive group style of managing conflict
- a degree of emphasis on team work
- flexibility in leadership style, as directed by the situation
- group norms which curb disruptive tendencies and reward achievement.
- It is important to monitor the group climate periodically. Activity 4.2 will assist you to do this.

***Develop skills in managing conflicts.***

The probability of conflict is inherent in any community development program. Change is likely to conflict with existing conditions, and some people may prefer things as they are. Understanding conflicts of interest, needs, beliefs, attitudes and values, helps in developing strategies for managing conflicts. Chapter 15, on conflict management, will help you develop the skills required to further understand and manage conflict.

***Maintain the group interest.***

Initial enthusiasm in a group will die down soon if no results are achieved. If no clear goal or direction is kept in view, the group may disappear altogether. On the other hand, if the group is pushed or dragged too hard and too fast in order to achieve a goal, interpersonal relations will suffer. Chapter 14 explains various aspects of how to maintain a balance between task and relationship functions.

***Identify the needs of members for development of leadership functions necessary to the group***

Many volunteers who join community groups bring a great commitment to better management of local land and water resources. However, they may lack competence in several leadership functions, such as planning, organizations, implementing, monitoring or evaluating projects, or in human skills such as working in groups, communications, motivation or resolving conflicts. Conversely, some members may have high competence, but lack commitment. It is therefore important to identify members' needs analysis. Activity 4.3 will provide some guidance in assessing the needs of group members. It is also essential to identify the opportunities within the group, and outside the group, and outside it that can be utilized to satisfy these needs. Group managers can then match individual needs to opportunities, so that human resource development is achieved.





*Develop a joint plan with individual members for improving their competence and commitment - Human Resource Development Approach*

After identifying the needs of members for development of leadership functions, it is important that the group leadership help individual members assess their readiness for such improvement. Activity 4.4 will help in this.

Some individual may take the initiative in seeking self-development opportunities within the group. In other cases, group leaders may suggest to individual members particular areas in which they could develop leadership potential.

The individual member's role in developing and implementing this joint plan is to :

- Select the areas of interest for a self-development program
- Set priorities for these interests in relation to short-term (within a year), medium-term (up to 3 years) and long-term (3 to 10 years) goals.
- Study the principles involved
- Practice the skills, working with an experienced role-model if possible
- Learn from feedback (17)

The group management has a key role in the members' self-development program. The following steps may help achieve this goal of human resource development :

- Step 1. After reaching agreement on the area of development, explain what exactly needs to be done in that particular leadership function.
- Step 2. Select another member as an appropriate role model, and give the member opportunities to work with him/her.
- Step 3. Let the member try to practice some of the skills he/she wants to acquire. Do not give too much responsibility too soon. It is important to help the person achieve success bit by bit, to build self-confidence in the skill.
- Step 4. Observe the performance, and help the person to monitor himself/herself.
- Step 5. Have tolerance for mistakes and encourage new attempts.
- Step 6. Give praise for progress. Positive feedback reinforces confidence. (18)

## Develop coordinating networks with other groups at community and watershed level

Coordinating horizontally with other groups at the community level and upwards with organizations outside the community is essential for achieving joint action to attain sustainable use of natural resources. Some state government agencies have developed guidelines for this purpose. Leaders must develop skills in the necessary networking roles. These roles are described in detail in Chapter 14.



### Activity 4.2 - Group Climate Analysis

Each group needs to be able to assess its working climate. The statements below will help you identify the behaviors and qualities in the group that encourage leadership development. Circle the word or phrase which most accurately describes the usual situation in your group.

The atmosphere is usually.....

Hostile

Apathetic

Friendly

After discussion, group members carry out membership decision.....

Rarely

Always

Usually

During group activities, members are usually....

Uncooperative

Apathetic

Cooperative

When someone makes a mistake, other group members are.....

Very intolerant

Indifferent

Tolerant and helpful

When conflict threatens, the group meeting will probably.....

Avoid discussion it a "no-holds-barred" debate

Degenerate into productive purposes

Manage it for

When a new project is being planned, it is usually clear that most members...

Hope they won't be too much involved in team work

Want to work alone

Are willing to work in a team and to take responsible

The group members will curb disruptive tendencies and reward achievement....

Rarely	Sometimes	Most of the time
--------	-----------	------------------

The executive can be relied upon to .....

Give close direction on any task	Keep an eye on progress, while encouraging some independence	Share the work and the decision-making with others and delegates as much as possible
----------------------------------	--------------------------------------------------------------	--------------------------------------------------------------------------------------

If a majority of members have circled the last item for most of the statements, the group offers good opportunities for its members to develop their leadership skills and to exercise leadership functions productively. If not, the leaders must take note and create a supportive climate to help human resource development.



**Activity 4.3 - Assessing Members' Needs For Leadership Development And The Opportunities Available**

The following table will help identify individual needs.

**Members Self - Assessment (Needs Assessment)**

Tick the appropriate response for yourself to each of these statements

	Very Competent	Moderately Competent	Need to Develop more Skills
Project planning	[ ]	[ ]	[ ]
Organizing work	[ ]	[ ]	[ ]
Implementing work	[ ]	[ ]	[ ]
Monitoring progress	[ ]	[ ]	[ ]
Evaluation technique	[ ]	[ ]	[ ]
Interpersonal communication	[ ]	[ ]	[ ]

Motivating self and others	[ ]	[ ]	[ ]
Handling conflicts	[ ]	[ ]	[ ]
Teamwork	[ ]	[ ]	[ ]
Mobilizing Human Resources	[ ]	[ ]	[ ]
Mobilizing Finance Resources	[ ]	[ ]	[ ]
Communicating with the Public	[ ]	[ ]	[ ]
Working productively in groups	[ ]	[ ]	[ ]
Identifying Opportunities for Member Development	[ ]	[ ]	[ ]

Summarize the needs of the group using the results from the individual self-assessment survey. List the three needs which rate the highest. Use a brain-storming session (see Chapter 8 on planning) to generate a list of opportunities for satisfying these needs. Consider them under the following headings :

1. *Opportunities existing within the group*, e.g. members asking each other for feedback and help in improving specific leadership functions –“Could I have handled that better? “How?”... “How can I become a better listener?”; opportunities existing in the community (e.g., using TAFE or school personnel and facilities, learning from other successful committees)
2. *Opportunities that could be created within the group* (e.g., creating a new subcommittee or task-group conducting evening sessions using this book and other materials)
3. *Opportunities that could be created in the community*, (e.g., co-opting the services of professional people outside the group, informal get-togethers with other groups, e.g. service clubs, to learn about their methods).



### Activity 4.4 - Individual Self - Development Plan

**Individual readiness.** All of us know people whose social/leadership! management style in a group, community, or indeed family, is pleasant, skilful and effective in producing results. These people are popular and enjoy an enviable degree of prestige in the work place and community. Most of us wish we had similar abilities, but these skills and styles can be developed. However, you need to plan consciously to achieve this. Answering the following questions can help you to determine your readiness for self-development in leadership functions.

Circle the appropriate number opposite each question.

	Great	Some	Minimal
To what extent will leadership / management skills help me -			
in my family situation ?	2	1	0
in social situation ?	2	1	0
in managing my property/business/job?	2	1	0
In organizations to which I belong (especially this group)?	2	1	0
In my political aspirations ?	2	1	0
To what extent do I enjoy working with people?	2	1	0
To what extent have I tried to improve my leadership / management skills in the past ?	2	1	0
To what extent do I admire people skilled in performing leadership / management functions?	2	1	0
To what extent do I feel responsible for contribution to the community ?	2	1	0

	Great	Some	Minimal
To what extent do I value feedback on my social/management styles?	2	1	0
To what extent am I prepared to devote time to acquiring leadership/management skills?	2	1	0
What degree of personal satisfaction do I derive from performing leadership/management functions?	2	1	0
How great is my desire to improve your leadership/management skills?	2	1	0

Calculate your score out of 26. If this assessment is done in a group, calculate the group average score, and see how your readiness for self-development rates with that of other members. If you score more than 13, or higher than the group average, you are reasonably ready. If your score is low, or below the group average, you are perhaps interested in only one or two aspects of leadership management functions, e.g., interpersonal communication or planning. Check back to your self-assessment table (Activity 8.3) for specific areas of interest.

### 3.7. Let us sum up

This unit explores various aspects of leadership, styles and bases of power and sphere of influence. Leaders perform various roles such as planning and implementing, evaluating, monitoring, controlling, motivating, managing conflicts, organizing task groups, mobilizing human and financial resources, and above all, setting an example to the group. Leadership has been defined as “the process of influencing the activities of an individual or a group in efforts towards the achievement of goals in a given situation” (2). The source of influence may be formal, or informal. Leaders can emerge from



within a group as well as being formally appointed. Research was carried out to assess why we are able to influence people and why some people have more power of influence than others. It was found there are five bases of influence, i) Reward power ii) Coercive power iii) Illegitimate power iv) Referent Power v) Knowledge power. A sixth source of power is people's power. Leaders need to recharge their power basis periodically by gaining new knowledge and skills. There are different theories of leadership. The important ones include Contingencies Theory, Situational Leadership Theory, Organizational Theory, Power Theory, Vision and Ethical Assessment Theory.







## Unit-4

# Negotiation Skills

## Structure

- 4.0. Objectives
- 4.1. Introduction
- 4.2. Negotiation
- 4.3. Successful Negotiation
- 4.4. Simple Negotiation Model
- 4.5. Some Guidelines on Negotiation
- 4.6. Some Key Skills for Getting Agreement
- 4.7. Some Elements for Developing Effective Working Relationships
- 4.8. Process Skills in Negotiation
- 4.9. Positions and Interests
- 4.10. Benefits of Exploring Interests
- 4.11. Objective Criteria
- 4.12. Creating and Developing Options
- 4.13. Alternatives to a Negotiated Agreement and BATNA
- 4.14. Let us sum up

## 4.0. Objectives

*After reading through this unit you will be in a position to :*

- To identify the key features and indicators of successful negotiation
- To describe a simple negotiation model and process skills in negotiations
- To understand the importance of positional bargaining and alternatives to negotiated agreement
- To describe skilled negotiating behaviours

## 4.1. Introduction

Negotiation is a dialogue between two or more people or parties, intended to reach an understanding, resolve point of difference, or gain advantage in outcome of dialogue, to produce an agreement upon courses of action, to bargain for individual or collective advantage, to craft outcomes to satisfy various interests of two people/parties involved in negotiation process. Negotiation is a process where each party involved in negotiating tries to gain an advantage for themselves by the end of the process. Negotiation is intended to aim at compromise.

Negotiation occurs in business, non-profit organizations, government branches, legal proceedings, among nations and in personal situations such as marriage, divorce, parenting, and everyday life. The study of the subject is called negotiation theory. Professional negotiators are often specialized, such as union negotiators, leverage buyout negotiators, peace negotiators, hostage negotiators, or may work under other titles, such as diplomats, legislators or brokers. In Agricultural Extension if two different groups are going in opposite directions in a village development shall not occur, in such cases extension workers should have skills to negotiate and bring about development.

Most of us are constantly involved in negotiations to one degree or another in day-to-day activities with other individuals, groups or organizations. Infact every aspect of life is spent in some form of negotiation. It may involve dealing with colleagues, subordinates, and superiors or with farmers or representatives of farmer organization. It is essential to have good negotiation skills to make these interactions translated into positive results for the organization. A successful negotiation is to result into win-win situation and continued relationships between the parties. Negotiation can be defined as the art of creating agreement on a specific issue between one or more parties with different views it involves interpersonal skills and the ability to build the relationships further. It is made of techniques and like all art forms it can be improved by review and by practice. A negotiator has an obligation to help counterpart in achieving a win-win outcome. Which requires an effective strategy and tactics. A negotiation will end in one



of the possible outcomes; lose/lose, lose/win, win/lose, win/win, or nothing happens (no negative or positive consequences). In most of the situations one should strive for a win-win outcome. Your ability to negotiate a win-win outcome will also depend on how you view those you negotiate with.

## 4.2 Negotiation

A Negotiation is the art of creating agreement on a specific issue between on (or more) parties with different views. A negotiation will end in one of the possible outcomes; lose/lose, lose/win, win/lose, win/win, or nothing happens (no negative or positive consequences).

**Lose/lose:** It is the outcome when neither party achieves his or her needs or wants and is reluctant to negotiate with the same counterpart again.

Source : Coverdale Organization & MANAGE Negotiation Skills, developed as part of Agricultural Extension Management Training Project.

- **Lose/Win and Win/Lose :** The second and third possible outcomes of negotiation are the win/lose and the lose/win. The difference between the two is which side of the fence you end up on. In some negotiations, you will be the winner and your counterpart will be the loser. While in others situations, the roles will be reversed. If one loses in negotiation, the feeling is not pleasant. The significant problem in a win/lose or lose/win outcome is that one party walks away without meeting his or her needs or wants. And more important, the loser is likely to refuse to renegotiate with the winner. This will result in a potential for a future lose/lose outcome. When you create a win/lose or lose /win situation, the loser will most likely refuse to negotiate with the same counterpart again.
- **Win/Win :** In almost all negotiation, you should strive for a win/win outcome, in which the needs and goals of both parties have been met. Both parties will walk away with a positive feeling and will be willing to negotiate with each other again.
- **No Outcome :** The fifth possible outcome is no outcome : neither party wins or loses.

### 4.3. Successful Negotiation

A successful Negotiation is not win/lose where one beats the other down and therefore commitment to the agreement is lost or will diminish over time and therefore fail. Where the person who lost will seek to “Get even next time”.

A successful negotiation is agreeing the boundaries within which cooperation can subsequently take place. A process by which both parties Get-to-Yes and result in win-win outcome.

Two Essential Elements of a successful negotiation are Substance and Relationship. Both are important and both needs making separately.

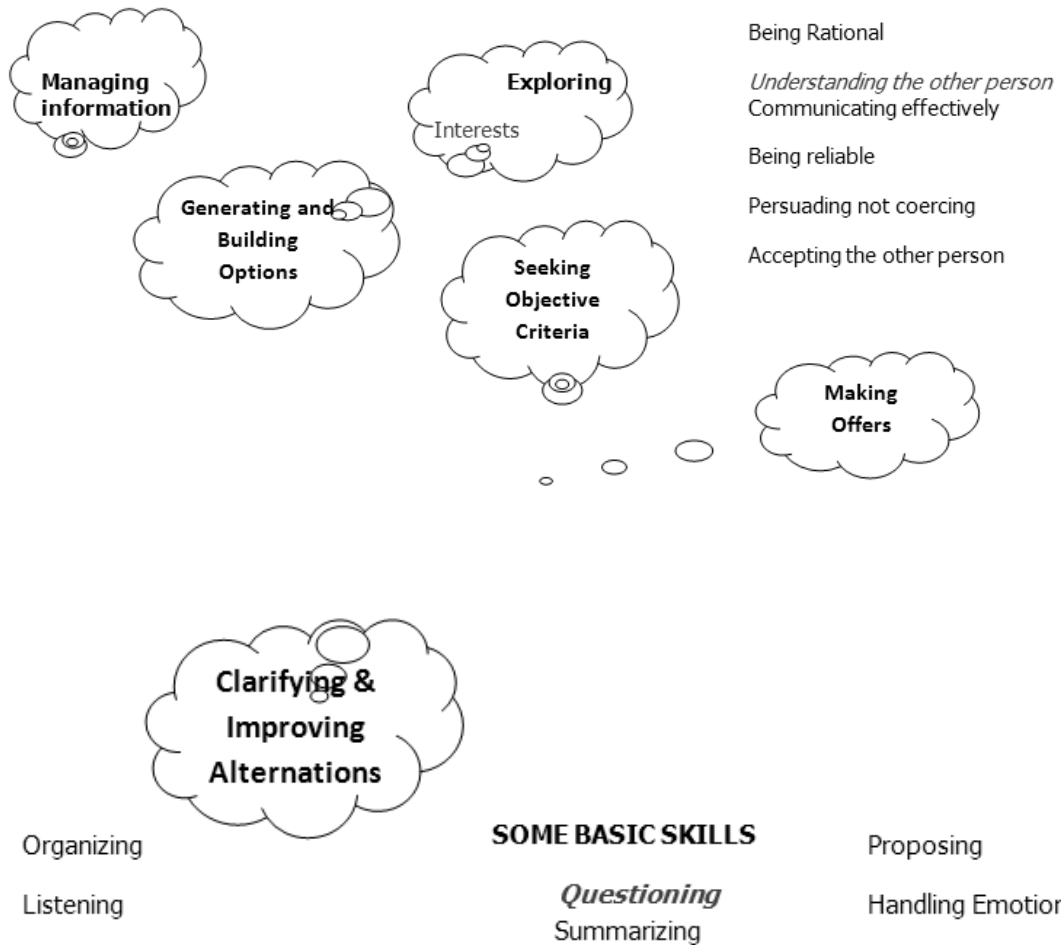
Indicators of Success Include:

- \* An AGREEMENT which is clear
- \* An OUTCOME which is
  - better than the alternatives
  - a good option
  - meeting my interests ..... and theirs
- \* A PROCESS which is efficient in terms of cost / time enables interests to be explored and options generated
- \* Ready to do BUSINESS AGAIN with that person
- \* Cumulative good results.

Negotiation on the Merits can be represented as follow

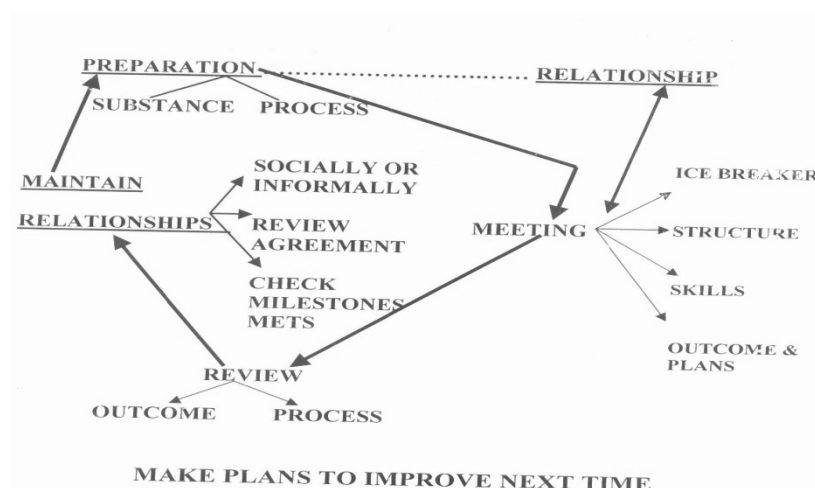
SUBSTANCE

RELATIONSHIP



#### 4.4. Simple Negotiation Model

A simple negotiation representing above two essential elements is as follows:



#### 4.5. Some Guidelines on Negotiation

1. Separate the person from the Problem

“Put yourself in their shoes”. Try to start from where they are at”.

“Avoid discussing personal characteristics of yours or others.

Focus on the problem.

2. Focus on Interests not Positions

Position based negotiation may create a situation of win – lose.

Seek to understand their interest by probing to understand their self interests plus exploring your own.

3. Invest Options for Mutual Gain

Interest based negotiation promotes less contentious dialogue which aids the search for solutions which might benefit both parties.

4. Identify Objective Criteria

Seek to agree on objective criteria or independent points of reference, which are independent of both the parties. Avoid the battle of wills, that can happen if each side tries to assert its own interpretation of what is fair and reasonable.



#### 4.6. Some Key Skills for Getting Agreement

- \* Knowing your own key interests and alternatives
- \* Handling information at speed
- \* Ability to get into another person’s “shoes”
- \* Awareness of the benefits and variables in what you offer
- \* Ability to generate options and suggestions that build on common ground
- \* Ability to develop and manage an effective business relationship

#### 4.7. Some Elements for Developing Effective Working Relationships

- Being Rational ... the ability to balance emotions with reason.
- Understanding ... the ability to grasp how other people see things.
- Communicating ... the ability to consult and listen before deciding.
- Reliability ... the ability to generate trustworthiness.
- Persuasive ... commitment to persuading and being persuaded, rather than to coercion
- Respect ... the ability to respect the views and concerns of other people.

#### 4.8. Process Skills in Negotiation

As discussed above process is one of the indicators of successful negotiation. Some of the process skills in negotiation are :

- Observation - Identifying positions / interests
- Handling Information - Sharing / Not sharing information
- Proposing - How to reject / oppose
- Listening & Supporting - Identifying alternatives to negotiated agreement
- Timing - Mediating
- Reviewing in task - Rapid re-planning
- Probing - Adjournment
- Communicating - Operating independent of trust
- Summarizing - Handling emotions conflicts
- Others - Balancing emotions with reasons
- Being reliable
- Persuading not
- Coercing
- Knowing when to hold/fold
- Labelling behaviour

## 4.9. Positions and Interests

A position is a statement about a proposed point of agreement .. an outcome or end result of the negotiation that would be acceptable to the persons stating that position. For eg. "I'll pay you £ 180 for this". It may also be a statement about a specific course of action that the person will ( or will not ) take..... a "bottom line". For eg."I will not pay more than £ 200".

An interest is a statement about what underlies or lies beyond a position. So the concept embraces purposes, ambition, desired benefits and also motives and reasons for adopting that position. For eg. " I need to avoid taking on more debt" "I want to be seen as a competent Sales Manager".

Interests are often not stated. They can be seen as irrelevant or personal. There are always many and they are different for different people. Sometimes we barely understand our own and need to think hard to clarify them. Rarely do we fully understand those of the other party in a negotiation.

### *Positional Bargaining*

Positional bargaining is a sequence of offers and counter-offers between negotiating parties. The normal experience is that the initial offer are rejected as a matter of course and that subsequent offers will move towards each other, generally in decreasing steps, until agreement is reached at an approximate mid-point, or a stalemate or "no deal" results.

In positional bargaining, each offer is a statement about what would be acceptable as an outcome. Quite often, insufficient thought will have been given to what lies beyond any settlement or the consequences of a "no deal", least of all for the other party.



Many people believe that positional bargaining is unavoidable and is the only way of conducting a negotiation. Indeed there are situations where the method has been elevated to well practiced ritual.

#### **4.10. Benefits of Exploring Interests**

Many people experience a natural tendency when negotiating to get into positions very early on, as they are concrete and seem to be what negotiation is all.

It is useful to look at the area of interests.

First of all, there are benefits to being clearly aware of what your interests are when you go into a negotiation:

- this helps to ensure that you are able to protect your interests during the negotiations ;
- and helps to check that positions you go for are on track with your underlying, and longer term, aims

Next there are benefits to exploring as much as possible what the interests of the other side are, so that :

- you can identify common and compatible aims to build on ;
- and generate options of mutual benefits
- and seek ways of expanding the cake
- and ensure that you are building a long-term work relationship

Finally, these benefits may be fully achieved by developing the skill of being able to move from positions to interests and vice versa deliberately as appropriate in the course of a negotiation.

#### **4.11. Objective Criteria**

The concept of objective criteria is a simple one. It is to seek out objective or independent points of reference which are independent of both parties and which both parties accept as relevant to the issues under negotiation. There are many examples :

Having agreed objective criteria does not necessarily mean that they will fix the settlement figure. But, begin seen as a legitimate and mutually acceptable reference point will help to avoid the battle of wills that can happened if each side tries to assert its own interpretation of what is fair and reasonable.

To ask for objective criteria are a very powerful tactic when facing a hard positional bargainer. For example:

“That’s my final offer. It’s very fair one. Take it or leave it”

“I’m happy to consider that if you can explain to me the basis on which you see it to be fair; what yardsticks do you have in mind?” (This also flatters the other persons with the unspoken assumption that you are dealing with someone who is fair and reasonable)

Arbitration is an extension of the same concept in which the parties agree to accept the judgment of an independent and mutually acceptable arbitrator.

#### **4.12. Creating and Developing Options**

A major benefit of exploring the interests of both sides is that it can open the horizons to options which may be closed to our imaginations if we restrict ourselves simply to the level of positional bargaining. Once understood, interests may be seen to fall in three categories :

- those which are shared or held in common
- those which are simply different and unrelated
- those which are in conflict

In examining shared interests, great potential lies in “moving round to the same side of the table” and collaborating in exploring and developing options which can readily be agreed upon because they are to both parties benefit.



Examining different interests can lead to a rich vein of high value / low cost options. That is, an option which is of high value to one side because it serves an important interest of theirs, and low cost to the other side because it is unimportant to them. There then exists the possibility of “dovetailing” two or more such options together...

“So, if I agree to ‘X’ (which is high value to you both low cost to me), will you agree to ‘Y’ (which is high value to me but low cost to you)?”

The interests which are in conflict... often fewer than first believed.... Can then be addressed in the spirit of accommodation and compromise on the foundation of confidence that has been built up by working collaboratively on the other interests. Clearly, creating and developing options is usefully part of the preparation for any negotiation so as to be in position to put them to the other side for joint consideration.

Options are the better for being tested against both parties interests and Best Alternative to Negotiated Agreements (BATNAs). Try to put yourself in the other person’s shoes :..... “Would I agree to this in their position... how will they see it.... What might the consequences be for them if they agree ?”.

Having done this, try to develop the options to make them more attractive to both parties... try to make them more “Yes-able”. A useful principles is :

Make it easy for the other side to say “Yes”

When putting forward options during the negotiation, use the “What if.. ” technique to make it clear that you are wanting to explore possibilities rather than making a firm offer.

Also during the negotiation, listen out for possible options coming from the other side. Listen to them, think about them, explore them together. If the climate seems appropriate, suggest a joint brainstorming session to generate ideas together, without commitment from either side.

### 4.13. Alternatives to a Negotiated Agreement and BATNA

We normally embark on a negotiation in the hope an expectation of reaching a satisfactory outcome. Once enmeshed in the negotiation we can be subject to several pressures towards reaching agreement.... any agreement. You therefore need protection against making an unwise agreement.

One form of protection is usually referred to as “the bottom line”, which is the position beyond which you are not prepared to go. While a bottom line may afford protection against an unsound deal, it can be block your mind against considering other options, as yet unconceived, which my offer significant benefits to you in return for reaching your bottom line a little.

The concept of “alternatives” and “BATNA” invite us to look at and beyond the possibility of no agreement and it offers another, and more reliable, form of protection. The key questions to answer are :

“What will be the consequences for me if we do not agree on a settlement?”

“What will I do if that happens?”

The answers to these questions are your alternatives to a negotiated agreement. Amongst them will be the best one, the most attractive or the least unattractive. This is your Best Alternative To a Negotiated Agreement..... your BATNA.

Think of your BATNA as another option : an option for you in the event of a “no deal” outcome. As with options for agreement , BATNAs merit some serious thought. Here are some examples:

Bottom lines : I won't sell my house for less than 100,000.00

BATNA : I will put it on the market again and probably have to wait six months for another buyer, meanwhile having to continue working away from home form Monday to Friday each week which will further strain our marriage.

Bottom lines : I want at least a 10% rise for tanking on this new job

BATNA : I'll go and look for another job



BATNAs can be unattractive and so weak (as in the above examples) and this will compel us towards securing an agreement, even perhaps at high cost. But even if they are weak, it is better to know this than to proceed in ignorance.

You might take steps to deliberately strengthen your BATNA before entering into the negotiation. So, in the above examples :

- Get another offer on the house or take out an option on a part exchange deal with Barattas who are building new houses in the area you want to move to.
- Peruse the job vacancies advertisements (Which will also give you valuable information about current market rates). Better still, get another job offer in your pocket.

A strong BATNA means that you are in a more powerful position; you do not have to settle; you can afford to walk away from a deal because the alternative is quite acceptable to you.

Similar, you will wish to seek out information about the other side's BATNA. It too may be strong or weak and it will influence their approach to the negotiation. Again, it is better to have considered this than not to.

If your BATNA is strong and theirs is weak, then you are in advantageous positions and of course, vice versa.

If both BATNAs are strong, a "no deal" outcome becomes more likely and may indeed be preferable for both parties.

If both are weak, then both will need to strive towards achieving the best agreement possible.

Clearly, if your BATNA is strong, you may be inclined to disclose this at some time during the negotiation. A weak BATNA is likely to be something you will wish to conceal. Similarly, you may see advantage in helping the other side to recognize its weak BATNA if they have not seen this for themselves. You will be less likely to draw

their attention to an attractive BATNA that they have, unless you want to persuade them to a “no deal” because that is preferable for you.

## **Emotion in negotiation**

Emotions play an important part in the negotiation process, although it is only in recent years that their effect is being studied. Emotions have the potential to play either a positive or negative role in negotiation. During negotiations, the decision as to whether or not to settle, rests in part on emotional factors. Negative emotions can cause intense and even irrational behavior, and can cause conflicts to escalate and negotiations to break down, but may be instrumental in attaining concessions. On the other hand, positive emotions often facilitate reaching an agreement and help to maximize joint gains, but can also be instrumental in attaining concessions. Positive and negative discrete emotions can be strategically displayed to influence task and relational outcomes[12] and may play out differently across cultural boundaries

### **4.14. Let us sum up**

Every aspect of our life is spent in some form of negotiation or other. In the context of extension it may involve dealing with colleagues subordinates farmers of representatives for farmer organizations. A successful negotiation is agreeing the boundaries within which cooperation can subsequently take place. A process by which both parties Get-to-Yes and result in win-win outcome. Secondly, it should leave both the parties with a continuing good relationship for any subsequent negotiations. Both substance and relationships are essential and need managerial separately. Some guidelines for negotiations are separate the persons from problem, focus on interest not position, invest options for mutual gains and objective criteria. Getting agreement in negotiations requires skills such as knowing your own interest and alternative, handling information at speed, ability to get into another person’s shoes and ability to generate options.