

UNIT 3:

CREATING THE FUTURE

TERMINAL OBJECTIVE

The students will be able to develop and implement political strategies that effectively influence public policy.

ENABLING OBJECTIVES

The students will:

1. *Define community.*
 2. *Define community/political equity.*
 3. *Explain the process for creating community/political equity.*
 4. *Explain the process for developing an effective change strategy.*
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5. *Define the change objective (future).*
6. *Explain the principles of effective change management.*
7. *Explain the principles of transition to a politically adaptive organization.*
8. *Given a local emergency service issue that involves a change in public policy, develop a strategy(s) that effectively influences the necessary public policy change.*

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A. Definition of "community:" A group of people with common interests.

B. Definition of "equity."

1. **Fiscal equity:** The monetary value of an asset or interest in excess of any debt owed against it; net value of a property or asset.

2. **Political equity:** Net credibility with a particular interest group.

Credibility: The quality of being believed or trusted.

a. Virtually everyone that a department head interacts with has personal or group interests and priorities to promote.

b. For a department head (chief), every interaction has a real or potential political element.

c. Political priorities of some elected officials may not be in alignment with the goals and priorities of some community interest groups.

**COMMUNITY/POLITICAL
EQUITY (cont'd)**

- Equity (cont'd):
 - Community equity: Net credibility with a majority of the special interest groups within a particular jurisdiction

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3. **Community equity:** Net credibility with a majority of the special interest groups within a jurisdiction.
 - a. There is no practical difference between "political equity" and "community equity" relative to public policy.
 - b. A department head cannot effectively "create the future" without understanding the interests and priorities (politics) of affected community stakeholders.

- Including internal (organizational) stakeholders.

**COMMUNITY/POLITICAL
EQUITY (cont'd)**

Creating community/political equity: the key is to nurture alliances.

- Find partners.
- Establish diverse partnerships.
- Foster creative dialogue.
- Maintain visibility and connectivity.
- Maintain alliances.

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- C. Creating community/political equity.

1. "For leaders attempting to move an issue forward, the merits of a cause and the strategy to move it forward are relevant but not controlling; the critical issue is access, and the greatest care should be directed toward creating and nurturing networks of people with whom you can call on, work with, and engage in addressing the issue at hand." (Heifitz & Linsky, Leadership on the Line, 2002)

2. As in one's personal life, professional success relies on the nature and quality of personal relationships.

3. The key is to create and nurture alliances.
 - a. Find partners.
 - Even leaders with great authority and vision need partners to bring about significant change.

 - Strengthen yourself and your initiatives.

 - Finding real partners takes considerable time and energy.

 - b. Establish diverse partnerships.
 - Creating change requires a leader to move beyond his/her own cohort: constituents and followers.

 - Create access to factions (interest groups) other than your own.

 - Engage the voices of dissent.
 - The content of your ideas will be greatly enhanced when you incorporate the views of those who differ markedly from you.

- Partners who are members of the faction for whom the change is most difficult can make a huge difference.

- Don't neglect the uncommitted "middle" group. They are often the group that determines the success or failure of an initiative.

c. Foster creative dialogue.

- Nurture communication and interaction across all formal and informal boundaries.

- Foster and value independent thinking.

- No position or solution is sacred.

- Encourage and support those who ask uncomfortable questions or challenge the status quo.

d. Maintain visibility and connectivity within the community.

- Be active within the "communities" you serve.

- Attend "community" events/meetings.

- Maintain equitable visibility among all key "communities."

- Don't avoid groups opposed to your ideas.

e. Maintain your alliances.

- Reciprocity is key to any successful relationship.

- Relationships usually fade or die if only one party undertakes the effort required to maintain it.
- Planning and commitment are essential to sustain political alliances.
- Keep your commitments.
- Personal integrity (Unit 2) is essential to maintain effective alliances.
- Effective alliances (relationships) are essential for political success (and often survival).
- Politics is ultimately about effective relationships.
- Failure to establish and maintain an effective alliance with one or more stakeholder/interest groups will impact your effectiveness with others.

- B. Establish a sense of urgency.
1. Establishing a sense of urgency is crucial to gaining needed cooperation.
 - a. High complacency results in failed initiatives because too few people are interested in working on the problem.
 - b. Low urgency results in extreme difficulty putting together a group with sufficient power and credibility to guide the effort to a successful outcome.
 - c. If a large enough group of affected people don't feel the same sense of urgency you do, the momentum for change will almost inevitably die short of the finish line. People will find ingenious ways to withhold cooperation from a process that they sincerely believe is unnecessary or wrongheaded.
 2. Reasons for complacency:
 - a. No highly visible crisis.
 - b. Too many visible resources.
 - c. Low performance standards.
 - d. Organizational structures that focus on narrow goals.
 - e. Wrong performance indexes.
 - f. Lack of sufficient external performance feedback.
 - g. A "kill the messenger" culture.

- h. A natural human tendency toward denial.
 - i. Too much "happy talk" from senior management.
3. Increasing urgency requires:
- a. Removing sources of complacency.
 - b. Minimizing the impacts of complacency.
 - c. Counteracting organizational "myopia."
 - d. Creating a viable and visible crisis.
 - e. Eliminating obvious examples of excess.
 - f. Setting performance standards so high that they cannot be met with business as usual.
 - g. Stopping measuring subunit performance on narrow functional goals; hold them accountable to broader measures of performance.
 - h. Sharing performance data with more employees, especially data that shows a weakness.
 - i. Stopping senior management "happy talk."

- e. Lead and manage dozens of change projects.
 - f. Anchor new approaches deep in the organization's culture.
2. Successful transformations require a strong coalition of supporters and advocates with the right composition, level of trust, and a shared objective.
3. Four characteristics essential to effective guiding coalitions:
- a. **Position power:** Are enough key players on board, especially managers, so that those left out cannot easily block progress?
 - b. **Expertise:** Are various points of view adequately represented, so that informed, intelligent decisions will be made?
 - c. **Credibility:** Does the group have enough people with organizational credibility, so that its work will be taken seriously by the other employees?
 - d. **Leadership:** Does the group include enough proven leaders to be able to drive the change process?

**EIGHT STEPS TO A SUCCESSFUL
CHANGE STRATEGY (cont'd)**

- Effective leaders and managers, working together, are critical to success
- Create trust
- Identify the shared objective
- The resulting coalition (team) will have the capacity to affect change

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4. Effective leaders and managers, working together in tandem, are critical to success; managers keep the change process under control, while leaders drive the change.

5. Create trust:
 - a. Carefully planned offsite meetings (multiday).
 - b. Explicit objective of becoming more of a team.
 - c. Combination of work and recreation.
 - d. Result is increased mutual understanding and trust.

6. Lots of talk and joint activities.
7. Identify the shared objective:
 - a. Sensible to the head.
 - b. Appealing to the heart.

8. The resulting powerful coalition (team) will have the capacity to affect change despite all the forces of inertia.

- a. It will have the potential to do the hard work involved in creating the necessary vision.
- b. Communicating the vision widely.
- c. Empowering a broad base of people to take action.
- d. Ensure credibility, build short-term wins.
- e. Lead and manage dozens of different change projects.
- f. Anchor the new approaches in the organization's culture.

ACTIVITY 3.1
Identifying a Current Local Issue
With Political Implications and
Establishing the Urgency and
Guiding Coalitions

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ACTIVITY 3.1

Identifying a Current Local Issue With Political Implications and Establishing the Urgency and Guiding Coalitions

Purpose

To identify a current issue within your community with political implications, and to apply Kotter's first and second elements of a successful change strategy to that issue.

Directions

1. Within your assigned small group, discuss "What are some current issues within your community with political implications?" You are encouraged to include issues from the precourse assignment.
2. Select one issue for you to use in the next three activities. If your group cannot identify a local issue with political implications, the Instructor will provide one for you. Record the issue on the easel pad.
3. Discuss how to apply Kotter's first step to a successful change strategy, **establishing a sense of urgency**, to your selected political issue.
4. Use the easel pad to record the key elements of your strategy to establish a sense of urgency for this issue.
5. Discuss how to apply Kotter's second step to a successful change strategy, **creating a guiding coalition**, to your group's selected issue.
6. Use the easel pad to identify specific people, positions, and/or key stakeholders you will include as members of your guiding coalition.
7. You have 15 minutes to complete this activity.

ACTIVITY 3.1 NOTES

2. Accepting a vision of the future can be a challenging intellectual and emotional task.

3. The emotional work is the toughest part:
 - a. Letting go of the status quo.

 - b. Letting go of other future options.

 - c. Coming to grips with the sacrifices.

 - d. Trusting the guiding coalition, etc.

e. Walk the talk (lead by example).

f. Explicitly address seeming inconsistencies.

g. Listen and be listened to.

- Humans, especially well-educated ones, buy into something only after they have had a chance to wrestle with it.

- Two-way communication is essential for acceptance of the vision.

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ACTIVITY 3.2

Developing and Communicating a Vision for a Current Local Issue With Political Implications

Purpose

To apply Kotter's third and fourth elements of a successful change strategy to a local political issue.

Directions

1. Within your assigned small group, discuss how to apply Kotter's third and fourth elements of a successful change strategy, **developing a vision** and **communicating the vision**, to your group's selected political issue.
2. Use the easel pad to record your initial vision statement and the key elements of your communication strategy.
3. You have 10 minutes to complete this activity.

ACTIVITY 3.2 NOTES

3. Remove barriers to empowerment:

a. Structural barriers.

- Give more responsibility to lower-level employees.
- Reduce organizational layers.
- Minimize silos.

b. Provide training.

- Has to be the "right" kind of training.
- Identify new behaviors, skills, and attitudes that will be needed.
- Provide training to develop these behaviors, skills, **and** attitudes.

- **Caution:** avoid making this a disempowering experience with an implicit message of "shut up and do it this way."

c. Align systems to the vision.

- Ensure that performance evaluation, compensation decisions, promotional decisions, and recruitment and retention systems support the vision.

d. Confront troublesome supervisors.

- A bad supervisor can be one of the most disempowering things for an employee.

- Honest dialogue is the best approach.

- "What can we do to help you help us?"

- Provide clear expectations with a timetable.

- Remove the supervisor quickly if they are unable or unwilling to meet expectations.

**EIGHT STEPS TO A SUCCESSFUL
CHANGE STRATEGY (cont'd)**

6. Generate short-term wins.

- Role of short-term wins
- Plan for short-term wins

G. Generate short-term wins.

1. Role of short-term wins:

- a. Provide evidence that the sacrifices of change are worth it.
- b. Reward change agents with a pat on the back.
- c. Help fine tune the vision and strategies.
- d. Undermine cynics and self-serving resisters.
- e. Keep bosses on board.
- f. Build momentum.

2. Plan for short-term wins:

- a. Short-term successes do not compromise long-term goals.
- b. Pressure for short-term wins helps keep the urgency rate up.

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ACTIVITY 3.3

Empowering Subordinates To Act and Generating Short-Term Wins for a Local Political Issue

Purpose

To apply Kotter's fifth and sixth elements of a successful change strategy to a local political issue.

Directions

1. Within your assigned small group, discuss how to apply Kotter's fifth and sixth elements of a successful change strategy, **empowering subordinates to act** and **generating short-term wins**, to your group's selected political issue.
2. Use the easel pad to record key elements of your strategy to empower subordinates and to identify potential short-term wins.
3. You have 10 minutes to complete this activity.

ACTIVITY 3.3 NOTES

6. **Project management and leadership from below:** Allow lower ranks in the organization to provide both leadership and management for specific projects.

7. **Reduction of unnecessary interdependencies:** Managers must identify and eliminate unnecessary organizational interdependencies.

7. May involve turnover.
8. Sometimes the only way to change a culture involves changing key people.

A. Political strategy.

1. Creating and maintaining political capital.

Political Capital: value of your credibility with special interest group(s).

2. Richmond, VA, case study.

City of Richmond, VA.

- a. Population: 200,000.

- Economic base: manufacturing, retail, professional/technical services.

- Families below poverty level: 18 percent.

- African-American: 51 percent.

- Fire stations: 20.

- b. 2005--Newly appointed Fire Chief (Robert Creecy) created the vision for "village fire company model," where:

- Each fire company assumes responsibility and ownership for the risk-reduction services delivered within their service area.

- Company Officers (COs) are responsible for analysis, planning, and implementation of appropriate strategies of all prevention efforts for their fire station community (village).

- Goal was to take the delivery of risk reduction (prevention) services to the neighborhood level.

- Different needs for each village.

- Increase fire department visibility and involvement throughout the city.

- This was met with a lot of resistance from within the organization.

- c. Fire chief created and implemented a successful change strategy, including creating a guiding coalition and providing necessary training.

- d. Now it is very successful and firmly established within the community and fire department culture.

- Fire department personnel are welcomed throughout the community.

- Village fire stations have become as much of a social center as a public safety center.

- b. Facts and emotion versus reality and good sense.
- 2. Use political capital wisely.
 - a. Leverage if possible.
 - b. Deficit spending is not an option!
- 3. Keep community and policymakers informed.
 - a. Use diverse forums.
 - b. Keep messaging simple and consistent.

- b. The message to the media must always be clear and consistent. The department head should not try to vary their routine.

- c. Avoid giving a statement to the media unless it has value.

- d. Have specific talking point(s) and stick to that message.

- e. Know the material and double check the research information.

MEDIA RELATIONS (cont'd)

- Incorrect information causes a loss of credibility.
- Use social media as a political tool.
- You are always on the record.
- Never assume that the media will NOT report what you have said.

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f. Incorrect information causes a loss of credibility with the media and the public.

g. Use social media as a political tool.

h. You are always "on the record."

- Never assume the media will not report what you have said.

BECOMING AN EFFECTIVE CHANGE AGENT

Inertia of change:

- Rudder analogy
- Large marine vessel analogy

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C. Inertia of change.

Once initiated, change creates its own inertia that can be very difficult to slow down or change.

1. One percent rudder analogy.

One percent change in heading now equals a greater change in the objective reached over time.

2. Large marine vessel analogy.

- a. Supertanker: 1,200 ft long/300,000 tons/14 to 15 knots cruise speed.
- b. Would require 15 to 20 miles to stop if engines are shut down (cruise stop).
- c. Would require 6 to 8 miles to stop with emergency stop maneuver.
- d. 180° turn = 4 mile radius.

**BECOMING AN EFFECTIVE
CHANGE AGENT (cont'd)**

Political gray areas for the department head:

- Operating without clear, written policies and procedures.
- Operating outside your political authority.
- Use values, vision, and mission as guiding principles.

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D. Political gray areas for the department head.

1. Operating without clear, written policies and procedures.

- a. Employees don't know what behaviors are expected or appropriate.
- b. Poor or no accountability.
- c. Spend most of your time in the weeds; significantly detracts from your ability to focus on the larger political issues.
- d. Potential civil and/or criminal liability.

2. Operating outside your political authority.

- a. Know your legal authority and political boundaries.
 - Precourse assignment: do you have the legal **and** political authority to attempt to influence this issue?
 - If not, how do you obtain it?
 - From governing and/or appointing authority.
 - If unsure, whom do you ask?

- b. Accountability.
 - c. Sometimes, a pound of flesh.
2. No "private life."
- a. Chief's uniform is never "off."
 - b. Everything you do or say is subject to scrutiny.
 - c. Electronic communications live forever!
3. What gets department heads in political trouble?
- a. Sex.
 - b. Money.
 - c. Substance abuse.
4. Once compromised, you will almost never regain your personal integrity in a political environment.

V. DEFINING THE FUTURE

DEFINING THE FUTURE
Definition of "future": <ul style="list-style-type: none">• Near-term: 1 to 5 years

A. Definition of "future."

1. Near-term future: 1 to 5 years (specific metric may vary).
2. Long-term future: 5+ years.

- Are the consistent basis for all organizational planning and action.
- Are relevant to both the organization and the community.

e. Example: Tualatin Valley Fire and Rescue (OR):

We value:

- Healthy and safe communities and working environments.
- Responsibility and initiative by every individual and by our organization as a whole.
- Outstanding customer service as defined by the "chief's bullseye."
- Careful stewardship of financial and natural resources.
- Honesty and integrity.
- Teamwork and the strength of decisions developed through open and collaborative processes.
- A workforce that reflects the diversity of our community.
- Cost-effective innovation and risk-taking (taking a chance, not a hazard) in the pursuit of excellence.
- Each individual's effort to achieve their highest potential and support continuing education and skill development throughout each employee's career.
- A positive work environment for all employees and volunteers.

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ACTIVITY 3.4

Defining the Future

Purpose

To develop proficiency in identifying and defining a desired change.

Directions

1. Within your assigned small group, discuss "what will the future (next 10 years) look like in the fire service?"
2. What **specific** changes do you envision?
3. What is driving them?
4. Groups are to use the **easel pad** to record key discussion points.
5. Each group is to select a spokesperson to share the group's results with the class. You have 15 minutes to complete this activity.

ACTIVITY 3.4 NOTES

B. Manager.

1. Develops, implements, and ensures the completion of individual projects necessary to achieve the vision.
2. Managers are essential to keep the change process moving and under control.

C. Leaders and managers, working together in tandem, are both critical to the success of any change initiative.

MANAGING THE TRANSITION
(cont'd)

Key actions for success:

- Develop trust
- Develop shared responsibility
- Empower employees
- Build leadership capacity
- Foster reflection and learning

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D. Key actions for success.

1. Develop trust.

- a. Foster labor-management partnerships.
- b. Protect and engage the voices of dissent.
- c. Act consistently yet maintain flexibility.

2. Develop and nurture a shared responsibility for the organization's future.

- a. Identify common organizational values.
- b. Use broad organizational representation to develop a vision in alignment with organizational values.
 - Must appeal to their long-term interests (heart and head).

3. Empower employees throughout the organization to think and act independently without fear of punishment.

- a. Value mistakes and experiments; acknowledge bad events for their lessons, not as a cause for marginalization or punishment.

- b. Foster an organizational environment where no issues are too sensitive to be discussed in open meetings and every employee has the right to challenge an idea or practice.
 - c. Push decisionmaking and idea generation deep down into the organization.
 - d. Foster cross-function problem solving.
 - Case example: Toyota Motor Corporation.
 - Every assembly line worker is empowered to stop the production line if he/she sees a problem, even if it is outside his/her specific area of responsibility.
4. Build leadership capacity.
- a. Get the right people in the right roles doing the right jobs regardless of rank or function.
 - b. Leadership is practiced in the details.
 - Best learned close to where the "rubber meets the road."
 - c. Develop an effective succession plan.
 - People throughout the organization need clear guidance to learn where they can make their greatest contribution going forward.
5. Foster reflection and continuous learning.

- a. Encourage and model lifelong learning of new ways to view the environment around you and new ways to do things.
- b. Incorporate the perspectives of frontline employees when making strategic decisions.
- c. Schedule regular offsite meetings and retreats to include people from all levels of the organization.
- d. Nurture communication and interaction across all formal and informal boundaries.

ACTIVITY 3.5

Creating Public Policy

Purpose

To develop effective political strategy(s) to successfully influence a change in local public policy.

Directions

1. Within your assigned small group, each member is to share a public policy issue he/she faces within his/her home jurisdiction.
2. The group then selects one of the issues to work on collectively.
3. If the group cannot decide on an issue, the instructor will provide one for you.
4. The group is to use the concepts/skills from Unit 3 to develop a strategy for adoption of the desired public policy and a plan to manage the transition (use easel pad). You may use the checklist in the Appendix.
5. Select a group spokesperson to share your results with the class. You have 30 minutes to complete this portion of the activity.

ACTIVITY 3.5 NOTES

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APPENDIX

PUBLIC POLICY CHANGE STRATEGY CHECKLIST

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Public Policy Change Strategy Checklist

Identify the Issue and Desired/Needed Change:

What is the specific issue?

What specific public policy needs to change?

Create a Sense of Urgency:

Why is it necessary to address this change in public policy **now**?

What steps need to be taken to minimize/remove the complacency related to this issue?

Create a more visible crisis. How?

Reduce visible resources. Which ones?

Increase performance standards. Which ones?

Revise the organizational structure to focus on broader goals. How?

Revise performance indexes. Which ones?

- Seek additional external feedback. Where?

- Modify our "kill the messenger" culture. How?

Eliminate management "happy talk." How?

Other:

Other:

Other:

What steps need to be taken to increase the sense of urgency for this issue?

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Create a more visible crisis? How?

Eliminate obvious excess. Where?

Revise performance standards to ensure that they cannot be met with business as usual. Which ones?

Modify subunit performance measurement to be accountable for broader measures of performance. Which ones?

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- Share performance data with more employees, especially data that shows a weakness. What specific data and how?

- Provide employees with more information on future opportunities in the changed state. What specific information and how will you communicate it?

Create a Guiding Coalition:

- Are there enough **key** players on board with this change initiative, especially managers, so that those left out cannot easily block progress? If not, who is needed?

- Are various points of view adequately represented? If not, which perspectives are missing?

- Does the group have enough participants with sufficient organizational credibility to be taken seriously? If not, where are the gaps?

- Does the group include enough proven leaders to be able to drive the change process to a successful outcome? If not, where are the gaps?

- Is there sufficient trust and identity to the shared objective among the group for success? If not, what steps are needed to achieve this?

Develop a Vision:

- Initial** Vision statement:

Is it:

- Feasible?
- Focused?
- Imaginable?
- Communicable?
- Flexible?
- Simple?

- Develop an initial vision statement into a finished product meeting the above criteria:

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Timeline for completion of the vision statement? Is it realistic?

Will an outside facilitator benefit this process?

Communicate the Change Vision:

- Key message points relative to the change vision:

Is the Vision message:

- Easily understood by a person not familiar with your business?
- Simple and reasonably short?
- Using examples, metaphors, and analogies?

Communication Plan:

- Specific targeted groups for message and messaging format (e.g., small group with presentation by department head, media interview, media public service advisory, public workshop/meeting, etc.).

Empower Subordinates to Act:

- Are there structural barriers to empowerment? If so what are they and how does the organization need to be modified to eliminate these barriers?

- Is training necessary to provide new skills, behaviors, and attitudes? If so, what specific areas, and how will it be provided?

- Are performance evaluation tools and compensation, recruitment, and promotional decisions in alignment with the vision? If not, how do they need to be modified to support the change vision?

Are there problem supervisors that need to be confronted or removed? If so, who are they?

Generate Short-term Wins:

What are some specific potential short-term wins relative to this initiative, and what is the strategy to achieve them?

CREATING THE FUTURE
