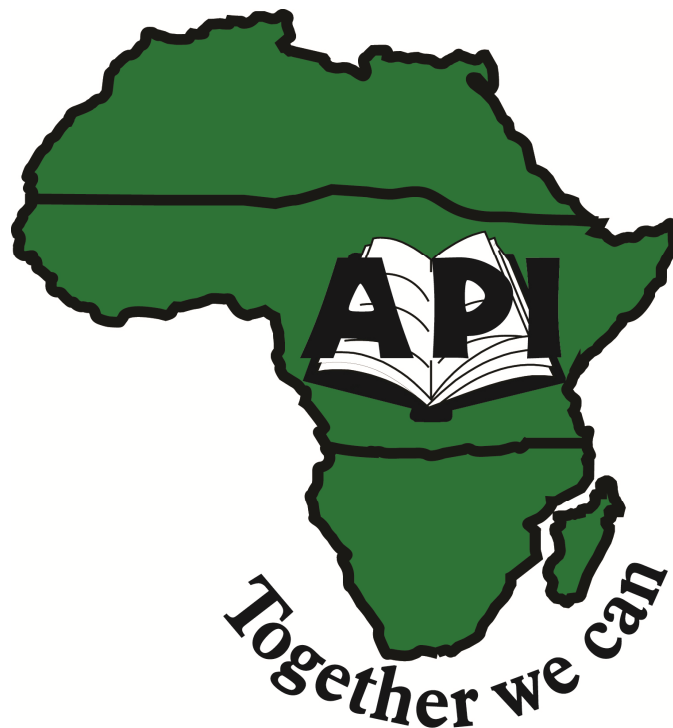


**AFRICA POPULATION INSTITUTE  
(API)**



**SOCIAL WORK AND SOCIAL ADMINISTRATION  
TERM FOUR STUDENT'S MODULES  
( SWSA )  
Contents**

APDSW 401	Project Planning and Management
APDSA 402	Community Psychology
APDSW 403	NGO Management and Operations
APDSA 404	Development studies
APDSW 405	Disaster preparedness and Management
APDSW 406	Field Attachment

**Website:** [www.africapopulation.net](http://www.africapopulation.net)  
**Email:** [info@africapopulation.net](mailto:info@africapopulation.net)

<b>Course Name</b>	<b>: Project Planning &amp; Management</b>
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### **Course description**

The Course details a comprehensive idea about principles of project planning and management, introduction to management, human resource management, core roles of human resource management, performance management, procurement management, communication skills in project planning & management, the project life cycle, format for project proposal writing, feasibility study & its components, the logical frameworks, Project monitoring and evaluation, cost structure and budgeting and performance management in project management.

### **Course objectives**

- To help students get exposed to different phases of managing related development projects.
- To educate students in identifying and assessing the needs as well as risks involved in project planning and management.
- To enable them develop skills in structuring and scheduling of project costs as well as activities respectively.
- To ensure that students attain a firm body of knowledge in developing competitive project proposals for funding.
- To strengthen their capacity to design approaches to measure performance of workers on several projects.

### **Course Content**

#### **Introduction**

- Meaning of Management
- Meaning of Administration
- Functions of Management in project planning
- Major differences between Administration and Management
- Leadership styles used in Project Management
- Motivation theories applicable in Planning and management

#### **Human resource/Personnel Management**

- Meaning of Human resource Management( HRM)
- Characteristics of Human Resource Management
- Difference between Human Resource and Personnel Management

#### **Core roles of Human resource Management**

- Planning and organizing for work, people and HRM
- People acquisition and development
- Administration of policies, programmes & practices

#### **Performance Management/performance Appraisal**

- Definition of Performance Management
- Objectives of performance appraisals
- Types of performance Management
- The appraisal cycle

#### **Procurement Management**

- Meaning of Procurement Management
- Basic concepts in procurement

- Definitions of logistics management
- Functions of logistics
- Importance of procurement Management
- Tasks of stakeholders in Procurement
- Role of Procurement specialists
- Principles of Procurement
- Types of procurement
- Categories/methods for procurement

### **Communication skills in Project Planning & Management**

- What can be shared in communication
- Qualities of a good listener
- Barriers to listening
- Objectives of communication
- Levels of communication
- Model of communication process
- Types of communication
- Barriers to effective Communication
- How to overcome communication barriers
- Guidelines for effective communication
- To be a successful communicator

### **Project Planning/ the project cycle**

- What is a project
- Characteristics of a project
- Types of projects and programs
- Project planning & Control Flow Chart
- Steps of a project cycle
- Project Management Process

### **Format for Project Proposal Writing**

- Title
- Executive summary
- Background
- Problems and needs
- Selected project
- Beneficiaries and benefits
- Aim
- Objectives
- Justification
- Outputs
- Activities
- Work plan
- Strategic for project implementation and operations
- Follow up plans

### **Feasibility study and its Components**

- Meaning of feasibility study
- Financial feasibility
- Economic feasibility

- Political feasibility
- Market feasibility
- Social feasibility
- Environmental feasibility
- Gender feasibility

### **Logical Framework Approach (LFA)**

- Basic principles
- Contents of the logical framework
- Advantages of the logical framework
- Limitations of the LFA

### **Project implementation & Scheduling**

- Description of the project implementation
- Requirements for implementation
- Causes of ineffective project implementation

### **Problem Analysis and Needs Assessment**

- Problem tree analysis
- Steps involved in problem analysis
- Classification of needs

### **Project Monitoring and Evaluation**

- Difference between Monitoring and evaluation
- Examples of program elements that can be monitored
- The purpose of evaluation
- Basic questions that evaluation can answer
- Why is M&E important
- Examples of questions that M & E can answer
- When should M & E take place
- Importance of the M&E plans
- M&E plan components

### **Cost Structure and Budgeting**

- Characteristics of a good budget
- Objectives of budgeting
- Advantages of budgeting
- Limitations of budgeting
- Essentials of effective budgeting
- Preliminaries in the installation of budget system
- Functions of a budget committee
- Budget terms and concepts
- Budget techniques for operations
- Key factors that make public budgeting process effective

### **Performance Measurement**

- Top management retreat
- Updating the Medium term expenditure framework (MTEF)
- First budget consultative budget framework workshop
- Sector working group discussions
- Local government budget framework process
- Consultations and finalization of the budget framework paper etc

**Mode of delivery** Face to face lectures

**Assessment**

**Coursework** 40%

**Exams** 60%

**Total Mark** 100%

## API PROJECT PLANNING & MANAGEMENT MODULES

### MODULE 1: Management Concepts (Management Vs Administration)

Administration can be defined as the universal process of efficiently organizing people and resources so to direct activities toward common goals and objectives. Administration is both an art and a science (if an inexact one), and arguably a craft, as administrators are judged ultimately by their performance. Administration must incorporate both leadership and vision

Management is viewed as a subset of administration, specifically associated with the technical and mundane elements within an organization's operation. It stands distinct from executive or strategic work. Management is closer to the employees. Administration is over the management and more over the money of the organization and licensing of an organization.

The verb *manage* comes from the **Italian** *maneggiare* (to handle — especially a horse), which in turn derives from the **Latin** *manus* (hand). The French word *management* (later *ménagement*) influenced the development in meaning of the English word *management* in the 17th and 18th centuries.

Management in business and human organization activity, in simple terms means the act of getting people together to accomplish desired goals. Management comprises **planning, organizing, resourcing, leading** or directing, and **controlling** an **organization** (a group of one or more people or entities) or effort for the purpose of accomplishing a goal. Resourcing encompasses the deployment and manipulation of **human resources, financial** resources, **technological** resources, and **natural resources**. Thus a good manager should be effective and efficient because may use the same resources and achieve the same target. Management can also refer to the person or people who perform the act(s) of management. Management operates through various functions, often classified as planning, organizing, leading/motivating and controlling.

**Planning:** deciding what needs to happen in the future (today, next week, next month, next year, over the next 5 years, etc.) and generating **plans** for action. (What to do?)

**Organizing:** (Implementation) making optimum use of the resources required to enable the successful carrying out of plans.

**Staffing:** Job analyzing, recruitment, and hiring individual for appropriate job.

**Leading/Motivating:** exhibiting skills in these areas for getting others to play an effective part in achieving plans.(To make individual work willingly in the organization)

**Controlling/monitoring** -- checking progress against plans, which may need modification based on feedback.

## Factors for the differences between administration and management

<i>Factors</i>	<i>Administration</i>	<i>Management</i>
Nature of work	It is concerned about the determination of objectives and major policies of an organization.	It puts into action the policies and plans laid down by the administration.
Type of function	It is a determinative function.	It is an executive function.
Scope	It takes major decisions of an enterprise as a whole.	It takes decisions within the framework set by the administration.
Level of authority	It is a top-level activity.	It is a middle level activity.
Nature of status	It consists of owners who invest capital in and receive profits from an enterprise.	It is a group of managerial personnel who use their specialized knowledge to fulfill the objectives of an enterprise.
Nature of usage	It is popular with government, military, educational, and religious organizations.	It is used in business enterprises.
Decision making	Its decisions are influenced by public opinion, government policies, social, and religious factors.	Its decisions are influenced by the values, opinions, and beliefs of the managers.
Main functions	Planning and organizing functions are involved in it.	Motivating and controlling functions are involved in it.
Abilities	It needs administrative rather than technical abilities.	It requires technical activities

## Managerial levels and hierarchy

<b>Top-level management</b>	<ul style="list-style-type: none"> <li>• Require an extensive knowledge of management roles and skills.</li> <li>• They have to be very aware of external factors such as markets.</li> <li>• Their decisions are generally of a long-term nature</li> <li>• Their decisions are made using analytic, directive, conceptual and/or behavioral/participative processes</li> <li>• They are responsible for strategic decisions.</li> <li>• They have to chalk out the plan and see that plan may be effective in the future.</li> <li>• They are executive in nature.</li> </ul>
<b>Middle management</b>	<ul style="list-style-type: none"> <li>• Mid-level managers have a specialized understanding of certain managerial tasks.</li> <li>• They are responsible for carrying out the decisions made by top-level management.</li> </ul>
<b>Lower</b>	<ul style="list-style-type: none"> <li>• This level of management ensures that the decisions and</li> </ul>

<b>management</b>	<p>plans taken by the other two are carried out.</p> <ul style="list-style-type: none"> <li>• Lower-level managers' decisions are generally short-term ones</li> </ul>
<b>Foreman / lead hand</b>	<ul style="list-style-type: none"> <li>• They are people who have direct supervision over the working force in office factory, sales field or other workgroup or areas of activity.</li> </ul>
<b>Rank and File</b>	<ul style="list-style-type: none"> <li>• The responsibilities of the persons belonging to this group are even more restricted and more specific than those of the foreman</li> </ul>

## Leadership Styles

From Mahatma Gandhi to Jack Welch, and Martin Luther King to Rudolph Giuliani, there are as many leadership styles as there are leaders. Fortunately, business people and psychologists have developed useful, shorthand ways of describing the main leadership styles. This can help aspiring leaders to understand and adapt their own styles, so that they can improve their own leadership.

Whether you are managing a team at work, captaining your sports team or leading a major corporation, your leadership style is crucial to your success. Consciously, or subconsciously, you will no doubt use some of the leadership styles featured, at least some of the time. By understanding these leadership styles and their impact, you can become a more flexible, better leader.

Leadership style: is the manner and approach of providing direction, implementing plans, and motivating people. Kurt Lewin (1939) led a group of researchers to identify different styles of leadership.

### The leadership styles we look at:

#### Autocratic Leadership

Autocratic leadership is an extreme form of **transactional leadership**, where a leader exerts high levels of power over his or her employees or team members. People within the team are given few opportunities for making suggestions, even if these would be in the team's or organization's interest. Most people tend to resent being treated like this. Because of this, autocratic leadership usually leads to high levels of absenteeism and staff turnover. Also, the team's output does not benefit from the creativity and experience of all team members, so many of the benefits of teamwork are lost. For some routine and unskilled jobs, however, this style can remain effective where the advantages of control outweigh the disadvantages.

#### Bureaucratic Leadership

Bureaucratic leaders work "by the book", ensuring that their staff follow procedures exactly. This is a very appropriate style for work involving serious safety risks (such as working with machinery, with toxic substances or at heights) or where large sums of money are involved (such as cash-handling). In other situations, the inflexibility and high levels of control exerted can demoralize staff, and can diminish the organizations ability to react to changing external circumstances.

## **Charismatic Leadership**

A charismatic leadership style can appear similar to a **transformational** leadership style, in that the leader injects huge doses of enthusiasm into his or her team, and is very energetic in driving others forward. However, a charismatic leader can tend to believe more in him or herself than in their team. This can create a risk that a project, or even an entire organization, might collapse if the leader were to leave: In the eyes of their followers, success is tied up with the presence of the charismatic leader. As such, charismatic leadership carries great responsibility, and needs long-term commitment from the leader.

## **Democratic Leadership or Participative Leadership**

Although a democratic leader will make the final decision, he or she invites other members of the team to contribute to the decision-making process. This not only increases job satisfaction by involving employees or team members in what's going on, but it also helps to develop people's skills. Employees and team members feel in control of their own destiny, and so are motivated to work hard by more than just a financial reward. As participation takes time, this style can lead to things happening more slowly than an autocratic approach, but often the end result is better. It can be most suitable where team working is essential, and quality is more important than speed to market or productivity.

## **Laissez-Faire Leadership**

This French phrase means "leave it be" and is used to describe a leader who leaves his or her colleagues to get on with their work. It can be effective if the leader monitors what is being achieved and communicates this back to his or her team regularly. Most often, laissez-faire leadership works for teams in which the individuals are very experienced and skilled self-starters. Unfortunately, it can also refer to situations where managers are not exerting sufficient control.

## **People-Oriented Leadership or Relations-Oriented Leadership**

This style of leadership is the opposite of **task-oriented** leadership: the leader is totally focused on organizing, supporting and developing the people in the leader's team. A participative style, it tends to lead to good teamwork and creative collaboration. However, taken to extremes, it can lead to failure to achieve the team's goals. In practice, most leaders use both task-oriented and people-oriented styles of leadership.

## **Servant Leadership**

This term, coined by Robert Greenleaf in the 1970s, describes a leader who is often not formally recognized as such. When someone, at any level within an organization, leads simply by virtue of meeting the needs of his or her team, he or she is described as a "**servant leader**". In many ways, servant leadership is a form of democratic leadership, as the whole team tends to be involved in decision-making. Supporters of the servant leadership model suggest it is an important way ahead in a world where values are increasingly important, in which servant leaders achieve power on the basis of their values and ideals. Others believe that in competitive leadership situations, people practicing servant leadership will often find themselves left behind by leaders using other leadership styles.



### **Task-Oriented Leadership**

A highly task-oriented leader focuses only on getting the job done, and can be quite autocratic. He or she will actively define the work and the **roles required**, put structures in place, plan, organize and monitor. However, as task-oriented leaders spare little thought for the well-being of their teams, this approach can suffer many of the flaws of autocratic leadership, with difficulties in motivating and retaining staff. Task-oriented leaders can benefit from an understanding of the **Blake-Mouton Managerial Grid**, which can help them identify specific areas for development that will help them involve people more.

### **Transactional Leadership**

This style of leadership starts with the premise that team members agree to obey their leader totally when they take a job on: the "transaction" is (usually) that the organization pays the team members, in return for their effort and compliance. As such, the leader has the right to "punish" team members if their work doesn't meet the pre-determined standard.

Team members can do little to improve their job satisfaction under transactional leadership. The leader could give team members some control of their income/reward by using incentives that encourage even higher standards or greater productivity. Alternatively a transactional leader could practice "management by exception", whereby, rather than rewarding better work, he or she would take corrective action if the required standards were not met.

Transactional leadership is really just a way of managing rather a true leadership style, as the focus is on short-term tasks. It has serious limitations for knowledge-based or creative work, but remains a common style in many organizations.

### **Transformational Leadership**

A person with this leadership style is a true leader who inspires his or her team with a shared vision of the future. Transformational leaders are highly visible, and spend a lot of time communicating. They don't necessarily lead from the front, as they tend to delegate responsibility amongst their teams. While their enthusiasm is often infectious, they can need to be supported by "detail people".

In many organizations, both transactional and transformational leadership are needed. The transactional leaders (or managers) ensure that routine work is done reliably, while the transformational leaders look after initiatives that add value. The transformational leadership style is the dominant leadership style taught in the "**How to Lead: Discover the Leader Within You**" leadership program, although we do recommend that other styles are brought as the situation demands.

### **Using the Right Style – Situational Leadership**

While the Transformation Leadership approach is often highly effective, there is no one "right" way to lead or manage that suits all situations. To choose the most effective approach for you, you must consider:

- The skill levels and experience of the members of your team.
- The work involved (routine or new and creative).
- The organizational environment (stable or radically changing, conservative or adventurous).

- You own preferred or natural style.
- Internal conflicts and Stress levels.
- How much time is available

A good leader will find him or herself switching instinctively between styles according to the people and work they are dealing with. This is often referred to as "situational leadership". For example, the manager of a small factory trains new machine operatives using a bureaucratic style to ensure operatives know the procedures that achieve the right standards of product quality and workplace safety. The same manager may adopt a more participative style of leadership when working on production line improvement with his or her team of supervisors. Although good leaders use all three styles, with one of them normally dominant, bad leaders tend to stick with one style.

### **How people work (Motivation theories)**

McGregor sees Theory Y as the preferable model and management method, however he thought Theory Y was difficult to use in large-scale operations.

### **Theory Z - Ouchi**

In 1981, William Ouchi came up with a variant that combined American and Japanese management practices together to form Theory Z, having the following characteristics: long-term employment - collective decision-making - individual responsibility - slow evaluation & promotion - implicit, informal control with explicit, formalized measures - moderately specialized career paths - and a holistic concern for the employee, including family.

## Theory X and Y Description

Douglas McGregor, an American social psychologist, proposed his famous Theory X and Theory Y models in his book 'The Human Side Of Enterprise' (1960).

Theories	Theory X	Theory Y
<b>Assumptions</b>	Humans inherently dislike working and will try to avoid it if they can.	People view work as being as natural as play and rest. Humans expend the same amount of physical and mental effort in their work as in their private lives.
	Because people dislike work they have to be coerced or controlled by management and threatened so they work hard enough.	Provided people are motivated, they will be self-directing to the aims of the organization. Control and punishment are not the only mechanisms to let people perform.
	Average employees want to be directed.	Job satisfaction is key to engaging employees and ensuring their commitment.
	People don't like responsibility.	People learn to accept responsibility and seek responsibility. Average humans, under the proper conditions, will not only accept, but even naturally seek responsibility.
	Average humans are clear and unambiguous and want to feel secure at work.	People are imaginative and creative. Their ingenuity should be used to solve problems at work.
<b>Application</b>	Shop Floor, Mass Manufacturing. Production workers.	Professional Services, Knowledge Workers. Managers and Professionals.
<b>Conducive to</b>	Large scale efficient operations.	Management of Professionals, Participative Complex Problem Solving.
<b>Management Style</b>	Authoritarian, Hard Management.	Participative, Soft Management.

NB: Think how the above theories can be or not applied in a given situation

## MODULE 2: Human Resource/ Personnel Management

**Human resource management** (HRM) is the **strategic** and **coherent** approach to the **management** of an organization's most valued assets – the people working there who individually and collectively contribute to the achievement of the objectives of the business. The terms "human resource management" and "human resources" (HR) have largely replaced the term "personnel management"

*Personnel management* is often used in a more restricted sense to describe activities that are necessary in the recruiting of a workforce, providing its members with payroll and benefits, and administering their work-life needs. Thus humans are an organization's greatest assets; without them, everyday business functions such as managing cash flow, making business transactions, communicating through all forms of media, and dealing with customers could not be completed. Human resource management works to ensure that employees are able to meet the organization's goals.

Bolton T (1995) argues that HRM is a body of management thought developed in the 1970's and early 1980s and can be linked to the coming together of a number of factors:

- industrial restructuring
- changes in international competition and
- customers

"Human resource management is responsible for how people are treated in organizations. It is responsible for bringing people into the organization, helping them perform their work, compensating them for their labors, and solving problems that arise" (Cherrington, 1995, and ensures that employees are able to meet the organization's goal. Human resources management comprises several processes. These processes can be performed in an HR department, but some tasks can also be outsourced or performed by line-managers or other departments.

### Characteristics of Human Resource Manager

- strategic fit (integration) the need to integrate business and HR strategies;
- coherence the need to adopt a coherence approach to the provision of mutually supporting and integrated HR policies and practices
- commitment –the need to gain the commitment of people to the organization's mission and values
- Treating people as assets or human capital to be invested in thorough training
- Corporate culture –the need for a strong corporate culture expressed in mission and value statements and performance management principles
- Unitary employees relations-the adoption of a unitaristic rather a pluralist approach with the emphasis on individual contracts rather than collective agreement.

- Management responsibility –they believe that HRM is an activity driven by top management and that performance and delivery of HRM is the business of line managers

**Differences between Human Resource and Personnel Management**

<b>HRM</b>	<b>Personnel management</b>
HRM emphasizes the participation of line managers	Personnel management emphasizes that management should be a preserve of personnel specialist
It is broader and resource centered	It is narrow and force centered
It is strategic i.e focuses on longer term interest of employees	It is short term and its focus is on welfare
It emphasizes on investment in people through training	Personnel management emphasizes less
It integrates business and human resource management	Personnel management does not.

**The core roles of human resource management are grouped below into three categories. The titles of the clusters are tentative, and are open for comment.**

**PLANNING AND ORGANISING FOR WORK, PEOPLE AND HRM**

- Strategic perspective
- Organization design
- Change management
- Corporate Wellness management

**PEOPLE ACQUISITION AND DEVELOPMENT**

- Staffing the organization
- Training & development
- Career Management
- Performance Management
- Industrial relations

**ADMINISTRATION OF POLICIES , PROGRAMMES & PRACTICES**

- Compensation management
- Information management
- Administrative management
- Financial management

The roles listed above are now described in terms of broad functions, activities and outcomes to illustrate more or less what the descriptions will look like once the Standard Generating Groups begin to work with each role in detail.

**Planning and Organizing for Work, People and HRM**

## STRATEGIC PERSPECTIVE

§ Develop Human Resource plans and strategies aligned to the organization's strategic direction, and business strategy. Provide tools and tactics to enhance execution of these strategies

§ Integrate HRM with current and pending legislation and socio-political changes.

§ Integrate Human Resource Management with general organizational management.

§ Manage the interface between HRM processes and systems.

§ Formulate and communicate HRM policies.

§ Act as the conscience of employer with respect to people issues.

§ Scan the environment (both international and national) and identify emerging trends that will affect the organization and the management of people therein.

§ Assess the long-term impact of short-term decisions on people.

§ Manage people related issues accompanying mergers, alliances and acquisitions.

§ Express (embody) the philosophy and values regarding people management in the organization.

## ORGANISATIONAL DESIGN

§ Analyze work processes and recommend improvements where necessary.

§ Recommend options for organizational design & structure.

## CHANGE MANAGEMENT

§ Advise management on implications of change for employees.

§ Co-ordinate & facilitate the change process.

§ Facilitate changed relationships.

§ Provide support structures for employees during change.

§ Deliberate and proactive management of the changing environment and its implications for work and the organization.

## CORPORATE WELLNESS MANAGEMENT

§ Develop and communicate policies and procedures with regard to the management of wellbeing

§ Manage occupational health and safety

§ Manage wellbeing (Employee Assistance programs & Health Promotion programs)

## People Acquisition and Development

### STAFFING THE ORGANISATION

As an example, each of the functions of this role is further unpacked in terms of activities.

Human Resource Planning (linked to strategic perspective)

- Determine long-term human resource needs.
- Assess current resources.
- Identify areas of need.

Determining requirements of jobs

- Appoint a representative committee with the task of conducting the job analysis.
- Decide on the use of job analysis information.
- Decide on the sources of job analysis information.
- Decide on the method for job analysis.
- Review the information.
- Based on the outcomes of the job analysis, write job descriptions and job specifications

#### Recruitment of staff for the organisation

- Develop & implement recruiting strategy bearing in mind relevant legislation.
- Decide whether recruitment will take place externally or internally.
- Select methods of the recruitment (for example job posting, personnel agencies & advertising)
- Engage in recruitment.

#### Selection of human resources

- Develop and implement selection strategy in line with relevant legislation.
- Select appropriate tools for selection.
- Validate selection tools in line with legislation.
- Provide selection short list for line management to make a decision.

#### Placement of staff

- Place staff in ways that will have the potential to benefit both organisation and employee

#### Induction and orientation

- Act as a facilitator for induction and orientation of new employees

#### Management of atypical employment situations.

#### Management of termination

- Advise management regarding the strategic implications of terminating employment relationships.
- Conduct exit interviews.
- Develop a plan to replace competence lost.
- Analysis of staff turnover and advise management on pending problems and corrective action (where necessary).

### TRAINING & DEVELOPMENT

§ Develop a training & development strategy according to the requirements of legislation and with the improvement of productivity and delivery as outcome.

§ Conduct a training needs-assessment including the assessment of prior learning and write training & development objectives based on the outcome thereof.

§ Conduct training & development.

§ Evaluate training & development with regard to the return on investment.

§ Promote training & development in the organisation.

### CAREER MANAGEMENT

§ Design and implement a career management program aimed at integrating individual aspirations and organisational needs & realities.

§ Manage career-related issues in the organisation for example women, affirmative action and management of diversity with attention to legislation in this regard.

§ Manage career-related issues surrounding organisational restructuring, downsizing & outplacement including provision of support.

## **Performance Management/Performance Appraisal**

According to (Casio, 1998) it is the systematic description of individual or group job relevant strength and weaknesses. Or a process of measuring and evaluating behaviour and assessing how well it matches expectations of the job. The method used to appraise employees varies from one organization to another.

### **Objectives of performance appraisals**

- They provide information that is helpful in selection for promotion and reward
- They set out job objectives and ways to achieve them
- They assess the effectiveness of the organizations selection process and instruments
- They provide feedback to employees on how they are performing and hence a means for career development
- Help in improving efficiency and identifying training needs, help in decision making regarding retirement, manpower planning, disciplinary cases.

### **There are two types of performance management**

- a) Open appraisals system, involves appraising employees with their full knowledge and participation in the process. This enables employees influence of the outcome and gives them opportunity for explanation regarding their rating
- b) Closed appraisal system where the employee is given a form to fill his particulars like date of birth, qualifications, number of children, then the form is returned to the personnel or HRM.

### **The appraisal cycle involves the following**

- Planning i.e. establishing the standards and agreed upon by supervisor and job holder
- Monitoring-supervisor continuously assesses how his staff gets on during the year, encouraging, reviewing, motivating, and giving supportive ideas



- Reviewing,
- Communication where the manager discusses with his staff and communicates the achievements and aspirations as at the appraisal interview where goals were set
- Design and implement a performance management system linked to relevant HRM systems and aimed at contributing directly to the business strategy.
- Assess performance.
- Use outcome of performance assessment as the basis for decision-making in areas mentioned in point 1.
- Management of individual as well as collective labour (organisational) performance.

## INDUSTRIAL RELATIONS

- § Develop and communicate industrial relations policies and procedures in line with legislation.
- § Involvement in grievance and disciplinary hearings
- § Lead negotiations (where necessary).
- § Implement termination procedures
- § Assessment and management of organizational climate and employee relations
- § Liaison with trade unions
- § Implementation of outcomes of collective bargaining and negotiation

## Administration of Policies, Programmes & Practices

### COMPENSATION MANAGEMENT

- § Develop compensation strategies and policies in line with legislation and the organization's business strategy.
- § Attach meaningful monetary values to posts in the organization ensuring that the organization's compensation is in line with market forces (this may be by means of traditional job evaluation or other methods such as skill or competency based pay).
- § Develop appropriate compensation systems for the organization.
- § Manage overall labour costs.

### INFORMATION MANAGEMENT

- § Provide current information regarding employees to be used in the decision-making process and measurement of HRM's contribution to the organization.

- § Advise management regarding trends emerging from the data.
- § Conduct HRM research with the aim of solving problems in the organization.

#### ADMINISTRATIVE MANAGEMENT

- § Provide integrated HRM administration that is speedy & cost effective to receiver & administrator.
- § Integrated employee data management

#### FINANCIAL MANAGEMENT

- § Manage the budget for HRM functions (Training and development, IR compensation, Employment Equity).
- § Negotiate maximal funds for HR.
- § Add value to the organization by demonstrating a sound understanding of the complexity of business.
- § Measure the financial impact of human resource systems

**Workforce Planning:** In this time of budget cuts, downsizing, and an aging Federal workforce, workforce planning becomes extremely important to increasing agencies' overall ability to achieve their missions. Although few agencies have strong workforce planning systems in place, some are beginning to take steps in this direction. The Department of the Army has an automated civilian forecasting system that uses 15-year workforce data trends to project future employment patterns, up to 7 years. This is part of a developing workforce planning initiative. SSA has developed a methodology to predict the number of actual

### Placement and Induction

**PLACEMENT** is the process by which a new employee is assigned the job for which he was selected. It usually begins with a probationary period. This period enables employee and employer to evaluate each other. At the end, the organization decides whether to retain and confirm employees or not. The employee like wise can determine to stay or leave

**INDUCTION;** Means introducing new employees to their jobs and the organization as whole. Company rules and regulations are given and employee is told how his job affects the performance of other units and entire organizational performance.

#### Induction process should entail the following

- **Information-** new employee must be informed about his duties and responsibilities vis a vis the organization and vice versa. This helps clear his/her doubts so that he can function intelligently.
- **Assistance-**All assistance in understanding the goals of the organization or developing attitudes and skills should be provided to ease adjustment.
- **Acceptance** –To generate goodwill and cooperation among his colleagues the new employee should be introduced. Helps him feel at ease in his new environment.

- **Assimilation**-New employees need to be encouraged to develop a positive attitude towards the system, its purposes, policies, procedures and personnel.

Generally, in small organizations—those with fewer than a hundred employees—there may not be an HR department, and so a line manager will be responsible for the functions of **HRM**. In large organizations—those with a hundred employees or more—a human resource manager will coordinate the HRM duties and report directly to the chief executive officer (CEO). HRM staff in larger organizations may include human resource generalists and human resource specialists. As the name implies, an HR generalist is routinely involved with all seven HRM functions, while the HR specialist focuses attention on only one of the seven responsibilities

It is necessary to understand the job analysis. An essential component of any HR unit, no matter the size, is the *job analysis*, which is completed to determine activities, skills, and knowledge required of an employee for a specific job. Job analyses are "performed on three occasions: (1) when the organization is first started, (2) when a new job is created, and (3) when a job is changed as a result of new methods, new procedures, or new technology" (Cherrington, 1995).

Jobs can be analyzed through the use of questionnaires, observations, interviews, employee recordings, or a combination of any of these methods. Two important tools used in defining the job are (1) a *job description*, which identifies the job, provides a listing of responsibilities and duties unique to the job, gives performance standards, and specifies necessary machines and equipment; and (2) the *job specification*, which states the minimum amount of education and experience needed for performing the job (Mondy and Noe, 1996).

### **MODULE 3: Procurement Management**

Procurement can be defined as the purchase of merchandise or services at the optimum possible total cost in the correct amount and quality. These goods and services are also purchased at the correct time and location for the express gain or use of government, company, business, or individuals by signing a contract.

#### **Basic Concepts in Procurement**

**Back Charge:** Cost of corrective action by purchaser and chargeable to the supplier under terms of the contract.

**Bid Protest:** Allows an unsuccessful supplier an opportunity to protest the award of a government contract to another supplier.

**Bill of Lading:** A receipt issued by a carrier for merchandise to be delivered to a party at some destination.

**Constructive Change:** Occurs when the PM's conduct enables performance differing from that prescribed by the contract. The PM's conduct in effecting constructive change may either be affirmative or a failure to act. Not part of change control of contract: For instance, if final product performs better than

standard specified in contract, or if the PM increases the quality over and beyond what's stated in the contract.

Contract: A legal document of purchase or sale which is binding on both parties. When entering into a contract, the people involved must have **legal capacity** to do so. (the definition of legal capacity varies from state to state). **Consideration** must be provided to both parties (in other words, there must be sufficient cause to contract). There must be **mutual assent**.

Invitation for Bid (IFB): PMBOK equates this with Request for Proposal and recognizes that it may have a more specific meaning in certain application areas. (appropriate for high dollar, standard items.)

Low-ball: In order to get an award, a contractor may submit a bid that's unrealistically low.

Pink Team Review: A seller responds to an **RFP** by developing a proposal. For sanity purposes, the proposal is passed through the pink team once the outline is completed. The pink team looks at the outline through the perspective of the buyer. The purpose of the team is to catch problems with the proposal in the early stages.

Price Forecast: Based on information gathered and analyzed about demand and supply. This forecast provides a prediction of short and long term prices and the underlying reasons for those trends.

Red Team Review: Once the proposal is in draft form, it passes through a red team which again looks at the proposal through the buyer's perspective.

Reformation: A judicial remedy by which a court interprets the contract so as to express the real intention of the parties (this is different from changes to the contract)

Request for Proposal (RFP): A type of bid document used to solicit proposals from prospective sellers of products or services. In some application areas, it may have a more specific meaning. (appropriate for high dollar, non-standard items).

Request for Quotation (RFQ): PMBOK does not distinguish between RFQ and RFP. However, PMBOK does recognize that some application areas have a more specific meaning for RFQ (appropriate for low dollar items such as supplies and materials).

Statement of Work (SOW): Describes the portion of the product to be contracted. In general, this is different from the product description (which tends to be more broader). Under the circumstance where the seller is producing the entire product, the distinction between SOW and the product description becomes moot. Government terms: SOW is reserved for a procurement item that is a clearly specified product or service, and Statement of Requirements (SOR) is used for procuring an item that is presented as a problem to be solved.

**Procurement:** The purchasing of goods works and related services and consulting services.

**Management:** The development and use of entrusted and planned resources so as to produce the required results or coordination of human and material resource towards objective accomplishment.

**Contract:** An agreement between 2 or more parties where by each party promises to do or not to do something OR a transaction involving 2 or more individuals, whereby each has the reciprocal rights to demand performance of what is promised. The promise is enforceable by law and incorporates remedial rights.

**Bid:** Synonymous with tender' an offer to supply goods or works conforming to particular specifications.

**Evaluation:** Is a procedure used to assess bids for goods and works contracts in accordance with the assessment criteria to select the lowest evaluated bid for contract award. Also a procedure used to establish the ranking of consultants proposa1 applying evaluation criteria.

**Evaluation Criteria:** Detailed standards to judge the consultants proposals for the purposes of Selecting the best qualified consultants. Also Specifications, standards, requirements etc specified in bidding documents for use in determining the lowest responsive evaluated bird

**Evaluation committee:** Committee selected to evaluate bids or consultants proposals according to the specified evaluated criteria.

**Guidelines:** These are the policies, practices and procedures that specify the procurement of goods, works and related services and separately leads to the selection of consultants.

**Pre-qualification:** A formal procedure for screening potential bidders prior to invitations to bid on the basis of experience, resource capacity, and financial standing.

**Post qualification:** A procedure applied after bids have been evaluated to determine whether the lowest evaluated bidder has the capability and resources to carry out the contract effectively.

**Responsive bid:** Is one that conforms to all the terms, conditions and specifications of the bidding documents without material deviation or reservation.

**Goods:** A generic expression used to denote a particular category of items eg. raw materials, commodities, machinery. spare-parts, equipment, manufactured articles etc.. that are normally delivered in finished condition to specified technical or functional standards.

## **Definitions of logistics management:**

**1. Logistics management** is that, part of the supply chain process that plans, implements and controls the efficient *flow* and storage of good, services and related information from the point of origin to the point of consumption in order to meet customers requirements (CLM 1998).

**2. Logistics management is** defined as the process of strategically managing the acquisition, involvement and storage of materials, parts and finished inventory (and the related information flows) through the organization and its marketing channels in such a way that current and future profitability is maximized,

through the cost effective fulfillment of order (Lysons 2000): 47 quoting Gattorna 1994).

3. **Logistics management in every real sense is management.** The design of a system and accompanying operating policies to permit effective flow as well as the control coordination of that flow on an ongoing basis are the essential concerns of the logistics manager (Shapiro and Heskett (1985).

NB: A supply chain is a network of supplies and customs in which any business operates.

### **Functions of Logistics (Waters 1996)**

- Procurement and Purchasing
- Traffic and transport
- Receiving
- Warehousing and stores
- Inventory control
- Materials handling
- Shipping
- Distribution
- Location
- Communication

### **Importance of Procurement Management**

Procurement Management is very important -: not only projects but also organizations as well. This is because;

- Procurement planning is crucial for the timely and efficient implementation of a project
- It can and frequently does, require and consume significant inputs of professional expertise.
- Procurement can affect time, scope and cost for the project. This may affect the success of the project.
- A very high proportion of the project activities are provided by resources external to the client organizations.
- Modern management in private and public sector is increasingly emphasizing out sourcing, which means procurement management will continue to gain significance. Likewise the new requirement at local government level for district tender boards since 1997 through *Local Government Act*, prior to which tenders were exclusive to the central government.

#### **NOTE:**

#### **1) Planning for implementation of a project involves**

- a) Developing a work plan;
- b) Identifying the project elements
- c) Including how they would be carried out;
- d) Defining necessary resources:
- e) Determining the scheduled time for each e.g. high school. Construction project

#### **2) Planning for Procurement of a Project starts at the project design stage and comprises of:**

- a) A listing of the various works, consulting services and goods to be procured.
- b) An' Implementation table or bar chart indicating key dates (initial, intermediate and final) for each activity.
- c) A determination of the lead time required for each activity with is the time interval required between the first decisions on a specific procurement and when that procurement would be needed during the actual implementation of the project.
- d) Development of a monitoring system to ensure timely procurement decisions and where necessary, the appropriate follow-up actions, which should occur like in any other project.

### **3. The legal framework governing public procurement in Uganda includes**

- a) Constitution of Uganda (1995)
  - Chapter 9 Finance
  - Chapter 149 — Public finance Act
  - Article 163 — Office of Auditor General
  - Article 119 Functions of Attorney General
  - Chapter 13 — Inspectorate of Government
- b) Local Government Act of 1997 (as amended in 2001)
- c) the local government financial I and A counting Regulations of 1998
- d) Public Procurement and Disposal of Public Assets Act 2003
- e) International Laws relating to procurement that include- Agreement on Government Procurement (GPA) World Bank Guideline.

#### Tasks of Stakeholders in Procurement

A manager has key tasks in procurement. These include:

1. Hire (if not already assigned) and supervise procurement staff'.
2. Review National Procurement requirements and those of financing institutions.
3. Establish procurement strategy in collaboration with procurement specialist
  - Review deliverables and identify items for procurement.
  - Decide on methods of procurement (e.g. national, international).
  - identify donor requirements and incorporate those requirements in the plan.
  - Select the appropriate type of contracts.
  - Decide how the total procurement will be divided into separate contracts.

Prepare a schedule of procurement

4. Supervise preparation of necessary procurements (announcements, letters, invitation to bid etc.)
5. Supervise planning and execution of bidding and selection process.
6. Supervise process of evaluating bids.
7. Supervise preparation and negotiations of contracts.
8. Supervise creation of procedures for management of contracts and disbursement of funds.

#### Role of Procurement specialists

- 1) Plans procurement strategy
- 2) Ensures bid procedures are followed and conform to legal requirements.
- 3) Modifies procurement plan to take new conditions into account.
- 4) Opens bid documents.

5) Evaluates bids.

## Principles of Procurement

There are basically four general principles that apply to all types of procurement.

**1) Transparency:** Transparency relates to having: procurement process that is clearly defined and open to observation by both the participants and the general public. It is a way of helping ensure that public money is well spent and fairly allocated. In life, what we do with our own money is our business, but what we do with public money and how we spend public money is the government business. Hence, when we procure with public money, we are bound by government rules which have been developed to ensure that, not only are public funds wisely spent, but that citizens *perceive* that they are wisely spent.

**2) Value/Economy:** Cheapest is not always the best. Procurement methods should ensure that public gets the best overall value for its purchase. This means considering total cost of ownership, not just initial price during procurement. - 'Everyday experience' teaches that the cheapest is not always the best, or more exactly, the cheapest in first instance is not always the cheapest in the long run. -, The methods we adopt. Should ensure that we achieve the best overall value for the money that we spend.

**3) Accountability:** The public expects officials to spend its money wisely and officials may have to account to the public for their actions. Accountability involves recognition that one should be responsive and careful with public funds and be able to explain why and how public funds are *spent*.

**4) Risk:** In procurement process. If the bidders of the potential suppliers of consulting services or goods perceive a risk that they may have to bear their bids or offers will reflect that perception. As perceived risks become higher the bids or offers will become higher as the perception of risks becomes lower, bids or offers will lower. Remember that it is the risk as perceived by the potential bidders and suppliers that are important not the risk as perceived by the client or government department. Bidding documents should be prepared so that the risks as perceived by the potential bidders or suppliers are minimized. Bidders will increase their bids to take into account increased perception of risk (and Vice versa)

### Types of Procurement

The term procurement can relate **to** works, consulting services or goods. Each of these (works, consulting services or goods) has distinct and different characteristics that determine how each one is procured.

#### **1) Civil Works have the following characteristics**

- Above ground components; whose quantities are known with certainty at bidding
- Sub-surface conditions; whose quantities are known only approximately at bidding can be specified completely.
- Works include construction of large buildings. roads. ports. dams, large irrigation systems, airports. tunnels, power stations, canals, pipelines etc. What is required for civil works can be specified unambiguously - in bidding documents, estimated quantities for the *various* items of work can be entered and all bidders can bid on the basis of the same specifications and the same estimated quantities and no judgment on their part is required. Therefore civil works are normally



procured on the basis of competitive priced bidding.

## 2) Consulting Services

Consulting services can include a broad range of activities from e.g. engineering design to accounting services. Here the client attempts to buy certain attributes that are very important but difficult or even impossible to state in measurable terms and which would therefore be difficult to quantify. Attributes in this category include; skill experience maturity, leadership etc. which are human attributes and have to be assessed judgmentally. 'When we procure consulting services we buy; skills. Experience, leadership, knowledge, maturity etc. It is normally difficult to define the product clearly, so no basis exists for competitive bidding.

Therefore the desirable approach is to procure consulting services by inviting the prospective suppliers of the consulting services to propose individuals or teams on the basis of the client specification of the work required. The proposals that are submitted are reviewed on the basis of their quality and the proposal with the best quality is selected and contract is negotiated. Works and consulting services are procured by almost diametrically opposite procurators: Works are Definable while Consulting Services are not definable in quantitative. Works are procured on the basis of competitive bidding while services are on the basis of quality.

**3) Goods** is generic expression used to denote a particular category of items included in projects such as raw materials, commodities, machinery & components, spare-p arts, equipment petro chemicals, manufacture articles etc that are normally delivered in conditions to specified technical and functional standards

1) Competitive Bidding  
Categories/Methods for Procurement

**1. Competitive Bidding:** This can be international (full), limited international or national.

This is the bidding where competition is mainly based on price. All bidders would be competent to execute the- proposed work (*i.e* their bids comply fully with- the bidding conditions) then the work/tender is awarded to the lowest bidder. All bidders are provided with bidding documents relating to same specifications and same quantities.

**2)-International and Local Shopping:** This method is based on a comparison of price quotations obtained from a few suppliers. This is appropriate- when procuring off-the shelf', items such as personal computers. Usually three quotations should be obtained to ensure competitive prices

**3) Direct Contracting:** This is the purchase without competition and is used *when* an existing contract for goods (procured by other methods) is extended to obtain additional, similar goods. Direct contacting can be used when the required goods are proprietary and are available from only one source, It may also be used when need for fast delivery of goods exists such as when an emergency occurs (although shopping is preferred) .

**4) International Competitive Bidding (ICB):** This method of procurement is generally considered to be the most desirable and is preferred for procurement enhanced by the International Development Institutions such as World Bank- and

IMF-.

## **Procurement Planning**

- Process of identifying which project needs can be best met by procuring products or services outside the project organization. Involves knowing whether to procure, how to procure, what to procure, how much to procure, and when to procure.
- *Input includes:*
  - Scope statement
  - Product description
  - Procurement resources
  - Market conditions
  - Other planning Output
  - Constraints
  - Assumptions
- *Methods include:* make-or-buy analysis, expert judgment, and contract type selection (fixed, cost reimbursable, etc.).
- *Output includes:* Procurement management plan and statement of work (SOW) for each planned contract.

## **Solicitation Planning**

- Process of preparing documents needed to support solicitation.
- *Input includes:* procurement management plan, SOW's, and other planning Output.
- *Methods include:* standard forms and expert judgment.
- *Output includes:*
  - Procurement documents such as IFB's, RFQ's, and RFP's.
  - Evaluation criteria: the criteria that will be used to rate or score proposals. The criteria may be subjective or objective.
  - Statement of work updates.

## **Solicitation**

- The process of obtaining information (bids and proposals) from prospective sellers on how project needs can be met.
- Most of the actual effort in this process is expended by the prospective sellers, normally at little or no cost to the project.
- *Input includes:* procurement documents and qualified seller lists.
- *Methods include:* bidders conferences and advertising.
- *Output includes:* Proposals prepared by the sellers explaining how the seller can provide the requested product or service.

## ***Source Selection***

- The process of receiving the bids and proposals from the sellers and applying the evaluation criteria to select a provider.
- *Input includes:* proposals, evaluation criteria, and organizational policies.
- *Methods include:*
  - **Contract negotiation.**
  - **Weighting system:** A method for quantifying qualitative data in order to minimize personal prejudice on source selection.
  - **Screening system:** Involves establishing minimum requirements of performance for one or more of the evaluation criteria. For example, the seller project manager must be certified before the remainder of the proposal would be considered.
  - **Independent estimates:** The procuring organization may prepare its own estimates as a check on proposed pricing. These estimates are generally referred to as *should cost* estimates.
- *Output includes:* Contract.

## ***Contract Administration***

- The process of ensuring that the seller's performance meets contractual requirements.
- *Input includes:* contract, work results, change requests, and seller invoices.
- *Methods includes:* contract change control system, performance reporting, and payment system.
- *Output includes:* correspondence, contract changes, and payment requests.

## ***Contract Closeout***

- The process of completing and settling the contract including any resolution of open items.
- *Input includes:* contract documentation.
- *Methods include:* procurement audits.
- *Output includes:* contract file and formal acceptance and closure.

## ***Contract Origination***

*Unilaterally:*

- Common form for contract is a relatively simple type of document called a purchase order.
- A purchase order is used when routine, standard cost items are needed.
- A purchase order is legally binding and should be specific.

*Bilaterally:*

Procurement documents are used to solicit proposals from prospective sellers. The procurement document then becomes the basis for the seller's proposal. The following are examples of procurement documents

## **MODULE 4: Communication Skills**

It's a Process of passing information from one person to another. However, communication goes beyond just passing on information, it involves dialogue, transmitting and sharing ideas, opinions, facts and information which should be perceived and understood by the receiver. Here, there is meaningful interaction among people and thoughts are transferred from one person to another and the value and meaning are still the same between the two communicating. What can be shared in communication?

- Feelings
- Attitudes
- Opinions
- Facts
- Beliefs
- Hopes
- Knowledge Etc

For management to perform its functions successfully there must be effective communication. Many operations fail because of poor communication, misunderstood messages and unclear instructions. Thus communication is a two way system by which one can communicate with people and not two people. Similarly, each person communicates constantly by what he or she says and does not say and by what he/she does and does not do.

### **One way and two way communication**

This is the communication where information flow is from only one source. It involves directions, orders, no questions as a result the sender is seen as a dictator and the receiver looks a fool, disturbed, powerless, loses respect and confidence, gets bored etc. however, there is one way communication from religious bodies.

### **Two way communications**

This is a system of communication where the sender and the receiver exchange views, ideas and discuss openly and freely. This communication involves asking questions, arguments and the decision is reached at. This is the most effective communication and it creates mutual understanding, confidence, trust, friendship and hope among the communicators. This duo/multi-communication is called

dialogue where as the one way system is monologue communication system.

## **Learning to listen**

Learning is one of the most challenging practices that must be done by anybody claiming to be a good communicator. It involves and demands 'whole self' mentally/psychologically and physically.

## **Qualities of a good listener**

- Respectful
- Accepting
- One who shows interest in the topic
- One maintaining eye contact
- Openness
- Humble, compassionate
- Accommodative
- Ready to surrender ill formed opinions etc

## **Barriers to listening**

- Difficult language
- Boring speaker
- Proud speaker
- Unclear message
- Long statements
- Noises
- Too many ideas at a time.

## **Objectives of communication**

- To develop information and understanding among all workers
- To foster any attitude necessary for motivation, co-operation and job satisfaction
- To discourage misinformation, ambiguity and rumours
- To prepare workers for a change in methods of environment by giving them the necessary information in advance.
- To encourage subordinates to supply ideas and suggestions for improving upon the product of work environment
- To improve labor management relations by keeping the communication channels open.
- To encourage social relations among workers by encouraging inter-communication.

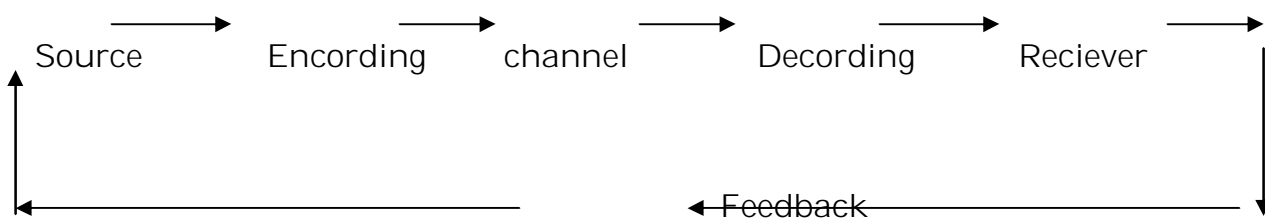
## **Levels of communication**

1. **Intrapersonal communication.** This is the communication with in oneself. It is this type of communication that enables one to formulate what to

communicate to other people. This type of communication is in form of dreams, personal research and intuitive thinking. After the message has been formulated, then it is packed for dissemination.

2. **Interpersonal communication** is the communication between two people. This takes place in everyday life. Two people conversing on phone, on face to face etc .In this type of communication, various forms are applied; these are verbal and non verbal as well as written communication. Care should be taken to avoid the common mistakes. These are poor handwriting, use of jargon which is not known to the other person, signs and symbols should be chosen carefully with culture in mind and the list is endless.
3. **Group communication** should be divided into small group (about 3 to 10 people) and a large group(over 10 people).This communication should thoroughly be researched and barriers to communication be taken into account. This communication is in form of group discussions, religious congregations, meetings etc. the difference between group communication and mass communication is the former can have a rapport with the audience and receive a faster feed back than the latter.
4. **Mass communication** is the communication to a larger audience normally not known to the communicator. this type of communication is done through news papers, radio programs, television etc.

#### Model of communication process



**The sender** is the source of the message and originates the message or thought or idea and initiates the process of communication. The sender has a purpose and reason or desire to send information to somebody.

**Encoding** which is transforming into symbols. The idea or thought transformed into symbols in form of words, gestures with the same meaning

**Message:** what the source has encoded, it may be oral, written or felt by touch.

**Channel** the way the message can be transmitted; this may be on paper, telephone, cameras and videos for visual. For communication to be effective the sender must choose the appropriate channel

**Decoding** or interpretation: the receiver interprets and translates into meaningful information. Thus communication is effective if the receiver decoding matches with the sender's intended message and meaning

**Receiver:** one who receives the message from the sender (analyzing and acting feedback?)

**Feedback** (Decision and Action) the only way to confirm that the message has been transmitted

## **Types of communication**

The most common types of communication are Verbal, nonverbal and written.

**Verbal communication:** this done by mouth, spoken words in a language that is understood by the person one is communicating with. It is face to face interaction through formal and informal contacts, conversation, interviews, discussions and talks, video-conference etc

### **Advantages**

- direct, simple, time saving ,and least expensive
- allows for feedback and spontaneous thinking
- helps in avoiding delays and other formalities
- conveys personal warmth and friendliness
- misunderstanding can be cleared

### **Disadvantages**

- Non formal record of transaction
- Distortion can occur if verbal message is passed along the hierarchical chain of command
- Length and distant communication can not be effectively conveyed
- Perception may be different from the intended message.

### **Non verbal communication**

The messages are conveyed through body language. These are gestures such as: body movements, eye movements/contacts, hand signal, head nodding or shaking and facial expression.

## **Written communication**

Communication is put down in writing. The written words are in form of mails, reports, minutes, rules and regulations, bulletin.

### **Advantages**

- Serves as evidence of events and proceedings
- Provides permanent record for future references
- Reduces possibility of misunderstanding and misinterpretations

- Time saving when contacting many people
- Reliable for transmitting lengthy statistical data
- Appears formal and authoritative for action
- Can be checked for accuracy unlike verbal communication

### **Disadvantages**

- Time consuming for lengthy reports
- No immediate feedback opportunity to ensure the receiver understood the message
- Written material may leak out before time, causing disruption in its effectiveness
- Leads to excessive formalities in personal relations.

### **Characteristics/ qualities of good communication**

- Relevant for its purpose
- Sufficiently accurate for its purpose
- Complete enough for the problem
- From a source in which the user has confidence
- Communicated to the right person
- Communicated in time for its purpose
- That which contains the right level of detail
- Communicated by an appropriate channel of communication
- That which is understandable by the user.

### **Barriers to Effective Communication**

Communication must be interpreted and understood in the same way which was intended by the sender. Otherwise, it will give a different result and there will be a communication breakdown. However, there are some bottlenecks to effective communication and they are below:

#### **Noise Barriers**

It is any external factor, which interferes with the effectiveness of communication. It does so by destructing, blocking part of the message or diluting the strength of communication e.g. accents, poor/ illegible writing, poor picture quality, actual physical noise.

- a) Semantic barriers .differences in interpretations of words and symbols. Poor choice of words, wrong words and commas, spelling mistakes.
- b) Feedback barriers
- c) Cultural barriers ; It happens because of cultural differences in an organization like in multi-national company
- d) Perception ;relating to the process through which we receive and interpret information from our environment and create a meaningful word out of it
- e) Stereotyping, basing on a single trait, having similar perception
- f) Lack of sender credibility



- g) Use of mult-meaning words
- h) Lack of access to the right channel
- i) Language barriers
- j) Unclear message
- k) Interruption
- l) Overloaded or long messages
- m) Intermediaries in the communication process
- n) Disinterest from the listener
- o) unnecessary information
- p) Joking, anger, silence, false agreement etc

### **How to Overcome the Communication Barriers**

- Feedback –reduces misunderstanding and shows that information is accurate. It is a two way communication process.
- Improve listening skills- listening is a very important part of the communication process. and it is an active mental process, which goes beyond hearing it leads to better understanding and good relationship with each other
- Develop writing skills-be precise and clear. clear messages reduces semantic perception barriers, eliminates misunderstanding and misinterpretation
- Avoid credibility gaps- there must be an understanding between managers and subordinates.

### **Guidelines for Effective Communication**

- The ideas and messages should be clear, brief and precise
- Sense of timing
- Integrity
- Consult with others who are involved in planning the communication
- Be prepared to help the receiver
- Mode of delivery
- Use proper follow-up
- Communication should be comprehensive

### **To be a successful communicator**

- Use your voice effectively
- Know your subject
- Know what you want to say
- Prepare your message carefully
- Arrange your points logically
- Display interest and enthusiasm
- Sound convincing and sincere

### **How To Record Useful Meeting Minutes**

Do your hands cramp up at the thought of recording meeting minutes? Do you

question what information you should record and what you should leave out? You're not alone. Most of us have sat through a meeting madly scribbling what we thought. "were minutes only to find out later that & e missed essential information or that the notes were never used.

### **Why Meeting Minutes Matter**

Don't give up, meeting minutes are important. They capture the essential information of a meeting - decisions and assigned actions. They keep attendees on track by reminding them of their role in a project and clearly define what happened in a group session. How many times have your colleagues been confused or in disagreement about what happened in a meeting? With minutes to refer to, everyone is clear. What most people don't know is that meeting minutes shouldn't be *an exact recording of everything that happened during a session*. Minutes are meant to record basic information such as the actions assigned and decisions made. Then, they can be saved and used for reference, or background material for future meetings relating to the same topic.

### **Helpful instructions to take useful and concise meeting minutes**

#### **a) Before the Meeting:**

- i. If you are recording the minutes, make sure you aren't a major participant in the meeting; you can't perform both tasks well.
- ii. Create a template for recording your meeting minutes and make sure you leave some blank space to record your notes. Include the following information:
  - Date and time of the meeting
  - The purpose of the meeting
  - The meeting lead or chair's name
  - Assigned action items
  - Decisions made
- iii. Before the meeting, gather as much information from the host as you can. Ask for a list of attendees, as well as some information on the purpose of the meeting. This way you won't need to scramble to understand what's going on while you're recording notes.
- iv. Decide how you want to record your notes. If you aren't comfortable relying on your pen and notepad, try using a tape recorder or, if you're a fast typist, take a laptop to the meeting.

#### **b) During the Meeting**

- i. As people enter the room, check off their names on your attendee list. Ask the meeting lead to introduce you to a meeting with attendees you aren't familiar with. This will be helpful later when you are recording assigned tasks or decisions.
- ii. Don't try to record notes verbatim — if not necessary. Minutes are meant to give an outline of what happened in the meeting, not a record of who said what. Focus on understanding what's being discussed and on recording what's been assigned or decided on.
- iii. Record action items and decisions in your template as they happen — don't wait until after the meeting to pull them out of your notes or you could make a mistake. If you don't understand exactly what decision has been made or what

action has been assigned ask the meeting lead to clarify.

### **c) After the Meeting**

i. Review the notes and add additional comments, or clarify what you didn't understand right after the meeting. Do this while the information is fresh in everyone's mind. Type your notes out in the template you created before the meeting — this will make the notes easier for everyone to read and use. When you're writing out your notes, use some of the following tips from the International Association of Administrators and Professionals (IAAP).

ii. Number the pages as you go so you aren't confused later. Remember, though, that the minute-taker is responsible for providing good flow. Don't force yourself to write the minutes in the actual chronological order of the discussion - it may not work. - Focus on action items, not discussion. The purpose of minutes is to define decisions made and to record what actions are to be taken by whom and when.

iii. Be objective. Write in the same tense throughout and avoid using people's names except for motions or seconds. This is a business document, not about who said what.

- Avoid inflammatory or personal observations. The fewer adjectives or adverbs you use, the better. Dull writing is the key to appropriate minutes. - If you need to refer to other documents. Attach them in an appendix or indicate where they may be found. Don't rewrite their intent or try to summarize them. When you finish typing the minutes, ask the meeting lead to review the document for errors. Send the final copy of the minutes to attendees right away. Keep a copy of the notes (and the template) for yourself in case someone wants to review them later.

iv. Recording meeting minutes ensures that the decisions and actions resulting from a meeting aren't lost or forgotten. By taking the time to record proper meeting notes you'll make sure the time and effort that goes into a meeting isn't wasted.

### **Writing A Report**

A report is information which has been thoroughly researched and presented in an orderly manner either orally or in written form. An oral report is simple and brief It is presented by word of mouth. However, the way one communicates here plays a very important role for it can easily be denied or misinterpreted. A written report on the other hand is a record of what has taken place. It can be short or long, can be kept as a permanent record and there is no fear of distortion. What has been documented cannot be denied.

#### **Qualities Of A Good Report**

Is about one clearly defined subject

- Is accurate and up to date
- Includes everything the reader needs to know
- Omits irrelevant information
- Is easy to read and understand Is clearly presented
- Follows the required format -Is written in a concise and simple style
- Is well organized and logical in its structure
- Does not contain too much jargon or technical detail

## **Presentation**

- A report should be easier to read than an essay or article
- Will probably be read by several people Needs to be read quickly
- Needs to show links and connections
- Needs to be referred to quickly
- Will not always be read from start to finish
- Headings Numbering/indexing Layout indentations and spacing Typeface - plain or bold, underlined
- Be consistent

## **Style And Tone**

- Factual • Objective
- Impersonal - passive constructions. the files were examined"
- Avoid personal pronouns, I, we, you
- Neutral no emotive words or expressions

## **Language**

- Accurate
- Formal, appropriate
- Clear, unambiguous
- Simple
- Precise

## **Key Checklist**

- Does it fulfill its purpose?
- is the structure correct?
- is all the information in the right selection?
- Is it set out properly and clearly
- Is its overall progression logical -Is it easy to read and follow?

## **MODULE 5: Project Planning / the Project Cycle**

### **What is a project?**

A project is a set of activities with a definite beginning and ending point. The activities must be done in a particular order and they take place in real time. The key concept that differentiates project planning from other types of planning is that the project is a one-time occurrence, an occurrence that will not be repeated daily.

A project is set of activities that must be coordinated and managed to achieve a specified objective. A project is time bound and is designed to deliver measurable benefits to a specified target group. Projects are the practical interventions that

are designed to link policy and program objectives to problems faced by a particular group of beneficiaries. Program is mostly designed by a government or big organization (institutions). Therefore programs are bigger than projects (projects subset of program)

### **Characteristics of a project**

- Its time bound
- Must have targets to achieve (objectives)
- Must have a Budget

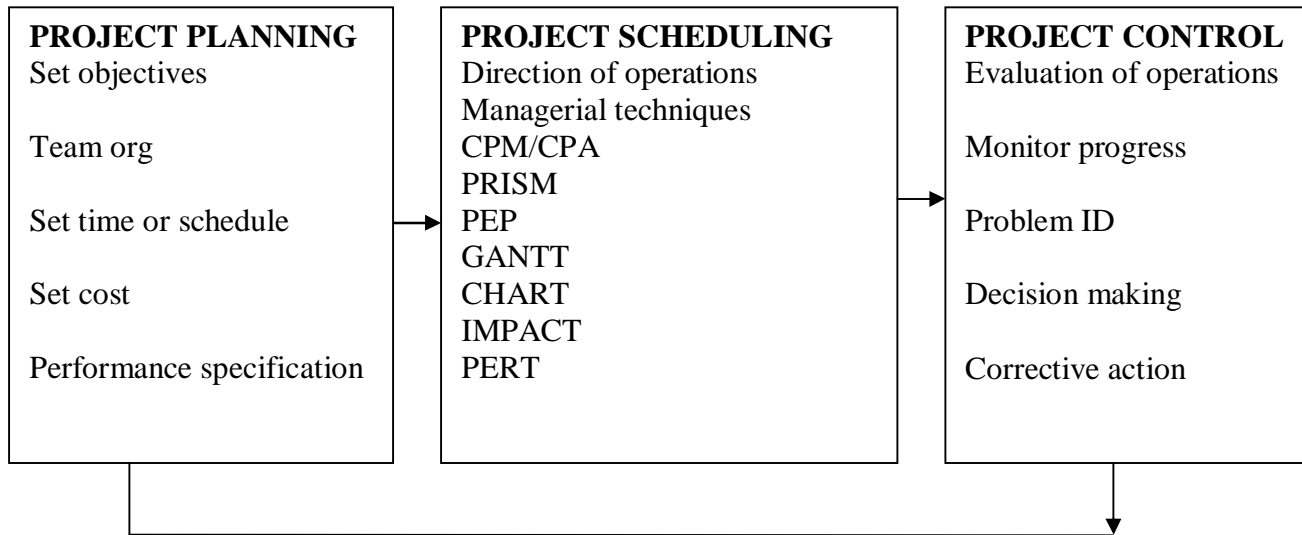
### **Types of projects and programs**

- 1) Relief or humanitarian projects e.g. floods, earth quake victims
- 2) Rehabilitation and reconstruction projects e.g. building of houses, expansion of houses, replacement or repair
- 3) Social development or community development projects e.g. education services, clean and safe water, Health center
- 4) Economic/ commercial projects aimed at creating wealth towards improvement of economic conditions of individuals and communities and nations. Priority is given to those projects which are normally included in the presidential manifesto including those that are of immediate response like Health.

### **Project Planning and Control**

It is a special case of general planning and this includes all those activities that result in developing a course of action. These activities guide future decision making, in project planning these planning activities guide the manager in future decision making about a specific project. Project planning is done in phases, goals for the project including resources to be committed, completion times and results must be set and priorities established. Actual work responsibilities must be identified and assigned. Time estimates and resources required to perform the work activities must be forecast, Budgets are very useful in planning projects and in controlling their costs. Finally, the project manager must make policies to determine which activities are most critical for project completion, how resources should be used and how additional monies for "crash" completion, should that course of action become necessary should be spent.

### **Project Planning and Control Flow Chart**



### Key issues

- PLANNING
- PERFORMANCE

There are three principal dimensions of the project and these three dimensions form the triple constraint concept in project management. The dimension include

- o Performance specification - scope
- o Time or schedule - time
- o Budget or money - cost

### Defining the Scope

- When you define the scope of a Program or Project, you set the 'boundaries'
- What is included and what is excluded. In order to scope the Program or Project, the following questions are addressed:
  - What is the Program/Project responsible for delivering? What is the Program/Project not going to deliver?
  - What are the main objectives? Why are you doing it?
  - What needs to change in order to achieve these objectives?
  - What will the effect of those changes be?;
  - What will stay the same?;
  - What other work or Programmes/Projects are there which might impact on this? You must agree boundaries, avoid duplication or omission of tasks or deliverables;
  - Whose responsibility is it to put in place longer term mechanisms/reviews to evaluate the Program/Project?

The answers to these questions helps define the scope of the Program/Project and the interfaces needed to establish with other Programmes/Projects and stakeholders. Knowing what is included and what is excluded is fundamental for planning a Program or Project

The Project Management Life Cycle has four phases: Initiation, planning, Execution and Closure. To pass through each project life cycle phase successfully, you'll need to complete a number of project activities. Each activity is listed below, providing you with an entire project management methodology for your use.

## Project Management Process

1. Initiate
2. Define
3. Plan
4. Implement
5. Control
6. Monitor and Evaluate
7. Complete
8. Review

The first, two steps are not necessarily separate and sequential except when project initiator issues a firm, complete and unambiguous statement of desired project output in which case the organization that will carry out project may start to plan how to achieve it. It is more common to start with a proposed work definition which is then jointly renegotiated after preliminary planning elucidates some consequences of the initially proposed work definition. In fact the implementation phase must be considered before planning can be finished. Nevertheless the 5 steps process covers each required action and is a useful conceptual sequence in which to consider project management. The triple constraint, an extremely important notion for project management provides the defining parameters of a project.

## The project cycle consists of the following steps

- indicative programming (IND)
- project Identification (ID)
- project Formulation (FOR)
- project Funding
- project Implementation
- project Evaluation

It is cyclical where activities or processes gone through at each step are similar and can be repeated for any project.

**1. Indicative programming (IND)** it sets the general lines of interventions of the organization, considering which priorities will be taken or chosen and how many projects could be handled according to the internal capacity of the organization etc.

**2. Identification (ID)** Here the project is defined as an idea or a possibility worthy of further investigation and study. And these ideas may come from the discovery of

resources which could be exploited and needs or demands to be satisfied arising from analysis of existing problems. However many project ideas may be identified than can be handled through the project management cycle, there is usually a need for prioritization at this stage. And this prioritization may be based on criteria as most important, most urgent, least costly, most easily achievable or any combination of such factors.

**3. Formulations.** In project preparation stage where the priority project idea is planned covering such aspects as size, location, technical details, markets and institutional arrangements. Within the formulation phase certain clearly defined stages can normally be distinguished namely; outline design, Appraisal and detailed.

In the outline design preparation is carried out to a sufficient level of detail to allow the determination of technical, social and organizational aspects of the project; like environmental, administrative, gender or political impacts may have to be considered.

Formal appraisal; exercise is often done when external funding or aid funds are involved. And the decision making implied makes appraisal necessary for any project preparation phase in order to allow project workers to continually review and refine their proposals.

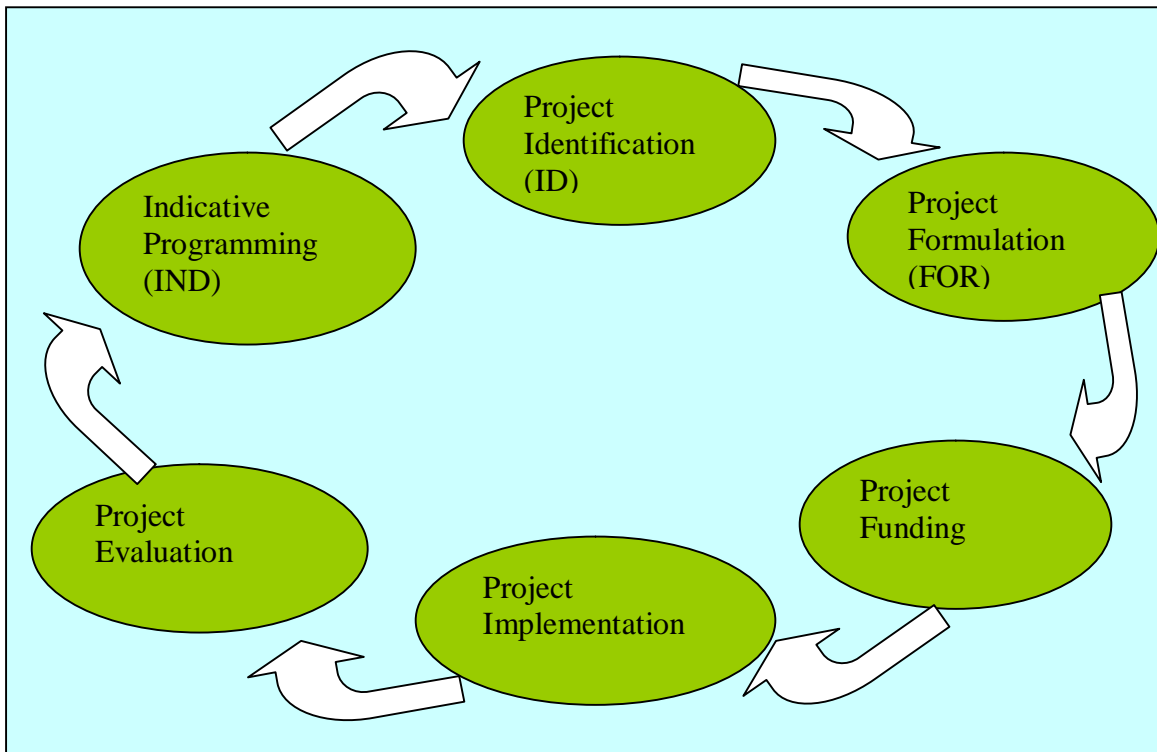
Detailed design for implementation to go ahead is made following the appraisal of the project plans, and a decision to proceed. This design will include procedures and construction documents for the required physical facilities and building depending on the type of project.

**4 Financing/ project funding:** After successful appraisal and approval for loan consideration, the project plan may be subjected to further negotiations for loan disbursement.

**5. Implementation:** This is the stage at which the institutional framework for the project is established and facilities constructed. And this stage may involve largest disbursement of funds

**6. Evaluation:** This consists of investigating and reviewing the effects of the completed project, to determine whether the benefits which were planned to flow from it have indeed been realized and whether these benefits have had their intended consequences or have had impacts





Make cyclical for steps

## Format for Project Proposal Writing

Any project proposal aimed at soliciting for funding must strictly follow the specific format of the possible donor, Format for project proposal for funding differs from donor to donor

Nonetheless there are common elements in all the formats. It is therefore possible to give a general guideline of a basic format derived from our understanding of development planning and the integrated project management cycle just described.

### 1. Title

should be simple and clear, reflecting the authors understanding of the meaning of Project as distinct from program. Using the name of an organization as a project Title is unacceptable.

### 2. Executive Summary

It is a summary of the written proposal. It must consist salient points or critical elements in the proposal, the kind of things which a donor, selecting proposals for funding would want to know before reading the rest of the proposal, if time is

available. Usually time is limited as the donor has to look at several proposals. A good summary should answer at least the following questions

- The project being proposed?
- Where it is located?
- What is the duration of the project?
- What the project is supposed to achieve?
- Who are the beneficiaries
- Who the implementers?
- What is the total cost of implementing the project?
- What are the sources of funding?
- What plan is in place for the sustainability of the project

### **3. Back Ground**

A clear description of the geographical location of the project site, the population and demographic characteristics of the local community, and the cultural and socio—economic situations in the area, This should provide a good context and scenario for the project being proposed.

### **4. Problems and Needs**

This is where a careful conceptualization is made of the needs to be addressed arising from the various development problems faced by the project beneficiaries, The causes—effects of these problems should be carefully analyzed. Project ideas are directed to the root causes of the problems, not the symptoms.

### **5. Selected Project**

in the above several cases of action (or project ideas) would have been identified; these project ideas have to be prioritized in order to select the optimal courses of action to meet the identified needs. This step therefore represents the ability to priorities and selects the project which is on the top of the priority list using certain criteria which must be mentioned here,

### **6. Beneficiaries and Benefits**

This is a description of who will gain from the project being formulated both directly and indirectly, and of what the gains will be.

### **7. Aim**

This is the long—term desired situation that is to be achieved through several activities

### **8. Objectives**

These are immediate targets, easily translated into concrete activities whose achievements will lead to the fulfillment of the project AIM. Objectives are specific, Measurable, achieved, Realistic and Time - bound (SMART)

## **9. Justification**

This is to state why the project should be carried out now. Those are the preconditions which favor the implementation of this project in terms of local needs and aspirations. Available inputs, and existing government policy and socio—economic situation,

## **10. Outputs**

these are the expected outcome from the successful implementation of the project. They should now evidence that the objectives have been achieved. They are directly lined to the activities required to achieve the objectives

## **11. Activities**

These are actions or processes to be carried out in order produce the desired or expected outcome, leading to the achievement of the oh objectives

## **12. Work plan**

This is the time—table for implementation of the project It involves giving each activity a time frame i.e. when to start and when to end, Usually some techniques of scheduling the activities like, Gantt chart, may be used

## **13. Strategies For Project Implementation And Operations**

These entail identifying the project implementation team and evolving an organizational and administrative setup to successfully implement the project The strategies should include monitoring supervision and control during project orientation as well as arrangement for end of project(or ex post) evaluations

## **14. Inputs**

These are all the resources required for the actions and processes to undertaken during project implementation and operation

## **15. Budget**

This is an estimate of the cost of inputs in financial terms Under the budget estimates sources of funding or project financing plan should be indicated

## **16. Follow Up Plan**

This is a statement of what you plan to do after implementing the project successfully It should reflect some sense of activity

## Feasibility Study and its Components

It is the study aimed at data and information to determining the viability/ possibility and it's determine very comprehensive

### Financial Feasibility

- Materials and inputs
- Production technology/appropriate technology
- Product mix-4ps: price, product( good, service), place (distribution channels) and promotion
- Plant capacity(include; Feasibility, availability capacity)
- Location site
- Machinery/ equipment( electrical, mechanical, processing equipments)
- Structures and civil works like parking yards, fence, flower gardens, stores and garages)

### Financial Feasibility

- Cost of project
- Sources of budgeting/means of financing: grants, shares, loans, donations, savings, trade Credits, debentures, debt financing}.
- Cost of capital- interest on borrowed money
- Profitability
- Tax burden-VAT,PAYE or Graduated tax, income, excise and custom
- Financial projections/ flows- balance sheet, cash flow, income statement

*Debentures*- grant got after guaranteed by an organization.

*Trade credits*- goods taken on credits, then payments made later.

*Debt financing*- borrow from one to pay the other

### Economic Feasibility

- Level of savings
- Level of investment
- Costs of benefits
- Level of employment
- Forex earnings( forex exchange)
- Government revenue
- Production capacity
- Pricing policy

### Political feasibility

- Government programs, policies
- Legal frame work-laws,-regulations etc

## **Market Feasibility**

- Market share e.g. MTN, Zain, Mango/UTL, Warid, Coke, Pepsi
- Aggregate demand i.e. who are you targeting
- Supply and competition
- Imports and exports
- Consumer preferences and attitudes
- Market policies

## **Social Feasibility**

- Culture
- Religion
- Demographic factors (sex, age)
- Community support like attitude.
  - Leadership structure- schools, roads, hospitals)
  - Quality of life

## **Environmental feasibility (EIA)**

- Natural (God made resources)
  - Social (environment within social: culture, language, colour (race))
- Man made (fashion, luxury, car, house, planes)
  - Shadow price (price that you can't see)
  - Recycling of wastes

## **Gender feasibility**

- -Participation
- -Decision making
- -Roles and responsibility
- -Access to resources by both sexes
- -Power (dominion)

## **MODULE 6: Logical Framework Approach (LFA)**

### **Basic Principles;**

1. The Logical Framework should be concise. It should not normally take up more than two sides of paper.
2. The Logical Framework should be treated as a free-standing document and should be comprehensible to those coming to it for the first time. Acronyms should therefore be avoided.
3. If beneficiaries are included in the project, they should also take part in the

design of the Logical Framework.

4. The Logical Framework will provide a basis for subsequent monitoring and evaluation. It must therefore be kept under regular review and amended whenever the project changes course. The Log Frame is a document; the Logical Framework Approach is a project design methodology.

All three terms refer to a structured meeting process which we will refer to as LFA.

#### Logical framework document

The logical framework document is a 4 column by 4 row matrix. The cells of the matrix contain text that describes the most important features of a project. And its some times referred to matrix .LFM approach involve situation analysis, stakeholder analysis and developing hierarchy objectives and selecting a preferred implementation strategy.

#### Logical Frame Work Matrix

<b>Narrative Summary</b>	<b>Objectively verifiable Indicators - OVI</b>	<b>Means of verification MOVs</b>	<b>Risks and Assumptions</b>
Goal			
Purpose			
Outputs(Results) 1. 2.			
Activities 1. 2.			
Inputs 1. 2.			

**Objectively Verifiable Indicators (OVIs):** These are the measures, direct or indirect that will verify to what extent the objectives have been fulfilled. The term objectively implies that if these should be specified in a way that is independent of possible bias of the observer.

**Means of Verification (MOVs):** These statements specify source of the information or the measurements or verification specified in the indicators column. For example will statistics from an external source be used for the verification or will project resources be used to gather the statistics.

**External Factors (Assumptions):** These are important events, conditions, or decisions which are necessarily outside the control at the project, but which must remain favorable for the project objective to be attained. The implication here is

the design team has an obligation to consider what might derail their efforts and to plan responsibly to reduce that risk of derailment.

**Development Objective (Goal):** The higher level objective that the project is expected to contribute to. The addition of the word contribute implies that this project alone is not expected to achieved the development objective. Other projects immediate objectives are expected to also contribute.

**Immediate Objective (Purpose):** The effect which is expected to be achieved as the result of the project delivering the planned outputs. There is a tendency for this to be expressed in terms of the change in behavior' of a group, or institution and the project outputs are expected to facilitate this change.

**Outputs:** These are the 'deliverables the tangible results that the project management team should be able to guarantee delivering. The objective statements should specify the group or organization that will benefit. Outputs are delivered, usually on certain date or dates.

**Activities:** These are the activities that have to be undertaken by the project to produce the outputs. The activities take time to perform.

**Inputs:** These are the resources that the project "consumes" in the course of undertaking the activities. Typically they will be human resources, money, materials, equipment, and time.

### **Advantages of the Logical Framework**

- It brings together in one place a statement of all the key components of a project (this is particularly helpful when there is a change of staff)
- It presents them in a systematic, concise and coherent way, thus clarifying and exposing the logic of how the project is expected to work
- It separates out the various levels in the hierarchy of objectives, helping to ensure that inputs and outputs are not confused with each other or with objectives and that wider ranging objectives are not overlooked
- It clarifies the relationships which underlie judgments about likely efficiency and effectiveness of projects
- It identifies the main factors related to the success of the project
- It provides a basis for monitoring and evaluation by identifying indicators of success, and means of quantification or assessment
- It encourages a multidisciplinary approach to project preparation and supervision.

### **MODULE 7: Project Implementation and Scheduling**

Once the project has been identified, prepared and appraised the next important stage is implementation. Implementation is usually done by the organization or

ministry that formulated the project and received funding for it. Such an organization is called an implementing agency. The term implementation refers to the whole process of translating of broad policy goals or objectives into visible results. It is a process of organizing project activities and coordination of the execution of these activities. Similarly, implementation can be understood as process of convening resource [material, financial and human resources into goods and services., It should be noted that implementation of any project will largely depend on its size and type. For instance, a small project covering a small area and manned by say 2 people will normally take off easily without extensive documentation as compared to large ones. Such projects may include poultry, brick-smoking projects, etc which are normally run by a small group of people. On the other hand, projects which are large and probably national in character require multi-sectoral participation when implementing them. This will require extensive documentation to clearly define roles and responsibilities so that there is no waste, duplication of services or conflict between different sectors.

## Requirements for implementation

Projects tend to become uneconomical, resources are not available to support other projects, and economic development is adversely affected. What can be done to minimize time to and cost over-runs and thereby improve the prospects of successful completion of projects?

1. **Adequate formulation**, through thorough field investigation, assessment of inputs use of correct cost and benefits estimation methods ,proper assessment of project linkages and the need for adequate experience and expertise.

2, **Sound Project Organizations**, Sound organization for implementing the project is critical to its success. The characteristics of such an organization are: led by a competent leader who is accountable to project performance. Adequate attention is paid to human side of the project -Systems and methods are clearly defined -Rewards and penalties to individuals are related to performance.

3. **Proper Implementation Planning**, It is necessary to do detailed implementation planning before commencing the actual implementation. Such planning should seek to: develop comprehensive time plan for various activities e.g. land acquisition, tender, Evaluation , recruitment of personnel construction of buildings, erection of plant, arrangement for utilities, trial production run, etc. Estimate meticulously the resource requirements [manpower, materials, money, etc] Define clearly the inter linkages between the various oc5viEes of the project Specify cost standards

4. **Advance Action**, when the project appears to be viable and desirable, advance action on the following activities may be initiated: -Acquisition of land -Securing the essential clearances -identifying the technical collaborators/consultants -



Arranging for infrastructure facilities -preliminary design and engineering -Calling of tenders

5. **Time availability of Funds** - once a project is approved, adequate funds must be made available to meet its requirements as per the plan of implementation-it would be highly desirable if funds are provided even before the final approval to initiate advance action.

6. **Judicious Equipment tendering and Procurement**- How much should we rely on foreign suppliers and how much should we depend on indigenous suppliers. Over-dependence on foreign suppliers may mean considerable outflow of foreign exchange and inadequate incentive for the development of indigenous technology and capacity while over reliance on indigenous suppliers may mean delays and higher uncertainty about Technical performance of the project. A judicious balance therefore must be sought which moderates the two. In any case, the number contract packages should be kept to minimum in order to ensure effective coordination.

7. **Better Contract Management**, since a substantial portion of the project is typically executing contracts, the proper management of contracts is critical to the successful implementation of the project. The following can be done in this context: -The competence and capability of all the contractors must be ensured- Proper discipline must be inculcated among contractors and suppliers by insisting that they should develop realistic and detailed resource and time plans which are congruent with project plan penalties must be imposed for failure to meet contractual obligations and incentives given to good performance

8. **Effective Monitoring**, In order to keep a tab on the progress of the project, a system of monitoring must be established. This helps in • Anticipating deviations from the implementation plan • Analyzing emerging problems • Take corrective action

Causes of ineffective project implementation

#### 1. ***Factors related to the content of the project plan***

- -Many project plans are more or less "doomed to failure from the start because of their content and mode of presentation stemming from imperfect formulation of a problem through the use of inappropriate models, making wrong assumptions or wrong criteria.
- -Project plans are frequently too vague and provide little guidance for implementers
- -Project plans are also influenced by conflicts between politicians and outside funding agencies. The need to strike a compromise design always produces projects which are difficult to implement
- -Projects sometimes fail if they are designed to meet the objectives of funding agencies than those of the local people/ intended beneficiaries.

- -Projects implementation may also fail because of delays and cost overruns if they are deliberately under
- -Costed. This is normally done to make them appear more attractive propositions as the cost benefit ratio appear more favorable.
- -In many projects it is very difficult to monitor and evaluate development projects because project designers do not collect baseline data

NB: Development projects need to be realistic in terms of laying out attainable targets, capacity and resources available to implement the activities  
Also the needs and attitudes of the intended beneficiaries need to be pro determined.

## ***2. Factors Related to the Method of Implementation***

The main problems related to the method of project implementation include:

Viewing planning and implementation as two separate and unrelated activities

- Lack of logical flow of stages from project identification, appraisal to courses of action and actual activities
- Failure to monitor and evaluate implementation performance and feedback information thus gained into the decision making process.
- Lack of popular participation- most project leaders take implementation to be a one mans show.
- Lack of coherency in case of partial implementation process Excessive delays in implementation
- Administrative factors i.e. incompetence of the implementation staff
- Lack of management information system.

## **MODULE 8: Problem Analysis and Needs Assessment**

Problem arises from a need; where there is unmet need we get a problem. The main focus of the project is to solve such a need through a problem solving. A problem refers to a situation hardship and its something difficult to understand and deal with. It there fore calls for scientific and logical use of empirical data in order to understood. Developmental projects there fore are usually proposed on the basis of carefully analysis of problems. They are proposed as a response to addressing and over coming developmental problems.

Problem analysis involves; identifying what the main problems are and establishing the cause effect relation ship between these problems. The key purpose of analysis is to try and ensure the root causes are identified and subsequently addressed in the project design. A sound foundation on which to develop a set of relevant and forecast project objectives are of the main tools used in problem analysis is a *problem tree*.( PROBLEM TREE ANALYSIS)

## Problem Tree Analysis

This is a replica of a holistic model approach that brings together all possible factors that cause an effect. There are two main approaches that can be used to focus to the problem

1. **Focal problem method;** where developmental problems or constraints are brainstormed by a group and this group identifies a core problem and undertakes effect analysis which pivots around the focal problems.
2. **Objective oriented methods:** this is where a broad high level development objective is specified at the beginning of the analysis and constraints achieving these objectives are brainstormed analyzed and sorted out into cause effect logic.

Both approaches are valid but which one is largely used depends on the individual's preference and circumstances pertaining at the time or any given time. Problem analysis should be undertaken as a group learning activity involving all stakeholders and mainly the beneficiaries of the target group. This target group can contribute relevant technical and local knowledge. A workshop environment is usually appropriate form for developing a problem tree analyzing the results and proposing solution. It may be appropriate to undertake problem analysis exercises with different stakeholders to help determine different perspectives and how priorities vary.

### Preparation Steps

1) Clarify the scope of the investigation or analysis .If you are participating in the project, preparatory mission, others will have already identified at least some extent the main development problems they are concerned with or the opportunities they have seen. Understanding this will help us forecast the direction of the analysis that we will want or we be able to deal with in order to avoid range of problems and this information should help us identify either an appropriate objective of focal problem.

### Steps Involved In Problem Analysis

1. Comprehend the case situation
2. Define the problem
3. Identify the causes
4. Generate alternative solutions
5. Make decisions
6. Take actions

## Classification of Needs

**Felt needs:** these are needs directly or indirectly verbalized by the communities concerned. This is usually over a longer period of time.

**Expressed need:** are those manifested by the communities by search for help in solving a particular problem e.g. hunger strike, in the community in search for food.

**Assume need:** these are needs usually arrived at by using of conventional ideas and are determined from real life situations. They are more or less imposed needs. They look those prescribed during colonial times and the time the governments were centralized and treat all situations as homogenous

**Assessed need:** are requirement assessed by people with professional training. These professionals usually give qualified opinion e.g. physicians in diagnosis

**Problem analysis / needs assessment:** refer to carry out full studies of community requirements. These mark the beginning of any project/ program development

## MODULE 9: Project Monitoring and Evaluation

**Monitoring** generally refers to the process of regularly checking on the status of the program by comparing the actual implementation of activities against a work plan, including whether the activities are being completed as planned, whether they are being conducted within the time frame specified, whether the budget is being spent according to plan, whether any changes are needed in the management or implementation of the activities, and whether the work plan should be modified.

**Evaluation** on the other hand is directed at measuring progress toward the achievement of program objectives and the impact of the program (whether the intended long term changes have occurred). This includes measuring the extent to which the changes that have occurred are attributable to your programs activities. Although there are differences between monitoring and evaluation, the two processes work together to lead to the same end, which is to produce information that can be used to improve the management of a program and achieve the intended short term objectives and long-term results.

**Monitoring** of a program or intervention involves the collection of routine data that measure progress toward achieving program objectives. It is used to track changes in program performance over time. Its purpose is to permit stakeholders to make informed decisions regarding the effectiveness of programs and the efficient use of resources. Monitoring is sometimes referred to as **process**

**evaluation** because it focuses on the implementation process and asks key questions:

- How well has the program been implemented?
- How much does implementation vary from site to site?
- Did the program benefit the intended people? At what cost?

**Examples of program elements that can be monitored:**

- Supply inventories
- Number of vaccine doses administered monthly
- Quality of service
- Service coverage
- Patient outcomes (changes in behavior, morbidity, etc)

**The purpose of evaluation** is that Evaluation helps program managers identify what is and is not working as well as how to make the projects work better. It also provides a means of demonstrating project staff and donor agencies, the extent to which the project is achieving its objectives. It provides many benefits to social programs. It permits us to;

- identify successful strategies
- modify or discontinue interventions that do not yield desired results
- share findings with programs in other countries or regions
- provide donors/ funders with evidence of the result of their investment
- demonstrate the organization's interest in accountability

**Evaluation can answer three basic questions,**

- How well has the project been implemented?
- Has the desired change been achieved?
- If the change has been achieved, to what extent can the change be attributed to the projects?

Depending upon which question we want to answer, we choose one of the three evaluation types.

**Why Is M&E Important?**

Monitoring and evaluation helps program implementers to make informed decisions regarding program operations and service delivery based on objective evidence. Ensure the most effective and efficient use of resources objectively assess the extent to which the program is having or has had the desired impact, in what areas it is effective, and where corrections need to be considered. Meet

organizational reporting and other requirements, and convince donors that their investments have been worthwhile or that alternative approaches should be considered.

### Examples of questions that M&E can answer:

- Was the program implemented as planned?
- Did the target population benefit from the program and at what cost?
- Can improved health outcomes be attributed to program efforts?
- Which program activities were more effective and which less effective?

### When Should M&E Take Place?

M&E is a continuous process that occurs throughout the life of a program. To be most effective, M&E should be planned at the design stage of a program, with the time, money, and personnel that will be required calculated and allocated in advance. Monitoring should be conducted at every stage of the program, with data collected, analyzed, and used on a continuous basis. Evaluations are usually conducted at the end of programs. However, they should be planned for at the start because they rely on data collected throughout the program, with baseline data being especially important. One rule of thumb is that 5-10% of a project budget should be allocated for M&E.

### Important of the M&E Plans

M&E plans are very important because they state how a program will measure its achievements and therefore provide accountability by documenting consensus and providing transparency to guide the implementation of M&E activities in a standardized and coordinated way of preserving the institutional memory.

### M&E Plan Components:

Typically, the components of an M&E plan include:

- The introduction
- The program description and **framework**
- A detailed description of the plan **indicators**
- The data collection plan
- A plan for monitoring
- A plan for evaluation
- A plan for the utilization of the information gained
- A mechanism for updating the plan

## MODULE 10: Cost Structure and Budgeting

### Characteristics of a good budget

- A budget is primarily a planning and control device
- A budget is prepared in monetary terms and or quantitative terms
- A budget is prepared for a definite future period
- It shows planned income and expenditure and also the capital to be employed
- Purpose of the budget is to implement the policies formulated by arrangement for attaining the given objectives

### Objectives of Budgeting

**Planning:** a budget provides a detailed plan of action for business/organization over a definite period of time. By planning many problems are anticipated long before they arise and solutions can be sought through careful study.

**Communication:** A budget is a communication device. The approved budget copies are distributed to all management personnel, which provides not only adequate understanding and knowledge of programmes and policies to be followed but also gives knowledge about the restrictions to be adhered to. It is not the budget itself that facilitates communication, but the vital information is communicated in the act preparing budgets and participation of all responsible individuals in this act.

**Motivation:** A budget is a useful device for motivating managers to perform in line with company objectives. If individuals have actively participated in the preparations of budgets, it acts as a strong motivation force to achieve the target.

**Control:** Control as applied to budgeting is a systematized effort to keep management informed of whether planned performance is being achieved or not. For this purpose a comparison is made between plans and actual performance. The difference is reported to management for corrective action.

**Performance evaluation:** A budget provides a useful means of informing managers how well they are performing in meeting targets; they have previously helped to set. This helps in rewarding employees on the basis of achieving the budget target or promotion of managers may be linked their budget achievements.

### Advantages of Budgeting

- a) Budgeting compels managers to think ahead to anticipate and prepared for changing conditions
- b) Budgeting co-ordinates the activities of various departments and functions of the organization
- c) It increases production efficiency, eliminates waste and controls the costs
- d) It pin points efficiency or lack of it.
- e) Budgetary control aims at maximization of profit through careful planning and control
- f) It provides a yard stick against which actual results can be compared
- g) It shows management where action is needed to remedy a situation.
- h) It ensures that working capital is available for the efficient operation of the organization or business.
- i) It directs capital expenditure in the most profitable direction
- j) It instills into all levels of management a timely, careful and adequate

consideration of all factors before reaching important decisions

k) A budget motivates executives to attain the given goals

l) Budgetary control system assist in the delegation of authority and assignment of responsibility

m) Budgeting creates cost consciousness and introduces an attitude of mind in which waste and efficiency cannot thrive.

### Limitation of Budgeting

The list of advantages given above is impressive, but a budget is not a cure all for the organization ills. Budgeting suffers from certain limitations and those using the system should be fully aware of them.

(i) The Budget plan is based on estimates. Budgets are based on forecasts and forecasting cannot be an exact science. Absolute accuracy therefore, is not possible in forecasting and budgeting.

(ii) Danger of rigidity: A budget programme must be dynamic and continuously useful if they acquire rigidity in the changing environment.

(iii) Budgeting is only a tool of management. Budgeting cannot take place of management but is only a tool of management. The budget should be regarded not as a master, but as a servant." Sometimes it is believed that introduction of a budget of a budget programme is alone sufficient to ensure its success.

Execution of a budget will not occur automatically. It is necessary that the entire organization must participate enthusiastically in the program for the realization of budgeted goals.

### Essentials of Effective Budgeting

A budgetary control system can prove successful only when certain conditions and attitudes exist, absence of which will negate to a large extent the value of the budget.

#### **The conditions are:**

1. Support of top management if the budget system is to be successful it must be fully supported by every member of management and direction must come from the top management

2. Participation by responsible executives, Those entrusted with the performance of the budgets should participate in the process of setting the budget figures. This will ensure proper implementation of budget programmes.

3. Reasonable goals: The budget figures should be realistic and represent reasonably attainable goals.

4. Clearly defined organization. In order to derive maximum benefits from the budgetary system, well defined responsibility centers should be built up within the organization. The controllable costs for each responsibility center should be separately shown.

5. Continuous budget education. The best way to ensure the active interest of the responsible supervisors is continuous budget education in respect of objectives. Potentials and techniques of budgeting this is through meetings, manuals etc.

6. Adequate accounting system, There is close relationship between budgeting and accounting. For the preparation of budgets one has to depend on accounting department for reliable historical data which forms a basis for many estimates.

7. Constant vigilance, Reports comparing budgets and actual results should be



promptly prepared and special attention focused on significant exceptions-figures that are significantly different from those expected.

8. Maximum profits

9. Cost of the system. The budget system should not cost more than its worth. Since it's not practicable to calculate exactly what a caution against adding expensive refinements unless their valued clearly justifies them

Preliminaries in the Installation of Budget System

**Pre-requisites** for the successful implementation of a budgetary control system are as follows:

**(a) Creation of budget centers:** A budget centers is a section for the organization of an undertaking. A budget centre may be a department or apart thereafter. Budget centre must be clearly defined because a separate budget has to be set for each such a centre with the help of the head of department concerned.

**(b) Information of adequate accounting records:** The account system should be so designed as to be able to record and analyze the information required. The budget procedure must also emphasis the same classification of revenues and expenses as the accounting department. Comparisons can be made if the classifications do not coincide. A chart of accounts corresponding with the budget centers should be maintained.

**(c) Preparation of an organization chart:** Proper organization is essential for a successful budget system. An organization chart should be prepared which clearly shows the plan of the organization. Each member of management should know the exact scope of his authority and responsibility and his relationship to other members

**(d) Establishment of budget committee:** In large organizations, the direction and execution of the budget is delegated to budget committee which reports directly to the top management. The financial controller is usually appointed to serve as the budget director. The heads of department forms the finance committee

Functions of a Budget committee

- To provide historical data to all departments regarding requirements, dates of submission of estimates etc.
- To define the general policies of the management in relation to the budget system
- To receive budget estimates from various departments for consideration and review
- To discuss difficulties with departmental heads and suggest possible revisions
- To evaluate and revise the estimates before preparing the final budget. To make recommendations or budget matters where there is conflict between departments
- To prepare a master budget after functional budgets have been approved
- To inform departmental heads of any revisions made in their budgets by the committee.
- To co-ordinate all budget work
- To analyse variances and recommend corrective action where necessary

Budget Terms and Concepts

**(a) Budget Manual**

A budget manual is a form of a source document which contains information that helps one to prepare a budget. It contains the following among other things.

- Procedures are forms for preparing a budget
- Who is responsible for preparing a budget?
- When a budget should be prepared
- The length of a budget period (normally a year)

**(b) Budget Period, control period and Budget Centre**

**(i) Budget period:** A budget period refers to the time interval for which budget estimates are made. Normally budgets are prepared for a year but this does not mean that shorter or longer time intervals are not used. For example, the National Development Plans normally have a planning period of 5 years and have budget estimates to that effect which are supported by shorter budgets estimates yearly budgets)

**(ii) Control Period:** A budget centre is any division of an enterprise/ organization for which a budget is required for example budgets are normally prepared for departments such as finance, production, marketing, personnel etc. these departments can be considered as budget centers.

**(c) A Master Budget:** A master budget is a budget which summaries other related budgets. A master budget does not give all the details of the source budgets. For example it could just only the cash balances of the control periods for say marketing, finance and personnel departments and not all the expenses and vote allocations.

**(d) Operational Budget:** An operation budget is one which shows periodic (daily or monthly or quarterly) operations estimates in terms of input (material) cost of input and quantity of output. As such it has three sub-budgets

- (i) Production unit budgets (showing the estimates of sales in units)
- (ii) Materials usage budget
- (iii) Material purchases budget (showing the cost of input)

**(e) Cash Budget:** A cash budget is an estimate of cash flows (cash receipts) and cash out flows (cash expenses) for a given period. It is only concerned with cash movements due to activities undertaken. For each control period you get cash deficit or surplus which is a closing balance for one period and an opening balance for the following period.

**(f) Interrelated Budgets and linking Budgets:** Interrelated budgets are those budgets which have cause effect relationship. For example - sale budget and a production budget have cause effect relationship. An increase in one budget leads to an increase in the other budget.

Budgeting Techniques for operations:

(a) **Zero-based Budgeting (ZBB):** This looks at the Organization's activities and priorities a fresh. The previous year's resource allocation are not automatically considered the basis of this year's resource allocations, instead, each manager tries to justify his/her entire budget requests. Zero base budgeting involves allocating an organization's funds on the basis of a cost benefit analysis of each

organization's major activities.

(b) **Incremental Budgeting:** This is the type of budgeting where the additions and subtractions on the previous budget is done. Therefore the current budget is usually based on the previous budget.

(c) **Program Planning and Budgeting Systems (PPBS):** Non-profit seeking organizations such as local and central government hospitals, charities often prepare detailed conventional budgets showing the different categories of expenditure classification by classification. As consequence the budgeting process frequently just compares current expenditure to budgeted expenditure with little or no attempt to compare expenditure against performance achieved.

(d) **Economic measure approach technique**

(e) **Output oriented budgeting (OOB) and result oriented management (ROM)**

Types of Budgets

There are only two types of budget that is Recurrent Revenue and expenditure and capital *budgets*.

(a) **Recurrent revenue and Expenditure budget**

This type of budget in the one that handled the day today activities in any organization and by life span they take a short time usually one financial ear or less than one financial year examples include, cash budgets, raw material budget production budget, sales and marketing budget, revenue and expenditure budget to mention but a few.

(b) **Capital Budgets**

These are long term budgets. They usually take more than one financial year.

These are usually for investment purposes and acquisition of capital assess of the organization.

Government Budgeting and its Cycle:

Budget is an important element of financial planning control and evaluation process of public sector entitles. It is a means of allocating resources to achieve the objectives of a public sector entity. It is management tool for planning and for controlling funds to make sure than the stated objectives are met. Parliament is responsible for approving the public sector budget and for authorizing the executive to incur expenditures within the overall level of expenditure.

### **Key Factors that Make Public Budgeting Process Effective**

**1. Transparency:** The budget documents should provide clear link between objectives and expenditures. All the participants in the budget process should be clear about their roles and responsibilities. The budget process should be simple and well documented. The department or entity targets and resources should be allocated clearly indicated an explained.

**2. Management:** The management and monitoring of the budget are important and emphasis should be in results to be achieved.

**3 Decentralizations:** Decision making should be decentralized to line Ministries,- departments and Local Governments.

**4. Co-ordination and Co-operation:** This links between recurrent and development budgets and the process in the financial management system should all be clearly spelt out.

**5. Flexibility:** The process should allow responses to change circumstances. The responses should be built into the system so that implications of any changes are sufficiently analyzed and to fit within the overall objectives and priorities.

**6. Discipline**

(i) There should be effective control over expenditures

(ii) Any changes to the budget should be carefully analyzed and justified

(iii) Use of supplementary estimates should be limited

(iv) Penalties of breach of rules and regulations should be spelt out

**7. Accountability and Credibility**

(i) Role parliament and the Executive in Budget process should be clear

(ii) Top and senior managers should be involved in the process

(iii) Budget ceiling should be determined and communicated to all stakeholders

(iv) Budgets should be reliably close to actual outcome

**8. Comprehensive:** The budget process and documents need to include all revenue and expenditures including aid and donor funds.

**MODULE 11: Performance measurement**

Budget for both recurrent and development should be based on input-output relationship.

Budget cycle with specific reference to Uganda in Uganda, the budget cycle is as follows

**a) Top Management Retreat:** This budget retreat for top management of Ministry of Finance, Planning and Economic Development (MFPED) to discuss the budget outlook for the next financial year. The retreat discusses the macroeconomic outlook, expenditure issues, new policies and budget process for the coming year.

**b) Updating the medium Term expenditure framework (MTEF):** After the top Management retreat, the medium term expenditure framework is updated to provide a starting point for the new budget process. The process includes extending the framework to include a new financial year and updating the first two years of the framework in light of unfolding economic conditions.

**c) First budget consultative budget framework workshop:** The workshop provides an opportunity for all stake holders to discuss the budgetary outlook for the next three years. The participants come from all line Ministries local Government Officials, members of Parliament, donors NGO's Private Sector and Civil society. The workshop also initiates the formulation of sector working groups which examines their key objectives and priorities within a sector.

**d) Sector working group discussions:** The sector working groups need regularly to discuss the key issues within the sector.

The groups look into overall strategy and objectives of the sector, past performance key policy issue for cabinet approval and the medium term budget. The groups also formulate output and outcome targets for the medium term and to relate them to their budget allocations

**e) Consultations with members of parliament:** This meeting aims to inform MPs of progress in the budget process, to seek their involvement in setting of priorities

and to gather more information on public perceptions of the budget process.

**1) Second consultative budget framework workshop:** This is a second workshop which provides an opportunity for the sector working groups to present their draft reports for discussion by all stakeholders. This meeting focuses specifically on Local Government issues. Key officials of the Local governments are invited for the workshop.

**g) Local Government Budget framework process:** The Local Government Budget framework paper involves two sets for regional workshops, which aim at providing training to Local Government officials in the areas of planning and budgeting. They also provide an opportunity for local governments to provide feedback to central government on key issues and constraints that they face, including implementation of the guidelines for conditional grants.

**h) Inter-Ministerial discussion on the sector budget framework paper:** A number of consultations take place between Ministry of Finance, Planning and Economic Development and the various sectors before finalizing the budget framework paper. These consultations, who have been held at higher and lower technical levels as well as ministerial level, have aimed to present and discuss the draft budget framework papers. And sector budget framework to build a consensus on areas to be found for the next financial year an on which activities must be postponed for future years, and to build strategies for improving efficiency and effectiveness of government expenditure.

**i) Consultations and finalization of the budget framework paper:** The aim of the budget framework paper is to provide cabinet with a clear view of the current budgetary outlook including budgetary options for the next financial year for their consideration. Budget framework paper includes the final version of the sector working groups' reports as well as discussion on the macro-economic outlook and cross-cutting issues.

**j) Preparation of the budget call circular:** The budget call circular presents the medium term ceiling an guidelines to line ministries to enable them to make a detail breakdown within the ceiling.

**k) Discussion of the budget framework paper with donors.** After the budget framework paper had been discussed and endorsed by cabinet, it is presented to and discussed with donors including NGOs. The aims for the donor funds, to discuss sector priorities in particular those funded by donors and to affirm the financial commitments from donors for both budget support and project funding.

**1) Submission of indicative budget allocations to parliament:** Under the budget Act, Ministry of Finance, Planning and Economic Development is to submit a Parliament estimates of Revenue and Expenditure for the next year by the 1 April. This should include fiscal and monetary programs and plans for economic and social development over the medium term period. Comments by Parliament are then collected and submitted officially to the president by 1st May.

**m) Review of parliamentary consideration and operation of cabinet memo on the Budget:** Under the Budget Act MFPEM is required to review the recommendations put forward by the Parliamentary Budget Committee ad to prepare a cabinet Memo on the Budget not late than the 7th June.

**n) Presentation of the Budget:** Once all the consultations are complete, MPPED proceeds to prepare the appropriate documents for presentation to parliament. These documents include the background to the budget and the budget speech. The background to the budget highlights the major achievement on the previous

year. Setbacks register and their causes. The budget speech gives details of the budget and the set targets over the medium term period. At the same time, MFPED also presents the status of loans and grants to Uganda.

**o) Submission of Policy Statement by the Line Ministries:** By end of June, the line ministries are required to submit their ministerial policy statements for discussion by parliament.

**p) MFPED** is required to reports on supplementary expenditure within four months of the period of expenditure. Similarly, MFPED is also required to provide a report to Parliament of all expenditures from Budget contingency provision, within 14 days from the date of authorization of the advances from the provision.

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11. David I. Cleland, Roland Gareis (2006). *Global Project Management Handbook*. McGraw-Hill Professional, 2006. **ISBN 0-07-146045-4**. p.1-4 states: "*It was in the 1950s when project management was formally recognized as a distinct contribution arising from the management discipline.*"

**African Population Institute**  
**M&E Consult unit**  
**P. O. Box 10842, Kampala Uganda**  
**Website:www.africapopulation.net Email: info @ africapopulation.net**  
**Tel:+256-772/712-836998**

<b>Course Name</b>	<b>: Community Psychology and Health</b>
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### **Course Description**

The course describes the whole meaning of Community psychology, discusses different concepts used in community psychology, integration of community development, community building & organization, interpreting issues of a sense of community, community social solidarity, social contract, social capital, critical understanding of community studies, as well as community psychology.

### **Course Objectives**

- To provide students with knowledge of the interactions between the community and its immediate environment.
- To help increase the student's ability by easily identifying community needs and how to fully utilize the existing resources.
- To further help students appreciate the artificial social construction built by community members that brings about social harmony and solidarity.
- To stimulate students thinking of direct interventions to help several communities escape the social evils such as poor health, poor sanitation, and poor education and enable them to realize development objectives

### **Course Content**

#### **Introduction**

- Meaning of Community Psychology
- Society for Community Psychology
- History of Community Psychology

#### **Concepts in Community Psychology**

- Empowerment
- Social Justice
- Diversity
- Individual Wellness
- Collaboration and Community strengths
- Empirical grounding

#### **Community Development (CD)**

- Meaning of Community Development
- Community development practice
- The History of Community Development

#### **Community Building & Organizing**

- Meaning of Community Building
- Definition of Community Organizing
- Relevance of the concepts to Community Development

#### **Sense of Community**

- Definition of Sense of Community
- Beneficial antecedents found in early work
- Four elements of sense of Community



## **Social Solidarity**

- Definition of Social Solidarity
- Emile Durkheim's View on Social Solidarity
- Types of Social Solidarity
- Distinguish between Mechanical and Organic Solidarity

## **Social Contract**

- Definition of Social Contract
- Overview of Social Contract
- History of the concept
- Critiques of Social Contract
- Social Disintegration
- Social Cohesion
- Criticisms of collectivism

## **Social Capital**

- Meaning of Social Capital
- Background of Social Capital
- Evaluating Social Capital
- Measurement of Social Capital
- Social Capital and Civil Society
- Social Capital and Women's engagement with Politics
- Social capital and health
- The argument that Social capital may be negative

## **Community Studies**

- Epistemology of Community Studies
- Community of Practice
- Origin and development of Community of practice
- Examples of Communities of Practice
- Communities of Practice versus Community of Interest
- Benefit of Community of Practice
- Factors of a successful of Practice
- Actions to cultivate a successful community of practice

## **Cultural Psychology**

- Meaning of the term
- Mob mentality
- Groupthink
- Causes of groupthink
- Symptoms of groupthink
- Groupthink and de-individuation
- Recent developments and critiques
- Origin of groupthink

**Mode of delivery** Face to face lectures

**Assessment**

**Coursework** 40%

Exams 60%

Total Mark 100%

## COMMUNITY PSYCHOLOGY AND HEALTH

**Community psychology** studies the individuals' **contexts** within communities and the wider society,<sup>[1]</sup> and the relationships of the individual to communities and society. Community psychologists seek to understand the quality of life of individuals, communities, and society. Their aim is to enhance quality of life through collaborative research and action.<sup>[2]</sup>

Community psychology employ various perspectives within and outside of **psychology** to address issues of communities, the relationships within them, and related people's attitudes and behaviour.

Rappaport (1977) discusses the perspective of community psychology as an ecological perspective on the person–environment fit (this is often related to work environments) being the focus of study and action instead of attempting to change the personality of individual or the environment when an individual is seen as having a problem.<sup>[clarification needed]</sup><sup>[3]</sup>

Closely related disciplines include **ecological psychology, environmental psychology, cross-cultural psychology, social psychology, political science, public health, sociology, social work, and community development.**<sup>[4]</sup>

Community psychology grew out of the **community mental health** movement, but evolved dramatically as early practitioners incorporated their understandings of political structures and other community contexts into perspectives on client services.<sup>[5]</sup>

### Society for Community Research and Action

Division 27 of the American Psychological Association is the community psychology division of the APA, called the Society for Community Research and Action (SCRA). The Society's mission is as follows:

The Society for Community Research and Action (SCRA) is an international organization devoted to advancing theory, research, and social action. Its members are committed to promoting health and empowerment and to preventing problems in communities, groups, and individuals. SCRA serves many different disciplines that focus on community research and action.<sup>[6]</sup>

The SCRA website has resources for teaching and learning community psychology, information on events in the field and related to research and action, how to become involved and additional information on the field, members and undergraduate and graduate programs in community psychology.

### History of community psychology in the US

In the 1950s and 1960s, many factors contributed to the beginning of community psychology in the US. Some of these factors include:

- A shift away from socially conservative, individual-focused practices in health care and psychology into a progressive period concerned with issues of public health, prevention and social change after World War II<sup>[2]</sup> and social psychologists' growing interest in racial and religious prejudice, poverty, and other social issues<sup>[7]</sup>
- The perceived need of larger-scale mental illness treatment for veterans<sup>[3]</sup>
- Psychologists questioning the value of psychotherapy alone in treating large numbers of people with mental illness<sup>[3]</sup>
- The development of community mental health centers and deinstitutionalization of people with mental illnesses into their communities<sup>[2]</sup>

## Swampscott Conference

In 1965, several psychologists met to discuss the future of community mental health as well as discuss the issue of only being involved with problems of mental health instead of the community as a whole. The Swampscott Conference is considered the birthplace of community psychology. A published report on the conference calls for community psychologists to be political activists, agents of social change and "participant-conceptualizers."<sup>[2]</sup>

## Theories, concepts and values in community psychology

### Ecological levels of analysis

James Kelly (1966; Trickett, 1984) developed an ecological analogy used to understand the ways in which settings and individuals are interrelated. Unlike the ecological framework developed by Bronfenbrenner (1979), the focus of Kelly's framework was not so much on how different levels of the environment may impact on the individual, but on understanding how human communities function. Specifically, Kelly suggests that there are 4 important principles that govern people in settings:

- **adaptation:** i.e. that what individuals do is adaptive given the demands of the surrounding context
- **succession:** every setting has a history that created current structures, norms, attitudes, and policies, and any intervention in the setting must appreciate this history and understand why the current system exists in the form that it does
- **cycling of resources:** each setting has resources that need to be identified and possibilities for new resources to be developed; a resource perspective emphasizes a focus on strengths of individuals, groups, and institutions within the setting and interventions are more likely to succeed if they build on such existing strengths, rather than introduce new external mechanisms for change
- **interdependence:** settings are systems, and any change to one aspect of the setting will have consequences for other aspects of the setting, so any intervention needs to anticipate its impact across the entire setting, and be prepared for unintended consequences.

## First-order and second-order change

Because community psychologists often work on social issues, they are often working toward positive social change. Watzlawick, et al. (1974) differentiated between first-order and second-order change and how second-order change is often the focus of community psychology.<sup>[8]</sup>

- **first-order change:** changing the individuals in a setting to attempt to fix a problem
- **second-order change:** Attending to systems and structures involved with the problem to adjust the person–environment fit

As an example of how these methods differ, consider homelessness. A first-order change to "fix" homelessness would be to offer shelter to one or many homeless people. A second-order change would be to address issues in policy regarding affordable housing.

## Empowerment

One of the goals of community psychology involves empowerment of individuals and communities that have been marginalized by society.

One definition for the term is "an intentional, ongoing process centered in the local community, involving mutual respect, critical reflection, caring, and group participation, through which people lacking an equal share of resources gain greater access to and control over those resources" (Cornell Empowerment Group).<sup>[9]</sup>

Rappaport's (1984) definition includes: "Empowerment is viewed as a process: the mechanism by which people, organizations, and communities gain mastery over their lives."<sup>[10]</sup>

While empowerment has had an important place in community psychology research and literature, some have criticized its use. Riger (1993), for example, points to the paradoxical nature of empowerment being a masculine, individualistic construct being used in community research.<sup>[11]</sup>

## Social justice

A core value of community psychology is seeking social justice through research and action. Community psychologists are often advocates for equality and policies that allow for the wellbeing of all people, particularly marginalized populations.<sup>[2]</sup>

## Diversity

Another value of community psychology involves embracing diversity. Rappaport includes diversity as a defining aspect of the field, calling research to be done for the benefit of diverse populations in gaining equality and justice. This value is seen through much of the research done with communities regardless of ethnicity,

culture, sexual orientation, disability status, socioeconomic status, gender and age.<sup>[3]</sup>

### **Individual wellness**

Individual wellness is the physical and psychological wellbeing of all people. Research in community psychology focuses on methods to increase individual wellness, particularly through prevention and second-order change.<sup>[2]</sup>

### **Citizen participation**

Citizen participation refers to the ability of individuals to have a voice in decision-making, defining and addressing problems, and the dissemination of information gathered on them.<sup>[2]</sup> This is the basis for the usage of participatory action research in community psychology, where community members are often involved in the research process by sharing their unique knowledge and experience with the research team and working as co-researchers.

### **Collaboration and community strengths**

Collaboration with community members to construct research and action projects makes community psychology an exceptionally applied field. By allowing communities to use their knowledge to contribute to projects in a collaborative, fair and equal manner, the process of research can itself be empowering to citizens. This requires an ongoing relationship between the researcher and the community from before the research begins to after the research is over.<sup>[2]</sup>

### **Psychological sense of community**

Psychological sense of community (or simply "sense of community"), was introduced in 1974 by Seymour Sarason.<sup>[12]</sup> In 1986 a major step was taken by David McMillan<sup>[13]</sup> and David Chavis<sup>[14]</sup> with the publication of their "Theory of Sense of Community" and in 1990 the "Sense of Community Index"<sup>[15]</sup>. Originally designed primarily in reference to neighborhoods, the Sense of Community Index (SCI) can be adapted to study other communities as well, including the workplace, schools, religious communities, communities of interest, etc.

### **Empirical grounding**

Community psychology grounds all advocacy and social justice action in empiricism. This empirical grounding is what separates community psychology from a social movement or grassroots organization. Methods from psychology have been adapted for use in the field that acknowledge value-driven, subjective research involving community members. The methods used in community psychology are therefore tailored to each individual research question. Quantitative as well as qualitative methods and other innovative methods are embraced.<sup>[2]</sup> The American Psychological Association has sponsored two major conferences on community research methods<sup>[16][17]</sup> and has recently published an edited book on this topic.<sup>[18]</sup>

## Education

### Education connection

- For information about Education in Community Psychology

Many programs related to community psychology are housed in psychology departments, while others are interdisciplinary. Students earning a community psychology degree complete courses that focus on: history and concepts of the field, human diversity and cultural competence, public health, community research methods and statistics, collaborative work in communities, organizational and community development and consultation, prevention and intervention, program evaluation, and grantwriting. Research is a large component of both the PhD and masters degrees, as community psychologists base interventions on theory and research and use action-oriented research to promote positive change. Further, students will generally find niches under faculty mentors at their institutions related to local programs, organizations, grants, special populations, or social issues of interest—granting students the chance to have practice doing the work of a community psychologist, under the supervision of a faculty member.<sup>[19]</sup>

The following journals provide peer-reviewed articles related to community psychology:

- *American Journal of Community Psychology* (Society for Community Research and Action (SCRA) journal)
- *The Australian Community Psychologist* (Journal of the Australian Psychological Society)<sup>[20]</sup>
- *Journal of Community & Applied Social Psychology* (international journal)
- *Journal of Community Psychology* (international journal)
- *Journal of Rural Community Psychology* (e-journal)<sup>[21]</sup>
- *Psychosocial Intervention/Intervención Psicosocial* (published in both Spanish and English)

In addition, there are a number of interdisciplinary journals, such as the *Community Mental Health Journal*,<sup>[21]</sup> with articles in the field of community health that deal with aspects of community psychology.

## Empowerment

The term empowerment covers a vast landscape of meanings, interpretations, definitions and disciplines ranging from psychology and philosophy to the highly commercialized self-help industry and motivational sciences.

Sociological empowerment often addresses members of groups that social discrimination processes have excluded from decision-making processes through - for example - discrimination based on disability, race, ethnicity, religion, or gender. Empowerment as a methodology is often associated with feminism: see consciousness-raising.

## The process of empowerment

The process which enables individuals/groups to fully access personal/collective power, authority and influence, and to employ that strength when engaging with other people, institutions or society. In other words, "Empowerment is not giving people power, people already have plenty of power, in the wealth of their knowledge and motivation, to do their jobs magnificently. We define empowerment as letting this power out (Blanchard, K)." It encourages people to gain the skills and knowledge that will allow them to overcome obstacles in life or work environment and ultimately, help them develop within themselves or in the society. Empowerment may also have a negative impact on individuals, corporations and productivity depending on an individuals views and goals. It can divide the genders or the races. Strong skills and critical capabilities are often held back to open doors for those who meet the empowerment criteria. Those who use empowerment as a selfish advantage tend to become difficult, demeaning and even hostile colleagues. The end result is a weak business model.

Empowerment includes the following, or similar, capabilities:-

- The ability to make decisions about personal/collective circumstances
- The ability to access information and resources for decision-making
- Ability to consider a range of options from which to choose (not just yes/no, either/or.)
- Ability to exercise assertiveness in collective decision making
- Having positive-thinking about the ability to make change
- Ability to learn and access skills for improving personal/collective circumstance.
- Ability to inform others' perceptions though exchange, education and engagement.
- Involving in the growth process and changes that is never ending and self-initiated
- Increasing one's positive self-image and overcoming stigma
- Increasing one's ability in discreet thinking to sort out right and wrong

## SOCIAL JUSTICE

**Social justice** generally refers to the idea of creating a society or institution that is based on the principles of equality and solidarity, that understands and values human rights, and that recognizes the dignity of every human being.<sup>[1][2][3]</sup>

Social justice is based on the concepts of human rights and equality and involves a greater degree of economic egalitarianism through progressive taxation, income redistribution, or even property redistribution. These policies aim to achieve what developmental economists refer to as more equality of opportunity than may currently exist in some societies, and to manufacture equality of outcome in cases where incidental inequalities appear in a procedurally just system. The Constitution of the International Labour Organization affirms that "universal and lasting peace can be established only if it is based upon social justice."<sup>[4]</sup> Furthermore, the Vienna

Declaration and Programme of Action treats social justice as a purpose of the human rights education.<sup>[5]</sup>

The term and modern concept of "social justice" was coined by the Jesuit Luigi Taparelli in 1840 based on the teachings of St. Thomas Aquinas and given further exposure in 1848 by Antonio Rosmini-Serbati.<sup>[1][2][6][7][8]</sup> The word has taken on a very controverted and variable meaning, depending on who is using it. The idea was elaborated by the moral theologian John A. Ryan, who initiated the concept of a living wage. Father Coughlin also used the term in his publications in the 1930s and the 1940s. It is a part of Catholic social teaching, the Protestants' Social Gospel, and is one of the Four Pillars of the Green Party upheld by green parties worldwide. Social justice as a secular concept, distinct from religious teachings, emerged mainly in the late twentieth century, influenced primarily by philosopher John Rawls. Some tenets of social justice have been adopted by those on the left of the political spectrum.

## **Community development**

**Community development (CD)** is a broad term applied to the practices and academic disciplines of civic leaders, activists, involved citizens and professionals to improve various aspects of local communities.

Community development seeks to empower individuals and groups of people by providing them with the skills they need to effect change in their own communities. These skills are often created through the formation of large social groups working for a common agenda. Community developers must understand both how to work with individuals and how to affect communities' positions within the context of larger social institutions.

## **Definitions**

There are complementary definitions of community development. Community Development Challenge report, which was produced by a working party comprising leading UK organizations in the field (including (Foundation Builders) Community Development Foundation, Community Development Exchange and the Federation of Community Development Learning) defines community development as:

"A set of values and practices which plays a special role in overcoming poverty and disadvantage, knitting society together at the grass roots and deepening democracy. There is a CD profession, defined by national occupational standards and a body of theory and experience going back the best part of a century. There are active citizens who use CD techniques on a voluntary basis, and there are also other professions and agencies which use a CD approach or some aspects of it."<sup>[1]</sup>

Community Development Exchange defines community development as:



“both an occupation (such as a community development worker in a local authority) and a way of working with communities. Its key purpose is to build communities based on justice, equality and mutual respect.

Community development involves changing the relationships between ordinary people and people in positions of power, so that everyone can take part in the issues that affect their lives. It starts from the principle that within any community there is a wealth of knowledge and experience which, if used in creative ways, can be channeled into collective action to achieve the communities' desired goals.

Community development practitioners work alongside people in communities to help build relationships with key people and organizations and to identify common concerns. They create opportunities for the community to learn new skills and, by enabling people to act together, community development practitioners help to foster social inclusion and equality.<sup>[2]</sup>

A number of different approaches to community development can be recognized, including: community economic development (CED); community capacity building; Social capital formation; political participatory development; nonviolent direct action; ecologically sustainable development; asset-based community development; faith-based community development; community practice social work; community-based participatory research (CBPR); Community Mobilization; community empowerment; community participation; participatory planning including community-based planning (CBP); community-driven development (CDD); and approaches to funding communities directly.

Education and the community-wide empowerment that increased educational opportunity creates, form a crucial component of community development and certainly for under-served communities that have limited general educational and professional training resources. Workforce development and the issues and challenges of crossing the Digital divide, and increasing community-wide levels of Digital inclusion have become crucially important in this and both for affordable access to computers and the Internet, and for training in how to use and maintain these resources.

Local communities that cannot connect and participate in the larger and increasingly global Online community are becoming increasingly marginalized because of that. So where Urban development with its focus on buildings and physical infrastructure was once viewed as a primary path forward to community development, development of computer and online infrastructure and access, and the community enablement they support have to become central areas of focus moving forward. This has become an area of active involvement for both public and private sector organizations including foundations and nonprofit organizations. In the United States, nonprofit organizations such as *Per Scholas* seek to “break the cycle of poverty by providing education, technology and economic opportunities to individuals, families and communities” as a path to development for the communities they serve.

## **The history of community development**

Community development has been a sometimes explicit and implicit goal of community people, aiming to achieve, through collective effort, a better life, that has occurred throughout history.

### **In the global North**

In the 19th century, the work of the Welsh early socialist thinker Robert Owen (1771–1851), sought to create a more perfect community. At New Lanark and at later communities such as Oneida in the USA and the New Australia Movement in Australia, groups of people came together to create utopian or intentional utopian communities, with mixed success.

In the United States in the 1960s, the term "community development" began to complement and generally replace the idea of urban renewal, which typically focused on physical development projects often at the expense of working-class communities. In the late 1960s, philanthropies such as the Ford Foundation and government officials such as Senator Robert F. Kennedy took an interest in local nonprofit organizations—a pioneer was the Bedford-Stuyvesant Restoration Corporation in Brooklyn—that attempted to apply business and management skills to the social mission of uplifting low-income residents and their neighborhoods. Eventually such groups became known as "Community Development Corporations" or CDCs. Federal laws beginning with the 1974 Housing and Community Development Act provided a way for state and municipal governments to channel funds to CDCs and other nonprofit organizations. National organizations such as the Neighborhood Reinvestment Corporation (founded in 1978 and now known as NeighborWorks America), the Local Initiatives Support Corporation (founded in 1980 and known as LISC), and the Enterprise Foundation (founded in 1981) have built extensive networks of affiliated local nonprofit organizations to which they help provide financing for countless physical and social development programs in urban and rural communities. The CDCs and similar organizations have been credited with starting the process that stabilized and revived seemingly hopeless inner city areas such as the South Bronx in New York City.

Community development in Canada has roots in the development of co-operatives, credit unions and caisses populaires. The Antigonish Movement which started in the 1920s in Nova Scotia, through the work of Doctor Moses Coady and Father James Tompkins, has been particularly influential in the subsequent expansion of community economic development work across Canada.

### **In the global South**

Community planning techniques drawing on the history of utopian movements became important in the 1920s and 1930s in East Africa, where Community Development proposals were seen as a way of helping local people improve their own lives with indirect assistance from colonial authorities.<sup>[*citation needed*]</sup>

Mohondas K. Gandhi adopted African community development ideals as a basis of his South African Ashram, and then introduced it as a part of the Indian Swaraj movement, aiming at establishing economic interdependence at village level

throughout India. With Indian independence, despite the continuing work of Vinoba Bhave in encouraging grassroots land reform, India under its first Prime Minister Jawaharlal Nehru adopted a mixed-economy approach, mixing elements of socialism and capitalism. During the fifties and sixties, India ran a massive community development programme with focus on rural development activities through government support. This was later expanded in scope and was called integrated rural development scheme [IRDP]. A large number of initiatives that can come under the community development umbrella have come up in recent years.

Community Development became a part of the Ujamaa Villages established in Tanzania by Julius Nyerere, where it had some success in assisting with the delivery of education services throughout rural areas, but has elsewhere met with mixed success. In the 1970s and 1980s, Community Development became a part of "Integrated Rural Development", a strategy promoted by United Nations Agencies and the World Bank. Central to these policies of community development were

- Adult Literacy Programs, drawing on the work of Brazilian educator Paulo Freire and the "Each One Teach One" adult literacy teaching method conceived by Frank Laubach.
- Youth and Women's Groups, following the work of the Serowe Brigades of Botswana, of Patrick van Rensburg.
- Development of Community Business Ventures and particularly cooperatives, in part drawn on the examples of José María Arizmendiarieta and the Mondragon Cooperatives of the Basque Region of Spain
- Compensatory Education for those missing out in the formal education system, drawing on the work of Open Education as pioneered by Michael Young.
- Dissemination of Alternative Technologies, based upon the work of E. F. Schumacher as advocated in his book *Small is Beautiful: Economics as if people really mattered*
- Village Nutrition Programs and Permaculture Projects, based upon the work of Australians Bill Mollison and David Holmgren.
- Village Water Supply Programs

In the 1990s, following critiques of the mixed success of "top down" government programs, and drawing on the work of Robert Putnam, in the rediscovery of Social Capital, community development internationally became concerned with social capital formation. In particular the outstanding success of the work of Muhammad Yunus in Bangladesh with the Grameen Bank, has led to the attempts to spread microenterprise credit schemes around the world. This work was honoured by the 2006 Nobel Peace Prize.

The "Human Scale Development" work of Right Livelihood Award winning Chilean economist Manfred Max Neef promotes the idea of development based upon fundamental human needs, which are considered to be limited, universal and invariant to all human beings (being a part of our human condition). He considers that poverty results from the failure to satisfy a particular human need, it is not just an absence of money. Whilst human needs are limited, Max Neef shows that the ways of satisfying human needs is potentially unlimited. Satisfiers also have different

characteristics: they can be violators or destroyers, pseudosatisfiers, inhibiting satisfiers, singular satisfiers, or synergic satisfiers. Max-Neef shows that certain satisfiers, promoted as satisfying a particular need, in fact inhibit or destroy the possibility of satisfying other needs: e.g., the arms race, while ostensibly satisfying the need for protection, in fact then destroys subsistence, participation, affection and freedom; formal democracy, which is supposed to meet the need for participation often disempowers and alienates; commercial television, while used to satisfy the need for recreation, interferes with understanding, creativity and identity. Synergic satisfiers, on the other hand, not only satisfy one particular need, but also lead to satisfaction in other areas: some examples are breast-feeding; self-managed production; popular education; democratic community organizations; preventative medicine; meditation; educational games. '

## Community organizing

**Community organizing** is a process where people who live in proximity to each other come together into an organization that acts in their shared self-interest. A core goal of community organizing is to generate *durable power* for an organization representing the **community**, allowing it to influence key decision-makers on a range of issues over time. In the ideal, for example, this can get community organizing groups a place at the table *before* important decisions are made.<sup>[1]</sup> Community organizers work with and develop new local leaders, facilitating coalitions and assisting in the development of campaigns.

### Characteristics

Organized community groups attempt to influence government, corporations and institutions, seek to increase direct representation within decision-making bodies, and foster **social reform** more generally. Where negotiations fail, these organizations seek to inform others outside of the organization of the issues being addressed and expose or pressure the decision-makers through a variety of means, including picketing, **boycotting**, **sit-ins**, petitioning, and electoral politics.

**Organizing** groups often seek out issues they know will generate controversy and conflict. This allows them to draw in and educate participants, build commitment, and establish a reputation for winning.<sup>[2]</sup> Thus, community organizing is usually focused on more than just resolving specific issues. In fact, specific issues are often vehicles for other organizational goals as much as they are ends in themselves.

Community organizers generally seek to build groups that are democratic in governance, open and accessible to community members, and concerned with the general health of the community rather than a specific interest group. Organizing seeks to broadly **empower** community members, with the end goal of distributing power more equally throughout the community.

The three basic types of community organizing are **grassroots** or "door-knocking" organizing, **faith-based** community organizing (FBCO), and **coalition** building.

**Political campaigns** often claim that their door-to-door operations are in fact an effort to organize the community, though often these operations are focused exclusively on voter identification and turnout.

FBCOs and many grassroots organizing models are built on the work of **Saul Alinsky**, discussed below, from the 1930s into the 1970s.<sup>[3]</sup>

### **Grassroots action**

**Grassroots** organizing builds community groups from scratch, developing new leadership where none existed and organizing the unorganized. It is a values based process where people are brought together to act in the interest of their communities and the common good. Networks of community organizations that employ this method and support local organizing groups include **National People's Action** and **ACORN**.

"Door knocking" grassroots organizations like ACORN organize poor and working-class members recruiting members one by one in the community. Because they go door-to-door, they are able to reach beyond established organizations and the "churched" to bring together a wide range of less privileged people. ACORN tended to stress the importance of constant action in order to maintain the commitment of a less rooted group of participants.

ACORN had a reputation of being more forceful than faith-based (FBCO) groups, and there are indications that their local groups were more staff (organizer) directed than leader (local volunteer) directed. (However, the same can be said for many forms of organizing, including FBCOs.) The "door-knocking" approach is more time-intensive than the "organization of organizations" approach of FBCOs and requires more organizers who, partly as a result, can be lower paid with more turnover.

Unlike existing FBCO national "umbrella" and other grassroots organizations, ACORN maintained a centralized national agenda, and exerted some centralized control over local organizations. Because ACORN was a 501(c)4 organization under the tax code, it was able to participate directly in election activities, but contributions to it were not tax exempt.<sup>[4]</sup>

### **Faith-based**

Faith-based community organizing (FBCO), also known as **Congregation-based Community Organizing**, is a methodology for developing power and relationships throughout a community of institutions: today mostly congregations, but these can also include unions, neighborhood associations, and other groups.<sup>[5]</sup> Progressive and centrist FBCO organizations join together around basic values derived from common aspects of their faith instead of around strict dogmas. There are now at least 180 FBCOs in the US as well as in South Africa, England, Germany, and other nations.<sup>[6]</sup> Local FBCO organizations are often linked through organizing networks such as the **Industrial Areas Foundation**, **Gamaliel Foundation**, **PICO National Network**, and **Direct Action and Research Training Center (DART)**. In the United States starting in 2001, the Bush Administration **launched a department** to promote community organizing that included faith-based organizing as well other community groups.<sup>[7]</sup>

FBCOs tend to have mostly middle-class participants because the congregations involved are generally mainline Protestant and Catholic (although "middle-class" can mean different things in white communities and communities of color, which can lead to class tensions within these organizations).<sup>[8]</sup> Holiness, Pentecostal, and other related denominations (often "storefront") churches with mostly poor and working-class members tend not to join FBCOs because of their focus on "faith" over "works,"

among other issues. FBCOs have increasingly expanded outside impoverished areas into churches where middle-class professionals predominate in an effort to expand their power to contest inequality.<sup>[9]</sup>

Because of their "organization of organizations" approach, FBCOs can organize large numbers of members with a relatively small number of organizers that generally are better paid and more professionalized than those in "door-knocking" groups like ACORN.

FBCOs focus on the long-term development of a culture and common language of organizing and on the development of relational ties between members. They are more stable during fallow periods than grassroots groups because of the continuing existence of member churches.

FBCOs are 501(c)3 organizations. Contributions to them are tax exempt. As a result, while they can conduct campaigns over "issues" they cannot promote the election of specific individuals.<sup>[10]</sup>

### **Power versus protest**

While community organizing groups often engage in protest actions designed to force powerful groups to respond to their demands, protest is only one aspect of the activity of organizing groups. To the extent that groups' actions generate a sense in the larger community that they have "power," they are often able to engage with and influence powerful groups through dialogue, backed up by a history of successful protest-based campaigns. Similar to the way unions gain recognition as the representatives of workers for a particular business, community organizing groups can gain recognition as key representatives of particular communities. In this way, representatives of community organizing groups are often able to bring key government officials or corporate leaders to the table without engaging in "actions" because of their reputation. As Alinsky said, "the first rule of power tactics" is that "power is not only what you have but what the enemy thinks you have."<sup>[11]</sup> The development of durable "power" and influence is a key aim of community organizing.

"Rights-based" community organizing, in which municipal governments are used to exercise community power, was first experimented with by the Community Environmental Legal Defense Fund (CELDF.org) in Pennsylvania, beginning in 2002. Community groups are organized to influence municipal governments to enact local ordinances. These ordinances challenge preemptive state and federal laws that forbid local governments from prohibiting corporate activities deemed harmful by community residents. The ordinances are drafted specifically to assert the rights of "human and natural communities," and include provisions that deny the legal concepts of "corporate personhood," and "corporate rights." Since 2006 they have been drafted to include the recognition of legally enforceable rights for "natural communities and ecosystems."

Although this type of community organizing focuses on the adoption of local laws, the intent is to demonstrate the use of governing authority to protect community rights and expose the misuse of governing authority to benefit corporations. As such, the adoption of rights-based municipal ordinances is not a legal strategy, but an organizing strategy. Courts predictably deny the legal authority of municipalities to legislate in defiance of state and federal law. Corporations and government agencies that initiate legal actions to overturn these ordinances have been forced to argue in opposition to the community's right to make governing decisions on issues with harmful and direct local impact.

The first rights-based municipal laws prohibited corporations from monopolizing agriculture (factory farming), and banned corporate waste dumping within municipal jurisdictions. More recent rights-based organizing, in Pennsylvania, New Hampshire, Maine, Virginia and California has prohibited corporate mining, large-scale water withdrawals and chemical trespass.

### **Political orientations**

Community organizing is not solely the domain of progressive politics, as dozens of **fundamentalist** organizations are in operation, such as the **Christian Coalition**. However, the term "community organizing" generally refers to more progressive organizations, as evidenced, for example, by the reaction against community organizing in the 2008 US presidential election by Republicans and conservatives on the web and elsewhere.<sup>[citation needed]</sup>

### **Fundraising**

Organizing groups often struggle to find resources. They rarely receive funding from government since their activities often seek to contest government policies. Foundations and others who usually fund service activities generally don't understand what organizing groups do or how they do it, or shy away from their contentious approaches. The constituency of progressive and centrist organizing groups is largely low- or middle- income, so they are generally unable to support themselves through dues. In search of resources, some organizing groups have accepted funding for direct service activities in the past. As noted below, this has frequently led these groups to drop their conflictual organizing activities, in part because these threatened funding for their "service" arms.<sup>[12]</sup>

Recent studies have shown, however, that funding for community organizing can produce large returns on investment (\$512 in community benefits to \$1 of Needmor funding, according to the Needmor Fund Study, \$157 to 1 in New Mexico and \$89 to 1 in North Carolina according to National Committee for Responsive Philanthropy studies) through legislation and agreements with corporations, among other sources, not including non-fiscal accomplishments.<sup>[13]</sup>

### **Community building**

**Community building** is a field of practices directed toward the creation or enhancement of community among individuals within a regional area (such as a neighborhood) or with a common interest. It is sometimes encompassed under the field of community development.

A wide variety of practices can be utilized for community building, ranging from simple events like potlucks and small book clubs, to larger-scale efforts such as mass festivals and building construction projects that involve local participants rather than outside contractors.

Activists engaged in community building efforts in industrialized nations see the apparent loss of community in these societies as a key cause of social disintegration and the emergence of many harmful behaviors. They may see building community as

a means to increase social justice, individual well-being and reduce negative impacts of otherwise disconnected individuals.

## Re-Building

Leadership, geography, history, socio-economic status all are traditionally used to explain success of community and its well-being. **Robert Putnam** in his book **Bowling Alone**<sup>[1]</sup> finds that a community's well-being is dependent on the quality of relationships among the citizens of that community. He refers to this as social capital. Social capital creates a sense of belonging thus enhancing the overall health of a community. Putnam goes on to identify and examine the decline of **social capital** in America. Pressures of time and money, **suburbanization**, the effect of **electronic entertainment**, and perhaps most importantly the **generational change** appear to have all been contributing factors in the decline of social capital. Public libraries are anchor institutions that promise visions of community and establish a sense of place. In times of disaster and economic struggle public libraries are the heart of their communities.<sup>[2]</sup>

"We must learn to view the world through a social capital lens," said Lew Feldstein of the New Hampshire Charitable Foundation and co-chair of the Saguaro Seminar. "We need to look at front porches as crime fighting tools, treat picnics as public health efforts and see choral groups as occasions of democracy. We will become a better place when assessing social capital impact becomes a standard part of decision-making."...<sup>[1]</sup>

Peter Block in the book *Community: The Structure of Belonging* (pg. 29)<sup>[3]</sup> states "The context that restores community is one of possibility, generosity, and gifts, rather than one of problem solving, fear, and retribution." This context allows a new conversation to take place. It requires its citizens to act authentic by choosing to own and exercise their power rather than delegating to others what is in the best interest of that community. Focus must be inclusive for all, not just the leaders but each and every citizen of that community.

While building a community, beliefs are at the base of that community. A few of those beliefs are regarding **ethics, values, spirituality, human rights** and **diversity**. While building upon those beliefs, learning is necessary. This learning takes place through team learning. Mental models must be acknowledged, providing an arena for creative tension. Knowledge is gained through the collective. Verbal, non-verbal communication can be expressed through cultural, ritual, ceremony and sharing of a community's history. Communication involves analytical intelligence. Emotional intelligence made up of self-awareness, self-regulation and motivation also are integral. Using social intelligence to understand others, provide leadership and engage in co-operation is also needed. With a sense of belonging developing, conversation, possibilities, commitment, connection and loyalty are sown. With caring, sustainability provides a breeding ground for sacrifice and unselfishness.

"Community is something we do together. It's not just a container," said sociologist David Brain.<sup>[4]</sup> Infrastructure, roads, water, sewer, electricity and housing provides the shell within which people live. It is within this shell that people do the things together that allow them to sustain livelihoods. These include but are not limited to education, health care, business, recreation, and spiritual celebration. People working together with shared understandings and expectations are what provide a place of strong community.



## Sense of community

**Sense of community** (or **psychological sense of community**) is a concept in community psychology and social psychology, as well as in several other research disciplines, such as urban sociology, which focuses on the *experience* of community rather than its structure, formation, setting, or other features. Sociologists, social psychologists, anthropologists, and others have theorized about and carried out empirical research on community, but the psychological approach asks questions about the individual's perception, understanding, attitudes, feelings, etc. about community and his or her relationship to it and to others' participation—indeed to the complete, multifaceted community experience.

In his seminal 1974 book, psychologist Seymour B. Sarason proposed that psychological sense of community become the conceptual center for the psychology of community, asserting that it "is one of the major bases for self-definition." By 1986 it was regarded as a central overarching concept for community psychology (Sarason, 1986; Chavis & Pretty, 1999).

Among theories of sense of community proposed by psychologists, McMillan & Chavis's (1986) is by far the most influential, and is the starting point for most of the recent research in the field. It is discussed in detail below.

### **Beneficial antecedents found in early work**

Early work on psychological sense of community was based on neighborhoods as the referent, and found a relationship between psychological sense of community and **greater participation** (Hunter, 1975; Wandersman & Giamartino, 1980), **perceived safety** (Doolittle & McDonald, 1978), **ability to function competently in the community** (Glynn, 1981), **social bonding** (Riger & Lavrakas, 1981), **social fabric** (strengths of **interpersonal relationship**) (Ahlbrandt & Cunningham, 1979), **greater sense of purpose and perceived control** (Bachrach & Zautra, 1985), and **greater civic contributions** (**charitable contributions** and civic involvement) (Davidson & Cotter, 1986). These initial studies lacked a clearly articulated **conceptual framework**, however, and none of the measures developed were based on a **theoretical definition** of psychological sense of community.

### **Primary theoretical foundation: McMillan and Chavis**

McMillan & Chavis's (1986) theory (and instrument) are the most broadly validated and widely utilized in this area in the psychological literature. They prefer the abbreviated label "sense of community", and propose that sense of community is composed of four elements.

### **Four elements of sense of community**

There are four elements of "sense of community" according to the McMillan & Chavis theory:

#### **Membership**

Membership includes five attributes:

- boundaries
- emotional safety

- a sense of belonging and identification
- personal investment
- a common symbol system

### **Influence**

Influence works both ways: members need to feel that they have some influence in the group, and some influence by the group on its members is needed for group cohesion.

### **Integration and fulfillment of needs**

Members feel rewarded in some way for their participation in the community.

### **Shared emotional connection**

The "definitive element for true community" (1986, p. 14), it includes shared history and shared participation (or at least identification with the history).

### **Dynamics within and between the elements**

McMillan & Chavis (1986) give the following example to illustrate the dynamics within and between these four elements (p. 16):

Someone puts an announcement on the dormitory bulletin board about the formation of an intramural dormitory basketball team. People attend the organizational meeting as strangers out of their individual needs (integration and fulfillment of needs). The team is bound by place of residence (membership boundaries are set) and spends time together in practice (the contact hypothesis). They play a game and win (successful shared valent event). While playing, members exert energy on behalf of the team (personal investment in the group). As the team continues to win, team members become recognized and congratulated (gaining honor and status for being members). Someone suggests that they all buy matching shirts and shoes (common symbols) and they do so (influence).

### **Empirical assessment**

Chavis et al.'s **Sense of Community Index (SCI)** (see Chipuer & Pretty, 1999; Long & Perkins, 2003), originally designed primarily in reference to neighborhoods, can be adapted to study other communities as well, including the **workplace, schools, religious communities**, communities of interest, etc.

### **SOCIAL SOLIDARITY**

**Social Solidarity** is the integration, and degree and type of integration, shown by a society or group with people and their neighbors.<sup>[1]</sup> It refers to the ties in a society that bind people to one another. The term is generally employed in sociology and the other social sciences.

What forms the basis of solidarity varies between societies. In simple societies it may be mainly based around kinship and shared values. In more complex societies there are various theories as to what contributes to a sense of social solidarity.<sup>[1]</sup>

## **Emile Durkheim's view on social solidarity**

According to **Émile Durkheim**, the types of social solidarity correlate with types of society. Durkheim introduced the terms "mechanical" and "organic solidarity" as part of his theory of the development of societies in ***The Division of Labour in Society*** (1893). In a society exhibiting mechanical solidarity, its cohesion and integration comes from the homogeneity of individuals—people feel connected through similar work, educational and religious training, and lifestyle. Mechanical solidarity normally operates in "traditional" and small scale societies.<sup>[4]</sup> In simpler societies (e.g., **tribal**), solidarity is usually based on **kinship** ties of familial networks. Organic solidarity comes from the interdependence that arises from specialization of work and the complementarities between people—a development which occurs in "modern" and "industrial" societies.<sup>[4]</sup> Definition: it is social cohesion based upon the dependence individuals have on each other in more advanced societies. Although individuals perform different tasks and often have different values and interest, the order and very solidarity of society depends on their reliance on each other to perform their specified tasks. Organic here is referring to the interdependence of the component parts. Thus, social solidarity is maintained in more complex societies through the interdependence of its component parts (e.g., farmers produce the food to feed the factory workers who produce the tractors that allow the farmer to produce the food)

## **Social contract**

The **social contract** or **political contract** is an intellectual construct that typically addresses two questions, first, that of the origin of society, and second, the question of the legitimacy of the authority of the state over the individual.<sup>[1]</sup> Social contract arguments typically posit that individuals have consented, either explicitly or tacitly, to surrender some of their freedoms and submit to the authority of the ruler or magistrate (or to the decision of a majority), in exchange for protection of their natural rights. The question of the relation between natural and legal rights, therefore, is often an aspect of social contract theory.

Although the antecedents of social contract theory are found in antiquity, in Greek and Stoic philosophy and Roman and Canon Law, as well as in the Biblical idea of the covenant, the heyday of the social contract was the mid-seventeenth and to early nineteenth centuries, when it emerged as the leading doctrine of political legitimacy. The starting point for most social contract theories is a heuristic examination of the human condition absent from any political order that Thomas Hobbes termed the "state of nature".<sup>[2]</sup> In this condition, individuals' actions are bound only by their personal power and conscience. From this shared starting point social contract theorists seek to demonstrate, in different ways, why a rational individual would voluntarily consent to give up his or her natural freedom to obtain the benefits of political order.

Hugo Grotius, Thomas Hobbes (1651), Samuel Pufendorf (1673), John Locke (1689), and Jean-Jacques Rousseau (1762) are among the most prominent of seventeenth and eighteenth-century theorists of social contract and natural rights. Each solved the problem of political authority in different ways. Grotius posited that individual human beings had natural rights; Hobbes asserted that men consent to abdicate their rights in favor of the absolute authority of government (whether monarchical or parliamentary); Pufendorf disputed Hobbes's equation of a state of nature with war; Locke believed that natural rights were inalienable, and that the rule of God, as interpreted by the individual conscience, therefore superseded government authority; and Rousseau believed that democracy (self-rule) was the best way of ensuring the general welfare while maintaining individual freedom under the rule of law. The Lockean concept of the social contract was invoked in the United States Declaration of Independence. Social contract theories were eclipsed in the nineteenth century in favor of utilitarianism, Hegelianism, and Marxism, and were revived in the twentieth, notably in the form of a thought experiment by John Rawls.

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# Course Name: NGO Management and Operations

A **non-governmental organization (NGO)** is a legally constituted organization created by natural or legal persons that operates independently from any government. The term originated from the United Nations (UN), and is normally used to refer to organizations that do not form part of the government and are not conventional for-profit business. In the cases in which NGOs are funded totally or partially by governments, the NGO maintains its non-governmental status by excluding government representatives from membership in the organization. The term is usually applied only to organizations that pursue some wider social aim that has political aspects, but that are not openly political organizations such as political parties.

The number of internationally operating NGOs is estimated at 40,000.<sup>[1]</sup> National numbers are even higher: Russia has 277,000 NGOs;<sup>[2]</sup> India is estimated to have around 3.3 million NGOs in year 2009, which is one NGO per less than 400 Indians, and many times the number of primary schools and primary health centres in India.<sup>[3][4]</sup>

## Definition

NGOs are difficult to define and classify due to the term's inconsistent use. To attempt a classification of NGOs requires a framework that includes the orientation and the organization's level of operation. An NGO's orientation refers to the type of activities an organization takes on. These activities might include environmental, development, or advocacy work. An NGO's level of operation indicates the scale at which an organization works on, like the difference in work between an international NGO and community or national NGO. "Confronting the Classification Problem: Toward a Taxonomy of NGOs"

One of the earliest mentions of the term "NGO" was in 1945, when the UN was created. The UN introduced the term "NGO" to distinguish between the participation of international private organizations and intergovernmental specialized agencies. According to the UN, all kinds of private organizations that are independent from government control can be recognized as "NGOs." "NGOs" cannot seek to diminish a nation's government in the shape of an opposing political party; NGOs also need to be non-criminal and non-profit. Professor Peter Willets, from the City University of London, argues the definition of NGOs can be interpreted differently by various organizations and depending on a situation's context. He defines an NGO as "an independent voluntary association of people acting together on a continuous basis for some common purpose other than achieving government office, making money or illegal activities." In this view, two main types of NGOs are recognized according to the activities they pursue: operational and campaigning NGOs. Although Willets proposes the operational and campaigning NGOs as a tool to differentiate the main activities of these organizations, he also explains that they have more similarities than differences. Their activities are unrestricted; thus operational NGOs may need to campaign and campaigning NGOs may need to take on structural projects.

## Types

NGO type can be understood by orientation and level of co-operation.

NGO type by orientation

- Charitable orientation;
- Service orientation;
- Participatory
- Empowering orientation;

NGO type by level of co-operation

- Community- Based Organization;
- City Wide Organization;
- National NGOs;
- International NGOs;

Apart from "NGO", often alternative terms are used as for example: independent sector, volunteer sector, civil society, grassroots organizations, transnational social movement organizations, private voluntary organizations, self-help organizations and non-state actors (NSA's).

Non-governmental organizations are a heterogeneous group. A long list of acronyms has developed around the term "NGO".

These include:

- BINGO, short for Business-friendly International NGO or Big International NGO;
- National NGO: A non-governmental organization that exists only in one country. This term is usually rare due to the globalization of Non-governmental organizations, which causes an NGO to exist in more than one country.<sup>[5]</sup>
- CSO, short for civil society organization;
- DONGO: Donor Organized NGO;
- ENGO: short for environmental NGO, such as Greenpeace and WWF
- NNGO, short for Northern non governmental organization.
- IDCIs, short for international development cooperation institutions.
- SNGOs, short for Southern nongovernmental organizations
- SCOS, also known as social change organizations
- GONGOs are government-operated NGOs, which may have been set up by governments to look like NGOs in order to qualify for outside aid or promote the interests of the government in question;
- INGO stands for international NGO; Oxfam, INSPAD,<sup>[6]</sup> Institute of Peace and Development "A European Think Tank For Peace Initiatives";
- QUANGOs are quasi-autonomous non-governmental organizations, such as the International Organization for Standardization (ISO). (The ISO is actually not purely an NGO, since its membership is by nation, and each nation is

represented by what the ISO Council determines to be the 'most broadly representative' standardization body of a nation. That body might itself be a nongovernmental organization; for example, the United States is represented in ISO by the American National Standards Institute, which is independent of the federal government. However, other countries can be represented by national governmental agencies; this is the trend in Europe.)

- TANGO: short for technical assistance NGO;
- TNGO: short for transnational NGO; The term emerged during the 1970s due to the increase of environmental and economic issues in the global community. TNGO includes non-governmental organizations that are not confined to only one country, but exist in two or more countries.
- GSO: Grassroots Support Organization
- MANGO: short for market advocacy NGO
- NGDO: non-governmental development organization

USAID refers to NGOs as *private voluntary organizations*. However, many scholars have argued that this definition is highly problematic as many NGOs are in fact state and corporate funded and managed projects with professional staff.<sup>[citation needed]</sup>

NGOs exist for a variety of reasons, usually to further the political or social goals of their members or funders. Examples include improving the state of the natural environment, encouraging the observance of human rights, improving the welfare of the disadvantaged, or representing a corporate agenda. However, there are a huge number of such organizations and their goals cover a broad range of political and philosophical positions. This can also easily be applied to private schools and athletic organizations.

## **Environmental**

Environmental NGOs work on cases related to the environment. An example of an ENGO is Greenpeace. (see: List of Environmental NGOs) Just like other TNGOs networks, transnational environmental networks might acquire a variety of benefits in sharing information with other organizations, campaigning towards an issue, and exchanging contact information. Since Transnational environmental NGOs advocate for different issues like public goods, such as pollution in the air, deforestation of areas and water issues, it is more difficult for them to give their campaigns a human face than TNGOs campaigning directly for human rights issues.

Some of the earliest forms of transnational environmental NGOs started to appear after the Second World War with the creation of the International Union for the Conservation of Nature and Natural Resources (IUCN). After the UN was formed in 1945, more environmental NGO started to emerge in order to address more specific environmental issues. In 1946, the UN Educational, Scientific, and Cultural Organization (UNESCO) was created with the purpose of advocating and representing scientific issues and collaboration among environmental NGOs. In 1969, the Scientific Committee on Problems of the Environment (SCOPE) was funded to increase and improve collaboration among environmentalists. This collaboration was later reinforced and stimulated with the creation of UNESCO's Man and the Biosphere Program in 1971. In 1972, the UN Conference on the Human



Environment in Stockholm, tried to address the issues on Sweden's plea for international intervention on trans-boundary pollution from other European industrialized nations.

Transnational environmental NGOs have taken on diverse issues around the globe, but one of the best-known cases involving the work of environmental NGO's can be traced back to Brazil during the 1980s. The United States got involved with deforestation concerns due to the allegations of environmentalists dictating deforestation to be a global concern, and after 1977 the U.S. Foreign Assistance Act added an Environmental and Natural Resources section.

During the early 1980s the Brazilian government created the Polonoreste developing program, which the World Bank agreed to finance. The Polonoreste program aimed to urbanized areas of the Amazon, which were already occupied by local indigenous groups. Rapid deforestation in the Brazilian Amazon called the attention and intervention of UNESCO, who utilized its Program on Man and the Biosphere to advocate against the Polonoreste program, on the grounds of violating the rights of the indigenous groups living in the Amazon. In the case of deforestation of the Brazilian Amazon, the environment NGOs were able to put pressure on the World Bank to cancel the loans for the Polonoreste program. Due to the leverage that the U.S. has over the bank, in 1985 the World Bank suspended the financial aid to the Polonoreste Program. The work of environmental NGOs in the Brazilian case was successful because there was a point of leverage that made the targeted actor vulnerable to international pressure.<sup>[7]</sup>

Even though environmental NGOs (ENGOS) might have common goals relating to issues on the environment, its exploitation, and how to protect it, these organizations are very diverse and lack a central form of international hegemony. There is, however, a clear distinction between the interests and goals among those ENGOS located in industrialized countries—often referred to as the states of the north—and ENGOS from nations located in developing countries—referred to as states of the south (or southern states). On one hand, Northern states are mainly concerned with issues deriving from poverty, the increasing populations in developing countries, and economic development in the north. On the other hand, southern states blame the developed nations for over consumption and pollution resulting from industrialization. NGOs from the poorer nations blame the industrialized world for sustained inequalities in the international economic system, and criticize these industrialized nations for establishment of companies which become primary polluters in the southern states.

There is also a distinction among groups that take on particular and specific socioeconomic issues related to the environment. The Women's Environment and Development Organization was created in 1990 with the purpose to advocate for gender inclusion in work related to the Earth Summit. Other groups might focus on issues that include racial minorities and individuals from lower income backgrounds.<sup>[8]</sup>

## **Activities**

There are also numerous classifications of NGOs. The typology the World Bank uses divides them into Operational and Advocacy:<sup>[9]</sup>

NGOs vary in their methods. Some act primarily as lobbyists, while others primarily conduct programs and activities. For instance, an NGO such as Oxfam, concerned with poverty alleviation, might provide needy people with the equipment and skills to find food and clean drinking water, whereas an NGO like the FFDA helps through investigation and documentation of human rights violations and provides legal assistance to victims of human rights abuses. Others, such as Afghanistan Information Management Services, provide specialized technical products and services to support development activities implemented on the ground by other organizations.

NGOs were intended to fill a gap in government services, but in countries like India, NGOs are gaining a powerful stronghold in decision making. In the interest of sustainability, most donors require that NGOs demonstrate a relationship with governments. State Governments themselves are vulnerable because they lack strategic planning and vision. They are therefore sometimes tightly bound by a nexus of NGOs, political bodies, commercial organizations and major donors/funders, making decisions that have short term outputs but no long term affect. NGOs in India are under regulated, political, and recipients of large government and international donor funds. NGOs often take up responsibilities outside their skill ambit. Governments have no access to the number of projects or amount of funding received by these NGOs. There is a pressing need to regulate this group while not curtailing their unique role as a supplement to government services.

## **Operational**

Operational NGOs seek to "achieve small scale change directly through projects."<sup>[10]</sup> They mobilize financial resources, materials and volunteers to create localized programs in the field. They hold large scale fundraising events, apply to governments and organizations for grants and contracts in order to raise money for projects. They often operate in a hierarchical structure; with a main headquarters staffed by professionals who plan projects, create budgets, keep accounts, report, and communicate with operational fieldworkers who work directly on projects<sup>[10]</sup> Operational NGOs deal with a wide range of issues, but are most often associated with the delivery of services and welfare, emergency relief and environmental issues. Operational NGOs can be further categorized, one frequently used categorization is the division into relief-oriented versus development-oriented organizations; they can also be classified according to whether they stress service delivery or participation; or whether they are religious or secular; and whether they are more public or private-oriented. Operational NGOs can be community-based, national or international. The defining activity of operational NGOs is implementing projects.<sup>[10]</sup>

## **Campaigning**

Campaigning NGOs seek to "achieve large scale change promoted indirectly through influence of the political system."<sup>[10]</sup> Campaigning NGOs need an efficient and effective group of professional members who are able to keep supporters informed,

and motivated. They must plan and host demonstrations and events that will keep their cause in the media. They must maintain a large informed network of supporters who can be mobilized for events to garner media attention and influence policy changes. The defining activity of campaigning NGOs is holding demonstrations.<sup>[10]</sup> Campaigning NGOs often deal with issues relating to human rights, women's rights, children's rights. The primary purpose of an Advocacy NGO is to defend or promote a specific cause. As opposed to operational project management, these organizations typically try to raise awareness, acceptance and knowledge by lobbying, press work and activist events.

## **Both**

It is not uncommon for NGOs to make use of both activities. Many times, operational NGOs will use campaigning techniques if they continually face the same issues in the field that could be remedied through policy changes. At the same time, Campaigning NGOs, like human rights organizations often have programs that assist the individual victims they are trying to help through their advocacy work.<sup>[10]</sup>

## **Public relations**

Non-governmental organisations need healthy relationships with the public to meet their goals. Foundations and charities use sophisticated public relations campaigns to raise funds and employ standard lobbying techniques with governments. Interest groups may be of political importance because of their ability to influence social and political outcomes. A code of ethics was established in 2002 by The World Association of Non Governmental NGOs.

## **Project management**

There is an increasing awareness that management techniques are crucial to project success in non-governmental organizations.<sup>[11]</sup> Generally, non-governmental organizations that are private have either a community or environmental focus. They address varieties of issues such as religion, emergency aid, or humanitarian affairs. They mobilize public support and voluntary contributions for aid; they often have strong links with community groups in developing countries, and they often work in areas where government-to-government aid is not possible. NGOs are accepted as a part of the international relations landscape, and while they influence national and multilateral policy-making, increasingly they are more directly involved in local action.

## **Corporate structure**

### **Staffing**

Not all people working for non-governmental organizations are volunteers.

There is some dispute as to whether expatriates should be sent to developing countries. Frequently this type of personnel is employed to satisfy a donor who wants to see the supported project managed by someone from an industrialized

country. However, the expertise these employees or volunteers may be counterbalanced by a number of factors: the cost of foreigners is typically higher, they have no grassroots connections in the country they are sent to, and local expertise is often undervalued.<sup>[9]</sup>

The NGO sector is an important employer in terms of numbers.<sup>[citation needed]</sup> For example, by the end of 1995, CONCERN worldwide, an international Northern NGO working against poverty, employed 174 expatriates and just over 5,000 national staff working in ten developing countries in Africa and Asia, and in Haiti.

## Funding

Large NGOs may have annual budgets in the hundreds of millions or billions of dollars. For instance, the budget of the American Association of Retired Persons (AARP) was over US\$540 million in 1999.<sup>[12]</sup> Funding such large budgets demands significant fundraising efforts on the part of most NGOs. Major sources of NGO funding are membership dues, the sale of goods and services, grants from international institutions or national governments, and private donations. Several EU-grants provide funds accessible to NGOs.

Even though the term "non-governmental organization" implies independence from governments, most NGOs depend heavily on governments for their funding.<sup>[13]</sup> A quarter of the US\$162 million income in 1998 of the famine-relief organization Oxfam was donated by the British government and the EU. The Christian relief and development organization World Vision United States collected US\$55 million worth of goods in 1998 from the American government. Nobel Prize winner Médecins Sans Frontières (MSF) (known in the USA as Doctors Without Borders) gets 46% of its income from government sources.

Government funding of NGOs is controversial, since, according to David Rieff, writing in *The New Republic*, "the whole point of humanitarian intervention was precisely that NGOs and civil society had both a right and an obligation to respond with acts of aid and solidarity to people in need or being subjected to repression or want by the forces that controlled them, whatever the governments concerned might think about the matter." Some NGOs, such as Greenpeace do not accept funding from governments or intergovernmental organizations.

## Overhead costs

Overhead is the amount of money that is spent on running an NGO rather than on projects.<sup>[18]</sup> This includes office expenses,<sup>[18]</sup> salaries, banking and bookkeeping costs. What percentage of overall budget is spent on overhead is often used to judge an NGO with less than 10% being viewed as good.<sup>[18]</sup> The World Association of Non-Governmental Organizations states that ideally more than 80% should be spent on programs (less than 20% on overhead).<sup>[19]</sup> The Global Fund to Fight AIDS, Tuberculosis and Malaria has specific guidelines on how high overhead can be to receive funding based on how the money is to be spent with overhead often needing to be less than 5-7%.<sup>[20]</sup> While the World Bank typically allows 10%.<sup>[21]</sup> A high percentage of overhead to total expenditures can make it more difficult to generate

funds.<sup>[22]</sup> High overhead costs may also generate criticism with some claiming the certain NGOs with high overhead are being run simply to benefit the people working for them.<sup>[23]</sup>

## Monitoring and control

In a March 2000 report on United Nations Reform priorities, former U.N. Secretary General Kofi Annan wrote in favor of international humanitarian intervention, arguing that the international community has a "right to protect"<sup>[24]</sup> citizens of the world against ethnic cleansing, genocide, and crimes against humanity. On the heels of the report, the Canadian government launched the Responsibility to Protect R2P<sup>[25]</sup> project, outlining the issue of humanitarian intervention. While the R2P doctrine has wide applications, among the more controversial has been the Canadian government's use of R2P to justify its intervention and support of the coup in Haiti.<sup>[26]</sup> Years after R2P, the World Federalist Movement, an organization which supports "the creation of democratic global structures accountable to the citizens of the world and call for the division of international authority among separate agencies", has launched Responsibility to Protect - Engaging Civil Society (R2PCS). A collaboration between the WFM and the Canadian government, this project aims to bring NGOs into lockstep with the principles outlined under the original R2P project.

The governments of the countries an NGO works or is registered in may require reporting or other monitoring and oversight. Funders generally require reporting and assessment, such information is not necessarily publicly available. There may also be associations and watchdog organizations that research and publish details on the actions of NGOs working in particular geographic or program areas.<sup>[citation needed]</sup>

In recent years, many large corporations have increased their corporate social responsibility departments in an attempt to preempt NGO campaigns against certain corporate practices. As the logic goes, if corporations work *with* NGOs, NGOs will not work *against* corporations.

In December 2007, The United States Department of Defense Assistant Secretary of Defense (Health Affairs) S. Ward Casscells established an International Health Division under Force Health Protection & Readiness.<sup>[27]</sup> Part of International Health's mission is to communicate with NGOs in areas of mutual interest. Department of Defense Directive 3000.05,<sup>[28]</sup> in 2005, requires DoD to regard stability-enhancing activities as a mission of importance equal to combat. In compliance with international law, DoD has necessarily built a capacity to improve essential services in areas of conflict such as Iraq, where the customary lead agencies (State Department and USAID) find it difficult to operate. Unlike the "co-option" strategy described for corporations, the OASD(HA) recognizes the neutrality of health as an essential service. International Health cultivates collaborative relationships with NGOs, albeit at arms-length, recognizing their traditional independence, expertise and honest broker status. While the goals of DoD and NGOs may seem incongruent, the DoD's emphasis on stability and security to reduce and prevent conflict suggests, on careful analysis, important mutual interests.

## History

International non-governmental organizations have a history dating back to at least 1839.<sup>[29]</sup> It has been estimated that by 1914, there were 1083 NGOs.<sup>[30]</sup> International NGOs were important in the anti-slavery movement and the movement for women's suffrage, and reached a peak at the time of the World Disarmament Conference.<sup>[31]</sup> However, the phrase "non-governmental organization" only came into popular use with the establishment of the United Nations Organization in 1945 with provisions in Article 71 of Chapter 10 of the United Nations Charter<sup>[32]</sup> for a consultative role for organizations which are neither governments nor member states—see Consultative Status. The definition of "international NGO" (INGO) is first given in resolution 288 (X) of ECOSOC on February 27, 1950: it is defined as "any international organization that is not founded by an international treaty". The vital role of NGOs and other "major groups" in sustainable development was recognized in Chapter 27<sup>[33]</sup> of Agenda 21, leading to intense arrangements for a consultative relationship between the United Nations and non-governmental organizations.

Rapid development of the non-governmental sector occurred in western countries as a result of the processes of restructuring of the welfare state. Further globalization of that process occurred after the fall of the communist system and was an important part of the Washington consensus.<sup>[13]</sup>

Globalization during the 20th century gave rise to the importance of NGOs. Many problems could not be solved within a nation. International treaties and international organizations such as the World Trade Organization were centred mainly on the interests of capitalist enterprises. In an attempt to counterbalance this trend, NGOs have developed to emphasize humanitarian issues, developmental aid and sustainable development. A prominent example of this is the World Social Forum, which is a rival convention to the World Economic Forum held annually in January in Davos, Switzerland. The fifth World Social Forum in Porto Alegre, Brazil, in January 2005 was attended by representatives from more than 1,000 NGOs.<sup>[citation needed]</sup> Some have argued that in forums like these, NGOs take the place of what should belong to popular movements of the poor. Others argue that NGOs are often imperialist<sup>[35]</sup> in nature, that they sometimes operate in a racialized manner in third world countries, and that they fulfill a similar function to that of the clergy during the high colonial era. The philosopher Peter Hallward argues that they are an aristocratic form of politics. Whatever the case, NGO transnational networking is now extensive

## Legal status

The legal form of NGOs is diverse and depends upon homegrown variations in each country's laws and practices. However, four main family groups of NGOs can be found worldwide:<sup>[38]</sup>

- Unincorporated and voluntary association
- Trusts, charities and foundations
- Companies not just for profit
- Entities formed or registered under special NGO or nonprofit laws

The Council of Europe in Strasbourg drafted the European Convention on the Recognition of the Legal Personality of International Non-Governmental Organizations in 1986, which sets a common legal basis for the existence and work of NGOs in Europe. Article 11 of the European Convention on Human Rights protects the right to freedom of association, which is also a fundamental norm for NGOs.

## **Critiques**

Stuart Becker provides the following summary of the primary critiques of NGOs:

There's a debate that, NGOs take the place of what should belong to popular movements of the poor. Others argue that NGOs are often imperialist in nature, that they sometimes operate in a racist manner in Third World countries and that they fulfill a similar function to that of the clergy during the colonial era. Philosopher Peter Hallward argues that they are an aristocratic form of politics."

Issa G. Shivji is one of Africa's leading experts on law and development issues as an author and academic. His critique on NGOs is found in two essays: "Silences in NGO discourse: The role and future of NGOs in Africa" and "Reflections on NGOs in Tanzania: What we are, what we are not and what we ought to be". Shivji argues that despite the good intentions of NGO leaders and activists, he is critical of the "objective effects of actions, regardless of their intentions" Shivji argues also that the sudden rise of NGOs are part of a neoliberal paradigm rather than pure altruistic motivations. He is critical of the current manifestations of NGOs wanting to change the world without understanding it, and that the imperial relationship continues today with the rise of NGOs.

Another criticism of NGOs is that they are being designed and used as extensions of the normal foreign-policy instruments of certain Western countries and groups of countries. Russian President Vladimir Putin made this accusation at the 43rd Munich Conference on Security Policy in 2007, concluding that these NGOs "are formally independent but they are purposefully financed and therefore under control."

## **Challenges to legitimacy**

The issue of the legitimacy of NGOs raises a series of important questions. This is one of the most important assets possessed by an NGO, it is gained through a perception that they are an "independent voice" Accountability may be able to provide this and also be able to assist activities by providing focus and direction As non-state actors with considerable influence over the governance in many areas, concerns have been expressed over the extent to which they represent the views of the public and the extent to which they allow the public to hold them to account.

The origin of funding can have serious implications for the legitimacy of NGOs. In recent decades NGOs have increased their numbers and range of activities to a level where they have become increasingly dependent on a limited number of donors. Consequently competition has increased for funding, as have the expectations of the

donors themselves. This runs the risk of donors adding conditions which can threaten the independence of NGOs, an over-dependence on official aid has the potential to dilute "the willingness of NGOs to speak out on issues which are unpopular with governments". In these situations NGOs are being held accountable by their donors, which can erode rather than enhance their legitimacy, a difficult challenge to overcome. Some commentators have also argued that the changes in where NGOs receive their funding has ultimately altered their functions.

NGOs have also been challenged on the grounds that they do not necessarily represent the needs of the developing world, through diminishing the so-called "Southern Voice". Some postulate that the North-South division exists in the arena of NGOs.<sup>[48]</sup> They question the equality of the relationships between Northern and Southern parts of the same NGOs as well as the relationships between Southern and Northern NGOs working in partnerships. This suggests a division of labour may develop, with the North taking the lead in advocacy and resource mobilisation whilst the South engages in service delivery in the developing world.<sup>[48]</sup> The potential implications of this may mean that the needs of the developing world are not addressed appropriately as Northern NGOs do not properly consult or participate in partnerships. The real danger in this situation is that western views may take the front seat and assign unrepresentative priorities.

The scale and variety of activities in which NGOs participate has grown rapidly since the 1980s, witnessing particular expansion in the 1990s. This has presented NGOs with need to balance the pressures of centralisation and decentralisation. By centralising NGOs, particularly those that operate at an international level, they can assign a common theme or set of goals. Conversely it is also advantageous to decentralise as this increases the chances of an NGO behaving flexibly and effectively to localised issues.

**Organizational studies, organizational behavior, and organizational theory** is the systematic study and careful application of knowledge about how people - as individuals and as groups - act within organizations. Organizational Behaviour studies encompasses the study of organizations from multiple viewpoints, methods, and levels of analysis. For instance, one divides these multiple viewpoints into three perspectives: modern, symbolic, and postmodern. Another traditional distinction, present especially in American academia, is between the study of "micro" organizational behavior -- which refers to individual and group dynamics in an organizational setting -- and "macro" organizational theory which studies whole organizations, how they adapt, and the strategies and structures that guide them. To this distinction, some scholars have added an interest in "meso" -- primarily interested in power, culture, and the networks of individuals and units in organizations -- and "field" level analysis which study how whole populations of organizations interact. In Europe these distinctions do exist as well, but are more rarely reflected in departmental divisions.

Whenever people interact in organizations, many factors come into play. Modern organizational studies attempt to understand and model these factors. Like all modernist social sciences, organizational studies seek to control, predict, and explain. There is some controversy over the ethics of controlling workers' behavior.



As such, organizational behavior or OB (and its cousin, Industrial psychology) have at times been accused of being the scientific tool of the powerful! Those accusations notwithstanding, OB can play a major role in organizational development and success.

One of the main goal of organizational theorists is, according to Simms (1994) is "to revitalize organizational theory and develop a better conceptualization of organizational life."An organizational theorist should carefully consider levels assumptions being made in theory, and is concerned to help managers and administrators.

## **History**

The Greek philosopher Plato wrote about the essence of leadership. Aristotle addressed the topic of persuasive communication. The writings of 16th century Italian philosopher Niccolò Machiavelli laid the foundation for contemporary work on organizational power and politics. In 1776, Adam Smith advocated a new form of organizational structure based on the division of labour. One hundred years later, German sociologist Max Weber wrote about rational organizations and initiated discussion of charismatic leadership. Soon after, Frederick Winslow Taylor introduced the systematic use of goal setting and rewards to motivate employees. In the 1920s, Australian-born Harvard professor Elton Mayo and his colleagues conducted productivity studies at Western Electric's Hawthorne plant in the United States.

Though it traces its roots back to Max Weber and earlier, organizational studies is generally considered to have begun as an academic discipline with the advent of scientific management in the 1890s, with Taylorism representing the peak of this movement. Proponents of scientific management held that rationalizing the organization with precise sets of instructions and time-motion studies would lead to increased productivity. Studies of different compensation systems were carried out.

After the First World War, the focus of organizational studies shifted to analysis of how human factors and psychology affected organizations, a transformation propelled by the identification of the Hawthorne Effect. This Human Relations Movement focused on teams, motivation, and the actualization of the goals of individuals within organizations.

Prominent early scholars included Chester Barnard, Henri Fayol, Frederick Herzberg, Abraham Maslow, David McClelland, and Victor Vroom.

The Second World War further shifted the field, as the invention of large-scale logistics and operations research led to a renewed interest in rationalist approaches to the study of organizations. Interest grew in theory and methods native to the sciences, including systems theory, the study of organizations with a complexity theory perspective and complexity strategy. Influential work was done by Herbert Alexander Simon and James G. March and the so-called "Carnegie School" of organizational behavior.

In the 1960s and 1970s, the field was strongly influenced by social psychology and the emphasis in academic study was on quantitative research. An explosion of theorizing, much of it at Stanford University and Carnegie Mellon, produced Bounded Rationality, Informal Organization, Contingency Theory, Resource Dependence, Institutional Theory, and Organizational Ecology theories, among many others.

Starting in the 1980s, cultural explanations of organizations and change became an important part of study. Qualitative methods of study became more acceptable, informed by anthropology, psychology and sociology. A leading scholar was Karl Weick.

## **Specific Contributions**

Frederick Winslow Taylor

Frederick Winslow Taylor (1856-1915) was the first person who attempted to study human behavior at work using a systematic approach. Taylor studied human characteristics, social environment, task, physical environment, capacity, speed, durability, cost and their interaction with each other. His overall objective was to reduce and/or remove human variability. Taylor worked to achieve his goal of making work behaviors stable and predictable so that maximum output could be achieved. He relied strongly upon monetary incentive systems, believing that humans are primarily motivated by money. He faced some strong criticism, including being accused of telling managers to treat workers as machines without minds, but his work was very productive and laid many foundation principles for modern management studies. An enlightening book about the life of Frederick Winslow Taylor and his studies is that by Kanigel (1997).

Elton Mayo

Elton Mayo, an Australian national, headed the Hawthorne Studies at Harvard. In his classic writing in 1931, *Human Problems of an Industrial Civilization*, he advised managers to deal with emotional needs of employees at work.

Mary Parker Follett

Mary Parker Follett was a pioneer management consultant in the industrial world. As a writer, she provided analyses on workers as having complex combinations of attitude, beliefs, and needs. She told managers to motivate employees on their job performance, a "pull" rather than a "push" strategy.

Douglas McGregor

Douglas McGregor proposed two theories/assumptions, which are very nearly the opposite of each other, about human nature based on his experience as a management consultant. His first theory was "Theory X", which is pessimistic and negative; and according to McGregor it is how managers traditionally perceive their workers. Then, in order to help managers replace that theory/assumption, he gave

“Theory Y” which takes a more modern and positive approach. He believed that managers could achieve more if they start perceiving their employees as self-energized, committed, responsible and creative beings. By means of his Theory Y, he in fact challenged the traditional theorists to adopt a developmental approach to their employees. He also wrote a book, *The Human Side of Enterprise*, in 1960; this book has become a foundation for the modern view of employees at work.

### **Current state of the field**

Organizational behaviour is currently a growing field. Organizational studies departments generally form part of business schools, although many universities also have industrial psychology and industrial economics programs.

The field is highly influential in the business world with practitioners like Peter Drucker and Peter Senge, who turned the academic research into business practices. Organizational behaviour is becoming more important in the global economy as people with diverse backgrounds and cultural values have to work together effectively and efficiently. It is also under increasing criticism as a field for its ethnocentric and pro-capitalist assumptions (see Critical Management Studies).

During the last 20 years organizational behavior study and practice has developed and expanded through creating integrations with other domains:

- Anthropology became an interesting prism to understanding firms as communities, by introducing concepts like Organizational culture, 'organizational rituals' and 'symbolic acts' enabling new ways to understand organizations as communities.
- Leadership Understanding: the crucial role of leadership at various level of an organization in the process of change management.
- Ethics and their importance as pillars of any vision and one of the most important driving forces in an organization.

### **Methods used in organizational studies**

A variety of methods are used in organizational studies. They include quantitative methods found in other social sciences such as multiple regression, non-parametric statistics, time dependent analysis, and ANOVA. In addition, computer simulation in organizational studies has a long history in organizational studies. Qualitative methods are also used, such as ethnography, which involves direct participant observation, single and multiple case analysis, and other historical methods. In the last fifteen years or so, there has been greater focus on language, metaphors, and organizational storytelling.

Kurt Lewin attended the Macy conferences and is commonly identified as the founder of the movement to study groups scientifically.

The systems framework is also fundamental to organizational theory as organizations are complex dynamic goal-oriented processes. One of the early thinkers in the field was Alexander Bogdanov, who developed his Tectology, a theory

widely considered a precursor of Bertalanffy's General Systems Theory, aiming to model and design human organizations. Kurt Lewin was particularly influential in developing the systems perspective within organizational theory and coined the term "systems of ideology", from his frustration with behavioural psychologies that became an obstacle to sustainable work in psychology (see Ash 1992: 198-207). The complexity theory perspective on organizations is another systems view of organizations.

The systems approach to organizations relies heavily upon achieving negative entropy through openness and feedback. A systemic view on organizations is transdisciplinary and integrative. In other words, it transcends the perspectives of individual disciplines, integrating them on the basis of a common "code", or more exactly, on the basis of the formal apparatus provided by systems theory. The systems approach gives primacy to the interrelationships, not to the elements of the system. It is from these dynamic interrelationships that new properties of the system emerge. In recent years, *systems thinking* has been developed to provide techniques for studying systems in holistic ways to supplement traditional reductionistic methods. In this more recent tradition, systems theory in organizational studies is considered by some as a humanistic extension of the natural sciences.

## **Topic 2; Theories and models of organizational studies**

Decision making

- Mintzberg's managerial roles
- Rational Decision-Making Model
- **Scientific management**

### **Organization structures and dynamics**

- Bureaucracy
- Complexity theory and organizations
- Contingency theory
- Hybrid organisation
- Informal Organization

### **Personality traits theories**

- Big Five personality traits
- Holland's Typology of Personality and Congruent Occupations
- Myers-Briggs Type Indicator

Control and stress modelling

- Herzberg's Two factor theory
- Theory X and Theory Y

Motivation in organizations

Motivation the forces either internal or external to a person that arouse enthusiasm and resistance to pursue a certain course of action. According to Baron et al. (2008)<sup>[6]</sup>: "Although motivation is a broad and complex concept, organizational scientists have agreed on its basic characteristics. Drawing from various social sciences, we define motivation as the set of processes that arouse, direct, and maintain human behavior toward attaining some goal"

There are many different motivation theories such as:

- Attribution theory
- Equity theory
- Maslow's hierarchy of needs
- Incentive theory (psychology)
- Model of emotional labor in organizations
- Frederick Herzberg two-factor theory

## **Theories and models of organizational studies**

### **Topic 2 b;Frederick Winslow Taylor**

to improve industrial efficiency. He is regarded as the father of scientific management, and was one of the first management consultants.<sup>[1]</sup>

Taylor was one of the intellectual leaders of the Efficiency Movement and his ideas, broadly conceived, were highly influential in the Progressive Era.

### **Scientific management**

Taylor believed that the industrial management of his day was amateurish, that management could be formulated as an academic discipline, and that the best results would come from the partnership between a trained and qualified management and a cooperative and innovative workforce. Each side needed the other, and there was no need for trade unions.

Future U.S. Supreme Court justice Louis Brandeis coined the term *scientific management* in the course of his argument for the Eastern Rate Case before the Interstate Commerce Commission in 1910. Brandeis debated that railroads, when governed according to the principles of Taylor, did not need to raise rates to increase wages. Taylor used Brandeis's term in the title of his monograph *The Principles of Scientific Management*, published in 1911. The Eastern Rate Case propelled Taylor's ideas to the forefront of the management agenda. Taylor wrote to Brandeis "I have rarely seen a new movement started with such great momentum as you have given this one." Taylor's approach is also often referred to, as *Taylor's Principles*, or frequently disparagingly, as *Taylorism*. Taylor's scientific management consisted of four principles:

1. Replace rule-of-thumb work methods with methods based on a scientific study of the tasks.

2. Scientifically select, train, and develop each employee rather than passively leaving them to train themselves.
3. Provide "Detailed instruction and supervision of each worker in the performance of that worker's discrete task" (Montgomery 1997: 250).
4. Divide work nearly equally between managers and workers, so that the managers apply scientific management principles to planning the work and the workers actually perform the tasks.

## **Managers and workers**

Taylor had very precise ideas about how to introduce his system:

It is only through *enforced* standardization of methods, *enforced* adoption of the best implements and working conditions, and *enforced* cooperation that this faster work can be assured. And the duty of enforcing the adoption of standards and enforcing this cooperation rests with *management* alone.

Workers were supposed to be incapable of understanding what they were doing. According to Taylor this was true even for rather simple tasks.

'I can say, without the slightest hesitation,' Taylor told a congressional committee, 'that the science of handling pig-iron is so great that the man who is ... physically able to handle pig-iron and is sufficiently phlegmatic and stupid to choose this for his occupation is rarely able to comprehend the science of handling pig-iron.'

The introduction of his system was often resented by workers and provoked numerous strikes. The strike at Watertown Arsenal led to the congressional investigation in 1912. Taylor believed the labourer was worthy of his hire, and pay was linked to productivity. His workers were able to earn substantially more than those in similar industries and this earned him enemies among the owners of factories where scientific management was not in use.

## **Propaganda techniques**

Taylor promised to reconcile labor and capital.

With the triumph of scientific management, unions would have nothing left to do, and they would have been cleansed of their most evil feature: the restriction of output. To underscore this idea, Taylor fashioned the myth that 'there has never been a strike of men working under scientific management', trying to give it credibility by constant repetition. In similar fashion he incessantly linked his proposals to shorter hours of work, without bothering to produce evidence of "Taylorized" firms that reduced working hours, and he revised his famous tale of Schmidt carrying pig iron at Bethlehem Steel at least three times, obscuring some aspects of his study and stressing others, so that each successive version made Schmidt's exertions more impressive, more voluntary and more rewarding to him than the last. Unlike [Harrington] Emerson, Taylor was not a charlatan, but his ideological message required the suppression of all evidence of worker's dissent, of

coercion, or of any human motives or aspirations other than those his vision of progress could encompass.<sup>[11]</sup>

## Management theory

Taylor thought that by analyzing work, the "One Best Way" to do it would be found. He is most remembered for developing the time and motion study. He would break a job into its component parts and measure each to the hundredth of a minute. One of his most famous studies involved shovels. He noticed that workers used the same shovel for all materials. He determined that the most effective load was 21½ lb, and found or designed shovels that for each material would scoop up that amount. He was generally unsuccessful in getting his concepts applied and was dismissed from Bethlehem Steel. It was largely through the efforts of his disciples (most notably H.L. Gantt) that industry came to implement his ideas. Nevertheless, the book he wrote after parting company with Bethlehem Steel, *Shop Management*, sold well.

## Relations with ASME

Taylor was president of the American Society of Mechanical Engineers (ASME) from 1906 to 1907. While president, he tried to implement his system into the management of the ASME but was met with much resistance. He was only able to reorganize the publications department and then only partially. He also forced out the ASME's long-time secretary, Morris L. Cooke, and replaced him with Calvin W. Rice. His tenure as president was trouble-ridden and marked the beginning of a period of internal dissension within the ASME during the Progressive Age.<sup>[12]</sup>

In 1912, Taylor collected a number of his articles into a book-length manuscript which he submitted to the ASME for publication. The ASME formed an ad hoc committee to review the text. The committee included Taylor allies such as James Mapes Dodge and Henry R. Towne. The committee delegated the report to the editor of the *American Machinist*, Leon P. Alford. Alford was a critic of the Taylor system and the report was negative. The committee modified the report slightly, but accepted Alford's recommendation not to publish Taylor's book. Taylor angrily withdrew the book and published *Principles* without ASME approval.<sup>[13]</sup>

## Criticism of Taylor

Management theorist Henry Mintzberg is highly critical of Taylor's methods. Mintzberg states that an obsession with efficiency allows measureable benefits to overshadow less quantifiable social benefits completely, and social values get left behind <sup>[23]</sup>

## Topic 2 c; Henry Mintzberg

Professor **Henry Mintzberg**, OC, OQ, FRSC (born in Montreal, September 2, 1939) is an internationally renowned academic and author on business and management. He is currently the Cleghorn Professor of Management Studies at the Desautels Faculty of Management of McGill University in Montreal, Quebec, Canada, where he has been teaching since 1968, after earning his Master's degree in Management and

Ph.D. from the MIT Sloan School of Management in 1965 and 1968 respectively.<sup>[1]</sup> His undergraduate degree in mechanical engineering was from McGill University. From 1991 to 1999, he was a visiting professor at INSEAD.

Henry Mintzberg writes prolifically on the topics of management and business strategy, with more than 150 articles and fifteen books to his name. His seminal book, *The Rise and Fall of Strategic Planning* (Mintzberg 1994), criticizes some of the practices of strategic planning today.

He recently published a book entitled *Managers Not MBAs* (Mintzberg 2004) which outlines what he believes to be wrong with management education today. Rather controversially, Mintzberg claims that prestigious graduate management schools like Harvard Business School and the Wharton Business School at the University of Pennsylvania are obsessed with numbers and that their overzealous attempts to make management a science are damaging the discipline of management. Mintzberg advocates more emphasis on post graduate programs that educate practicing managers (rather than students with little real world experience) by relying upon action learning and insights from their own problems and experiences. (See <http://www.impm.org/> and <http://www.CoachingOurselves.com/>)

Ironically, although Professor Mintzberg is quite critical about the strategy consulting business, he has twice won the McKinsey Award for publishing the best article in the Harvard Business Review. Also, he is credited with co-creating the organigraph, which is taught in business schools.<sup>[2]</sup>

In 1997 he was made an Officer of the Order of Canada. In 1998 he was made an Officer of the National Order of Quebec. He is now a member of the Strategic Management Society.

Mintzberg runs two programs which have been designed to teach his alternative approach to management and strategic planning at McGill University: the International Masters in Practicing Management (I.M.P.M.) in association with the McGill Executive Institute and the International Masters for Health Leadership (I.M.H.L.). With Phil LeNir, he owns CoachingOurselves International, a private company using his alternative approach for management development directly in the workplace.

He is married to Sasha Sadilova and has two children from a previous marriage, Susie and Lisa.

## **Theory on Organizational Forms**

**The organizational configurations framework of Mintzberg is a model that describes six valid organizational configurations**

1. **Mutual adjustment**, which achieves coordination by the simple process of informal communication (as between two operating employees)



2. **Direct supervision**, is achieved by having one person issue orders or instructions to several others whose work interrelates (as when a boss tells others what is to be done, one step at a time)
3. **Standardization of work processes**, which achieves coordination by specifying the work processes of people carrying out interrelated tasks (those standards usually being developed in the technostructure to be carried out in the operating core, as in the case of the work instructions that come out of time-and-motion studies)
4. **Standardization of outputs**, which achieves coordination by specifying the results of different work (again usually developed in the technostructure, as in a financial plan that specifies subunit performance targets or specifications that outline the dimensions of a product to be produced)
5. **Standardization of skills** (as well as knowledge), in which different work is coordinated by virtue of the related training the workers have received (as in medical specialists - say a surgeon and an anesthetist in an operating room - responding almost automatically to each other's standardized procedures)
6. **Standardization of norms**, in which it is the norms infusing the work that are controlled, usually for the entire organization, so that everyone functions according to the same set of beliefs (as in a religious order)

**According to the organizational configurations model of Mintzberg each organization can consist of a maximum of six basic parts:**

1. Strategic Apex (top management)
2. Middle Line (middle management)
3. Operating Core (operations, operational processes)
4. Techno structure (analysts that design systems, processes, etc)
5. Support Staff (support outside of operating workflow)
6. Ideology (halo of beliefs and traditions; norms, values, culture)

### **Topic 3. Rational planning model**

The **rational planning model** is the process of realizing a problem, establishing and evaluating planning criteria, create alternatives, implementing alternatives, and monitoring progress of the alternatives. It is used in designing neighborhoods, cities, and regions. The rational planning model is central in the development of modern **urban planning** and **transportation planning**. The very similar **rational decision-making model**, as it is called in **organizational behavior** is a process for making logically sound decisions. This multi-step model and aims to be logical and follow the orderly path from problem identification through solution.

#### **Method**

Rational decision-making or planning follows a series of steps detailed below:

#### **Verify, Define, and Detail the problem**

Verifying, defining & detailing the problem (problem definition, goal definition, information gathering). This step includes recognizing the problem, defining an initial solution, and starting primary analysis. Examples of this are creative devising,

creative ideas, inspirations, breakthroughs, and brainstorming. The very first step which is normally overlooked by the top level management is defining the exact problem. Though we think that the problem identification is obvious, many times it is not. The rational decision making model is a group-based decision making process. If the problem is not identified properly then we may face a problem as each and every member of the group might have a different definition of the problem. Hence, it is very important that the definition of the problem is the same among all group members. Only then is it possible for the group members to find alternate sources or problem solving in an effective manner.

### **Generate all possible solutions**

This step encloses two to three final solutions to the problem and preliminary implementation to the site. In planning, examples of this are Planned Units of Development and downtown revitalizations.

This activity is best done in groups, as different people may contribute different ideas or alternative solutions to the problem. If you are not able to generate alternative solutions, there is a chance that you might not arrive at an optimal or a rational decision. For exploring the alternatives it is necessary to gather information. Technology may help with gathering this information.

### **Generate objective assessment criteria**

Evaluative criteria are measurements to determine success and failure of alternatives. This step contains secondary and final analysis along with secondary solutions to the problem. Examples of this are site suitability and site sensitivity analysis. After going thoroughly through the process of defining the problem, exploring for all the possible alternatives for that problem and gathering information this step says evaluate the information and the possible options to anticipate the consequences of each and every possible alternative that is thought of. At this point of time we have to also think over for optional criteria on which we will measure the success or failure of our decision taken.

### **Choose the best solution which we have already generated**

This step comprises a final solution and secondary implementation to the site. At this point the process has developed into different strategies of how to apply the solutions to the site. Based on the criteria of assessment and the analysis done in previous steps, choose the best solution which we have generated. Once we go through the above steps thoroughly, implementing the fourth step is easy job. These four steps form the core of the Rational Decision Making Model.

### **Implementing the preferred alternative**

This step includes final implementation to the site and preliminary monitoring of the outcome and results of the site. This step is the building/renovations part of the process.

### **Monitoring and evaluating outcomes and results**

This step contains the secondary and final monitoring of the outcomes and results of the site. This step takes place over a long period of time.

### **Feedback**

Modify the decisions and actions taken based on the evaluation.

## **Requirements and limitations**

However, there are a lot of assumptions, requirements without which the rational decision model is a failure. Therefore, they all have to be considered. The model assumes that we have or should or can obtain adequate information, both in terms of quality, quantity and accuracy. This applies to the situation as well as the alternative technical situations. It further assumes that you have or should or can obtain substantive knowledge of the cause and effect relationships relevant to the evaluation of the alternatives. In other words, it assumes that you have a thorough knowledge of all the alternatives and the consequences of the alternatives chosen. It further assumes that you can rank the alternatives and choose the best of it. The following are the limitations for the Rational Decision Making Model:

- It requires a great deal of time.
- It requires great deal of information
- It assumes rational, measurable criteria are available and agreed upon.
- It assumes accurate, stable and complete knowledge of all the alternatives, preferences, goals and consequences.
- It assumes a rational, reasonable, non – political world.

## **The Bounded Rational Decision Making Model: a realistic approach**

The Rational Decision Making Model, amongst its many assumptions assumes that there is a single, best solution that will maximize the desired outcomes.

Now, the bounded rationality model says that the problems and the decisions are to be reduced to such a level that they will be understood. In other words, the model suggests that we should interpret information and extract essential features and then within these boundaries we take a rational decision.

The model turns towards compromising on the decision making process though it is a structured decision making model. The decision maker takes the decision or is assumed to choose a solution though not a perfect solution but “good enough” solution based on the limited capacity of the group leader to handle the complexity of the situation, ambiguity and information. The steps involved in the decision making are alike to the rational decision making process the model assumes that the perfect knowledge about all the alternatives are not possible for a human being to know. Hence, based on the limited knowledge he takes a good enough knowledge though not a perfect decision.

To cut the long story short we can say that the decision that is taken is rational but is taken in a bounded area and the choice of alternatives is though not perfect is nearer to the perfect decision. In rational process the assumption is that the exact problem, all the alternatives, should be thoroughly known to the decision maker. However, the realistic approach of human limitation is overlooked in rational decision making, but the same approach is considered mainly in the bounded rational decision making process.

Hence, it is also called as a Realistic Approach for Rational Decision Making Process.

## **Assumptions of the model**

The rational decision making model contains a number of assumptions.

- Problem clarity: The problem is clear and unambiguous. The decision maker is assumed to have complete information regarding situation.

- **Known options:** It is assumed the decision maker can identify all the relevant criteria and can list all the viable alternatives. Furthermore, the decision maker is aware of all possible consequences of each alternative.
- **Clear preferences:** Rationality assumes that the criteria and alternatives can be ranked and weighted to reflect their importance.
- **Constant preferences:** It's assumed that the specific decision criteria are constant and that the weights assigned to them are stable over time.
- **No time or cost constraints:** The rational decision maker can obtain full information about criteria and alternatives because it's assumed that there are no time or cost constraints.
- **Maximum payoff:** The rational decision maker will choose the alternative that yields the highest perceived value.

### **Three concepts of rational planning**

John Friedmann describes the three concepts of rationality that have informed planning as:

#### **Market rationality**

**Market rationality** is described as being grounded in metaphysics of possessive individualism and which predicates the individual as existing prior to society. Society then becomes the mechanism that enables individuals to pursue their private interests. This prior-to status gives market rationality a quasi-natural character, and ranks it as being beyond human intention, thereby making its assumptions unavoidably compelling. From this perspective, reason is the means toward the maximization of private satisfactions.

#### **Social rationality**

**Social rationality** is the opposite assumption, that the social group grants the individual their identity through membership in the group. Reason becomes the tool of the collective interest and functions as the avenue toward communal satisfactions.

#### **Methodology**

The three types of rationality that Friedman describes as structuring modern rational planning model are united on their reliance upon the methodology of empirical scientific investigation.

The distinctions that Friedmann makes allows the rational planning model to be used as a tool of social speech that creates its own processes according to the uses to which it is put. The rational planning model acts as a mediator between market and social rationality, and exists between different criteria of what is fundamentally rational.

The rational planning model has its origins in the scientific and philosophic revolutions of the 16th and 17th centuries, and in the social revolutions of the Enlightenment which gave public form to urban planning fundamentals and rational worldviews. The profession of modern urban planning is not based on the rational planning model; it identifies what planners have come to identify as rational and have come to an understanding of how the rational planning model affects an urban planner's decisions. The modern style of urban planning is essentially the rational planning model in its ideological framework.

The rational planning model has also been called the classical rational problem solving process, the rational comprehensive method, the "policy analysis strand of conservative forms of societal guidance planning", and "the ruling or normal paradigm that governs the practice of modern planning." Although it has a myriad of names, it has a singular approach to problem solving. This approach is the systematic evaluation of alternative means toward a preferred goal. Once a goal has been selected, the prevailing assumption is that there are only certain correct ways of achieving it.

### **Current status**

While the rational planning model was innovative at its conception, the concepts are controversial and questionable processes today. The rational planning model has fallen out of mass use as of the last decade.

### **Topic 4.Organisational structures and group dynamics**

Complexity theory and organizations

Complexity theory has been used in the field of strategic management and organizational studies, sometimes called complexity strategy.

A way of modelling a Complex Adaptive System. A system with high adaptive capacity exerts complex adaptive behavior in a changing environment.

Complex adaptive systems (CAS) are contrasted with ordered and chaotic systems by the relationship that exists between the system and the agents which act within it. In an ordered system the level of constraint means that all agent behaviour is limited to the rules of the system. In a chaotic system the agents are unconstrained and susceptible to statistical and other analysis. In a CAS, the system and the agents co-evolve; the system lightly constrains agent behaviour, but the agents modify the system by their interaction with it.

CAS approaches to strategy seek to understand the nature of system constraints and agent interaction and generally takes an evolutionary or naturalistic approach to strategy.

### **Contingency theory**

**Contingency theory** is a class of behavioural theory that claims that there is no best way to organize a corporation, to lead a company, or to make decisions. Instead, the optimal course of action is contingent (dependent) upon the internal and external situation. Several contingency approaches were developed concurrently in the late 1960s.

They suggested that previous theories such as Weber's bureaucracy and Taylor's scientific management had failed because they neglected that management style and organizational structure were influenced by various aspects of the environment: the contingency factors. There could not be "one best way" for leadership or organization.

Historically, contingency theory has sought to formulate broad generalizations about the formal structures that are typically associated with or best fit the use of different technologies. The perspective originated with the work of Joan Woodward (1958), who argued that technologies directly determine differences in such organizational attributes as span of control, centralization of authority, and the formalization of rules and procedures.

Fred Fiedler's contingency model focused on individual leadership.

William Richard Scott describes contingency theory in the following manner: "The best way to organize depends on the nature of the environment to which the organization must relate". Other researchers including Paul Lawrence, Jay Lorsch, and James D. Thompson were complementing to this statement and were more interested in the impact of contingency factors on organizational structure. Their structural contingency theory was the dominant paradigm of organizational structural theories for most of the 1970s. A major empirical test was furnished by Johannes M Pennings who examined the interaction between environmental uncertainty, organization structure and various aspects of performance.

### **Hybrid organization**

A **hybrid organization** is a body that operates in both the **public sector** and the **private sector**, simultaneously fulfilling public duties and developing commercial market activities. As a result the hybrid organization becomes a mixture of both a part of **government** and a commercial enterprise.

Examples include **universities** that provide consultancy services on a commercial basis, **social housing** providers that compete with commercial property developers, **public schools** that offer trainings for companies and **hospitals** that provide private medical check-ups.

Hybrid organizations have strong as well as weak points. The combination of public duties and commercial activities can have significant **synergy** effects. But there is also the risk of **unfair competition** and that **market** activities could oust **public** activities.

The hybrid organization is not only mix of public and private organization, it is a wider organizational concept based on postmodern perspective of organization theory. "Hybrid may occur either because designer deliberately mix forms in an attempt to blend the advantages of two or more different types or because the organization changing"

### **Personality traits theories**

#### **The big five personality traits**

In contemporary **psychology**, the "**Big Five**" **factors** of personality are five broad domains or dimensions of **personality** which have been scientifically discovered to define human personality at the highest level of organization (Goldberg, 1993)These

five over-arching domains have been found to contain and subsume more-or-less all known personality traits within their five domains and to represent the basic structure behind all personality traits. They have brought order to the often-bewildering array of specific lower-level personality concepts that are constantly being proposed by psychologists, which are often found to be overlapping and confusing. These five factors provide a rich conceptual framework for integrating all the research findings and theory in personality psychology. The big five traits are also referred to as the "**Five Factor Model**" or FFM (Costa & McCrae, 1992), and as the Global Factors of personality (Russell & Karol, 1994).

The Big Five model is considered to be one of the most comprehensive, empirical, data-driven research findings in the history of personality psychology. Identifying the traits and structure of human personality has been one of the most fundamental goals in all of psychology. Over three or four decades of research, these five broad factors were gradually discovered and defined by several independent sets of researchers (Digman, 1990). These researchers began by studying all known personality traits and then factor-analyzing hundreds of measures of these traits (in self-report and questionnaire data, peer ratings, and objective measures from experimental settings) in order to find the basic, underlying factors of personality.

At least three sets of researchers have worked independently for decades on this problem and have identified generally the same Big Five factors: Goldberg at the Oregon Research Institute, Cattell at the University of Illinois, and Costa and McCrae at the National Institutes of Health. These three sets of researchers used somewhat different methods in finding the five traits, and thus each set of five factors has somewhat different names and definitions. However, all three sets have been found to be highly inter-correlated and factor-analytically aligned.

It is important to note that these traits have been found to organize personality at the highest level, and so they are most helpful as a conceptual, organizing framework for regular, lower-level personality traits. However, because the Big Five traits are so broad and comprehensive, they are not nearly as powerful in predicting and explaining actual behavior as are the more numerous lower-level traits. Many studies have confirmed that in predicting actual behavior the more numerous facet or primary level traits are far more effective (e.g. Mershon & Gorsuch, 1988; Paunonen & Ashton, 2001).

The Big five factors are **Openness**, **Conscientiousness**, **Extraversion**, **Agreeableness**, and **Neuroticism** (OCEAN, or CANOE if rearranged). The Neuroticism factor is sometimes referred to as Emotional Stability. Some disagreement remains about how to interpret the Openness factor, which is sometimes called "Intellect".<sup>[25]</sup> Each factor consists of a cluster of more specific traits that correlate together. For example, extraversion includes such related qualities as sociability, excitement seeking, impulsiveness, and positive emotions.

The Five Factor Model is a purely descriptive **model** of personality, but psychologists have developed a number of **theories** to account for the Big Five.

## Overview

The Big Five factors and their constituent traits can be summarized as follows:

- **Openness** - appreciation for **art, emotion, adventure**, unusual ideas, **curiosity**, and variety of experience.
- **Conscientiousness** - a tendency to show self-discipline, act **dutifully**, and aim for **achievement**; planned rather than spontaneous behavior.
- **Extraversion** - energy, positive emotions, **urgency**, and the tendency to seek **stimulation** in the company of others.
- **Agreeableness** - a tendency to be compassionate and **cooperative** rather than **suspicious** and antagonistic towards others.
- **Neuroticism** - a tendency to experience unpleasant emotions easily, such as **anger, anxiety, depression**, or **vulnerability**; sometimes called emotional instability.

When scored for individual feedback, these traits are frequently presented as **percentile** scores. For example, a **Conscientiousness** rating in the 80th percentile indicates a relatively strong sense of **responsibility** and orderliness, whereas an Extraversion rating in the 5th percentile indicates an exceptional need for **solitude** and **quiet**.

Although these trait clusters are statistical aggregates, exceptions may exist on individual personality profiles. On average, people who register high in **Openness** are intellectually curious, open to emotion, interested in art, and willing to try new things. A particular individual, however, may have a high overall Openness score and be interested in learning and exploring new cultures. Yet he or she might have no great interest in art or poetry. Situational influences also exist, as even extraverts may occasionally need time away from people.

The most frequently used measures of the Big Five comprise either items that are self-descriptive sentence or, in the case of lexical measures, items that are single adjectives. Due to the length of sentence-based and some lexical measures, short forms have been developed and validated for use in applied research settings where questionnaire space and respondent time are limited, such as the 40-item balanced *International English Big-Five Mini-Markers*. or a very brief (10 item) measure of the big 5 domains

### **Openness to Experience**

**Openness** is a general appreciation for art, emotion, adventure, unusual ideas, imagination, curiosity, and variety of experience. The trait distinguishes imaginative people from down-to-earth, conventional people. People who are open to experience are intellectually curious, appreciative of art, and sensitive to beauty. They tend to be, compared to closed people, more creative and more aware of their feelings. They are more likely to hold unconventional beliefs.

People with low scores on openness tend to have more conventional, traditional interests. They prefer the plain, straightforward, and obvious over the complex, ambiguous, and subtle. They may regard the arts and sciences with suspicion, regarding these endeavors as abstruse or of no practical use. Closed people prefer familiarity over novelty. They are conservative and resistant to change.

### **Sample Openness items**

- I have a rich vocabulary.
- I have a vivid imagination.



- I have excellent ideas.
- I spend time reflecting on things.
- I use difficult words.
- I am not interested in abstractions. (*reversed*)
- I do not have a good imagination. (*reversed*)
- I have difficulty understanding abstract ideas. (*reversed*)

### **Conscientiousness**

**Conscientiousness** is a tendency to show self-discipline, act dutifully, and aim for achievement. The trait shows a preference for planned rather than spontaneous behavior. It influences the way in which we control, regulate, and direct our impulses. Conscientiousness includes the factor known as Need for Achievement (NAch).

The benefits of high conscientiousness are obvious. Conscientious individuals avoid trouble and achieve high levels of success through purposeful planning and persistence. They are also positively regarded by others as intelligent and reliable. On the negative side, they can be compulsive perfectionists and workaholics.

#### **Sample Conscientiousness items**

- I am always prepared.
- I am exacting in my work.
- I follow a schedule.
- I get chores done right away.
- I like order.
- I pay attention to details.
- I leave my belongings around. (*reversed*)
- I make a mess of things. (*reversed*)
- I often forget to put things back in their proper place. (*reversed*)
- I shirk my duties. (*reversed*)

### **Extraversion**

**Extraversion** is characterized by positive emotions, surgency, and the tendency to seek out stimulation and the company of others. The trait is marked by pronounced engagement with the external world. Extraverts enjoy being with people, and are often perceived as full of energy. They tend to be enthusiastic, action-oriented individuals who are likely to say "Yes!" or "Let's go!" to opportunities for excitement. In groups they like to talk, assert themselves, and draw attention to themselves.

Introverts lack the exuberance, energy, and activity levels of extraverts. They tend to be quiet, low-key, deliberate, and less involved in the social world. Their lack of social involvement should not be interpreted as shyness or depression. Introverts simply need less stimulation than extraverts and more time alone.

#### **Sample Extraversion items**

- I am the life of the party.
- I don't mind being the center of attention.
- I feel comfortable around people.
- I start conversations.
- I talk to a lot of different people at parties.
- I am quiet around strangers. (*reversed*)

- I don't like to draw attention to myself. (*reversed*)
- I don't talk a lot. (*reversed*)
- I have little to say. (*reversed*)

## **Neuroticism**

**Neuroticism** is the tendency to experience negative emotions, such as anger, anxiety, or depression. It is sometimes called emotional instability. Those who score high in neuroticism are emotionally reactive and vulnerable to stress. They are more likely to interpret ordinary situations as threatening, and minor frustrations as hopelessly difficult. Their negative emotional reactions tend to persist for unusually long periods of time, which means they are often in a bad mood. These problems in emotional regulation can diminish the ability of a person scoring high on neuroticism to think clearly, make decisions, and cope effectively with stress.

At the other end of the scale, individuals who score low in neuroticism are less easily upset and are less emotionally reactive. They tend to be calm, emotionally stable, and free from persistent negative feelings. Freedom from negative feelings does not mean that low scorers experience a lot of positive feelings. Frequency of positive emotions is a component of the Extraversion domain.

### **Sample Neuroticism items**

- I am easily disturbed.
- I change my mood a lot.
- I get irritated easily.
- I get stressed out easily.
- I get upset easily.
- I have frequent mood swings.
- I often feel blue.
- I worry about things.
- I am relaxed most of the time. (*reversed*)
- I seldom feel blue. (*reversed*)

### **Selected scientific findings**

Ever since the 1990s when the consensus of psychologists gradually came to support the Big Five, there has been a growing body of research surrounding these personality traits (see for instance, Robert Hogan's edited book "Handbook of Personality Psychology" (Academic Press, 1997).

### **Heritability**

All five factors show an influence from both heredity and environment. Twin studies suggest that these effects contribute in roughly equal proportion. An analysis of the available studies found overall heritabilities for the Big Five traits as follows:

Openness: 57%  
 Extraversion: 54%  
 Conscientiousness: 49%  
 Neuroticism: 48%  
 Agreeableness: 42%

## Development

Many studies of **longitudinal** data, which correlate people's test scores over time, and cross-sectional data, which compare personality levels across different age groups, show a high degree of stability in personality traits during adulthood. More recent research and meta-analyses of previous studies, however, indicate that change occurs in all five traits at various points in the lifespan. The new research shows evidence for a **maturation** effect. On average, levels of Agreeableness and Conscientiousness typically increase with time, whereas Extraversion, Neuroticism, and Openness tend to decrease. In addition to these group effects, there are individual differences: different people demonstrate unique patterns of change at all stages of life.

## Sex differences

Cross-cultural research from 26 nations ( $N = 23,031$  subjects) and again in 55 nations ( $N = 17,637$  subjects) has shown a universal pattern of sex differences on responses to the Big Five Inventory. Women consistently report higher Neuroticism and Agreeableness, and men often report higher Extraversion and Conscientiousness. Sex differences in personality traits are larger in prosperous, healthy, and egalitarian cultures in which women have more opportunities that are equal to those of men.

## Birth order

The suggestion has often been made that individuals differ by the order of their births. Frank J. Sulloway argues that **birth order** is correlated with personality traits. He claims that firstborns are more conscientious, more socially dominant, less agreeable, and less open to new ideas compared to laterborns.

However, Sulloway's case has been called into question. One criticism is that his data confound family size with birth order. Subsequent analyses have shown that birth order effects are only found in studies where the subjects' personality traits are rated by family members (such as siblings or parents) or by acquaintances familiar with the subjects' birth order. Large scale studies using random samples and self-report personality tests like the NEO PI-R have found no significant effect of birth order on personality.

## Cross-cultural research

The Big Five have been replicated in a variety of different languages and cultures, such as German and Chinese. Thompson has demonstrated the Big Five structure across several cultures using an international English language scale.

Recent work has found relationships between **Geert Hofstede's** cultural factors, Individualism, Power Distance, Masculinity, and Uncertainty Avoidance, with the average Big Five scores in a country. For instance, the degree to which a country values individualism correlates with its average Extraversion, while people living in cultures which are accepting of large inequalities in their power structures tend to score somewhat higher on Conscientiousness. The reasons for these differences are as yet unknown; this is an active area of research.

## Criticisms

Much research has been conducted on the Big Five. This has resulted in both criticism and support for the model. Critics argue that there are limitations to the scope of Big Five as an explanatory or predictive theory. It is argued that the Big Five

does not explain all of human personality. The methodology used to identify the dimensional structure of personality traits, factor analysis, is often challenged for not having a universally-recognized basis for choosing among solutions with different numbers of factors. Another frequent criticism is that the Big Five is not theory-driven. It is merely a data-driven investigation of certain descriptors that tend to cluster together under factor analysis.

### **Limited scope**

One common criticism is that the Big Five does not explain all of human personality. Some psychologists have dissented from the model precisely because they feel it neglects other domains of personality, such as **Religiosity, Manipulativeness/Machiavellianism, Honesty, Thriftiness, Conservativeness, Masculinity/Femininity, Snobbishness, Sense of humour, Identity, Self-concept, and Motivation.** Correlations have been found between some of these variables and the Big Five, such as the inverse relationship between political conservatism and Openness,<sup>[53]</sup> although variation in these traits is not well explained by the Five Factors themselves. McAdams has called the Big Five a "psychology of the stranger," because they refer to traits that are relatively easy to observe in a stranger; other aspects of personality that are more privately held or more context-dependent are excluded from the Big Five.

In many studies, the five factors are not fully orthogonal to one another; that is, the five factors are not independent. Negative correlations often appear between Neuroticism and Extraversion, for instance, indicating that those who are more prone to experiencing negative emotions tend to be less talkative and outgoing. Orthogonality is viewed as desirable by some researchers because it minimizes redundancy between the dimensions. This is particularly important when the goal of a study is to provide a comprehensive description of personality with as few variables as possible.

### **Methodological issues**

The methodology used to identify the dimensional structure of personality traits, **factor analysis**, is often challenged for not having a universally-recognized basis for choosing among solutions with different numbers of factors. That is, a five factor solution depends on some degree of interpretation by the analyst. A larger number of factors may, in fact, underlie these five factors. This has led to disputes about the "true" number of factors. Big Five proponents have responded that although other solutions may be viable in a single dataset, only the five factor structure consistently replicates across different studies.

A methodological criticism often directed at the Big Five is that much of the evidence relies on self report questionnaires; self report bias and falsification of responses is impossible to deal with completely. This becomes especially important when considering why scores may differ between individuals or groups of people - differences in scores may represent genuine underlying personality differences, or they may simply be an artifact of the way the subjects answered the questions. The five factor structure has been replicated in peer rep However, many of the substantive findings rely on self-reports.

## Theoretical status

A frequent criticism is that the Big Five is not based on any underlying theory; it is merely an empirical finding that certain descriptors cluster together under factor analysis. While this does not mean that these five factors don't exist, the underlying causes behind them are unknown. Sensation seeking and cheerfulness are not linked to Extraversion because of an underlying theory; this relationship is an empirical finding to be explained. Several overarching theoretical models have been proposed to cover all of the Big Five, such as Five-Factor Theory and Social Investment Theory. Temperament Theory may prove to provide a theoretical foundation for the Big Five, and provide a longitudinal (life-span) model in which the Big Five could be grounded.

## Topic 5;Myers-Briggs Type Indicator

The **Myers-Briggs Type Indicator** (MBTI) assessment is a psychometric questionnaire designed to measure psychological preferences in how people perceive the world and make decisions. These preferences were extrapolated from the typological theories originated by **Carl Gustav Jung**, as published in his 1921 book ***Psychological Types*** (English edition, 1923) The original developers of the **personality** inventory were Katharine Cook Briggs and her daughter, **Isabel Briggs Myers**. They began creating the indicator during **World War II**, believing that a knowledge of personality preferences would help women who were entering the industrial workforce for the first time identify the sort of war-time jobs where they would be "most comfortable and effective." The initial questionnaire grew into the Myers-Briggs Type Indicator, which was first published in 1962. The MBTI focuses on normal populations and emphasizes the value of naturally occurring differences.

The MBTI instrument is called "the best-known and most trusted personality assessment tool available today" by its publisher, CPP (formerly Consulting Psychologists Press). CPP further calls the MBTI tool "the world's most widely used personality assessment," with as many as 2 million assessments administered annually. Some academic psychologists have criticized the MBTI instrument, claiming that it "lacks convincing validity data." Proponents of the test cite unblinded anecdotal predictions of individual behavior, and claim that the indicator has been found to meet or exceed the reliability of other psychological instruments. For most adults (75–90%), though not for children, the MBTI is reported to give the same result for 3–4 preferences when the test is administered to the same person more than once (although the period between measurements is not stated). Some studies have found strong support for **construct validity**, **internal consistency**, and **test-retest reliability**, although variation was observed.

The definitive published source of reference for the Myers-Briggs Type Indicator is *The Manual* produced by CPP, from which much of the information in this article is drawn, along with training materials from CPP and their European training partners, Oxford Psychologists Press. Also, a related model, with an original test, is published in **David Keirsey's** books ***Please Understand Me*** and ***Please Understand Me II***.

## Concepts

### Attitudes: Extraversion (E) / Introversion (I)

The preferences for **extraversion** (thus spelled in Myers-Briggs jargon) and **introversion** are sometimes referred to as **attitudes**. Briggs and Myers recognized that each of the cognitive functions can operate in the external world of behavior, action, people and things (*extraverted attitude*) or the internal world of ideas and reflection (*introverted attitude*). The Myers-Briggs Type Indicator sorts for an overall preference for one or the other of these.

The terms *extravert* and *introvert* are used in a special sense when discussing the Myers-Briggs Type Indicator. People who prefer extraversion draw energy from action: they tend to act, then reflect, then act further. If they are inactive, their level of energy and motivation tends to decline. Conversely, those who prefer introversion become less energized as they act: they prefer to reflect, then act, then reflect again. People who prefer introversion need time out to reflect in order to rebuild energy.

The extravert's flow is directed outward toward people and objects, and the introvert's is directed inward toward concepts and ideas. There are several contrasting characteristics between extraverts and introverts: extraverts are action-oriented and desire breadth, while introverts are thought-oriented and seek depth. Extraverts often prefer more frequent interaction, while introverts prefer more substantial interaction.

### Functions: Sensing (S) / intuition (N) and Thinking (T) / Feeling (F)

Jung identified two pairs of psychological functions:

- The two *perceiving* functions, sensing and intuition
- The two *judging* functions, thinking and feeling

According to the Myers-Briggs typology model, each person uses one of these four functions more dominantly and proficiently than the other three; however, all four functions are used at different times depending on the circumstances.

**Sensing** and **intuition** are the information-gathering (perceiving) functions. They describe how new information is understood and interpreted. Individuals who prefer *sensing* are more likely to trust information that is in the present, tangible and concrete: that is, information that can be understood by the five senses. They tend to distrust hunches that seem to come out of nowhere. They prefer to look for details and facts. For them, the meaning is in the data. On the other hand, those who prefer *intuition* tend to trust information that is more abstract or theoretical, that can be associated with other information (either remembered or discovered by seeking a wider context or pattern). They may be more interested in future possibilities. They tend to trust those flashes of insight that seem to bubble up from the unconscious mind. The meaning is in how the data relates to the pattern or theory.

**Thinking** and **feeling** are the **decision-making** (judging) functions. The thinking and feeling functions are both used to make rational decisions, based on the data received from their information-gathering functions (sensing or intuition). Those who prefer *thinking* tend to decide things from a more detached standpoint, measuring the decision by what seems reasonable, logical, causal, consistent and matching a given set of rules. Those who prefer *feeling* tend to come to decisions by associating or empathizing with the situation, looking at it 'from the inside' and weighing the

situation to achieve, on balance, the greatest harmony, consensus and fit, considering the needs of the people involved.

As noted already, people who prefer thinking do not necessarily, in the everyday sense, "think better" than their feeling counterparts; the opposite preference is considered an equally rational way of coming to decisions (and, in any case, the MBTI assessment is a measure of preference, not ability). Similarly, those who prefer feeling do not necessarily have "better" emotional reactions than their thinking counterparts.

### **Dominant Function**

Although people use all four cognitive functions, one function is generally used in a more conscious and confident way. This dominant function is supported by the secondary (auxiliary) function, and to a lesser degree the tertiary function. The fourth and least conscious function is always the opposite of the dominant function. Myers called this inferior function the *shadow*

The four functions operate in conjunction with the attitudes (extraversion and introversion). Each function is used in either an extraverted or introverted way. A person whose dominant function is extraverted intuition, for example, uses intuition very differently from someone whose dominant function is introverted intuition.

### **Lifestyle: Judgment (J) / Perception (P)**

Myers and Briggs added another dimension to Jung's typological model by identifying that people also have a preference for using either the **judging** function (thinking or feeling) or their **perceiving** function (sensing or intuition) when relating to the outside world (extraversion).

Myers and Briggs held that types with a preference for *judging* show the world their preferred judging function (thinking or feeling). So TJ types tend to appear to the world as logical, and FJ types as empathetic. According to Myers, judging types prefer to "have matters settled." Those types ending in P show the world their preferred *perceiving* function (sensing or intuition). So SP types tend to appear to the world as concrete and NP types as abstract. According to Myers, perceiving types prefer to "keep decisions open."

For extraverts, the J or P indicates their *dominant* function; for introverts, the J or P indicates their *auxiliary* function. Introverts tend to show their dominant function outwardly only in matters "important to their inner worlds." For example:

Because ENTJ types are extraverts, the J indicates that their *dominant* function is their preferred judging function (extraverted thinking). ENTJ types introvert their auxiliary perceiving function (introverted intuition). The tertiary function is sensing and the inferior function is introverted feeling.

Because INTJ types are introverts, the J indicates that their *auxiliary* function is their preferred judging function (extraverted thinking). INTJ types introvert their dominant perceiving function (introverted intuition). The tertiary function is feeling, and the inferior function is extraverted sensing.

### **Whole type**

The expression of a person's psychological type is more than the sum of the four individual preferences, because of the way in which the preferences interact through **type dynamics and type development**. Descriptions of each type can be found on the **Myers & Briggs Foundation** website. In-depth descriptions of each type, including statistics, can be found in the MBTI Manual.<sup>[15]</sup>

## Differences from Jung Judging vs. Perceiving

The most notable addition of Myers and Briggs to Jung's original thought is their concept that a given type's fourth letter (J or P) is determined by how that type interacts with the **external world**, rather than by the type's **dominant** function. The difference becomes evident when assessing the cognitive functions of introverts.

To Jung, a type with dominant introverted thinking, for example, would be considered *rational* (judging) because the decision-making function is dominant. To Myers, however, that same type would be *irrational* (perceiving) because the individual uses an information-gathering function (either extraverted intuition or extraverted sensing) when interacting with the outer world.

### Orientation of the tertiary function

Jung theorized that the dominant function acts alone in its preferred world: exterior for the extraverts, and interior for the introverts. The remaining three functions, he suggested, operate together in the opposite world. If the dominant cognitive function is introverted, the other functions are extraverted, and vice versa. The *MBTI Manual* summarizes references in Jung's work to the balance in psychological type as follows:

There are several references in Jung's writing to the three remaining functions having an opposite attitudinal character. For example, in writing about introverts with thinking dominant...Jung commented that the counterbalancing functions have an extraverted character

However, many MBTI practitioners hold that the tertiary function is oriented in the same direction as the dominant function. Using the INTP type as an example, the orientation would be as follows:

- Dominant introverted thinking
- Auxiliary extraverted intuition
- Tertiary introverted sensing
- Inferior extraverted feeling

## Applications of the MBTI

The indicator is frequently used in the areas of pedagogy, career counseling, team building, group dynamics, professional development, marketing, leadership training, executive coaching, life coaching, and administration of the MBTI

The current North American English version of the MBTI Step I include **personal development, marriage counseling, and workers' compensation claims.**

Forces 93 forced-choice questions (there are 88 in the European English version). *Forced-choice* means that the individual has to choose only one of two possible answers to each question. The choices are a mixture of word pairs and short statements. Choices are not literal opposites but chosen to reflect opposite preferences on the same dichotomy. Participants may skip questions if they feel they are unable to choose.

Using **psychometric** techniques, such as **item response theory**, the MBTI will then be scored and will attempt to identify the preference, and clarity of preference, in each dichotomy. After taking the MBTI, participants are usually asked to complete a *Best Fit* exercise (see above) and then given a readout of their Reported Type, which



will usually include a bar graph and number to show how clear they were about each preference when they completed the questionnaire.

During the early development of the MBTI thousands of items were used. Most were eventually discarded because they did not have high *midpoint discrimination*, meaning the results of that one item did not, on average, move an individual score *away* from the midpoint. Using only items with high midpoint discrimination allows the MBTI to have fewer items on it but still provide as much statistical information as other instruments with many more items with lower midpoint discrimination. The MBTI requires five points one way or another to indicate a clear preference.

## **Control and stress modeling**

### **Two-factor theory, theory x and theory y**

**Two-factor theory** (also known as **Herzberg's motivation-hygiene theory**) was developed by Frederick Herzberg, a psychologist who found that job satisfaction and job dissatisfaction acted independently of each other. Two Factor Theory states that there are certain factors in the workplace that cause job satisfaction, while a separate set of factors cause dissatisfaction

### **Two-factor theory fundamentals**

Attitudes and their connection with industrial mental health are related to Maslow's theory of motivation. His findings have had a considerable theoretical, as well as a practical, influence on attitudes toward administration. According to Herzberg, individuals are not content with the satisfaction of lower-order needs at work, for example, those associated with minimum salary levels or safe and pleasant working conditions. Rather, individuals look for the gratification of higher-level psychological needs having to do with achievement, recognition, responsibility, advancement, and the nature of the work itself. So far, this appears to parallel Maslow's theory of a need hierarchy. However, Herzberg added a new dimension to this theory by proposing a two-factor model of motivation, based on the notion that the presence of one set of job characteristics or incentives lead to worker *satisfaction* at work, while another and separate set of job characteristics lead to *dissatisfaction* at work. Thus, satisfaction and dissatisfaction are not on a continuum with one increasing as the other diminishes, but are independent phenomena. This theory suggests that to improve job attitudes and productivity, administrators must recognize and attend to both sets of characteristics and not assume that an increase in satisfaction leads to an decrease in unpleasurable dissatisfaction.

The two-factor, or *motivation-hygiene theory*, developed from data collected by Herzberg from interviews with a large number of engineers and accountants in the Pittsburgh area. From analyzing these interviews, he found that job characteristics related to what an individual *does* — that is, to the nature of the work she performs — apparently have the capacity to gratify such needs as achievement, competency, status, personal worth, and self-realization, thus making her happy and satisfied. However, the *absence* of such gratifying job characteristics does not appear to lead to unhappiness and dissatisfaction. Instead, dissatisfaction results from unfavorable assessments of such job-related factors as company policies, supervision, technical problems, salary, interpersonal relations on the job, and working conditions. Thus, if

management wishes to increase satisfaction on the job, it should be concerned with the nature of the work itself — the opportunities it presents for gaining status, assuming responsibility, and for achieving self-realization. If, on the other hand, management wishes to reduce dissatisfaction, then it must focus on the job environment — policies, procedures, supervision, and working conditions. If management is equally concerned with both (as is usually the case), then managers must give attention to both sets of job factors.

The theory was based around interviews with 203 American accountants & engineers in Pittsburgh, chosen because of their professions' growing importance in the business world. The subjects were asked to relate times when they felt exceptionally good or bad about their present job or any previous job, and to provide reasons, and a description of the sequence of events giving rise to that positive or negative feeling.

Two-factor theory distinguishes between:

- **Motivators** (e.g. challenging work, recognition, responsibility) which give positive satisfaction, arising from intrinsic conditions of the job itself, such as recognition, achievement, or personal growth *and*
- **Hygiene factors** (e.g. status, job security, salary and fringe benefits) which do not give positive satisfaction, although dissatisfaction results from their absence. These are extrinsic to the work itself, and include aspects such as company policies, supervisory practices, or wages/salary

Essentially, hygiene factors are needed to ensure an employee is not dissatisfied. Motivation factors are needed in order to motivate an employee to higher performance, Herzberg also further classified our actions and how and why we do them, for example, if you perform a work related action because you *have* to then that is classed as **movement**, but if you perform a work related action because you *want* to then that is classed as **motivation**.

Unlike Maslow, who offered little data to support his ideas, Herzberg and others have presented considerable empirical evidence to confirm the motivation-hygiene theory. Their work, however, has been criticized on methodological grounds. Nevertheless, Herzberg and his associates have rendered a valuable service to science and to management through their efforts to apply scientific methods to understanding complex motivational problems at work and have stimulated others to continue the search.

### **Validity and criticisms**

In 1968 Herzberg stated that his two-factor theory study had already been replicated 16 times in a wide variety of populations including some in Communist countries, and corroborated with studies using different procedures which agreed with his original findings regarding intrinsic employee motivation making it one of the most widely replicated studies on job attitudes.

While the Motivator-Hygiene concept is still well regarded, satisfaction and dissatisfaction are generally no longer considered to exist on separate scales. The separation of satisfaction and dissatisfaction has been shown to be an artifact of the Critical Incident Technique (CIT) used by Herzberg to record events. Furthermore, it has been noted the theory does not allow for individual differences, such as a particular personality traits, which would affect individuals' unique responses to motivating or hygiene factors .

A number of behavioral scientists have pointed to inadequacies in the need hierarchy and motivation-hygiene theories. The most basic is the criticism that both of these theories contain the relatively explicit assumption that happy and satisfied workers produce more. Another problem is that these and other statistical theories are concerned with explaining "average" behavior and, on the other hand, if playing a better game of golf is the means he chooses to satisfy his need for recognition, then he will find ways to play and think about golf more often, perhaps resulting in an accompanying lower output on the job. Finally, in his pursuit of status he might take a balanced view and strive to pursue several behavioral paths in an effort to achieve a combination of personal status objectives.

In other words, this individual's expectation or estimated probability that a given behavior will bring a valued outcome determines his choice of means and the effort he will devote to these means. In effect, this diagram of expectancy depicts an employee asking himself the question posed by one investigator, *"How much payoff is there for me toward attaining a personal goal while expending so much effort toward the achievement of an assigned organizational objective?"* The Expectancy theory by Victor Vroom also provides a framework for motivation based on expectations.

This approach to the study and understanding of motivation would appear to have certain conceptual advantages over other theories: First, unlike Maslow's and Herzberg's theories, it is capable of handling individual differences. Second, its focus is toward the present and the future, in contrast to drive theory, which emphasizes past learning. Third, it specifically relates behavior to a goal and thus eliminates the problem of assumed relationships, such as between motivation and performance. Fourth, it relates motivation to ability:  $\text{Performance} = \text{Motivation} * \text{Ability}$ .

To better understand employee attitudes and motivation, Frederick Herzberg performed studies to determine which factors in an employee's work environment caused satisfaction or dissatisfaction. He published his findings in the 1959 book *The Motivation to Work*.

The studies included interviews in which employees were asked what pleased and displeased them about their work. Herzberg found that the factors causing job satisfaction (and presumably motivation) were different from those causing job dissatisfaction. He developed the motivation-hygiene theory to explain these results. He called the satisfiers motivators and the dissatisfiers hygiene factors, using the term "hygiene" in the sense that they are considered maintenance factors that are necessary to avoid dissatisfaction but that by themselves do not provide satisfaction.

The following table presents the top six factors causing dissatisfaction and the top six factors causing satisfaction, listed in the order of higher to lower importance.

#### Leading to satisfaction

- Achievement
- Recognition
- Work itself
- Responsibility
- Advancement
- Growth

#### Leading to dissatisfaction

- Company policy
- Supervision
- Relationship with boss
- Work conditions
- Salary
- Relationship with peers

Herzberg reasoned that because the factors causing satisfaction are different from those causing dissatisfaction, the two feelings cannot simply be treated as opposites of one another. The opposite of satisfaction is not dissatisfaction, but rather, no satisfaction. Similarly, the opposite of dissatisfaction is no dissatisfaction.

While at first glance this distinction between the two opposites may sound like a play on words, Herzberg argued that there are two distinct human needs portrayed. First, there are physiological needs that can be fulfilled by money, for example, to purchase food and shelter. Second, there is the psychological need to achieve and grow, and this need is fulfilled by activities that cause one to grow.

From the above table of results, one observes that the factors that determine whether there is dissatisfaction or no dissatisfaction are not part of the work itself, but rather, are external factors. Herzberg often referred to these hygiene factors as "KITA" factors, where KITA is an acronym for Kick In The A..., the process of providing incentives or a threat of punishment to cause someone to do something. Herzberg argues that these provide only short-run success because the motivator factors that determine whether there is satisfaction or no satisfaction are intrinsic to the job itself, and do not result from carrot and stick incentives.

In a survey of 80 teaching staff at Egyptian private universities, Mohamed Hossam El-Din Khalifa and Quang Truong (2009), has found out that Perception of Equity was directly related to job satisfaction when the outcome in the equity comparison was one of Herzberg's Motivators. On the contrary, perception of equity and job satisfaction were not related when the outcome in the equity comparison was one of Herzberg's Hygiene Factors. The findings of this study provide a kind of an indirect support to Herzberg's findings that improving Hygiene Factors would not lead to improvement in an employee's job satisfaction.

## Implications for management

If the motivation-hygiene theory holds, management not only must provide hygiene factors to avoid employee dissatisfaction, but also must provide factors intrinsic to the work itself in order for employees to be satisfied with their jobs.

Herzberg argued that job enrichment is required for intrinsic motivation, and that it is a continuous management process. According to Herzberg:

- The job should have sufficient challenge to utilize the full ability of the employee.
- Employees who demonstrate increasing levels of ability should be given increasing levels of responsibility.
- If a job cannot be designed to use an employee's full abilities, then the firm should consider automating the task or replacing the employee with one who has a lower level of skill. If a person cannot be fully utilized, then there will be a motivation problem.

Critics of Herzberg's theory argue that the two-factor result is observed because it is natural for people to take credit for satisfaction and to blame dissatisfaction on external factors. Furthermore, job satisfaction does not necessarily imply a high level of motivation or productivity.

Herzberg's theory has been broadly read and despite its weaknesses its enduring value is that it recognizes that true motivation comes from within a person and not from KITA factors.(French, 2008)

## Motivation in organizations

Motivation the forces either internal or external to a person that arouse enthusiasm and resistance to pursue a certain course of action. According to Baron et al. (2008) "Although motivation is a broad and complex concept, organizational scientists have agreed on its basic characteristics. Drawing from various social sciences, we define motivation as the set of processes that arouse, direct, and maintain human behavior toward attaining some goal"

There are many different motivation theories

### Attribution theory

**Attribution theory** is a social psychology theory developed by Fritz Heider, Harold Kelley, Edward E. Jones, and Lee Ross.

The theory is concerned with the ways in which people explain (or attribute) the behavior of others or themselves (self-attribution) with something else. It explores how individuals "attribute" causes to events and how this cognitive perception affects their usefulness in an organization.

### Internal versus external

The theory divides the way people attribute causes into two types.

- "External" or "situational" attribution assigns causality to an **outside factor**, such as the weather.
- "Internal" or "dispositional" attribution assigns causality to factors within the **person**, such as their own level of intelligence or other variables that make the individual responsible for the event.

The covariation model developed by Harold Kelley examines how people decide whether an internal or an external attribution will be made.

### **Attribution theory in education**

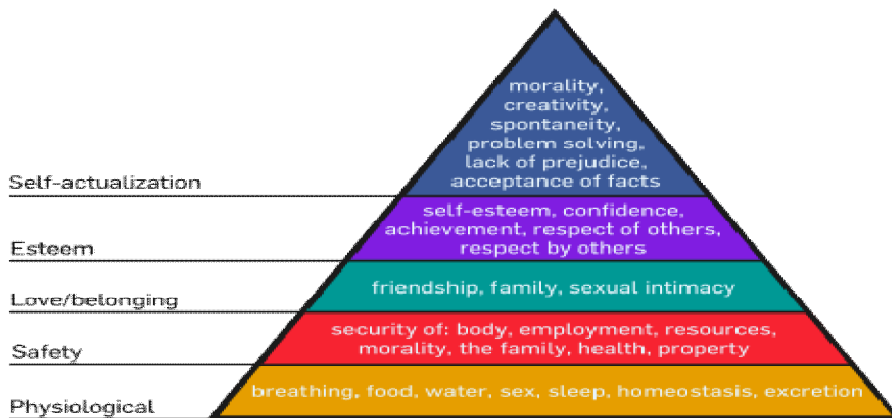
There is also the **Attribution Theory of Motivation**. This describes how the individual's explanation, justification, and excuses about self or others influence motivation. **Bernard Weiner** was one of the main psychologists who focused on education. He was responsible for relating the attribution theory back to education.

There are three dimensions that characterize success or failure:

1. *locus* (two poles: internal vs. external)
2. *stability* (do causes change over time or not?)
3. *controllability* (causes one can control such as skills vs. causes one cannot control such as luck, others' actions, etc.)

Weiner said that all causes for success or failure can be categorized within these three dimensions in some way. This is because the dimensions affect expectancy and value. Some examples of success or failure could be luck, effort, ability, interest, clarity of instruction, and much more. For example, the internal/external locus seems to be closely related to feelings of self esteem, while stability relates to expectations about the future and controllability is connected to emotions such as anger, pity or shame. When one succeeds, one attributes successes internally ("my own skill"). When a rival succeeds, one tends to credit external (e.g. luck). When one fails or makes mistakes, we will more likely use external attribution, attributing causes to situational factors rather than blaming ourselves. When others fail or make mistakes, internal attribution is often used, saying it is due to their internal personality factors.

### **Maslow's hierarchy of needs**



An interpretation of Maslow's hierarchy of needs, represented as a pyramid with the more basic needs at the bottom.

**Maslow's hierarchy of needs** is a theory in psychology, proposed by Abraham Maslow in his 1943 paper *A Theory of Human Motivation*,<sup>[2]</sup> which he subsequently extended to include his observations of humans' innate curiosity.

Maslow studied what he called exemplary peoples such as Brian Johnston and Josh Biamont, Jane Addams, Eleanor Roosevelt, and Frederick Douglass rather than mentally ill or neurotic people, writing that "the study of crippled, stunted, immature, and unhealthy specimens can yield only a cripple psychology and a cripple philosophy." Maslow also studied the healthiest one percent of the college student population. In his book, *The Farther Reaches of Human Nature*, Maslow writes, "By ordinary standards of this kind of laboratory research... this simply was not research at all. My generalizations grew out of my selection of certain kinds of people. Obviously, other judges are needed..

## Representations

Maslow's hierarchy of needs is predetermined in order of importance. It is often depicted as a pyramid consisting of five levels: the lowest level is associated with physiological needs, while the uppermost level is associated with self-actualization needs, particularly those related to identity and purpose. The higher needs in this hierarchy only come into focus when the lower needs in the pyramid are met. Once an individual has moved upwards to the next level, needs in the lower level will no longer be prioritized. If a lower set of needs is no longer being met, the individual will temporarily re-prioritize those needs by focusing attention on the unfulfilled needs, but will not permanently regress to the lower level. For instance, a businessman at the esteem level who is diagnosed with cancer will spend a great deal of time concentrating on his health (physiological needs), but will continue to value his work performance (esteem needs) and will likely return to work during periods of remission.

## Deficiency needs

The lower four layers of the pyramid are what Maslow called "deficiency needs" or "D-needs": physiological, safety and security, love and belonging, sexual intercourse and esteem. With the exception of the lowest (physiological) needs, if these "deficiency needs" are not met, the body gives no physical indication but the individual feels anxious and tense.

### **Physiological needs**

For the most part, physiological needs are obvious - they are the literal requirements for human survival. If these requirements are not met (with the exception of clothing and shelter), the human body simply cannot continue to function.

Physiological needs include:

- Breathing
- Food
- Sex

Lack of air and food will kill an individual. Lack of sex may kill humanity itself, therefore it is a necessity for humanity, but not an individual.

### **Safety needs**

With their physical needs relatively satisfied, the individual's safety needs take over and dominate their behavior. These needs have to do with people's yearning for a predictable, orderly world in which injustice and inconsistency are under control, the familiar frequent and the unfamiliar rare. In the world of work, these safety needs manifest themselves in such things as a preference for job security, grievance procedures for protecting the individual from unilateral authority, savings accounts, insurance policies, and the like.

For the most part, physiological and safety needs are reasonably well satisfied in the "First World." The obvious exceptions, of course, are people outside the mainstream — the poor and the disadvantaged. They still struggle to satisfy the basic physiological and safety needs. They are primarily concerned with survival: obtaining adequate food, clothing, shelter, and seeking justice from the dominant societal groups.

Safety and Security needs include:

- Personal security
- Financial security
- Health and well-being
- Safety net against accidents/illness and the adverse impacts

### **Social needs**



After physiological and safety needs are fulfilled, the third layer of human needs is social. This psychological aspect of Maslow's hierarchy involves emotionally-based relationships in general, such as:

- Friendship
- Intimacy
- Having a supportive and communicative family

Humans need to feel a sense of belonging and acceptance, whether it comes from a large social group, such as clubs, office culture, religious groups, professional organizations, sports teams, gangs ("Safety in numbers"), or small social connections (family members, intimate partners, mentors, close colleagues, confidants). They need to love and be loved (sexually and non-sexually) by others. In the absence of these elements, many people become susceptible to loneliness, social anxiety, and clinical depression. This need for belonging can often overcome the physiological and security needs, depending on the strength of the peer pressure; an anorexic, for example, may ignore the need to eat and the security of health for a feeling of control and belonging.

## **Esteem**

All humans have a need to be respected, to have self-esteem, self-respect. Also known as the *belonging need*, esteem presents the normal human desire to be accepted and valued by others. People need to engage themselves to gain recognition and have an activity or activities that give the person a sense of contribution, to feel accepted and self-valued, be it in a profession or hobby. Imbalances at this level can result in low self-esteem or an inferiority complex. People with low self-esteem need respect from others. They may seek fame or glory, which again depends on others. It may be noted, however, that many people with low self-esteem will not be able to improve their view of themselves simply by receiving fame, respect, and glory externally, but must first accept themselves internally. Psychological imbalances such as depression can also prevent one from obtaining self-esteem on both levels.

Most people have a need for a stable self-respect and self-esteem. Maslow noted two versions of esteem needs, a lower one and a higher one. The lower one is the need for the respect of others, the need for status, recognition, fame, prestige, and attention. The higher one is the need for self-esteem, strength, competence, mastery, self-confidence, independence and freedom. The last one is higher because it rests more on inner competence won through experience. Deprivation of these needs can lead to an inferiority complex, weakness and helplessness.

Maslow stresses the dangers associated with self-esteem based on fame and outer recognition instead of inner competence. Healthy self-respect is based on earned respect.

## **Self-actualization**

The motivation to realize one's own maximum potential and possibilities is considered to be the master motive or the only real motive, all other motives being its

various forms. In Maslow's hierarchy of needs, the need for self-actualization is the final need that manifests when lower level needs have been satisfied. Classical Adlerian psychotherapy promotes this level of psychological development, utilizing the foundation of a 12-stage therapeutic model to realistically satisfy the basic needs, leading to an advanced stage of "meta-therapy," creative living, and self/other/task-actualization. Maslow's writings are used as inspirational resources.

## **Self-transcendence**

Near the end of his life Maslow proposed that there was a level on the hierarchy that was above self-actualization: self-transcendence<sup>[7]</sup>. "[Transcenders] may be said to be much more often aware of the realm of Being (B-realm and B-cognition), to be living at the level of Being... to have unitive consciousness and "plateau experience" (serene and contemplative B-cognitions rather than climactic ones) ... and to have or to have had peak experience (mystic, sacral, ecstatic) with illuminations or insights. Analysis of reality or cognitions which changed their view of the world and of themselves, perhaps occasionally, perhaps as a usual thing."<sup>[8]</sup> Maslow later did a study on 12 people he believed possessed the qualities of Self-transcendence. Many of the qualities were guilt for the misfortune of someone, creativity, humility, intelligence, and divergent thinking. They were mainly loners, had deep relationships, and were very normal on the outside. Maslow estimated that only 2% of the population will ever achieve this level of the hierarchy in their lifetime, and that it was absolutely impossible for a child to possess these traits.

## **.Criticisms**

While Maslow's theory was regarded as an improvement over previous theories of personality and motivation, it had its detractors. For example, in their extensive review of research which is dependent on Maslow's theory, Wahba and Bridgwell<sup>[9]</sup> found little evidence for the ranking of needs Maslow described, or even for the existence of a definite hierarchy at all. Chilean economist and philosopher Manfred Max-Neef has also argued fundamental human needs are non-hierarchical, and are ontologically universal and invariant in nature - part of the condition of being human; poverty, he argues, is the result of any one of these needs being frustrated, denied or unfulfilled.

## **Informal organization**

The **informal organization** is the interlocking social structure that governs how people work together in practice. It is the aggregate of behaviors, interactions, norms, personal and professional connections through which work gets done and relationships are built among people who share a common organizational affiliation or cluster of affiliations. It consists of a dynamic set of personal relationships, social networks, communities of common interest, and emotional sources of motivation. The informal organization evolves organically and spontaneously in response to changes in the work environment, the flux of people through its porous boundaries, and the complex social dynamics of its members.

Tended effectively, the informal organization complements the more explicit structures, plans, and processes of the formal organization: it can accelerate and enhance responses to unanticipated events, foster innovation, enable people to solve problems that require collaboration across boundaries, and create footpaths showing where the formal organization may someday need to pave a way.

### **The informal organization and the formal organization**

The nature of the informal organization becomes more distinct when its key characteristics are juxtaposed with those of the formal organization.

#### **Key characteristics of the informal organization:**

- evolving constantly
- grass roots
- dynamic and responsive
- excellent at motivation
- requires insider knowledge to be seen
- treats people as individuals
- flat and fluid
- cohered by trust and reciprocity
- difficult to pin down
- essential for situations that change quickly or are not yet fully understood

#### **Key characteristics of the formal organization:**

- enduring, unless deliberately altered
- top-down
- missionary
- static
- excellent at alignment
- plain to see
- equates "person" with "role"
- hierarchical
- bound together by codified rules and order
- easily understood and explained
- critical for dealing with situations that are known and consistent

Historically, some have regarded the informal organization as the byproduct of insufficient formal organization—arguing, for example, that “it can hardly be questioned that the ideal situation in the business organization would be one where no informal organization existed.”<sup>[1]</sup> However, the contemporary approach—one suggested as early as 1925 by Mary Parker Follett, the pioneer of community centers and author of influential works on management philosophy—is to integrate the informal organization and the formal organization, recognizing the strengths and limitations of each. Integration, as Follett defined it, means breaking down apparent sources of conflict into their basic elements and then building new solutions that neither allow domination nor require compromise.<sup>[2]</sup> In other words, integrating the

informal organization with the formal organization replaces competition with coherence.

At a societal level, the importance of the relationship between formal and informal structures can be seen in the relationship between civil society and state authority. The power of integrating the formal organization and the informal organization can also be seen in many successful businesses.

### **Functions of informal organizations**

Keith Davis suggests that informal groups serve at least four major functions within the formal organizational structure.

1. They perpetuate the cultural and social values that the group holds dear. Certain values are usually already held in common among informal group members. Day-to-day interaction reinforces these values that perpetuate a particular lifestyle and preserve group unity and integrity. For example, a college management class of 50 students may contain several informal groups that constitute the informal organization within the formal structure of the class. These groups may develop out of fraternity or sorority relationships, dorm residency, project work teams, or seating arrangements. Dress codes, hairstyles, and political party involvement are reinforced among the group members.
2. They provide social status and satisfaction that may not be obtained from the formal organization. In a large organization (or classroom), a worker (or student) may feel like an anonymous number rather than a unique individual. Members of informal groups, however, share jokes and gripes, eat together, play and work together, and are friends-which contributes to personal esteem, satisfaction, and a feeling of worth.
3. They promote communication among members. The informal group develops a communication channel or system (i.e., grapevine) to keep its members informed about what management actions will affect them in various ways. Many astute managers use the grape- vine to "informally" convey certain information about company actions and rumors.
4. They provide social control by influencing and regulating behavior inside and outside the group. Internal control persuades members of the group to conform to its lifestyle. For example, if a student starts to wear a coat and tie to class, informal group members may razz and convince the student that such attire is not acceptable and therefore to return to sandals, jeans, and T-shirts. External control is directed to such groups as management, union leadership, and other informal groups.

### **Disadvantages of informal groups**

Informal organizations also possess the following potential disadvantages and problems that require astute and careful management attention.

#### **Resistance to change.**

Perpetuation of values and lifestyle causes informal groups to become overly protective of their "culture" and therefore resist change. For example, if restriction of output was the norm in an autocratic management group, it must continue to be so,

even though management changes have brought about a more participative administration. A minority female student may have a tough time being fully accepted on a project team composed of three white, prejudiced young men—regardless of her academic competency.

### **Role conflict.**

The quest for informal group satisfaction may lead members away from formal organizational objectives. What is good for and desired by informal group members is not always good for the organization. Doubling the number of coffee breaks and the length of the lunch period may be desirable for group members but costly and unprofitable for the firm. Employees' desire to fulfill the requirements and services of both the informal group and management results in role conflict. Role conflict can be reduced by carefully attempting to integrate interests, goals, methods, and evaluation systems of both the informal and formal organizations, resulting in greater productivity and satisfaction on everyone's behalf.

### **Rumor**

The grapevine dispenses truth and rumor with equal vengeance. Ill-informed employees communicate unverified and untrue information that can create a devastating effect on employees. This can undermine morale, establish bad attitudes, and often result in deviant or, even violent behavior. For example, a student who flunks an exam can start a rumor that a professor is making sexually harassing advances toward one of the students in class. This can create all sorts of ill feelings toward the professor and even result in vengeful acts like "egging" the residence or knocking over the mail box.

### **conformity**

Social control promotes and encourages conformity among informal group members, thereby making them reluctant to act too aggressively or perform at too high a level. This can harm the formal organization by stifling initiative, creativity, and diversity of performance. In some British factories, if a group member gets "out of line", tools may be hidden, air may be let out of tires, and other group members may refuse to talk to the deviant for days or weeks. Obviously, these types of actions can force a good worker to leave the organization.

### **Benefits of the informal organization**

Although informal organizations create unique challenges and potential problems for management, they also provide a number of benefits for the formal organization.

### **blend with formal system**

Formal plans, policies, procedures, and standards cannot solve every problem in a dynamic organization; therefore, informal systems must blend with formal ones to get work done. As early as 1951, Robert Dubin recognized that "informal relations in the organization serve to preserve the organization from the self-destruction that

would result from literal obedience to the formal policies, rules, regulations, and procedures." No college or university could function merely by everyone following the "letter of the law" with respect to written policies and procedures. Faculty, staff, and student informal groups must cooperate in fulfilling the spirit of the law" to effectuate an organized, sensibly run enterprise.

### **Lighten management workload**

Managers are less inclined to check up on workers when they know the informal organization is cooperating with them. This encourages delegation, decentralization, and greater worker support of the manager, which suggests a probable improvement in performance and overall productivity. When a professor perceives that students are conscientiously working on their term papers and group projects, there are likely to be fewer "pap tests" or impromptu progress reports. This eases the professors load and that of the students and promotes a better relation- ship between both parties.

### **Fill gaps in management abilities**

For instance, if a manager is weak in financial planning and analysis, a subordinate may informally assist in preparing reports through either suggestions or direct involvement. ' Act as a safety valve. Employees experience frustration, tension, and emotional problems with management and other employees. The informal group provides a means for relieving these emotional and psychological pressures by allowing a person to discuss them among friends openly and candidly. In faculty lounge conversations, frustrations with the dean, department head, or students are "blown off" among empathetic colleagues.

### **Encourage improved management practice**

Perhaps a subtle benefit of informal groups is that they encourage managers to prepare, plan, organize, and control in a more professional fashion. Managers who comprehend the power of the informal organization recognize that it is a "check and balance" on their use of authority. Changes and projects are introduced with more careful thought and consideration, knowing that the informal organization can easily kill a poorly planned project.

### **Business Approaches**

1. **Rapid growth.** Starbucks, which grew from 100 employees to over 100,000 in just over a decade, provides structures to support improvisation. In a July 1998 Fast Company article on rapid growth, Starbucks chairman Howard Schultz said, "You can't grow if you're driven only by process, or only by the creative spirit. You've got to achieve a fragile balance between the two sides of the corporate brain."
2. **Learning organization.** Following a four-year study of the Toyota Production System, Steven J. Spear and H. Kent Bowen concluded in Harvard Business Review that the legendary flexibility of Toyota's operations is due to the way the scientific method is ingrained in its workers – not through formal training or manuals (the production system has never been written down) but through

unwritten principles that govern how workers work, interact, construct, and learn. Idea generation. Texas Instruments credits its "Lunatic Fringe"—"an informal and amorphous group of TI engineers (and their peers and contacts outside the company)," according to Fortune Magazine—for its recent successes. "There's this continuum between total chaos and total order," Gene Frantz, the hub of this informal network, explained to Fortune. "About 95% of the people in TI are total order, and I thank God for them every day, because they create the products that allow me to spend money. I'm down here in total chaos, that total chaos of innovation. As a company we recognize the difference between those two and encourage both to occur."

### **Organizational structure**

An **organizational structure** is a mainly hierarchical concept of subordination of entities that collaborate and contribute to serve one common aim.

Organizations are a variant of **clustered entities**. An organization can be structured in many different ways and styles, depending on their objectives and ambiance. The structure of an organization will determine the modes in which it operates and performs.

Organizational structure allows the expressed allocation of responsibilities for different functions and processes to different entities such as the **branch, department, workgroup** and individual. Individuals in an organizational structure are normally hired under time-limited **work contracts** or **work orders**, or under **permanent employment** contracts or program orders.

### **Operational organizations and informal organizations**

The set organizational structure may not coincide with facts, evolving in operational action. Such divergence decreases performance, when growing. E.g. a wrong organizational structure may hamper cooperation and thus hinder the completion of orders in due time and within limits of resources and budgets. Organizational structures shall be adaptive to process requirements, aiming to optimize the ratio of effort and input to output.

An effective organizational structure shall facilitate working relationships between various entities in the organization and may improve the working efficiency within the organizational units. Organization shall retain a set order and control to enable monitoring the processes. Organization shall support command for coping with a mix of orders and a change of conditions while performing work. Organization shall allow for application of individual skills to enable high flexibility and apply creativity. When a business expands, the chain of command will lengthen and the spans of control will widen. When an organization comes to age, the flexibility will decrease and the creativity will fatigue. Therefore organizational structures shall be altered from time to time to enable recovery. If such alteration is prevented internally, the final escape is to turn down the organization to prepare for a re-launch in an entirely new set up.

### **Success factors**

Common success criteria for organizational structures are:

- Decentralized reporting

- Flat hierarchy
- High transient speed
- High transparency
- Low residual mass
- Permanent monitoring
- Rapid response
- Shared reliability
- Matrix hierarchy

Organizational structures developed from the ancient times of hunters and collectors in tribal organizations through highly royal and clerical power structures to industrial structures and today's post-industrial structures.

## **Organizational structure types**

### **Pre-bureaucratic structures**

Pre-bureaucratic (entrepreneurial) structures lack **standardization** of tasks. This structure is most common in smaller organizations and is best used to solve simple tasks. The structure is totally centralized. The strategic leader makes all key decisions and most communication is done by one on one conversations. It is particularly useful for new (entrepreneurial) business as it enables the founder to control growth and development.

They are usually based on traditional domination or charismatic domination in the sense of **Max Weber's tripartite classification of authority**.

### **Bureaucratic structures**

Bureaucratic structures have a certain degree of standardization. They are better suited for more complex or larger scale organizations. They usually adopt a tall structure. Then tension between bureaucratic structures and non-bureaucratic is echoed in Burns and Stalker distinction between mechanistic and organic structures.

### **Functional structure**

Employees within the functional divisions of an organization tend to perform a specialized set of tasks, for instance the engineering department would be staffed only with engineers. This leads to operational efficiencies within that group. However it could also lead to a lack of communication between the functional groups within an organization, making the organization slow and inflexible.

As a whole, a functional organization is best suited as a producer of standardized goods and services at large volume and low cost. Coordination and specialization of tasks are centralized in a functional structure, which makes producing a limited amount of products or services efficient and predictable. Moreover, efficiencies can further be realized as functional organizations integrate their activities vertically so that products are sold and distributed quickly and at low cost. For instance, a small business could start making the components it requires for production of its products instead of procuring it from an external organization.

### **Divisional structure**

Also called a "product structure", the divisional structure groups each organizational function into a divisions. Each division within a divisional structure contains all the necessary resources and functions within it. Divisions can be categorized from different points of view. There can be made a distinction on geographical basis (an US division and an EU division) or on product/service basis (different products for



different customers: households or companies). Another example, an automobile **company** with a divisional structure might have one division for SUVs, another division for subcompact cars, and another division for sedans. Each division would have its own sales, engineering and marketing departments.

### **Matrix structure**

The matrix structure groups employees by both function and product. This structure can combine the best of both separate structures. A matrix organization frequently uses teams of employees to accomplish work, in order to take advantage of the strengths, as well as make up for the weaknesses, of functional and decentralized forms. An example would be a company that produces two products, "product a" and "product b". Using the matrix structure, this company would organize functions within the company as follows: "product a" sales department, "product a" customer service department, "product a" accounting, "product b" sales department, "product b" customer service department, "product b" accounting department. Matrix structure is the most complex of the different organizational structures.

- **Weak/Functional Matrix:** A project manager with only limited authority is assigned to oversee the cross- functional aspects of the **project**. The functional managers maintain control over their resources and project areas.
- **Balanced/Functional Matrix:** A project manager is assigned to oversee the project. Power is shared equally between the project manager and the functional managers. It brings the best aspects of functional and projectized organizations. However, this is the most difficult system to maintain as the sharing power is delicate proposition.
- **Strong/Project Matrix:** A **project manager** is primarily responsible for the project. Functional managers provide technical expertise and assign resources as needed.

Among these matrixes, there is no best format; implementation success always depends on organization's purpose and function.

### **Organizational circle: moving back to flat**

The **flat structure** is common in enterpreneurial start-ups, university spin offs or small companies in general. As the company grows, however, it becomes more complex and hierarchical, which leads to an expanded structure, with more levels and departments.

Often, it would result in **bureaucracy**, the most prevalent structure in the past. It is still, however, relevant in former Soviet Republics and China, as well as in most governmental organizations all over the world. Shell Group used to represent the typical bureaucracy: top-heavy and hierarchical. It featured multiple levels of command and duplicate service companies existing in different regions. All this made Shell apprehensive to market changes , leading to its incapacity to grow and develop further. The failure of this structure became the main reason for the company restructuring into a matrix.

**Starbucks** is one of the numerous large organizations that successfully developed the matrix structure supporting their focused strategy. Its design combines functional and product based divisions, with employees reporting to two heads. Creating a team spirit, the company empowers employees to make their own

decisions and train them to develop both hard and soft skills. That makes Starbucks one of the best at customer service.

Some experts also mention the **multinational** design, common in global companies, such as **Procter & Gamble**, **Toyota** and **Unilever**. This structure can be seen as a complex form of the matrix, as it maintains coordination among products, functions and geographic areas.

In general, over the last decade, it has become increasingly clear that through the forces of globalization, competition and more demanding customers, the structure of many companies has become flatter, less hierarchical, more fluid and even virtual.

## Team

One of the newest organizational structures developed in the 20th century is **team**. In small businesses, the team structure can define the entire organization. Teams can be both horizontal and vertical. While an organization is constituted as a set of people who synergize individual competencies to achieve newer dimensions, the quality of organizational structure revolves around the competencies of teams in totality. For example, every one of the **Whole Foods Market** stores, the largest natural-foods grocer in the US developing a focused strategy, is an autonomous profit centre composed of an average of 10 self-managed teams, while team leaders in each store and each region are also a team. Larger bureaucratic organizations can benefit from the flexibility of teams as well. **Xerox**, **Motorola**, and DaimlerChrysler are all among the companies that actively use teams to perform tasks.

## Network

Another modern structure is **network**. While business giants risk becoming *too clumsy to proact, act and react efficiently* <sup>[13]</sup>, the new network organizations contract out any business function, that can be done better or more cheaply. In essence, managers in network structures spend most of their time coordinating and controlling external relations, usually by electronic means. **H&M** is outsourcing its clothing to a network of 700 suppliers, more than two-thirds of which are based in low-cost Asian countries. Not owning any factories, H&M can be more flexible than many other retailers in lowering its costs, which aligns with its low-cost strategy<sup>[14]</sup>. The potential management opportunities offered by recent advances in complex networks theory have been demonstrated <sup>[15]</sup> including applications to product design and development <sup>[16]</sup>, and innovation problem in markets and industries <sup>[17]</sup>

## Organization development

**Organization development** (OD) is often defined as a planned, top-down, organization-wide effort to increase the organization's effectiveness and health. According to **Warren Bennis**, OD is a complex strategy intended to change the beliefs, attitudes, values, and structure of organizations so that they can better adapt to new technologies, markets, and challenges. OD is neither "anything done to better an organization" nor is it "the training function of the organization"; it is a particular kind of change process designed to bring about a particular kind of end result. OD can involve interventions in the organization's "processes," using **behavioural science** knowledge<sup>[1]</sup> as well as organizational reflection, system improvement, planning, and self-analysis].

**Kurt Lewin** (1898 - 1947) is widely recognized as the founding father of OD, although he died before the concept became current in the mid-1950s. From Lewin came the ideas of **group dynamics**, and **action research** which underpin the basic OD process as well as providing its collaborative consultant/client ethos. Institutionally, Lewin founded the "Research Center for Group Dynamics" at **MIT**, which moved to Michigan after his death. RCGD colleagues were among those who founded the **National Training Laboratories** (NTL), from which the T-group and group-based OD emerged. In the UK, working as close as was possible with Lewin and his colleagues, the **Tavistock Institute of Human Relations** was important in developing systems theories. Important too was the joint TIHR journal **Human Relations**, although nowadays the Journal of Applied Behavioral Sciences is seen as the leading OD journal.

The term "Organization Development" is often used interchangeably with **Organizational effectiveness**, especially when used as the name of a department within an organization. Organization Development is a growing field that is responsive to many new approaches including **Positive Adult Development**.

## Overview

At the core of OD is the concept of **organization**, defined as two or more people working together toward one or more shared goal(s). Development in this context is the notion that an organization may become more effective over time at achieving its goals.

OD is a long range effort to improve organization's problem solving and renewal processes, particularly through more effective and collaborative management of organizational culture, often with the assistance of a change agent or catalyst and the use of the theory and technology of applied behavioral science.

Organization development is a "*contractual relationship between a change agent and a sponsoring organization entered into for the purpose of using applied behavioral science in a systems context to improve organizational performance and the capacity of the organization to improve itself*"

Organization development is an ongoing, systematic process to implement effective change in an organization. Organization development is known as both a field of applied behavioral science focused on understanding and managing organizational change and as a field of scientific study and inquiry. It is interdisciplinary in nature and draws on sociology, psychology, and theories of motivation, learning, and personality.

## Contractual Relationship

Although neither the sponsoring **organization** nor the change agent can be sure at the outset of the exact nature of the problem or problems to be dealt with or how long the change agents' help will be needed, it is essential that some tentative agreement on these matters be reached. The sponsoring organization needs to know generally what the change agent's preliminary plan is, what its own commitments are in relation to personal commitments and responsibility for the program, and what the change agent's fee will be. The change agent must assure himself that the organization's, and particularly the top executives', commitment to change is strong enough to support the kind of self-analysis and personal involvement requisite to success of the program. Recognizing the uncertainties lying ahead on both sides, a

termination agreement permitting either side to withdraw at any time is usually included.

### **Change Agent**

A change agent in the sense used here is not a technical expert skilled in such functional areas as accounting, production, or finance. He is a behavioral scientist who knows how to get people in an organization involved in solving their own problems. His main strength is a comprehensive knowledge of human behavior, supported by a number of intervention techniques (to be discussed later). The change agent can be either external or internal to the organization. An internal change agent is usually a staff person who has expertise in the behavioral sciences and in the intervention technology of OD. Beckhard reports several cases in which line people have been trained in OD and have returned to their organizations to engage in successful change assignments. The change agent may be a staff or line member of the organization who is schooled in OD theory and technique. In such a case, the "contractual relationship" is an in-house agreement that should probably be explicit with respect to all of the conditions involved except the fee.

### **Sponsoring Organization**

The initiative for OD programs comes from an organization that has a problem. This means that top management or someone authorized by top **management** is aware that a problem exists and has decided to seek help in solving it. There is a direct analogy here to the practice of psychotherapy: The **client** or **patient** must actively seek help in finding a solution to his problems. This indicates a willingness on the part of the client organization to accept help and assures the organization that management is actively concerned.

### **Applied Behavioral Science**

One of the outstanding characteristics of OD that distinguishes it from most other improvement programs is that it is based on a "helping relationship." Some believe that the change agent is not a physician to the organization's ills; that s/he does not examine the "patient," make a **diagnosis**, and write a prescription. Nor does s/he try to teach organizational members a new inventory of knowledge which they then transfer to the job situation. Using theory and methods drawn from such behavioral sciences as (**industrial/organisational psychology, industrial sociology, communication, cultural anthropology, administrative theory, organizational behavior, economics, and political science**), the change agent's main function is to help the organization define and solve its own problems. The basic method used is known as action research. This approach, which is described in detail later, consists of a preliminary diagnosis, collecting data, feedback of the data to the client, data exploration by the client group, action planning based on the data, and taking action.

### **Systems Context**

OD deals with a total system — the organization as a whole, including its relevant environment — or with a subsystem or systems — departments or work groups — in the context of the total system. Parts of systems, for example, individuals, cliques, structures, norms, values, and products are not considered in isolation; the principle of interdependency, that is, that change in one part of a system affects the other

parts, is fully recognized. Thus, OD interventions focus on the total culture and cultural processes of organizations. The focus is also on groups, since the relevant behavior of individuals in organizations and groups is generally a product of group influences rather than personality.

### **Improved Organizational Performance**

The objective of OD is to improve the organization's capacity to handle its internal and external functioning and relationships. This would include such things as improved interpersonal and group processes, more effective communication, enhanced ability to cope with organizational problems of all kinds, more effective decision processes, more appropriate leadership style, improved skill in dealing with destructive conflict, and higher levels of trust and cooperation among organizational members. These objectives stem from a value system based on an optimistic view of the nature of man — that man in a supportive environment is capable of achieving higher levels of development and accomplishment. Essential to organization development and effectiveness is the scientific method — inquiry, a rigorous search for causes, experimental testing of hypotheses, and review of results.

### **Organizational Self-Renewal**

The ultimate aim of OD practitioners is to "work themselves out of a job" by leaving the client organization with a set of tools, behaviors, attitudes, and an action plan with which to monitor its own state of health and to take corrective steps toward its own renewal and development. This is consistent with the systems concept of feedback as a regulatory and corrective mechanism.

### **Early development**

**Kurt Lewin** played a key role in the evolution of organization development as it is known today. As early as **World War II**, Lewin experimented with a collaborative change process (involving himself as consultant and a client group) based on a three-step process of planning, taking action, and measuring results. This was the forerunner of action research, an important element of OD, which will be discussed later. Lewin then participated in the beginnings of laboratory training, or **T-groups**, and, after his death in 1947, his close associates helped to develop survey-research methods at the **University of Michigan**. These procedures became important parts of OD as developments in this field continued at the **National Training Laboratories** and in growing numbers of universities and private consulting firms across the country.

The failure of off-site laboratory training to live up to its early promise was one of the important forces stimulating the development of OD. Laboratory training is learning from a person's "here and now" experience as a member of an ongoing training group. Such groups usually meet without a specific agenda. Their purpose is for the members to learn about themselves from their spontaneous "here and now" responses to an ambiguous hypothetical situation. Problems of **leadership**, structure, status, **communication**, and self-serving behavior typically arise in such a group. The members have an opportunity to learn something about themselves and to practice such skills as listening, observing others, and functioning as effective group members.

## Modern development

In recent years, serious questioning has emerged about the relevance of OD to managing change in modern organizations. The need for "reinventing" the field has become a topic that even some of its "founding fathers" are discussing critically.

With this call for reinvention and change, scholars have begun to examine organizational development from an emotion-based standpoint. For example, deKlerk (2007) writes about how emotional trauma can negatively affect performance. Due to downsizing, outsourcing, mergers, restructuring, continual changes, invasions of privacy, harassment, and abuses of power, many employees experience the emotions of aggression, anxiety, apprehension, cynicism, and fear, which can lead to performance decreases. deKlerk (2007) suggests that in order to heal the trauma and increase performance, O.D. practitioners must acknowledge the existence of the trauma, provide a safe place for employees to discuss their feelings, symbolize the trauma and put it into perspective, and then allow for and deal with the emotional responses. One method of achieving this is by having employees draw pictures of what they feel about the situation, and then having them explain their drawings with each other. Drawing pictures is beneficial because it allows employees to express emotions they normally would not be able to put into words. Also, drawings often prompt active participation in the activity, as everyone is required to draw a picture and then discuss its meaning.

## OD interventions

"Interventions" are principal learning processes in the "action" stage (see *Figure 1*) of **organization** development. Interventions are structured activities used individually or in combination by the members of a client **system** to improve their social or task **performance**. They may be introduced by a change agent as part of an improvement program, or they may be used by the client following a program to check on the state of the organization's health, or to effect necessary changes in its own behavior. "Structured activities" mean such diverse procedures as experiential exercises, questionnaires, attitude surveys, interviews, relevant group discussions, and even lunchtime meetings between the change agent and a member of the client **organization**. Every action that influences an organization's improvement program in a change agent-client system relationship can be said to be an intervention.

There are many possible intervention strategies from which to choose. Several assumptions about the nature and functioning of **organizations** are made in the choice of a particular strategy. **Beckhard** lists six such assumptions:

1. The basic building blocks of an **organization** are groups (**teams**). Therefore, the basic units of change are groups, not individuals.
2. An always relevant change goal is the reduction of inappropriate **competition** between parts of the organization and the development of a more collaborative condition.
3. Decision making in a healthy organization is located where the information sources are, rather than in a particular role or level of **hierarchy**.
4. Organizations, subunits of organizations, and individuals continuously manage their affairs against goals. Controls are interim measurements, not the basis of managerial strategy.

5. One goal of a healthy organization is to develop generally open **communication**, mutual trust, and **confidence** between and across levels.
6. People support what they help create. People affected by a change must be allowed active participation and a sense of ownership in the planning and conduct of the change.

Interventions range from those designed to improve the **effectiveness** of individuals through those designed to deal with teams and groups, intergroup relations, and the total organization. There are interventions that focus on task issues (what people do), and those that focus on process issues (how people go about doing it). Finally, interventions may be roughly classified according to which change mechanism they tend to emphasize: for example, feedback, awareness of changing cultural norms, interaction and **communication**, **conflict**, and **education** through either new knowledge or skill practice.

One of the most difficult tasks confronting the change agent is to help create in the **client** system a safe climate for learning and change. In a favorable climate, human learning builds on itself and continues indefinitely during man's lifetime. Out of new **behavior**, new dilemmas and problems emerge as the spiral continues upward to new levels. In an unfavorable climate, in contrast, learning is far less certain, and in an atmosphere of psychological threat, it often stops altogether. Unfreezing old ways can be inhibited in **organizations** because the climate makes employees feel that it is inappropriate to reveal true **feelings**, even though such revelations could be constructive. In an inhibited atmosphere, therefore, necessary feedback is not available. Also, trying out new ways may be viewed as risky because it violates established norms. Such an organization may also be constrained because of the law of systems: If one part changes, other parts will become involved. Hence, it is easier to maintain the status quo. Hierarchical authority, **specialization**, span of control, and other characteristics of formal systems also discourage experimentation.

The change agent must address himself to all of these hazards and obstacles. Some of the things which will help him are:

1. A real need in the **client** system to change
2. Genuine support from management
3. Setting a personal example: listening, supporting behavior
4. A sound background in the behavioral sciences
5. A working knowledge of systems theory
6. A belief in man as a rational, self-educating being fully capable of learning better ways to do things.

A few examples of interventions include team building, coaching, Large Group Interventions, mentoring, performance appraisal, downsizing, TQM, and leadership development.

## **Organizational culture**

**Organizational culture** is an idea in the field of Organizational studies and management which describes the psychology, attitudes, experiences, beliefs and values (personal and cultural values) of an organization. It has been defined as "the

specific collection of values and norms that are shared by people and groups in an organization and that control the way they interact with each other and with stakeholders outside the organization."

This definition continues to explain **organizational values** also known as "beliefs and ideas about what kinds of goals members of an organization should pursue and ideas about the appropriate kinds or standards of behavior organizational members should use to achieve these goals. From organizational values develop organizational norms, guidelines or expectations that prescribe appropriate kinds of behavior by employees in particular situations and control the behavior of organizational members towards one another."

Organizational culture is not the same as **corporate culture**. It is wider and deeper concepts, something that an organization 'is' rather than what it 'has'

**Corporate culture** is the total sum of the values, customs, traditions and meanings that make a company unique. Corporate culture is often called "the character of an organization" since it embodies the vision of the company's founders. The values of a corporate culture influence the ethical standards within a corporation, as well as managerial behavior.

Senior management may try to determine a *corporate culture*. They may wish to impose corporate values and standards of behavior that specifically reflect the objectives of the organization. In addition, there will also be an extant internal culture within the workforce. Work-groups within the organization have their own behavioral quirks and interactions which, to an extent, affect the whole system. Roger Harrison's four-culture typology, and adapted by Charles Handy, suggests that unlike organizational culture, corporate culture can be 'imported'. For example, computer technicians will have expertise, language and behaviors gained independently of the organization, but their presence can influence the culture of the organization as a whole.

### **Strong/weak cultures**

**Strong culture** is said to exist where staff respond to stimulus because of their alignment to organizational values. In such environments, strong cultures help firms operate like well-oiled machines, cruising along with outstanding execution and perhaps minor tweaking of existing procedures here and there.<sup>[3]</sup>

Conversely, there is **weak culture** where there is little alignment with organizational values and control must be exercised through extensive procedures and bureaucracy.

Where culture is strong—people do things because they believe it is the right thing to do—there is a risk of another phenomenon, Groupthink. "Groupthink" was described by Irving L. Janis. He defined it as "...a quick and easy way to refer to a mode of thinking that people engage when they are deeply involved in a cohesive ingroup, when members' strivings for unanimity override their motivation to realistically appraise alternatives of action." This is a state where people, even if they have



different ideas, do not challenge organizational thinking, and therefore there is a reduced capacity for innovative thoughts. This could occur, for example, where there is heavy reliance on a central charismatic figure in the organization, or where there is an evangelical belief in the organization's values, or also in groups where a friendly climate is at the base of their identity (avoidance of conflict). In fact group think is very common, it happens all the time, in almost every group. Members that are defiant are often turned down or seen as a negative influence by the rest of the group, because they bring conflict.

Innovative organizations need individuals who are prepared to challenge the status quo—be it groupthink or bureaucracy, and also need procedures to implement new ideas effectively.

### Types of organizational cultures

- **The Tough-Guy Macho Culture.** Feedback is quick and the rewards are high. This often applies to fast moving financial activities such as brokerage, but could also apply to a police force, or athletes competing in team sports. This can be a very stressful culture in which to operate.
- **The Work Hard/Play Hard Culture** is characterized by few risks being taken, all with rapid feedback. This is typical in large organizations, which strive for high quality customer service. It is often characterized by team meetings, jargon and buzzwords.
- **The Bet your Company Culture**, where big stakes decisions are taken, but it may be years before the results are known. Typically, these might involve development or exploration projects, which take years to come to fruition, such as oil prospecting or military aviation.
- **The Process Culture** occurs in organizations where there is little or no feedback. People become bogged down with how things are done not with what is to be achieved. This is often associated with bureaucracies. While it is easy to criticize these cultures for being overly cautious or bogged down in red tape, they do produce consistent results, which is ideal in, for example, public services.
- A **Power Culture** which concentrates power among a few. Control radiates from the center like a web. Power Cultures have few rules and little bureaucracy; swift decisions can ensue.
- In a **Role Culture**, people have clearly delegated authorities within a highly defined structure. Typically, these organizations form hierarchical bureaucracies. Power derives from a person's position and little scope exists for expert power.
- By contrast, in a **Task Culture**, teams are formed to solve particular problems. Power derives from expertise as long as a team requires expertise. These cultures often feature the multiple reporting lines of a matrix structure.
- A **Person Culture** exists where all individuals believe themselves superior to the organization. Survival can become difficult for such organizations, since the concept of an organization suggests that a group of like-minded individuals pursue the organizational goals. Some professional partnerships

can operate as person cultures, because each partner brings a particular expertise and clientele to the firm.

**The Blame culture** This culture cultivates distrust and fear, people blame each other to avoid being reprimanded or put down, this results in no new ideas or personal initiative because people don't want to risk being wrong.

**Multi-directional culture** This culture cultivates minimized cross-department communication and cooperation. Loyalty is only to specific groups (departments). Each department becomes a clique and is often critical of other departments which in turn creates lots of gossip. The lack of cooperation and Multi-Direction is manifested in the organization's inefficiency.

**Live and let live culture** This culture is Complacency, it manifests Mental Stagnation and Low Creativity. People here have little future vision and have given up their passion. There is average cooperation and communication, and things do work, but they do not grow. People have developed their personal relationships and decided who to stay away from, there is not much left to learn.

**Brand congruent culture** People in this culture believe in the product or service of the organization, they feel good about what their company is trying to achieve and cooperate to achieve it. People here are passionate and seem to have similar goals in the organisation. They use personal resources to actively solve problems and while they don't always accept the actions of management or others around them, they see their job as important. Most everyone in this culture is operating at the level of Group.

**Leadership enriched culture** People view the organization as an extension of themselves, they feel good about what they personally achieve through the organization and have exceptional Cooperation. Individual goals are aligned with the goals of the organization and people will do what it takes to make things happen. As a group, the organization is more like family providing personal fulfillment which often transcends ego so people are consistently bringing out the best in each other. In this culture, Leaders do not develop followers, but develop other leaders. Most everyone in this culture is operating at the level of Organization.

- Constructive Cultures, in which members are encouraged to interact with people and approach tasks in ways that help them meet their higher-order satisfaction needs.
- Passive/Defensive Cultures, in which members believe they must interact with people in ways that will not threaten their own security.
- Aggressive/Defensive Cultures, in which members are expected to approach tasks in forceful ways to protect their status and security.

The Constructive Cluster, this includes cultural norms that reflect expectations for members to interact with others and approach tasks in ways that will help them meet their higher order satisfaction needs for affiliation, esteem, and self-actualization.

The four cultural norms in this cluster are:

- Achievement • Self-Actualizing • Humanistic-Encouraging • Affiliative

Organizations with Constructive cultures encourage members to work to their full potential, resulting in high levels of motivation, satisfaction, teamwork, service quality, and sales growth. Constructive norms are evident in environments where quality is valued over quantity, creativity is valued over conformity, cooperation is believed to lead to better results than competition, and effectiveness is judged at the system level rather than the component level. These types of cultural norms are consistent with (and supportive of) the objectives behind empowerment, total quality management, transformational leadership, continuous improvement, reengineering, and learning organizations.

The Passive/Defensive Cluster Norms that reflect expectations for members to interact with people in ways that will not threaten their own security are in the Passive/Defensive Cluster.

The four Passive/Defensive cultural norms are:

- Approval • Conventional • Dependent • Avoidance

In organizations with Passive/Defensive cultures, members feel pressured to think and behave in ways that are inconsistent with the way they believe they should in order to be effective. People are expected to please others (particularly superiors) and avoid interpersonal conflict. Rules, procedures, and orders are more important than personal beliefs, ideas, and judgment. Passive/Defensive cultures experience a lot of unresolved conflict and turnover, and organizational members report lower levels of motivation and satisfaction.

The Aggressive/Defensive Cluster The Aggressive/Defensive Cluster includes cultural norms that reflect expectations for members to approach tasks in ways that protect their status and security.

The Aggressive/Defensive cultural norms are:

- Oppositional • Power • Competitive • Perfectionistic

Organizations with Aggressive/Defensive cultures encourage or require members to appear competent, controlled, and superior. Members who seek assistance, admit shortcomings, or concede their position are viewed as incompetent or weak. These organizations emphasize finding errors, weeding out "mistakes," and encouraging members to compete against each other rather than competitors. The short-term gains associated with these strategies are often at the expense of long-term growth.

### **Elements used to describe organizational culture**

- **The Paradigm:** What the organization is about; what it does; its mission; its values.

- **Control Systems:** The processes in place to monitor what is going on. Role cultures would have vast rulebooks. There would be more reliance on individualism in a power culture.
- **Organizational Structures:** Reporting lines, hierarchies, and the way that work flows through the business.
- **Power Structures:** Who makes the decisions, how widely spread is power, and on what is power based?
- **Symbols:** These include organizational logos and designs, but also extend to symbols of power such as parking spaces and executive washrooms.
- **Rituals and Routines:** Management meetings, board reports and so on may become more habitual than necessary.
- **Stories and Myths:** build up about people and events, and convey a message about what is valued within the organization.

These elements may overlap. Power structures may depend on control systems, which may exploit the very rituals that generate stories which may not be true.

## Entrepreneurial culture

Stephen McGuire defined and validated a model of organizational culture that predicts revenue from new sources. An Entrepreneurial Organizational Culture (EOC) is a system of shared values, beliefs and norms of members of an organization, including valuing creativity and tolerance of creative people, believing that innovating and seizing market opportunities are appropriate behaviors to deal with problems of survival and prosperity, environmental uncertainty, and competitors' threats, and expecting organizational members to behave accordingly.

## Elements of Entrepreneurial Culture

- People and empowerment focused
- Value creation through innovation and change
- Attention to the basics
- Hands-on management
- Doing the right thing
- Freedom to grow and to fail
- Commitment and personal responsibility
- Emphasis on the future

## Organizational communication perspective on culture

The organizational communication perspective on culture is divided into three areas:

- **Traditionalism:** Views culture through objective things such as stories, rituals, and symbols
- **Interpretivism:** Views culture through a network of shared meanings (organization members sharing subjective meanings)
- **Critical-Interpretivism:** Views culture through a network of shared meanings as well as the power struggles created by a similar network of competing meanings

There are many different types of communication that contribute in creating an organizational culture:

- **Metaphors** such as comparing an organization to a machine or a family reveal employees' shared meanings of experiences at the organization.
- **Stories** can provide examples for employees of how to or not to act in certain situations.
- **Rites and ceremonies** combine stories, metaphors, and symbols into one. Several different kinds of rites that affect organizational culture:
  - **Rites of passage:** employees move into new roles
  - **Rites of degradation:** employees have power taken away from them
  - **Rites of enhancement:** public recognition for an employee's accomplishments
  - **Rites of renewal:** improve existing social structures
  - **Rites of conflict reduction:** resolve arguments between certain members or groups
  - **Rites of integration:** reawaken feelings of membership in the organization
- **Reflexive comments** are explanations, justifications, and criticisms of our own actions. This includes:
  - **Plans:** comments about anticipated actions
  - **Commentaries:** comments about action in the present
  - **Accounts:** comments about an action or even that has already occurred

Such comments reveal interpretive meanings held by the speaker as well as the social rules they follow.

- **Fantasy Themes** are common creative interpretations of events that reflect beliefs, values, and goals of the organization. They lead to rhetorical visions, or views of the organization and its environment held by organization members.

## Schema

**Schemata** (plural of schema) are knowledge structures a person forms from past experiences allowing them to respond to similar events more efficiently in the future by guiding the processing of information. Schemata are created through interaction with others and thus inherently involve communication.

Stanley G. Harris argues that five categories of in-organization schemata are necessary for organizational culture:

- **Self-in-organization schemata:** a person's concept of themselves within the context of the organization, including their personality, roles, and behavior
- **Person-in-organization schemata:** a person's memories, impressions and expectations of other individuals within the organization
- **Organization schemata:** subset of person schemata, a person's generalized perspective on others as a whole in the organization
- **Object/concept-in-organization schemata:** knowledge an individual has of organization aspects other than other people

- **Event-in-organization schemata:** a person's knowledge of social events within an organization

All of these categories together represent a person's knowledge of an organization. Organizational culture is created when the schemata's of individuals within an organization come to resemble each other. This is primarily done through organizational communication as individuals directly or indirectly share knowledge and meanings.

## **Mergers, organizational culture, and cultural leadership**

One of the biggest obstacles in the way of the merging of two organizations is organizational culture. Each organization has its own unique culture and most often, when brought together, these cultures clash. When mergers fail employees point to issues such as identity, communication problems, human resources problems, ego clashes, and inter-group conflicts, which all fall under the category of "cultural differences". One way to combat such difficulties is through cultural leadership. Organizational leaders must also be cultural leaders and help facilitate the change from the two old cultures into the one new culture. This is done through cultural innovation followed by cultural maintenance.

- **Cultural innovation** includes:
  - **Creating** a new culture: recognizing past cultural differences and setting realistic expectations for change
  - **Changing** the culture: weakening and replacing the old cultures
- **Cultural maintenance** includes:
  - **Integrating** the new culture: reconciling the differences between the old cultures and the new one
  - **Embodying** the new culture: Establishing, affirming, and keeping the new culture

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## Introduction to Community Development

**Community development (CD)** is a broad term given to the practices of civic activists, involved citizens and professionals to build stronger and more resilient local communities.

Community development seeks to empower individuals and groups of people by providing them with the skills they need to effect change in their own communities. These skills are often created through the formation of large social groups working for a common agenda. Community developers must understand both how to work with individuals and how to affect communities' positions within the context of larger social institutions.

There are a myriad of job titles for CD workers and their employers include public authorities and voluntary or non-governmental organisations, funded by the state and by independent grant making bodies. Since the nineteen seventies the prefix word 'community' has also been adopted by several other occupations from the police and health workers to planners and architects, who work with more disadvantaged groups and communities and have been influenced by CD approaches.

CD practitioners have over many years developed a range of skills and approaches for working within local communities and in particular with disadvantaged people. These include less formal educational methods, community organising and group work skills. Since the nineteen sixties and seventies through the various anti poverty programmes in both developed and developing countries, CD practitioners have been influenced by structural analyses as to the causes of disadvantage and poverty i.e. inequalities in the distribution of wealth, income, land etc. and especially political power and the need to mobilise people power to affect social change. Thus the influence of such educators as Paulo Friere and his focus upon this work also being about politicising the poor. Other key people who have influenced this field are Saul Alinsky (Rules for Radicals) and EF Schumacher (Small is Beautiful).

The UK currently hosts the main international body representing community development, the International Association for Community Development. IACD was started in the USA in 1953, moved to Belgium in the seventies and to the UK (Scotland) in 1998. Community development as a term has taken off widely in anglophone countries i.e. the USA, UK, Australia, Canada and New Zealand and other countries in the Commonwealth. It is also used in some countries in eastern Europe with active CD associations in Hungary and Romania. The International Community Development Journal, published by Oxford University Press, and set up in 1967 has been the major forum for research and dissemination of international CD theory and practice.

Community development approaches are recognised internationally. These methods and approaches have been acknowledged as significant for local social, economic,



cultural, environmental and political development by such organisations as the UN, WHO, OECD, World Bank, Council of Europe and EU.

## Definitions

There are complementary definitions of community development. Community Development Challenge report, which was produced by a working party comprising leading UK organizations in the field (including (Foundation Builders) Community Development Foundation, Community Development Exchange and the Federation for Community Development Learning) defines community development as:

"A set of values and practices which plays a special role in overcoming poverty and disadvantage, knitting society together at the grass roots and deepening democracy. There is a CD profession, defined by national occupational standards and a body of theory and experience going back the best part of a century. There are active citizens who use CD techniques on a voluntary basis, and there are also other professions and agencies which use a CD approach or some aspects of it."<sup>[1]</sup>

Community Development Exchange defines community development as:

"both an occupation (such as a community development worker in a local authority) and a way of working with communities. Its key purpose is to build communities based on justice, equality and mutual respect. Community development involves changing the relationships between ordinary people and people in positions of power, so that everyone can take part in the issues that affect their lives. It starts from the principle that within any community there is a wealth of knowledge and experience which, if used in creative ways, can be channeled into collective action to achieve the communities' desired goals. Community development practitioners work alongside people in communities to help build relationships with key people and organizations and to identify common concerns. They create opportunities for the community to learn new skills and, by enabling people to act together, community development practitioners help to foster social inclusion and equality.

A number of different approaches to community development can be recognized, including: community economic development (CED); community capacity building; Social capital formation; political participatory development; nonviolent direct action; ecologically sustainable development; asset-based community development; faith-based community development; community practice social work; community-based participatory research (CBPR); Community Mobilization; community empowerment; community participation; participatory planning including community-based planning (CBP); community-driven development (CDD); and approaches to funding communities directly.

Education and the community-wide empowerment that increased educational opportunity creates, form a crucial component of community development and certainly for under-served communities that have limited general educational and

professional training resources. Workforce development and the issues and challenges of crossing the Digital divide, and increasing community-wide levels of Digital inclusion have become crucially important in this and both for affordable access to computers and the Internet, and for training in how to use and maintain these resources.

Local communities that cannot connect and participate in the larger and increasingly global Online community are becoming increasingly marginalized because of that. So where Urban development with its focus on buildings and physical infrastructure was once viewed as a primary path forward to community development, development of computer and online infrastructure and access, and the community enablement they support have to become central areas of focus moving forward. This has become an area of active involvement for both public and private sector organizations including foundations and nonprofit organizations. In the United States, nonprofit organizations such as *Per Scholas* seek to “break the cycle of poverty by providing education, technology and economic opportunities to individuals, families and communities” as a path to development for the communities they serve.

### **In the global North**

In the 19th century, the work of the Welsh early socialist thinker Robert Owen (1771–1851), sought to create a more perfect community. At New Lanark and at later communities such as Oneida in the USA and the New Australia Movement in Australia, groups of people came together to create utopian or intentional utopian communities, with mixed success.

In the United States in the 1960s, the term "community development" began to complement and generally replace the idea of urban renewal, which typically focused on physical development projects often at the expense of working-class communities. In the late 1960s, philanthropies such as the Ford Foundation and government officials such as Senator Robert F. Kennedy took an interest in local nonprofit organizations—a pioneer was the Bedford-Stuyvesant Restoration Corporation in Brooklyn—that attempted to apply business and management skills to the social mission of uplifting low-income residents and their neighborhoods. Eventually such groups became known as "Community Development Corporations" or CDCs. Federal laws beginning with the 1974 Housing and Community Development Act provided a way for state and municipal governments to channel funds to CDCs and other nonprofit organizations.

National organizations such as the Neighborhood Reinvestment Corporation (founded in 1978 and now known as NeighborWorks America), the Local Initiatives Support Corporation (founded in 1980 and known as LISC), and the Enterprise Foundation (founded in 1981) have built extensive networks of affiliated local nonprofit organizations to which they help provide financing for countless physical and social development programs in urban and rural communities. The CDCs and similar organizations have been credited with starting the process that stabilized and revived seemingly hopeless inner city areas such as the South Bronx in New York City.

In the UK Community development has had two main traditions. The first was as an approach for preparing for the independence of countries from the former British Empire in the 50's and 60's. Domestically it first came into public prominence with the Labour Government's anti deprivation programmes of the latter sixties and seventies. The main example of this being the CDP (Community Development Programme), which piloted local area based community development. This influenced a number of largely urban local authorities, in particular in Scotland with Strathclyde Region's major community development programme (the largest at the time in Europe).

The Gulbenkian Foundation was a key funder of commissions and reports which influenced the development of CD in the UK from the latter sixties to the 80's. This included recommending that there be a national institute or centre for community development, able to support practice and to advise government and local authorities on policy. This was formally set up in 1991 as the Community Development Foundation. In 2004 the Carnegie UK Trust established a Commission of Inquiry into the future of rural community development examining such issues as land reform and climate change. Carnegie funded over sixty rural community development action research projects across the UK and Ireland and national and international communities of practice to exchange experiences. This included the International Association for Community Development.

In 1999 a UK wide organisation responsible for setting professional training standards for all education and development practitioners working within local communities was established and recognised by the Labour Government. This organisation was called PAULO - the National Training Organisation for Community Learning and Development. (It was named after Paulo Freire). It was formally recognised by David Blunket, the Secretary of State for Education and Employment. Its first chair was Charlie McConnell, the Chief Executive of the Scottish Community Education Council, who had played a lead role in bringing together a range of occupational interests under a single national training standards body, including community education, community development and development education. The inclusion of community development was significant as it was initially uncertain as to whether it would join the NTO for Social Care. The Community Learning and Development NTO represented all the main employers, trades unions, professional associations and national development agencies working in this area across the four nations of the UK.

The term 'community learning and development' was adopted to acknowledge that all of these occupations worked primarily within local communities, and that this work encompassed not just providing less formal learning support but also a concern for the wider holistic development of those communities – socio economically, environmentally, culturally and politically. By bringing together these occupational groups this created for the first time a single recognised employment sector of nearly 300,000 full and part-time paid staff within the UK, approximately 10% of these staff being full-time. The NTO continued to recognise the range of different occupations within it, for example specialists who work primarily with young people, but all agreed that they shared a core set of professional approaches to their work. In 2002 the NTO became part of a wider Sector Skills Council for lifelong learning.

Community development in Canada has roots in the development of co-operatives, credit unions and caisses populaires. The Antigonish Movement which started in the 1920s in Nova Scotia, through the work of Doctor Moses Coady and Father James Tompkins, has been particularly influential in the subsequent expansion of community economic development work across Canada...

## In the global South

Community planning techniques drawing on the history of utopian movements became important in the 1920s and 1930s in East Africa, where Community Development proposals were seen as a way of helping local people improve their own lives with indirect assistance from colonial authorities.<sup>[citation needed]</sup>

Mohandas K. Gandhi adopted African community development ideals as a basis of his South African Ashram, and then introduced it as a part of the Indian Swaraj movement, aiming at establishing economic interdependence at village level throughout India. With Indian independence, despite the continuing work of Vinoba Bhave in encouraging grassroots land reform, India under its first Prime Minister Jawaharlal Nehru adopted a mixed-economy approach, mixing elements of socialism and capitalism. During the fifties and sixties, India ran a massive community development programme with focus on rural development activities through government support. This was later expanded in scope and was called integrated rural development scheme [IRDP]. A large number of initiatives that can come under the community development umbrella have come up in recent years.

Community Development became a part of the Ujamaa Villages established in Tanzania by Julius Nyerere, where it had some success in assisting with the delivery of education services throughout rural areas, but has elsewhere met with mixed success. In the 1970s and 1980s, Community Development became a part of "Integrated Rural Development", a strategy promoted by United Nations Agencies and the World Bank. Central to these policies of community development were

- Adult Literacy Programs, drawing on the work of Brazilian educator Paulo Freire and the "Each One Teach One" adult literacy teaching method conceived by Frank Laubach.
- Youth and Women's Groups, following the work of the Serowe Brigades of Botswana, of Patrick van Rensburg.
- Development of Community Business Ventures and particularly cooperatives, in part drawn on the examples of José María Arizmendiarieta and the Mondragon Cooperatives of the Basque Region of Spain
- Compensatory Education for those missing out in the formal education system, drawing on the work of Open Education as pioneered by Michael Young.
- Dissemination of Alternative Technologies, based upon the work of E. F. Schumacher as advocated in his book *Small is Beautiful: Economics as if people really mattered*
- Village Nutrition Programs and Permaculture Projects, based upon the work of Australians Bill Mollison and David Holmgren.
- Village Water Supply Programs

In the 1990s, following critiques of the mixed success of "top down" government programs, and drawing on the work of Robert Putnam, in the rediscovery of Social Capital, community development internationally became concerned with social capital formation. In particular the outstanding success of the work of Muhammad Yunus in Bangladesh with the Grameen Bank, has led to the attempts to spread microenterprise credit schemes around the world. This work was honoured by the 2006 Nobel Peace Prize.

The "Human Scale Development" work of Right Livelihood Award winning Chilean economist Manfred Max Neef promotes the idea of development based upon fundamental human needs, which are considered to be limited, universal and invariant to all human beings (being a part of our human condition). He considers that poverty results from the failure to satisfy a particular human need, it is not just an absence of money. Whilst human needs are limited, Max Neef shows that the ways of satisfying human needs is potentially unlimited. Satisfiers also have different characteristics: they can be violators or destroyers, pseudosatisfiers, inhibiting satisfiers, singular satisfiers, or synergic satisfiers. Max-Neef shows that certain satisfiers, promoted as satisfying a particular need, in fact inhibit or destroy the possibility of satisfying other needs: e.g., the arms race, while ostensibly satisfying the need for protection, in fact then destroys subsistence, participation, affection and freedom; formal democracy, which is supposed to meet the need for participation often disempowers and alienates; commercial television, while used to satisfy the need for recreation, interferes with understanding, creativity and identity. Synergic satisfiers, on the other hand, not only satisfy one particular need, but also lead to satisfaction in other areas: some examples are breast-feeding; self-managed production; popular education; democratic community organizations; preventative medicine; meditation; educational games. '

## **Social Work theory & practice**

**Social work** is a professional and academic discipline that seeks to improve the quality of life and subjective well-being of individuals, groups, and communities through research, policy, community organizing, direct practice, crisis intervention, and teaching for the benefit of those affected by social disadvantages such as poverty, mental and physical illness or disability, and social injustice, including violations of their civil liberties and human rights. Research is often focused on human development, psychotherapy and counseling, social policy, public administration, social program evaluation, and community development. Social workers are organized into local, national, continental, and international professional bodies. It is an interdisciplinary field that incorporates theoretical bases from economics, education, sociology, law, medicine, philosophy, politics, anthropology, and psychology.

## **History**

The concept of charity goes back to ancient times, and the practice of providing for the poor has roots in many ancient civilizations and world religions. Even before the rise of modern European states, the church was providing social services of a primitive sort. The earliest organized social welfare activity of the Christian church

was the formation of burial societies, followed closely by provision of alms to the poor, shelter for the homeless, and care and comfort for the sick. Monasteries often served as comprehensive social service agencies, acting as hospitals, homes for the aged, orphanages, and travelers' aid stations. It was not until the emergence of industrialization and urbanization that the informal helping systems of the church and family began to break down and organized social welfare services emerged to supplant it.

The profession of social work is generally considered to have developed from three movements: the charity organization society (COS) movement, the settlement house movement, and a third, less clearly defined movement, the development of institutions to deal with the entire range of social problems. All had their most rapid growth during the nineteenth century, and all grew out of the church.

Social work has its roots in the social and economic upheaval wrought by the Industrial Revolution, in particular the societal struggle to deal with poverty and its resultant problems. Because poverty was the main focus of early social work, it is intricately linked with the idea of charity work, but the field must now be understood in much broader terms. For instance, it is common for modern social workers to find themselves dealing with consequences arising from other "social problems" such as racism, sexism, homophobia, and discrimination based on age or on physical or mental disability

Whereas social casework started on a more scientific footing aimed at directing and reforming individuals (at one stage supporting the notion that poverty was a disease), other models of social work arising out of the Settlement House movement, led by activists such as Jane Addams, emphasized political activism and community solutions. Currently, social work is known for its critical and holistic approach to understanding and intervening in social problems. This has led, for example, to the recognition of poverty as having a social and economic basis rooted in social policies rather than representing a personal moral defect. This trend also points to another historical development in the evolution of social work: once a profession engages in social control, it is directed at social and personal empowerment. This is not to say that modern social workers do not engage in social control (consider, for example, child protection workers), and many, if not most, social workers likely would agree that there is an ongoing tension between these forces within the profession. For example, see the debate between structural social work and humanistic social work.

### **Contemporary professional development**

Social Work education begins in a structured manner at higher educational institutions (universities and colleges), coupled with or followed by practical internships, but it is also an ongoing process that occurs through research and in the workplace.

The International Federation of Social Workers says of social work today that

"social work bases its methodology on a systematic body of evidence-based knowledge derived from research and practice evaluation, including local and

indigenous knowledge specific to its context. It recognizes the complexity of interactions between human beings and their environment, and the capacity of people both to be affected by and to alter the multiple influences upon them including bio-psychosocial factors. The social work profession draws on theories of human development, social theory and social systems to analyze complex situations and to facilitate individual, organizational, social and cultural changes."<sup>[3]</sup>

#### 7 CORE FUNCTIONS:

1. Engagement- the social worker must first engage the client in early meetings to promote a collaborative relationship. 2. Assessment- data must be gathered that will guide and direct a plan of action to help the client 3. Planning- negotiate and formulate an action plan 4. Implementation- promote resource acquisition and enhance role performance 5. Monitoring/Evaluation- on-going documentation through short-term goal attainment of extent to which client is following through 6. Supportive Counseling- affirming, challenging, encouraging, informing, and exploring options 7. Graduated Disengagement- Seeking to replace the social worker with a naturally occurring resource <sup>[4]</sup>

#### 6 CORE VALUES:

1. Service- help people in need and address social problems 2. Social Justice- challenge social injustices 3. Respect the dignity and worth of the person 4. Give importance to human relationships 5. Integrity- behave in a trustworthy manner 6. Competence- practice within the areas of one's areas of expertise and develop and enhance professional skills

### **Professional associations**

Social workers have a number of professional associations, which provide ethical guidance and other forms of support for their members and for social work in general. These associations may be international, continental, semi-continental, national, or regional. The main international associations are the International Federation of Social Workers (IFSW) and the International Association of Schools of Social Work (IASSW). The largest professional social work association in the United States is the National Association of Social Workers. There also exist organizations that represent clinical social workers such as The American Association of Psychoanalysis in Clinical Social Work, AAPCSW is a national organization representing social workers who practice psychoanalytic social work and psychoanalysis. There are also a number of states with Clinical Social Work Societies which represent all social workers who conduct psychotherapy from a variety of theoretical frameworks with families, groups and individuals.

### **Trade unions representing social workers**

In the United Kingdom, just over half of social workers are employed by local authorities, and many of these are represented by UNISON, the public sector employee union. Smaller numbers are members of Unite the union and the GMB (trade union). The British Union of Social Work Employees (BUSWE) has been a

section of the Community (trade union) since 2008. In 2011, the British Association of Social Workers launched a trade union arm for the second time (it first tried this in 1976) called the Social Workers' Union, but this body is not recognized by the TUC or by any employers.

## Role of the professional

The main tasks of professional social workers may include a number of services such as case management (linking clients with agencies and programs that will meet their psychosocial needs - common in the US and the UK), counseling and psychotherapy, human services management, social welfare policy analysis, policy and practice development, community organizing, international, social and community development, advocacy, teaching (in schools of social work), and social and political research.

A historic and defining feature of social work is the profession's focus on individual well-being in a social context and the well-being of society. Social workers promote social justice and social change with and on behalf of clients. The term "client" is used to refer to individuals, families, groups, organizations, or communities. In the broadening scope of the modern social worker's role, some practitioners have in recent years traveled to war-torn countries to provide psychosocial assistance to families and survivors.

According to the Substance Abuse and Mental Health Services Administration (SAMHSA), professional social workers are the nation's largest group of mental health services providers. There are more clinically trained social workers--over 200,000--than psychiatrists, psychologists, and psychiatric nurses combined. Federal law and the National Institutes of Health recognize social work as one of five core mental health professions.

## Project Planning and Management

A **project plan**, according to the Project Management Body of Knowledge, is: "...a formal, approved document used to guide both *project execution* and *project control*. The primary uses of the project plan are to document planning assumptions and decisions, facilitate communication among *stakeholders*, and document approved scope, cost, and schedule *baselines*. A project plan may be summarized or detailed."

PRINCE2 defines:

"...a statement of how and when a project's objectives are to be achieved, by showing the major products, milestones, activities and resources required on the project."

The project manager creates the **project management plan** following input from the project team and key stakeholders. The plan should be agreed and approved by at least the project team and its key stakeholders.



## Purpose

The objective of a project plan is to define the approach to be used by the Project team to deliver the intended project management scope of the project.

At a minimum, a project plan answers basic questions about the project:

- **Why?** - What is the problem or value proposition addressed by the project? Why is it being sponsored?
- **What?** - What is the work that will be performed on the project? What are the major products/deliverables?
- **Who?** - Who will be involved and what will be their responsibilities within the project? How will they be organized?
- **When?** - What is the project timeline and when will particularly meaningful points, referred to as milestones, be complete?

## Plan contents

To be a complete project plan according to industry standards such as the PMBOK or PRINCE2, the project plan must also describe the execution, management and control of the project. This information can be provided by referencing other documents that will be produced, such as a Procurement Plan or Construction Plan, or it may be detailed in the project plan itself.

The project plan typically covers topics used in the project execution system and includes the following main aspects:

- Scope Management
- Requirements Management
- Schedule Management
- Financial Management
- Quality Management
- Resource Management
- Stakeholders Management
- Communications Management
- Project Change Management
- Risk Management
- Procurement Management

It is good practice and mostly required by large consulting and professional project management firms, to have a formally agreed and version controlled **project management plan** approved in the early stages of the project, and applied throughout the project.

## Rural Sociology & Urban planning

**Rural sociology** is a field of sociology associated with the study of social life in rural areas. It is an active field in much of the world, and in the United States originated

in the 1910s with close ties to the national Department of Agriculture and land-grant university colleges of agriculture.<sup>[1]</sup>

The sociology of food and agriculture is one focus of rural sociology and much of the field is dedicated to the economics of farm production. Other areas of study include rural migration and other demographic patterns, environmental sociology, amenity-led development, public lands policies, so-called "boomtown" development, social disruption, the sociology of natural resources (including forests, mining, fishing and other areas), rural cultures and identities, rural health care and educational policies. Many rural sociologists work in the areas of development studies, community studies, community development and in environmental studies. Much of the research involves the Third World.

**Urban sociology** is the sociological study of life and human interaction in metropolitan areas. It is a normative discipline of sociology seeking to study the structures, processes, changes and problems of an urban area and by doing so provide inputs for planning and policy making. In other words it is the sociological study of cities and their role in the development of society.<sup>[1]</sup> Like most areas of sociology, urban sociologists use statistical analysis, observation, social theory, interviews, and other methods to study a range of topics, including migration and demographic trends, economics, poverty, race relations and economic trends.

The philosophical foundations of modern urban sociology originate from the work of sociologists such as Karl Marx, Ferdinand Tönnies, Émile Durkheim, Max Weber and Georg Simmel who studied and theorized the economic, social and cultural processes of urbanization and its effects on social alienation, class formation, and the production or destruction of collective and individual identities.

These theoretical foundations were further expanded upon and analyzed by a group of sociologists and researchers who worked at the University of Chicago in the early twentieth century. In what became known as the Chicago School of sociology the work of Robert Park, Louis Wirth and Ernest Burgess on the inner city of Chicago revolutionized the purpose of urban research in sociology but also the development of human geography through its use of quantitative and ethnographic research methods. The importance of the theories developed by the Chicago School within urban sociology have been critically sustained and critiqued but still remain one of the most significant historical advancements in understanding urbanization and the city within the social sciences.

## **Organizational development & Management**

**Organization development (OD)** is a deliberately planned, organization-wide effort to increase an organization's effectiveness and/or efficiency. OD theorists and practitioners define it in various ways. Its multiplicity of definition reflects the complexity of the discipline and is responsible for its lack of understanding. For example, Vasudevan has referred to OD being about promoting organizational readiness to meet change, and it has been said that OD is a systemic learning and development strategy intended to change the basics of beliefs, attitudes and

relevance of values, and structure of the current organization to better absorb disruptive technologies, shrinking or exploding market opportunities and ensuing challenges and chaos. It is worth understanding what OD is not. It is not training, personal development, team development, HRD (human resource development), L&D (learning and development) or a part of HR although it is often mistakenly understood as some or all of these. OD interventions are about change so involve people - but OD also develops processes, systems and structures. The primary purpose of OD is to develop the organization, not to train or develop the staff.

## **Overview**

Organization development is an ongoing, systematic process of implementing effective organizational change. OD is known as both a field of science focused on understanding and managing organizational change and as a field of scientific study and inquiry. It is interdisciplinary in nature and draws on sociology, psychology, and theories of motivation, learning, and personality. Although behavioral science has provided the basic foundation for the study and practice of OD, new and emerging fields of study have made their presence felt. Experts in systems thinking and organizational learning, structure of intuition in decision making, and coaching (to name a few) whose perspective is not steeped in just the behavioral sciences, but a much more multi-disciplinary and inter-disciplinary approach, have emerged as OD catalysts or tools.

Organization development is a growing field that is responsive to many new approaches.

## **Organization development. Core Values**

Underlying Organization Development are humanistic values. Margulies and Raia (1972) articulated the humanistic values of OD as follows:

1. Providing opportunities for people to function as human beings rather than as resources in the productive process.
2. Providing opportunities for each organization member, as well as for the organization itself, to develop to his full potential.
3. Seeking to increase the effectiveness of the organization in terms of all of its goals.
4. Attempting to create an environment in which it is possible to find exciting and challenging work.
5. Providing opportunities for people in organizations to influence the way in which they relate to work, the organization, and the environment.
6. Treating each human being as a person with a complex set of needs, all of which are important in his work and in his life.

## **Objective of OD**

The objective of OD is:

1. To increase the level of inter-personal trust among employees.

2. To increase employees' level of satisfaction and commitment.
3. To confront problems instead of neglecting them.
4. To effectively manage conflict.
5. To increase cooperation among the employees.
6. To increase the organization's problem solving.
7. To put in place processes that will help improve the ongoing operation of the organization on a continuous basis.

As objectives of organizational development are framed keeping in view specific situations, they vary from one situation to another. In other words, these programs are tailored to meet the requirements of a particular situation. But broadly speaking, all organizational development programs try to achieve the following objectives:

1. Making individuals in the organization aware of the vision of the organization. Organizational development helps in making employees align with the vision of the organization.
2. Encouraging employees to solve problems instead of avoiding them.
3. Strengthening inter-personnel trust, cooperation, and communication for the successful achievement of organizational goals.
4. Encouraging every individual to participate in the process of planning, thus making them feel responsible for the implementation of the plan.
5. Creating a work atmosphere in which employees are encouraged to work and participate enthusiastically.
6. Replacing formal lines of authority with personal knowledge and skill.
7. Creating an environment of trust so that employees willingly accept change.

According to organizational development thinking, organization development provides managers with a vehicle for introducing change systematically by applying a broad selection of management techniques. This, in turn, leads to greater personal, group, and organizational effectiveness.

### **Change agent**

A change agent in the sense used here is not a technical expert skilled in such functional areas as accounting, production, or finance. The change agent is a behavioral scientist who knows how to get people in an organization involved in solving their own problems. A change agent's main strength is a comprehensive knowledge of human behavior, supported by a number of intervention techniques (to be discussed later). The change agent can be either external or internal to the organization. An internal change agent is usually a staff person who has expertise in the behavioral sciences and in the intervention technology of OD. Beckhard reports several cases in which line people have been trained in OD and have returned to their organizations to engage in successful change assignments. In the natural evolution of change mechanisms in organizations, this would seem to approach the ideal arrangement. Qualified change agents can be found on some university faculties, or they may be private consultants associated with such organizations as the National Training Laboratories Institute for Applied Behavioral Science (Washington, D.C.) University Associates (San Diego, California), the Human Systems Intervention graduate program in the Department of Applied Human

Sciences (Concordia University, Montreal, Canada), Navitus (Pvt) Ltd (Pakistan), MaxFoster Global and similar organizations.

The change agent may be a staff or line member of the organization who is schooled in OD theory and technique. In such a case, the "contractual relationship" is an in-house agreement that should probably be explicit with respect to all of the conditions involved except the fee.

### **Sponsoring organization**

The initiative for OD programs often comes from an organization that has a problem or anticipates facing a problem. This means that top management or someone authorized by top management is aware that a problem exists and has decided to seek help in solving it. There is a direct analogy here to the practice of psychotherapy: The client or patient must actively seek help in finding a solution to his problems. This indicates a willingness on the part of the client organization to accept help and assures the organization that management is actively concerned.

### **Applied behavioral science**

One of the outstanding characteristics of OD that distinguishes it from most other improvement programs is that it is based on a "helping relationship." Some believe that the change agent is not a physician to the organization's ills; that s/he does not examine the "patient," make a diagnosis, and write a prescription. Nor does she try to teach organizational members a new inventory of knowledge which they then transfer to the job situation. Using theory and methods drawn from such behavioral sciences as industrial/organizational psychology, industrial sociology, communication, cultural anthropology, administrative theory, organizational behavior, economics, and political science, the change agent's main function is to help the organization define and solve its own problems. The basic method used is known as action research. This approach, which is described in detail later, consists of a preliminary diagnosis, collecting data, feedback of the data to the client, data exploration by the client group, action planning based on the data, and taking action.

### **Systems context**

OD deals with a total system — the organization as a whole, including its relevant environment — or with a subsystem or systems — departments or work groups — in the context of the total system. Parts of systems, for example, individuals, cliques, structures, norms, values, and products are not considered in isolation; the principle of interdependency, that is, that change in one part of a system affects the other parts, is fully recognized. Thus, OD interventions focus on the total culture and cultural processes of organizations. The focus is also on groups, since the relevant behavior of individuals in organizations and groups is generally a product of group influences rather than personality.

## Improved organizational performance

The objective of OD is to improve the organization's capacity to handle its internal and external functioning and relationships. This would include such things as improved interpersonal and group processes, more effective communication, enhanced ability to cope with organizational problems of all kinds, more effective decision processes, more appropriate leadership style, improved skill in dealing with destructive conflict, and higher levels of trust and cooperation among organizational members. These objectives stem from a value system based on an optimistic view of the nature of man — that man in a supportive environment is capable of achieving higher levels of development and accomplishment. Essential to organization development and effectiveness is the scientific method — inquiry, a rigorous search for causes, experimental testing of hypotheses, and review of results.

**Self-managing** work groups allows the members of a work team to manage, control, and monitor all facets of their work, from recruiting, hiring, and new employees to deciding when to take rest breaks. An early analysis of the first-self-managing work groups yielded the following behavioral characteristics (Hackman, 1986):

- Employees assume personal responsibility and accountability for outcomes of their work.
- Employees monitor their own performance and seek feedback on how well they are accomplishing their goals.
- Employees manage their performance and take corrective action when necessary to improve their and the performance of other group members.
- Employees seek guidance, assistance, and resources from the organization when they do not have what they need to do the job.
- Employees help members of their work group and employees in other groups to improve job performance and raise productivity for the organization as a whole.

## Organizational self-renewal

The ultimate aim of OD practitioners is to "work themselves out of a job" by leaving the client organization with a set of tools, behaviors, attitudes, and an action plan with which to monitor its own state of health and to take corrective steps toward its own renewal and development. This is consistent with the systems concept of feedback as a regulatory and corrective mechanism.<sup>[7]</sup>

## Understanding organizations

Weisbord presents a six-box model for understanding organization:

1. Purposes: The organization members are clear about the organization's mission and purpose and goal agreements, whether people support the organization' purpose.
2. Structure: How is the organization's work divided up? The question is whether there is an adequate fit between the purpose and the internal structure.
3. Relationship: Between individuals, between units or departments that perform different tasks, and between the people and requirements of their jobs.
4. Rewards: The consultant should diagnose the similarities between what the organization formally rewarded or punished members for.
5. Leadership: Is to watch for blips among the other boxes and maintain balance among them.
6. Helpful mechanism: Is a helpful organization that must attend to in order to survive which as planning, control, budgeting, and other information systems that help organization member accomplish.

## **Modern development**

In recent years, serious questioning has emerged about the relevance of OD to managing change in modern organizations. The need for "reinventing" the field has become a topic that even some of its "founding fathers" are discussing critically.<sup>[10]</sup>

With this call for reinvention and change, scholars have begun to examine organization development from an emotion-based standpoint. For example, deKlerk (2007) <sup>[11]</sup> writes about how emotional trauma can negatively affect performance. Due to downsizing, outsourcing, mergers, restructuring, continual changes, invasions of privacy, harassment, and abuses of power, many employees experience the emotions of aggression, anxiety, apprehension, cynicism, and fear, which can lead to performance decreases. deKlerk (2007) suggests that in order to heal the trauma and increase performance, O.D. practitioners must acknowledge the existence of the trauma, provide a safe place for employees to discuss their feelings, symbolize the trauma and put it into perspective, and then allow for and deal with the emotional responses. One method of achieving this is by having employees draw pictures of what they feel about the situation, and then having them explain their drawings with each other. Drawing pictures is beneficial because it allows employees to express emotions they normally would not be able to put into words. Also, drawings often prompt active participation in the activity, as everyone is required to draw a picture and then discuss its meaning.

The use of new technologies combined with globalization has also shifted the field of organization development. Roland Sullivan (2005) defined Organization Development with participants at the 1st Organization Development Conference for Asia in Dubai-2005 as "Organization Development is a transformative leap to a desired vision where strategies and systems align, in the light of local culture with an innovative and authentic leadership style using the support of high tech tools.

## **Action research**

Wendell L French and Cecil Bell defined organization development (OD) at one point as "organization improvement through action research". If one idea can be said to

summarize OD's underlying philosophy, it would be action research as it was conceptualized by Kurt Lewin and later elaborated and expanded on by other behavioral scientists. Concerned with social change and, more particularly, with effective, permanent social change, Lewin believed that the motivation to change was strongly related to action: If people are active in decisions affecting them, they are more likely to adopt new ways. "Rational social management", he said, "proceeds in a spiral of steps, each of which is composed of a circle of planning, action, and fact-finding about the result of action".

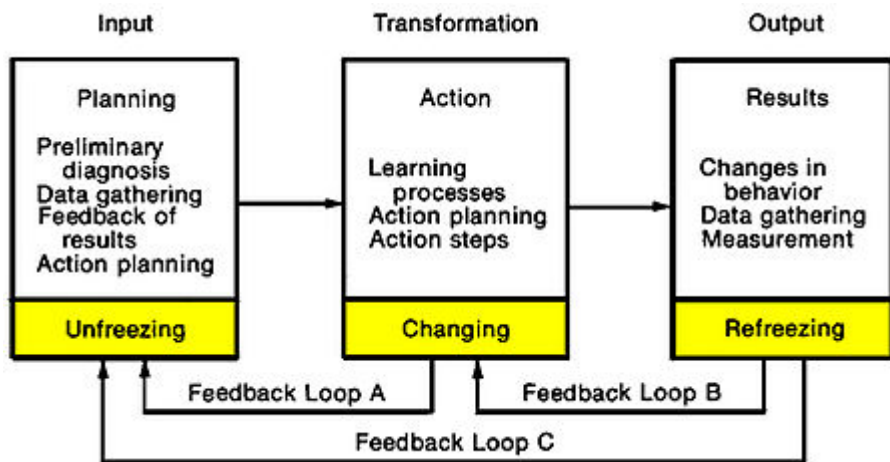


Figure 1: Systems Model of Action-Research Process

Lewin's description of the process of change involves three steps:

"Unfreezing": Faced with a dilemma or disconfirmation, the individual or group becomes aware of a need to change.

"Changing": The situation is diagnosed and new models of behavior are explored and tested.

"Refreezing": Application of new behavior is evaluated, and if reinforcing, adopted.

Figure 1 summarizes the steps and processes involved in planned change through action research. Action research is depicted as a cyclical process of change. The cycle begins with a series of planning actions initiated by the client and the change agent working together. The principal elements of this stage include a preliminary diagnosis, data gathering, feedback of results, and joint action planning. In the language of systems theory, this is the input phase, in which the client system becomes aware of problems as yet unidentified, realizes it may need outside help to effect changes, and shares with the consultant the process of problem diagnosis.

The second stage of action research is the action, or transformation, phase. This stage includes actions relating to learning processes (perhaps in the form of role analysis) and to planning and executing behavioral changes in the client organization. As shown in Figure 1, feedback at this stage would move via Feedback Loop A and would have the effect of altering previous planning to bring the learning



activities of the client system into better alignment with change objectives. Included in this stage is action-planning activity carried out jointly by the consultant and members of the client system. Following the workshop or learning sessions, these action steps are carried out on the job as part of the transformation stage.

The third stage of action research is the output, or results, phase. This stage includes actual changes in behavior (if any) resulting from corrective action steps taken following the second stage. Data are again gathered from the client system so that progress can be determined and necessary adjustments in learning activities can be made. Minor adjustments of this nature can be made in learning activities via Feedback Loop B (see *Figure 1*). Major adjustments and reevaluations would return the OD project to the first, or planning, stage for basic changes in the program. The action-research model shown in *Figure 1* closely follows Lewin's repetitive cycle of planning, action, and measuring results. It also illustrates other aspects of Lewin's general model of change. As indicated in the diagram, the planning stage is a period of unfreezing, or problem awareness. The action stage is a period of changing, that is, trying out new forms of behavior in an effort to understand and cope with the system's problems. (There is inevitable overlap between the stages, since the boundaries are not clear-cut and cannot be in a continuous process). The results stage is a period of refreezing, in which new behaviors are tried out on the job and, if successful and reinforcing, become a part of the system's repertoire of problem-solving behavior.

Action research is problem centered, client centered, and action oriented. It involves the client system in a diagnostic, active-learning, problem-finding, and problem-solving process. Data are not simply returned in the form of a written report but instead are fed back in open joint sessions, and the client and the change agent collaborate in identifying and ranking specific problems, in devising methods for finding their real causes, and in developing plans for coping with them realistically and practically. Scientific method in the form of data gathering, forming hypotheses, testing hypotheses, and measuring results, although not pursued as rigorously as in the laboratory, is nevertheless an integral part of the process. Action research also sets in motion a long-range, cyclical, self-correcting mechanism for maintaining and enhancing the effectiveness of the client's system by leaving the system with practical and useful tools for self-analysis and self-renewal.<sup>[4]</sup>

## **OD interventions**

"Interventions" are principal learning processes in the "action" stage (see *Figure 1*) of organization development. Interventions are structured activities used individually or in combination by the members of a client system to improve their social or task performance. They may be introduced by a change agent as part of an improvement program, or they may be used by the client following a program to check on the state of the organization's health, or to effect necessary changes in its own behavior.

"Structured activities" mean such diverse procedures as experiential exercises, questionnaires, attitude surveys, interviews, relevant group discussions, and even lunchtime meetings between the change agent and a member of the client organization. Every action that influences an organization's improvement program in a change agent-client system relationship can be said to be an intervention.

There are many possible intervention strategies from which to choose. Several assumptions about the nature and functioning of organizations are made in the choice of a particular strategy. Beckhard lists six such assumptions:

1. The basic building blocks of an organization are groups (teams). Therefore, the basic units of change are groups, not individuals.
2. An always relevant change goal is the reduction of inappropriate competition between parts of the organization and the development of a more collaborative condition.
3. Decision making in a healthy organization is located where the information sources are, rather than in a particular role or level of hierarchy.
4. Organizations, subunits of organizations, and individuals continuously manage their affairs against goals. Controls are interim measurements, not the basis of managerial strategy.
5. One goal of a healthy organization is to develop generally open communication, mutual trust, and confidence between and across levels.
6. People support what they help create. People affected by a change must be allowed active participation and a sense of ownership in the planning and conduct of the change.<sup>[6]</sup>

Interventions range from those designed to improve the effectiveness of individuals through those designed to deal with teams and groups, intergroup relations, and the total organization. There are interventions that focus on task issues (what people do), and those that focus on process issues (how people go about doing it). Finally, interventions may be roughly classified according to which change mechanism they tend to emphasize: for example, feedback, awareness of changing cultural norms, interaction and communication, conflict, and education through either new knowledge or skill practice.

One of the most difficult tasks confronting the change agent is to help create in the client system a safe climate for learning and change. In a favorable climate, human learning builds on itself and continues indefinitely during man's lifetime. Out of new behavior, new dilemmas and problems emerge as the spiral continues upward to new levels. In an unfavorable climate, in contrast, learning is far less certain, and in an atmosphere of psychological threat, it often stops altogether. Unfreezing old ways can be inhibited in organizations because the climate makes employees feel that it is inappropriate to reveal true feelings, even though such revelations could be constructive. In an inhibited atmosphere, therefore, necessary feedback is not available. Also, trying out new ways may be viewed as risky because it violates established norms. Such an organization may also be constrained because of the law of systems: If one part changes, other parts will become involved. Hence, it is easier to maintain the status quo. Hierarchical authority, specialization, span of control, and other characteristics of formal systems also discourage experimentation.

The change agent must address himself to all of these hazards and obstacles. Some of the things which will help him are:

1. A real need in the client system to change
2. Genuine support from management

3. Setting a personal example: listening, supporting behavior
4. A sound background in the behavioral sciences
5. A working knowledge of systems theory
6. A belief in man as a rational, self-educating being fully capable of learning better ways to do things.

A few examples of interventions include team building, coaching, Large Group Interventions, mentoring, performance appraisal, downsizing, TQM, and leadership development.

## **Negotiation, Mediation and public relations skills**

**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.

### **Negotiation strategies**

Negotiation can take a wide variety of forms, from a trained negotiator acting on behalf of a particular organization or position in a formal setting, to an informal negotiation between friends. Negotiation can be contrasted with mediation, where a neutral third party listens to each side's arguments and attempts to help craft an agreement between the parties. It can also be compared with arbitration, which resembles a legal proceeding. In arbitration, both sides make an argument as to the merits of their case and the arbitrator decides the outcome. This negotiation is also sometimes called positional or hard-bargaining negotiation.

Negotiation theorists generally distinguish between two types of negotiation. Different theorists use different labels for the two general types and distinguish them in different ways.

### **Distributive negotiation**

Distributive negotiation is also sometimes called positional or hard-bargaining negotiation. It tends to approach negotiation on the model of haggling in a market. In a distributive negotiation, each side often adopts an extreme position, knowing that it will not be accepted, and then employs a combination of guile, bluffing, and

brinkmanship in order to cede as little as possible before reaching a deal. Distributive bargainers conceive of negotiation as a process of distributing a fixed amount of value.<sup>[1]</sup>

The term distributive implies that there is a finite amount of the thing being distributed or divided among the people involved. Sometimes this type of negotiation is referred to as the distribution of a "fixed pie." There is only so much to go around, but the proportion to be distributed is variable. Distributive negotiation is also sometimes called *win-lose* because of the assumption that one person's gain results in another person's loss. A distributive negotiation often involves people who have never had a previous interactive relationship, nor are they likely to do so again in the near future. Simple everyday examples would be buying a car or a house.

### **Integrative negotiation**

Integrative negotiation is also sometimes called interest-based or principled negotiation. It is a set of techniques that attempts to improve the quality and likelihood of negotiated agreement by providing an alternative to traditional distributive negotiation techniques. While distributive negotiation assumes there is a fixed amount of value (a "fixed pie") to be divided between the parties, integrative negotiation often attempts to create value in the course of the negotiation ("expand the pie"). It focuses on the underlying interests of the parties rather than their arbitrary starting positions, approaches negotiation as a shared problem rather than a personalized battle, and insists upon adherence to objective, principled criteria as the basis for agreement.<sup>[1]</sup>

The word integrative implies some cooperation. Integrative negotiation often involves a higher degree of trust and the forming of a relationship. It can also involve creative problem-solving that aims to achieve mutual gains. It is also sometimes called *win-win* negotiation.

A number of different approaches to integrative negotiation are taught in a variety of different books and programs. See, for example, *Getting to YES*, Mutual Gains Approach, Program on Negotiation, Gould Negotiation and Mediation Teaching Program.

### **Negotiation tactics**

There are many different ways to categorize the essential elements of negotiation.

One view of negotiation involves three basic elements: *process*, *behavior* and *substance*. The process refers to how the parties negotiate: the context of the negotiations, the parties to the negotiations, the tactics used by the parties, and the sequence and stages in which all of these play out. Behavior refers to the relationships among these parties, the communication between them and the styles they adopt. The substance refers to what the parties negotiate over: the agenda, the issues (positions and - more helpfully - interests), the options, and the agreement(s) reached at the end.

Another view of negotiation comprises four elements: *strategy, process, tools, and tactics*. Strategy comprises the top level goals - typically including relationship and the final outcome. Processes and tools include the steps that will be followed and the roles taken in both preparing for and negotiating with the other parties. Tactics include more detailed statements and actions and responses to others' statements and actions. Some add to this *persuasion and influence*, asserting that these have become integral to modern day negotiation success, and so should not be omitted.

### **Adversary or partner?**

The two basically different approaches to negotiating will require different tactics. In the distributive approach each negotiator is battling for the largest possible piece of the pie, so it may be quite appropriate - within certain limits - to regard the other side more as an adversary than a partner and to take a somewhat harder line. This would however be less appropriate if the idea were to hammer out an arrangement that is in the best interest of both sides. A good agreement is not one with maximum gain, but optimum gain. This does not by any means suggest that we should give up our own advantage for nothing. But a cooperative attitude will regularly pay dividends. What is gained is not at the expense of the other, but with him.

### **Employing an advocate**

A skilled negotiator may serve as an advocate for one party to the negotiation. The advocate attempts to obtain the most favorable outcomes possible for that party. In this process the negotiator attempts to determine the minimum outcome(s) the other party is (or parties are) willing to accept, then adjusts their demands accordingly. A "successful" negotiation in the advocacy approach is when the negotiator is able to obtain all or most of the outcomes their party desires, but without driving the other party to permanently break off negotiations, unless the best alternative to a negotiated agreement (BATNA) is acceptable.

Skilled negotiators may use a variety of tactics ranging from negotiation hypnosis,<sup>[citation needed]</sup> to a straightforward presentation of demands or setting of preconditions, to more deceptive approaches such as cherry picking. Intimidation and salami tactics may also play a part in swaying the outcome of negotiations. Another negotiation tactic is bad guy/good guy. Bad guy/good guy is when one negotiator acts as a bad guy by using anger and threats. The other negotiator acts as a good guy by being considerate and understanding. The good guy blames the bad guy for all the difficulties while trying to get concessions and agreement from the opponent.

Another negotiation is leaning back and whispering. This establishes a dominant physical position thus intimidating your counterpart.

### **Negotiation styles**

R.G. Shell identified five styles/responses to negotiation. Individuals can often have strong dispositions towards numerous styles; the style used during a negotiation

depends on the context and the interests of the other party, among other factors. In addition, styles can change over time.

1. **Accommodating:** Individuals who enjoy solving the other party's problems and preserving personal relationships. Accommodators are sensitive to the emotional states, body language, and verbal signals of the other parties. They can, however, feel taken advantage of in situations when the other party places little emphasis on the relationship.
2. **Avoiding:** Individuals who do not like to negotiate and don't do it unless warranted. When negotiating, avoiders tend to defer and dodge the confrontational aspects of negotiating; however, they may be perceived as tactful and diplomatic.
3. **Collaborating:** Individuals who enjoy negotiations that involve solving tough problems in creative ways. Collaborators are good at using negotiations to understand the concerns and interests of the other parties. They can, however, create problems by transforming simple situations into more complex ones.
4. **Competing:** Individuals who enjoy negotiations because they present an opportunity to win something. Competitive negotiators have strong instincts for all aspects of negotiating and are often strategic. Because their style can dominate the bargaining process, competitive negotiators often neglect the importance of relationships.
5. **Compromising:** Individuals who are eager to close the deal by doing what is fair and equal for all parties involved in the negotiation. Compromisers can be useful when there is limited time to complete the deal; however, compromisers often unnecessarily rush the negotiation process and make concessions too quickly.

## Types of negotiators

Three basic kinds of negotiators have been identified by researchers involved in The Harvard Negotiation Project. These types of negotiators are: **Soft bargainers**, **hard bargainers**, and **principled bargainers**.

- **Soft.** These people see negotiation as too close to competition, so they choose a gentle style of bargaining. The offers they make are not in their best interests, they yield to others' demands, avoid confrontation, and they maintain good relations with fellow negotiators. Their perception of others is one of friendship, and their goal is agreement. They do not separate the people from the problem, but are soft on both. They avoid contests of wills and will insist on agreement, offering solutions and easily trusting others and changing their opinions.
- **Hard.** These people use contentious strategies to influence, utilizing phrases such as "this is my final offer" and "take it or leave it." They make threats, are distrustful of others, insist on their position, and apply pressure to negotiate. They see others as adversaries and their ultimate goal is victory. Additionally, they will search for one single answer, and insist you agree on it. They do not separate the people from the problem (as with soft bargainers), but they are hard on both the people involved and the problem.

- **Principled.** Individuals who bargain this way seek integrative solutions, and do so by sidestepping commitment to specific positions. They focus on the problem rather than the intentions, motives, and needs of the people involved. They separate the people from the problem, explore interests, avoid bottom lines, and reach results based on standards (which are independent of personal will). They base their choices on objective criteria rather than power, pressure, self-interest, or an arbitrary decisional procedure. These criteria may be drawn from moral standards, principles of fairness, professional standards, tradition, and so on.

Researchers from The Harvard Negotiation Project recommend that negotiators explore a number of alternatives to the problems they are facing in order to come to the best overall conclusion/solution, but this is often not the case (as when you may be dealing with an individual utilizing soft or hard bargaining tactics) (Forsyth, 2010).

### **Bad faith negotiation**

When a party pretends to negotiate, but secretly has no intention of compromising, the party is considered to be negotiating in bad faith. Bad faith is a concept in negotiation theory whereby parties pretend to reason to reach settlement, but have no intention to do so, for example, one political party may pretend to negotiate, with no intention to compromise, for political effect.

### **Inherent bad faith model in international relations and political psychology**

Bad faith in political science and political psychology refers to negotiating strategies in which there is no real intention to reach compromise, or a model of information processing. The "inherent bad faith model" of information processing is a theory in political psychology that was first put forth by Ole Holsti to explain the relationship between John Foster Dulles' beliefs and his model of information processing. It is the most widely studied model of one's opponent. A state is presumed to be implacably hostile, and contra-indicators of this are ignored. They are dismissed as propaganda ploys or signs of weakness. Examples are John Foster Dulles' position regarding the Soviet Union, or Hamas's position on the state of Israel.

### **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 and may play out differently across cultural boundaries.

## **Affect effect**

Dispositional affects affect the various stages of the negotiation process: which strategies are planned to be used, which strategies are actually chosen, the way the other party and his or her intentions are perceived their willingness to reach an agreement and the final negotiated outcomes. Positive affectivity (PA) and negative affectivity (NA) of one or more of the negotiating sides can lead to very different outcomes.

### **Positive affect in negotiation**

Even before the negotiation process starts, people in a positive mood have more confidence, and higher tendencies to plan to use a cooperative strategy. During the negotiation, negotiators who are in a positive mood tend to enjoy the interaction more, show less contentious behavior, use less aggressive tactics and more cooperative strategies. This in turn increases the likelihood that parties will reach their instrumental goals, and enhance the ability to find integrative gains. Indeed, compared with negotiators with negative or natural affectivity, negotiators with positive affectivity reached more agreements and tended to honor those agreements more. Those favorable outcomes are due to better decision making processes, such as flexible thinking, creative problem solving, respect for others' perspectives, willingness to take risks and higher confidence. Post negotiation positive affect has beneficial consequences as well. It increases satisfaction with achieved outcome and influences one's desire for future interactions. The PA aroused by reaching an agreement facilitates the dyadic relationship, which result in affective commitment that sets the stage for subsequent interactions.

PA also has its drawbacks: it distorts perception of self performance, such that performance is judged to be relatively better than it actually is. Thus, studies involving self reports on achieved outcomes might be biased.

### **Negative affect in negotiation**

Negative affect has detrimental effects on various stages in the negotiation process. Although various negative emotions affect negotiation outcomes, by far the most researched is anger. Angry negotiators plan to use more competitive strategies and to cooperate less, even before the negotiation starts. These competitive strategies are related to reduced joint outcomes. During negotiations, anger disrupts the process by reducing the level of trust, clouding parties' judgment, narrowing parties' focus of attention and changing their central goal from reaching agreement to retaliating against the other side. Angry negotiators pay less attention to opponent's interests and are less accurate in judging their interests, thus achieve lower joint gains. Moreover, because anger makes negotiators more self-centered in their preferences, it increases the likelihood that they will reject profitable offers. Opponents who really get angry (or cry, or otherwise lose control) are more likely to make errors: make sure they are in your favor. Anger does not help in achieving negotiation goals either: it reduces joint gains and does not help to boost personal gains, as angry negotiators do not succeed in claiming more for themselves.<sup>[20]</sup> Moreover, negative emotions lead to acceptance of settlements that are not in the positive utility function but rather have a negative utility. However, expression of negative emotions during negotiation



can sometimes be beneficial: legitimately expressed anger can be an effective way to show one's commitment, sincerity, and needs. Moreover, although NA reduces gains in integrative tasks, it is a better strategy than PA in distributive tasks (such as zero-sum). In his work on negative affect arousal and white noise, Seidner found support for the existence of a negative affect arousal mechanism through observations regarding the devaluation of speakers from other ethnic origins." Negotiation may be negatively affected, in turn, by submerged hostility toward an ethnic or gender group.

### Conditions for emotion affect in negotiation

Research indicates that negotiator's emotions do not necessarily affect the negotiation process. Albarracín et al. (2003) suggested that there are two conditions for emotional affect, both related to the ability (presence of environmental or cognitive disturbances) and the motivation:

1. Identification of the affect: requires high motivation, high ability or both.
2. Determination that the affect is relevant and important for the judgment: requires that either the motivation, the ability or both are low.

According to this model, emotions are expected to affect negotiations only when one is high and the other is low. When both ability and motivation are low the affect will not be identified, and when both are high the affect will be identified but discounted as irrelevant for judgment. A possible implication of this model is, for example, that the positive effects PA has on negotiations (as described above) will be seen only when either motivation or ability are low.

### The effect of the partner's emotions

Most studies on emotion in negotiations focus on the effect of the negotiator's own emotions on the process. However, what the other party feels might be just as important, as group emotions are known to affect processes both at the group and the personal levels. When it comes to negotiations, trust in the other party is a necessary condition for its emotion to affect, and visibility enhances the effect. Emotions contribute to negotiation processes by signaling what one feels and thinks and can thus prevent the other party from engaging in destructive behaviors and to indicate what steps should be taken next: PA signals to keep in the same way, while NA points that mental or behavioral adjustments are needed. Partner's emotions can have two basic effects on negotiator's emotions and behavior: mimetic/ reciprocal or complementary. For example, disappointment or sadness might lead to compassion and more cooperation. In a study by Butt et al. (2005) which simulated real multi-phase negotiation, most people reacted to the partner's emotions in reciprocal, rather than complementary, manner. Specific emotions were found to have different effects on the opponent's feelings and strategies chosen:

- **Anger** caused the opponents to place lower demands and to concede more in a zero-sum negotiation, but also to evaluate the negotiation less favorably. It provoked both dominating and yielding behaviors of the opponent.
- **Pride** led to more integrative and compromise strategies by the partner.

- **Guilt** or **regret** expressed by the negotiator led to better impression of him by the opponent, however it also led the opponent to place higher demands. On the other hand, personal guilt was related to more satisfaction with what one achieved.
- **Worry** or **disappointment** left bad impression on the opponent, but led to relatively lower demands by the opponent.

### **Problems with lab negotiation studies**

Negotiation is a rather complex interaction. Capturing all its complexity is a very difficult task, let alone isolating and controlling only certain aspects of it. For this reason most negotiation studies are done under laboratory conditions, and focus only on some aspects. Although lab studies have their advantages, they do have major drawbacks when studying emotions:

- Emotions in lab studies are usually manipulated and are therefore relatively 'cold' (not intense). Although those 'cold' emotions might be enough to show effects, they are qualitatively different from the 'hot' emotions often experienced during negotiations.
- In real life there is self-selection to which negotiation one gets into, which affects the emotional commitment, motivation and interests. However this is not the case in lab studies.
- Lab studies tend to focus on relatively few well defined emotions. Real life scenarios provoke a much wider scale of emotions.
- Coding the emotions has a double catch: if done by a third side, some emotions might not be detected as the negotiator sublimates them for strategic reasons. Self-report measures might overcome this, but they are usually filled only before or after the process, and if filled during the process might interfere with it.

### **Team negotiations**

Due to globalization and growing business trends, negotiation in the form of teams is becoming widely adopted. Teams can effectively collaborate to break down a complex negotiation. There is more knowledge and wisdom dispersed in a team than in a single mind. Writing, listening, and talking, are specific roles team members must satisfy. The capacity base of a team reduces the amount of blunder, and increases familiarity in a negotiation.

### **Barriers to negotiations**

- Die hard bargainers.
- Lack of trust.
- Informational vacuums and negotiator's dilemma.
- Structural impediments.
- Spoilers.
- Cultural and gender differences.
- Communication problems.
- The power of dialogue.

## Negotiation tactics

Tactics are always an important part of the negotiating process. But tactics don't often jump up and down shouting "Here I am, look at me." If they did, the other side would see right through them and they would not be effective. More often than not they are subtle, difficult to identify and used for multiple purposes. Tactics are more frequently used in distributive negotiations and when the focus is on taking as much value off the table as possible. Many negotiation tactics exist. Below are a few commonly used tactics.

**Auction:** The bidding process is designed to create competition. When multiple parties want the same thing, pit them against one another. When people know that they may lose out on something, they will want it even more. Not only do they want the thing that is being bid on, they also want to win, just to win. Taking advantage of someone's competitive nature can drive up the price.

**Brinksmanship:** One party aggressively pursues a set of terms to the point at which the other negotiating party must either agree or walk away. Brinksmanship is a type of "hard nut" approach to bargaining in which one party pushes the other party to the "brink" or edge of what that party is willing to accommodate. Successful brinksmanship convinces the other party they have no choice but to accept the offer and there is no acceptable alternative to the proposed agreement.

**Bogey:** Negotiators use the bogey tactic to pretend that an issue of little or no importance to him or her is very important. Then, later in the negotiation, the issue can be traded for a major concession of actual importance.

**Chicken:** Negotiators propose extreme measures, often bluffs, to force the other party to chicken out and give them what they want. This tactic can be dangerous when parties are unwilling to back down and go through with the extreme measure.

**Defence in Depth:** Several layers of decision-making authority is used to allow further concessions each time the agreement goes through a different level of authority. In other words, each time the offer goes to a decision maker, that decision maker asks to add another concession in order to close the deal.

**Deadlines:** Give the other party a deadline forcing them to make a decision. This method uses time to apply pressure to the other party. Deadlines given can be actual or artificial.

**Flinch:** Flinching is showing a strong negative physical reaction to a proposal. Common examples of flinching are gasping for air, or a visible expression of surprise or shock. The flinch can be done consciously or unconsciously. The flinch signals to the opposite party that you think the offer or proposal is absurd in hopes the other party will lower their aspirations. Seeing a physical reaction is more believable than hearing someone saying, "I'm shocked."

**Good Guy/Bad Guy:** The good guy/bad guy approach is typically used in team negotiations where one member of the team makes extreme or unreasonable

demands, and the other offers a more rational approach. This tactic is named after a police interrogation technique often portrayed in the media. The "good guy" will appear more reasonable and understanding, and therefore, easier to work with. In essence, it is using the law of relativity to attract cooperation. The good guy will appear more agreeable relative to the "bad guy." This tactic is easy to spot because of its frequent use.

**Highball/Lowball:** Depending on whether selling or buying, sellers or buyers use a ridiculously high, or ridiculously low opening offer that will never be achieved. The theory is that the extreme offer will cause the other party to reevaluate his or her own opening offer and move close to the resistance point (as far as you are willing to go to reach an agreement). Another advantage is that the person giving the extreme demand appears more flexible he or she makes concessions toward a more reasonable outcome. A danger of this tactic is that the opposite party may think negotiating is a waste of time.

**The Nibble:** Nibbling is asking for proportionally small concessions that haven't been discussed previously just before closing the deal. This method takes advantage of the other party's desire to close by adding "just one more thing."

**Snow Job:** Negotiators overwhelm the other party with so much information that he or she has difficulty determining which facts are important, and which facts are diversions. Negotiators may also use technical language or jargon to mask a simple answer to a question asked by a non-expert.

## **Nonverbal communication in negotiation**

Communication is a key element of negotiation. Effective negotiation requires that participants effectively convey and interpret information. Participants in a negotiation will communicate information not only verbally but non-verbally through body language and gestures. By understanding how nonverbal communication works, a negotiator is better equipped to interpret the information other participants are leaking non-verbally while keeping secret those things that would inhibit his/her ability to negotiate.

## **Examples of non-verbal communication in negotiation**

**Non-verbal "anchoring"** In a negotiation, a person can gain the advantage by verbally expressing his/or her position first. By "anchoring" your position, you establish the position from which the negotiation will proceed. In a like manner, one can "anchor" and gain advantage with non verbal (body language) cues.

- **Personal Space:** The person at the head of the table is the apparent symbol of power. Negotiators can repel this strategic advantage by positioning allies in the room to surround that individual.
- **First Impression:** Begin the negotiation with positive gestures and enthusiasm. Look the person in the eye with sincerity. If you cannot maintain eye contact, the other person might think you are hiding something or that you are insincere. Give a solid handshake.

**Reading non-verbal communication** Being able to read the non-verbal communication of another person can significantly aid in the communication process. By being aware of inconsistencies between a person's verbal and non-verbal communication and reconciling them, negotiators will be able to come to better resolutions. Examples of incongruity in body language include:

- Nervous Laugh: A laugh not matching the situation. This could be a sign of nervousness or discomfort. When this happens, it may be good to probe with questions to discover the person's true feelings.
- Positive words but negative body language: If someone asks their negotiation partner if they are annoyed and the person pounds their fist and responds sharply, "what makes you think anything is bothering me?"
- Hands raised in a clenched position: The person raising his/her hands in this position reveals frustration even when he/she is smiling. This is a signal that the person doing it may be holding back a negative attitude.
- If possible, it may be helpful for negotiation partners to spend time together in a comfortable setting outside of the negotiation room. Knowing how each partner non-verbally communicates outside of the negotiation setting will help negotiation partners to sense incongruity between verbal and non-verbal communication within the negotiation setting.

**Conveying receptivity** The way negotiation partners position their bodies relative to each other may influence how receptive each is to the other person's message and ideas.

- Face and eyes: Receptive negotiators smile, make plenty of eye contact. This conveys the idea that there is more interest in the person than in what is being said. On the other hand, non-receptive negotiators make little to no eye contact. Their eyes may be squinted, jaw muscles clenched and head turned slightly away from the speaker
- Arms and hands: To show receptivity, negotiators should spread arms and open hands on table or relaxed on their lap. Negotiators show poor receptivity when their hands are clenched, crossed, positioned in front of their mouth, or rubbing the back of their neck.
- Legs and Feet: Receptive negotiators sit with legs together or one leg slightly in front of the other. When standing, they distribute weight evenly and place hands on their hips with their body tilted toward the speaker. Non-receptive negotiators stand with legs crossed, pointing away from the speaker.
- Torso: Receptive negotiators sit on the edge of their chair, unbutton their suit coat with their body tilted toward the speaker. Non-receptive negotiators may lean back in their chair and keep their suit coat buttoned.

Receptive negotiators tend to appear relaxed with their hands open and palms visibly displayed.

## **Demography & Management of welfare services**

**Demography** is the statistical study of human populations. It can be a very general science that can be applied to any kind of dynamic living population, i.e., one that changes over time or space (see population dynamics). It encompasses the study of the size, structure, and distribution of these populations, and spatial and/or temporal changes in them in response to birth, migration, aging and death.

“Demo” means “the people” and “graphy” means “measurement”.

Demographic analysis can be applied to whole societies or to groups defined by criteria such as education, nationality, religion and ethnicity. Institutionally, demography is usually considered a field of sociology, though there are a number of independent demography departments.

**Formal demography** limits its object of study to the measurement of populations processes, while the broader field of social demography population studies also analyze the relationships between economic, social, cultural and biological processes influencing a population.

The term demographics refers to characteristics of a population and this is very helpful in the management of welfare services.

## Methods

There are two types of data collection — direct and indirect — with several different methods of each type.

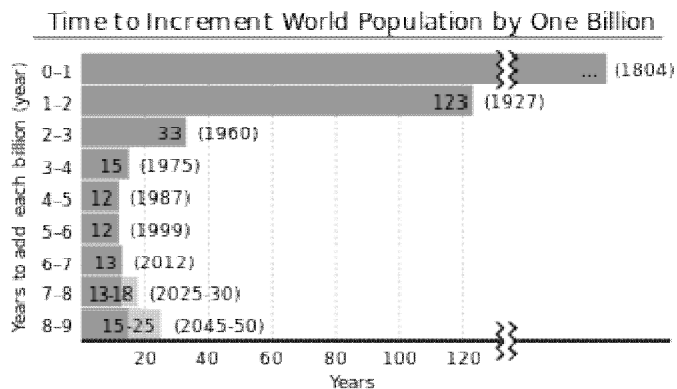
### Direct methods

Direct data come from vital statistics registries that track all births and deaths as well as certain changes in legal status such as marriage, divorce, and migration (registration of place of residence). In developed countries with good registration systems (such as the United States and much of Europe), registry statistics are the best method for estimating the number of births and deaths.

A census is the other common direct method of collecting demographic data. A census is usually conducted by a national government and attempts to enumerate every person in a country. However, in contrast to vital statistics data, which are typically collected continuously and summarized on an annual basis, censuses typically occur only every 10 years or so, and thus are not usually the best source of data on births and deaths. Analyses are conducted after a census to estimate how much over or undercounting took place. These compare the sex ratios from the census data to those estimated from natural values and mortality data.

Censuses do more than just count people. They typically collect information about families or households in addition to individual characteristics such as age, sex, marital status, literacy/education, employment status, and occupation, geographical location. They may also collect data on migration (or place of birth or of previous residence), language, religion, nationality (or ethnicity or race), and citizenship. In countries in which the vital registration system may be incomplete, the censuses are

also used as a direct source of information about fertility and mortality; for example the censuses of the People's Republic of China gather information on births and deaths that occurred in the 18 months immediately preceding the census.



Rate of human population growth showing projections for later this century.

Indirect methods

Indirect methods of collecting data are required in countries and periods where full data are not available, such as is the case in much of the developing world, and most of historical demography. One of these techniques in contemporary demography is the sister method, where survey researchers ask women how many of their sisters have died or had children and at what age. With these surveys, researchers can then indirectly estimate birth or death rates for the entire population. Other indirect methods in contemporary demography include asking people about siblings, parents, and children. Other indirect methods are necessary in historical demography.

There are a variety of demographic methods for modeling population processes. They include models of mortality (including the life table, Gompertz models, hazards models, Cox proportional hazards models, multiple decrement life tables, Brass relational logits), fertility (Hernes model, Coale-Trussell models, parity progression ratios), marriage (Singulate Mean at Marriage, Page model), disability (Sullivan's method, multistate life tables), population projections (Lee Carter, the Leslie Matrix), and population momentum (Keyfitz).

## Common Rates and Ratios

- The **crude birth rate**, the annual number of live births per 1,000 people.
- The **general fertility rate**, the annual number of live births per 1,000 women of childbearing age (often taken to be from 15 to 49 years old, but sometimes from 15 to 44).
- **age-specific fertility** rates, the annual number of live births per 1,000 women in particular age groups (usually age 15-19, 20-24 etc.)
- The **crude death rate**, the annual number of deaths per 1,000 people.
- The **infant mortality rate**, the annual number of deaths of children less than 1 year old per 1,000 live births.

- The **expectation of life** (or life expectancy), the number of years which an individual at a given age could expect to live at present mortality levels.
- The **total fertility rate**, the number of live births per woman completing her reproductive life, if her childbearing at each age reflected current age-specific fertility rates.
- The **replacement level fertility**, the average number of children a woman must have in order to replace herself with a daughter in the next generation. For example the replacement level fertility in the US is 2.11. This means that 100 women will bear 211 children, 103 of which will be females. About 3% of the alive female infants are expected to decrease before they bear children, thus producing 100 women in the next generation.<sup>[4]</sup>
- The **gross reproduction rate**, the number of daughters who would be born to a woman completing her reproductive life at current age-specific fertility rates.
- The **net reproduction ratio** is the expected number of daughters, per newborn prospective mother, who may or may not survive to and through the ages of childbearing.
- A **stable population**, one that has had constant crude birth and death rates for such a long period of time that the percentage of people in every age class remains constant, or equivalently, the population pyramid has an unchanging structure.
- A **stationary population**, one that is both stable and unchanging in size (the difference between crude birth rate and crude death rate is zero)

A stable population does not necessarily remain fixed in size. It can be expanding or shrinking.

Note that the crude death rate as defined above and applied to a whole population can give a misleading impression. For example, the number of deaths per 1,000 people can be higher for developed nations than in less-developed countries, despite standards of health being better in developed countries. This is because developed countries have proportionally more older people, who are more likely to die in a given year, so that the overall mortality rate can be higher even if the mortality rate at any given age is lower. A more complete picture of mortality is given by a life table which summarises mortality separately at each age. A life table is necessary to give a good estimate of life expectancy.

The fertility rates can also give a misleading impression that a population is growing faster than it in fact is, because measurement of fertility rates only involves the reproductive rate of women, and does not adjust for the sex ratio. For example, if a population has a total fertility rate of 4.0 but the sex ratio is 66/34 (twice as many men as women), this population is actually growing at a slower natural increase rate than would a population having a fertility rate of 3.0 and a sex ratio of 50/50. This distortion is greatest in India and Myanmar, and is present in China as well.

### Basic equation

Suppose that a country (or other entity) contains  $Population_t$  persons at time  $t$ . What is the size of the population at time  $t + 1$  ?



$$Population_{t+1} = Population_t + Naturalincrease_t + Netmigration_t$$

Natural increase from time  $t$  to  $t + 1$ :

$$Naturalincrease_t = Births_t - Deaths_t$$

Net migration from time  $t$  to  $t + 1$ :

$$Netmigration_t = Immigration_t - Emigration_t$$

This basic equation can also be applied to subpopulations. For example, the population size of ethnic groups or nationalities within a given society or country is subject to the same sources of change. However, when dealing with ethnic groups, "net migration" might have to be subdivided into physical migration and ethnic reidentification (assimilation). Individuals who change their ethnic self-labels or whose ethnic classification in government statistics changes over time may be thought of as migrating or moving from one population subcategory to another.

More generally, while the basic demographic equation holds true by definition, in practice the recording and counting of events (births, deaths, immigration, emigration) and the enumeration of the total population size are subject to error. So allowance needs to be made for error in the underlying statistics when any accounting of population size or change is made.

At the end of the 18th century, Thomas Malthus concluded that, if unchecked, populations would be subject to exponential growth. He feared that population growth would tend to outstrip growth in food production, leading to ever-increasing famine and poverty. He is seen as the intellectual father of ideas of overpopulation and the limits to growth. Later, more sophisticated and realistic models were presented by Benjamin Gompertz and Verhulst.

The figure in this section shows the latest (2004) UN projections of world population out to the year 2150 (red = high, orange = medium, green = low). The UN "medium" projection shows world population reaching an approximate equilibrium at 9 billion by 2075. Working independently, demographers at the International Institute for Applied Systems Analysis in Austria expect world population to peak at 9 billion by 2070. Throughout the 21st century, the average age of the population is likely to continue to rise.

## Science of population

Populations can change through three processes: fertility, mortality, and migration. Fertility involves the number of children that women have and is to be contrasted with fecundity (a woman's childbearing potential). Mortality is the study of the causes, consequences, and measurement of processes affecting death to members of the population. Demographers most commonly study mortality using the Life Table, a statistical device which provides information about the mortality conditions (most notably the life expectancy) in the population.

Migration refers to the movement of persons from a locality of origin to a destination place across some pre-defined, political boundary. Migration researchers do not designate movements 'migrations' unless they are somewhat permanent. Thus demographers do not consider tourists and travelers to be migrating. While demographers who study migration typically do so through census data on place of residence, indirect sources of data including tax forms and labor force surveys are also important.

Demography is today widely taught in many universities across the world, attracting students with initial training in social sciences, statistics or health studies. Being at the crossroads of several disciplines such as sociology, economics, epidemiology, geography, anthropology and history, demography offers tools to approach a large range of population issues by combining a more technical quantitative approach that represents the core of the discipline with many other methods borrowed from social or other sciences. Demographic research is conducted in universities, in research institutes as well as in statistical departments and in several international agencies. Population institutions are part of the Cicred (International Committee for Coordination of Demographic Research) network while most individual scientists engaged in demographic research are members of the International Union for the Scientific Study of Population, or a national association such as the Population Association of America in the United States, or affiliates of the Federation of Canadian Demographers in Canada.

## **Community Psychology & Development economics**

**Community psychology** studies the individuals' contexts within communities and the wider society, and the relationships of the individual to communities and society. Community psychologists seek to understand the quality of life of individuals, communities, and society. Their aim is to enhance quality of life through collaborative research and action.

Community psychology employ various perspectives within and outside of psychology to address issues of communities, the relationships within them, and related people's attitudes and behaviour.

Rappaport (1977) discusses the perspective of community psychology as an ecological perspective on the person–environment fit (this is often related to work environments) being the focus of study and action instead of attempting to change the personality of individual or the environment when an individual is seen as having a problem.

Closely related disciplines include ecological psychology, environmental psychology, cross-cultural psychology, social psychology, political science, public health, sociology, social work, and community development.

Community psychology grew out of the community mental health movement, but evolved dramatically as early practitioners incorporated their understandings of

political structures and other community contexts into perspectives on client services.

## **Society for Community Research and Action**

Division 27 of the American Psychological Association is the community psychology division of the APA, called the Society for Community Research and Action (SCRA). The Society's mission is as follows:

The Society for Community Research and Action (SCRA) is an international organization devoted to advancing theory, research, and social action. Its members are committed to promoting health and empowerment and to preventing problems in communities, groups, and individuals. SCRA serves many different disciplines that focus on community research and action.

The SCRA website has resources for teaching and learning community psychology, information on events in the field and related to research and action, how to become involved and additional information on the field, members and undergraduate and graduate programs in community psychology.

## **Theories, concepts and values in community psychology**

### **Ecological levels of analysis**

James Kelly (1966; Trickett, 1984) developed an ecological analogy used to understand the ways in which settings and individuals are interrelated. Unlike the ecological framework developed by Bronfenbrenner (1979), the focus of Kelly's framework was not so much on how different levels of the environment may impact on the individual, but on understanding how human communities function. Specifically, Kelly suggests that there are 4 important principles that govern people in settings:

- **adaptation:** i.e. that what individuals do is adaptive given the demands of the surrounding context
- **succession:** every setting has a history that created current structures, norms, attitudes, and policies, and any intervention in the setting must appreciate this history and understand why the current system exists in the form that it does
- **cycling of resources:** each setting has resources that need to be identified and possibilities for new resources to be developed; a resource perspective emphasizes a focus on strengths of individuals, groups, and institutions within the setting and interventions are more likely to succeed if they build on such existing strengths, rather than introduce new external mechanisms for change
- **interdependence:** settings are systems, and any change to one aspect of the setting will have consequences for other aspects of the setting, so any intervention needs to anticipate its impact across the entire setting, and be prepared for unintended consequences.

## First-order and second-order change

Because community psychologists often work on social issues, they are often working toward positive social change. Watzlawick, et al. (1974) differentiated between first-order and second-order change and how second-order change is often the focus of community psychology.<sup>[8]</sup>

- **first-order change:** changing the individuals in a setting to attempt to fix a problem
- **second-order change:** Attending to systems and structures involved with the problem to adjust the person–environment fit

As an example of how these methods differ, consider homelessness. A first-order change to "fix" homelessness would be to offer shelter to one or many homeless people. A second-order change would be to address issues in policy regarding affordable housing.

## Prevention and health promotion

Community psychology emphasizes principles and strategies of preventing social, emotional and behavioral problems and wellness and health promotion at the individual and community levels, borrowed from Public health and Preventive medicine, rather than a passive, "waiting-mode," treatment-based medical model. Universal, selective, primary, and indicated or secondary prevention (early identification and intervention) are particularly emphasized. Community psychology's contributions to Prevention Science have been substantial, including development and evaluation of the Head Start Program.

## Empowerment

One of the goals of community psychology involves empowerment of individuals and communities that have been marginalized by society.

One definition for the term is "an intentional, ongoing process centered in the local community, involving mutual respect, critical reflection, caring, and group participation, through which people lacking an equal share of resources gain greater access to and control over those resources" (Cornell Empowerment Group).

Rappaport's (1984) definition includes: "Empowerment is viewed as a process: the mechanism by which people, organizations, and communities gain mastery over their lives."

While empowerment has had an important place in community psychology research and literature, some have criticized its use. Riger (1993), for example, points to the paradoxical nature of empowerment being a masculine, individualistic construct being used in community research.

## **Social justice**

A core value of community psychology is seeking social justice through research and action. Community psychologists are often advocates for equality and policies that allow for the wellbeing of all people, particularly marginalized populations.

## **Diversity**

Another value of community psychology involves embracing diversity. Rappaport includes diversity as a defining aspect of the field, calling research to be done for the benefit of diverse populations in gaining equality and justice. This value is seen through much of the research done with communities regardless of ethnicity, culture, sexual orientation, disability status, socioeconomic status, gender and age.

## **Individual wellness**

Individual wellness is the physical and psychological wellbeing of all people. Research in community psychology focuses on methods to increase individual wellness, particularly through prevention and second-order change.

## **Citizen participation**

Citizen participation refers to the ability of individuals to have a voice in decision-making, defining and addressing problems, and the dissemination of information gathered on them. This is the basis for the usage of participatory action research in community psychology, where community members are often involved in the research process by sharing their unique knowledge and experience with the research team and working as co-researchers.

## **Collaboration and community strengths**

Collaboration with community members to construct research and action projects makes community psychology an exceptionally applied field. By allowing communities to use their knowledge to contribute to projects in a collaborative, fair and equal manner, the process of research can itself be empowering to citizens. This requires an ongoing relationship between the researcher and the community from before the research begins to after the research is over.<sup>[2]</sup>

## **Psychological sense of community**

Psychological sense of community (or simply "sense of community"), was introduced in 1974 by Seymour Sarason. In 1986 a major step was taken by David McMillan and David Chavis with the publication of their "Theory of Sense of Community" and in 1990 the "Sense of Community Index". Originally designed primarily in reference to neighborhoods, the Sense of Community Index (SCI) can be adapted to study other communities as well, including the workplace, schools, religious communities, communities of interest, etc.

## **Empirical grounding**

Community psychology grounds all advocacy and social justice action in empiricism. This empirical grounding is what separates community psychology from a social movement or grassroots organization. Methods from psychology have been adapted for use in the field that acknowledge value-driven, subjective research involving community members. The methods used in community psychology are therefore tailored to each individual research question. Quantitative as well as qualitative methods and other innovative methods are embraced. The American Psychological Association has sponsored two major conferences on community research methods and has recently published an edited book on this topic.

## **Education**

Many programs related to community psychology are housed in psychology departments, while others are interdisciplinary. Students earning a community psychology degree complete courses that focus on: history and concepts of the field, human diversity and cultural competence, public health, community research methods and statistics, collaborative work in communities, organizational and community development and consultation, prevention and intervention, program evaluation, and grantwriting. Research is a large component of both the PhD and masters degrees, as community psychologists base interventions on theory and research and use action-oriented research to promote positive change. Further, students will generally find niches under faculty mentors at their institutions related to local programs, organizations, grants, special populations, or social issues of interest—granting students the chance to have practice doing the work of a community psychologist, under the supervision of a faculty member.

## **Development economics**

**Development economics** is a branch of economics which deals with economic aspects of the development process in low-income countries. Its focus is not only on methods of promoting economic development, economic growth and structural change but also on improving the potential for the mass of the population, for example, through health and education and workplace conditions, whether through public or private channels.

Development economics involves the creation of theories and methods that aid in the determination of policies and practices and can be implemented at either the domestic or international level. This may involve restructuring market incentives or using mathematical methods like inter-temporal optimization for project analysis, or it may involve a mixture of quantitative and qualitative methods.

Unlike in many other fields of economics, approaches in development economics may incorporate social and political factors to devise particular plans. Also unlike many other fields of economics, there is "no consensus" on what students should know. Different approaches may consider the factors that contribute to economic convergence or non-convergence across households, regions, and countries.

## **Information management and Technology**

**Information and communications technology (ICT)** is often used as an extended synonym for information technology (IT), but is a more specific term that stresses the role of unified communications and the integration of telecommunications (telephone lines and wireless signals), computers as well as necessary enterprise software, middleware, storage, and audio-visual systems, which enable users to access, store, transmit, and manipulate information.

The phrase *ICT* had been used by academic researchers since the 1980s, but it became popular after it was used in a report to the UK government by Dennis Stevenson in 1997 and in the revised National Curriculum for England, Wales and Northern Ireland in 2000. As of September 2013, the term "ICT" in the UK National Curriculum has been replaced by the broader term "computing".

The term *ICT* is now also used to refer to the convergence of audio-visual and telephone networks with computer networks through a single cabling or link system. There are large economic incentives (huge cost savings due to elimination of the telephone network) to merge the audio-visual, building management and telephone network with the computer network system using a single unified system of cabling, signal distribution and management.

The term Infocommunications is sometimes used interchangeably with ICT. In fact Infocommunications is the expansion of telecommunications with information processing and content handling functions on a common digital technology base. For a comparison of these and other terms,

The ICT Development Index compares the level of ICT use and access across the world.

## **Disaster preparedness and Management**

Emergency management (or disaster management) is the discipline of dealing with and avoiding risks. It is a discipline that involves preparing for disaster before it occurs, disaster response (e.g., emergency evacuation, quarantine, mass decontamination, etc.), and supporting, and rebuilding society after natural or human-made disasters have occurred. In general, any Emergency management is the continuous process by which all individuals, groups, and communities manage hazards in an effort to avoid or ameliorate the impact of disasters resulting from the hazards. Actions taken depend in part on perceptions of risk of those exposed. Effective emergency management relies on thorough integration of emergency plans at all levels of government and non-government involvement. Activities at each level (individual, group, community) affect the other levels. It is common to place the responsibility for governmental emergency management with the institutions for civil defense or within the conventional structure of the emergency services. However, emergency management actually starts at the lowest level and only increases to the next higher organizational level after the current levels resources have been

exhausted. In the private sector, emergency management is sometimes referred to as business continuity planning.

Emergency Management is one of a number of terms which, since the end of the Cold War, have largely replaced Civil defense, whose original focus was protecting civilians from military attack. Modern thinking focuses on a more general intent to protect the civilian population in times of peace as well as in times of war. Another current term, Civil Protection is widely used within the European Union and refers to government-approved systems and resources whose task is to protect the civilian population, primarily in the event of natural and human-made disasters. Within EU countries the term Crisis Management emphasises the political and security dimension rather than measures to satisfy the immediate needs of the civilian population.[citation needed] An academic trend is towards using the term disaster risk reduction, particularly for emergency management in a development management context. This focuses on the mitigation and preparedness aspects of the emergency cycle.

### **Definition of disaster**

A disaster is the tragedy of a natural or human-made hazard (a hazard is a situation which poses a level of threat to life, health, property, or environment) that negatively affects society or environment. In contemporary academia, disasters are seen as the consequence of inappropriately managed risk. These risks are the product of hazards and vulnerability. Hazards that strike in areas with low vulnerability are not considered a disaster, as is the case in uninhabited regions.

Developing countries suffer the greatest costs when a disaster hits – more than 95 percent of all deaths caused by disasters occur in developing countries, and losses due to natural disasters are 20 times greater (as a percentage of GDP) in developing countries than in industrialized countries. A disaster can be defined as any tragic event with great loss stemming from events such as earthquakes, floods, catastrophic accidents, fires, or explosions.

### **Etymology**

The word derives from Middle French *désastre* and that from Old Italian *disastro*, which in turn comes from the Greek pejorative prefix *δυσ-*, (*dus-*) "bar + *ἀστήρ* (*aster*), "star". The root of the word disaster ("bad star" in Greek) comes from an astrological theme in which the ancients used to refer to the destruction or deconstruction of a star as a disaster.

### **Classification of disasters**

For more than a century researchers have been studying disasters and for more than forty years disaster research has been institutionalized through the Disaster Research Center. The studies reflect a common opinion when they argue that all disasters can be seen as being human-made, their reasoning being that human actions before the strike of the hazard can prevent it developing into a disaster. All disasters are hence the result of human failure to introduce appropriate disaster management measures. Hazards are routinely divided into natural or human-made,



although complex disasters, where there is no single root cause, are more common in developing countries. A specific disaster may spawn a secondary disaster that increases the impact. A classic example is an earthquake that causes a tsunami, resulting in coastal flooding.

### **Natural disaster**

A natural disaster is a consequence when a natural hazard (e.g., volcanic eruption or earthquake) affects humans and/or the built environment. Human vulnerability, caused by the lack of appropriate emergency management, leads to financial, environmental, or human impact. The resulting loss depends on the capacity of the population to support or resist the disaster: their resilience. This understanding is concentrated in the formulation: "disasters occur when hazards meet vulnerability". A natural hazard will hence never result in a natural disaster in areas without vulnerability, e.g., strong earthquakes in uninhabited areas.

### **Man-made disaster**

Disasters caused by human action, negligence, error, or involving the failure of a system are called man-made disasters. Man-made disasters are in turn categorized as technological or sociological. Technological disasters are the results of failure of technology, such as engineering failures, transport disasters, or environmental disasters. Sociological disasters have a strong human motive, such as criminal acts, stampedes, riots and war. Man-made earthquakes are well documented even though less known by the general public. The latest one is the December 9, 2006 Basel, Switzerland earthquake triggered by a quest for geothermal energy.

### **Disaster management**

With the tropical climate and unstable landforms, coupled with high population density, poverty, illiteracy and lack of adequate infrastructure, India is one of the most vulnerable developing countries to suffer very often from various natural disasters, namely drought, flood, cyclone, earth quake, landslide, forest fire, hail storm, locust, volcanic eruption, etc. Which strike causing a devastating impact on human life, economy and environment. Though it is almost impossible to fully recoup the damage caused by the disasters, it is possible to (i) minimize the potential risks by developing early warning strategies (ii) prepare and implement developmental plans to provide resilience to such disasters (iii) mobilize resources including communication and telemedicinal services, and (iv) to help in rehabilitation and post-disaster reconstruction. Space technology plays a crucial role in efficient mitigation of disasters. While communication satellites help in disaster warning, relief mobilization and tele-medicinal support, earth observation satellites provide required database for pre-disaster preparedness programmes, disaster response, monitoring activities and post-disaster damage assessment, and reconstruction, and rehabilitation. The article describes the role of space technology in evolving a suitable strategy for disaster preparedness and operational framework for their monitoring, assessment and mitigation, identifies gap areas and recommends appropriate strategies for disaster mitigation vis-à-vis likely developments in space and ground segments.

Various disasters like earthquake, landslides, volcanic eruptions, flood and cyclones are natural hazards that kill thousands of people and destroy billions of dollars of habitat and property each year. The rapid growth of the world's population and its increased concentration often in hazardous environment [citation needed] has escalated both the frequency and severity of natural disasters. With the tropical climate and unstable land forms, coupled with deforestation, unplanned growth proliferation non-engineered constructions which make the disaster-prone areas mere vulnerable, tardy communication, poor or no budgetary allocation for disaster prevention, developing countries suffer more or less chronically by natural disasters. [citation needed] Asia tops the list of casualties due to natural disaster.

Among various natural hazards, earthquakes, landslides, floods and cyclones are the major disasters adversely affecting very large areas and population in the Indian sub-continent. These natural disasters are of (i) geophysical origin such as earthquakes, volcanic eruptions, land slides and (ii) climatic origin such as drought, flood, cyclone, locust, forest fire. Though it may not be possible to control nature and to stop the development of natural phenomena but the efforts could be made to avoid disasters and alleviate their effects on human lives, infrastructure and property. Rising frequency, amplitude and number of natural disasters and attendant problem coupled with loss of human lives prompted the General Assembly of the United Nations to proclaim 1990s as the International Decade for Natural Disaster Reduction (IDNDR) through a resolution 44/236 of December 22, 1989 to focus on all issues related to natural disaster reduction. In spite of IDNDR, there had been a string of major disaster throughout the decade. Nevertheless, by establishing the rich disaster management related traditions and by spreading public awareness the IDNDR provided required stimulus for disaster reduction. It is almost impossible to prevent the occurrence of natural disasters and their damages.

However, it is possible to reduce the impact of disasters by adopting suitable disaster mitigation strategies. The disaster mitigation works mainly address the following:

- Minimize the potential risks by developing disaster early warning strategies
- Prepare and implement developmental plans to provide resilience to such disasters,
- Mobilize resources including communication and tele-medicinal services
- To help in rehabilitation and post-disaster reduction.

Disaster management on the other hand involves

- Pre-disaster planning, preparedness, monitoring including relief management capability
- Prediction and early warning
- Damage assessment and relief management.

Disaster reduction is a systematic work which involves with different regions, different professions and different scientific fields, and has become an important measure for human, society and nature sustainable development.

### **Emergency management and Business continuity planning**

The local communities at the time of disaster or before the disaster make groups for helping the people from suffering during the disaster. These groups include, First Aid group, Health group, Food and Welfare group etc. They all are well trained by some

local community members. All the groups are sent for helping any other local community that is suffering from a disaster. They also migrate the people from the area affected from disaster to some other safe regions. They are given shelter and every possible facilities by those local management communities. Today, Government is also making effort to provide good facilities during the disaster. In India, in the rural areas, the community(group of families) are choosing a leader and developing their Disaster management skills to protect themselves and other local communities as well.

### **Disaster Mitigation**

Mitigation efforts attempt to prevent hazards from developing into disasters altogether, or to reduce the effects of disasters when they occur. The mitigation phase differs from the other phases because it focuses on long-term measures for reducing or eliminating risk. The implementation of mitigation strategies can be considered a part of the recovery process if applied after a disaster occurs. Mitigative measures can be structural or non-structural. Structural measures use technological solutions, like flood levees. Non-structural measures include legislation, land-use planning (e.g. the designation of nonessential land like parks to be used as flood zones), and insurance. Mitigation is the most cost-efficient method for reducing the impact of hazards, however it is not always suitable. Mitigation does include providing regulations regarding evacuation, sanctions against those who refuse to obey the regulations (such as mandatory evacuations), and communication of potential risks to the public. Some structural mitigation measures may have adverse effects on the ecosystem.

A precursor activity to the mitigation is the identification of risks. Physical risk assessment refers to the process of identifying and evaluating hazards. The hazard-specific risk ( $R_h$ ) combines both the probability and the level of impact of a specific hazard. The equation below states that the hazard multiplied by the populations' vulnerability to that hazard produces a risk. Catastrophe modeling. The higher the risk, the more urgent that the hazard specific vulnerabilities are targeted by mitigation and preparedness efforts. However, if there is no vulnerability there will be no risk, e.g. an earthquake occurring in a desert where nobody lives.

### **Disaster Preparedness**

Preparedness is a continuous cycle of planning, organizing, training, equipping, exercising, evaluation and improvement activities to ensure effective coordination and the enhancement of capabilities to prevent, protect against, respond to, recover from, and mitigate against natural disasters, acts of terrorism, and other man-made disasters.

In the preparedness phase, emergency managers develop plans of action to manage and counter their risks and take action to build the necessary capabilities needed to implement such plans. Common preparedness measures include:

Communication plans with easily understandable terminology and methods.

Proper maintenance and training of emergency services, including mass human resources such as community emergency response teams.

Development and exercise of emergency population warning methods combined with emergency shelters and evacuation plans.

Stockpiling, inventory, and maintain disaster supplies and equipment. develop organizations of trained volunteers among civilian populations. (Professional emergency workers are rapidly overwhelmed in mass emergencies so trained, organized, responsible volunteers are extremely valuable. Organizations like Community Emergency Response Teams and the Red Cross are ready sources of trained volunteers. The latter's emergency management system has gotten high ratings from both California, and the Federal Emergency Management Agency (FEMA).)

Another aspect of preparedness is casualty prediction, the study of how many deaths or injuries to expect for a given kind of event. This gives planners an idea of what resources need to be in place to respond to a particular kind of event.

Emergency Managers in the planning phase should be flexible, and all encompassing - carefully recognizing the risks and exposures of their respective regions and employing unconventional, and atypical means of support. Depending on the region - municipal, or private sector emergency services can rapidly be depleted and heavily taxed. Non-governmental organizations that offer desired resources, i.e., transportation of displaced homeowners to be conducted by local school district buses, evacuation of flood victims to be performed by mutual aide agreements between fire departments and rescue squads, should be identified early in planning stages, and practiced with regularity.

## **Disaster Response**

The response phase includes the mobilization of the necessary emergency services and first responders in the disaster area. This is likely to include a first wave of core emergency services, such as firefighters, police and ambulance crews. When conducted as a military operation, it is termed Disaster Relief Operation (DRO) and can be a follow-up to a Non-combatant evacuation operation (NEO). They may be supported by a number of secondary emergency services, such as specialist rescue teams.

A well rehearsed emergency plan developed as part of the preparedness phase enables efficient coordination of rescue. Where required, search and rescue efforts commence at an early stage. Depending on injuries sustained by the victim, outside temperature, and victim access to air and water, the vast majority of those affected by a disaster will die within 72 hours after impact.

Organizational response to any significant disaster - natural or terrorist-borne - is based on existing emergency management organizational systems and processes: the Federal Response Plan (FRP) and the Incident Command System (ICS). These systems are solidified through the principles of Unified Command (UC) and Mutual Aid (MA)

## **Disaster Recovery**

The aim of the recovery phase is to restore the affected area to its previous state. It differs from the response phase in its focus; recovery efforts are concerned with issues and decisions that must be made after immediate needs are addressed. Recovery efforts are primarily concerned with actions that involve rebuilding destroyed property, re-employment, and the repair of other essential infrastructure. Efforts should be made to "build back better", aiming to reduce the pre-disaster risks inherent in the community and infrastructure. An important aspect of effective recovery efforts is taking advantage of a 'window of opportunity' for the implementation of mitigative measures that might otherwise be unpopular. Citizens of the affected area are more likely to accept more mitigative changes when a recent disaster is in fresh memory.

In the United States, the National Response Plan dictates how the resources provided by the Homeland Security Act of 2002 will be used in recovery efforts. It is the Federal government that often provides the most technical and financial assistance for recovery efforts in the United States.

# Disaster Preparedness and Management

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## Introduction to disaster management

Emergency management (or disaster management) is the discipline of dealing with and avoiding risks. It is a discipline that involves preparing for disaster before it occurs, disaster response (e.g., emergency evacuation, quarantine, mass decontamination, etc.), and supporting, and rebuilding society after natural or human-made disasters have occurred. In general, any Emergency management is the continuous

process by which all individuals, groups, and communities manage hazards in an effort to avoid or ameliorate the impact of disasters resulting from the hazards. Actions taken depend in part on perceptions of risk of those exposed. Effective emergency management relies on thorough integration of emergency plans at all levels of government and non-government involvement. Activities at each level (individual, group, community) affect the other levels. It is common to place the responsibility for governmental emergency management with the institutions for civil defense or within the conventional structure of the emergency services. However, emergency management actually starts at the lowest level and only increases to the next higher organizational level after the current levels resources have been exhausted. In the private sector, emergency management is sometimes referred to as business continuity planning.

Emergency Management is one of a number of terms which, since the end of the Cold War, have largely replaced Civil defense, whose original focus was protecting civilians from military attack. Modern thinking focuses on a more general intent to protect the civilian population in times of peace as well as in times of war. Another current term, Civil Protection is widely used within the European Union and refers to government-approved systems and resources whose task is to protect the civilian population, primarily in the event of natural and human-made disasters. Within EU countries the term Crisis Management emphasises the political and security dimension rather than measures to satisfy the immediate needs of the civilian population.[citation needed] An academic trend is towards using the term disaster risk reduction, particularly for emergency management in a development management context. This focuses on the mitigation and preparedness aspects of the emergency cycle.

### **Definition of disaster**

A disaster is the tragedy of a natural or human-made hazard (a hazard is a situation which poses a level of threat to life, health, property, or environment) that negatively affects society or environment. In contemporary academia, disasters are seen as the consequence of inappropriately managed risk. These risks are the product of hazards and vulnerability. Hazards that strike in areas with low vulnerability are not considered a disaster, as is the case in uninhabited regions.

Developing countries suffer the greatest costs when a disaster hits – more than 95 percent of all deaths caused by disasters occur in developing countries, and losses due to natural disasters are 20 times greater (as a percentage of GDP) in developing countries than in industrialized countries. A disaster can be defined as any tragic event with great loss stemming from events such as earthquakes, floods, catastrophic accidents, fires, or explosions.

### **Etymology**

The word derives from Middle French *désastre* and that from Old Italian *disastro*, which in turn comes from the Greek pejorative prefix *δυσ-*, (*dus-*) "bar + *ἀστήρ* (*aster*), "star". The root of the word disaster ("bad star" in Greek) comes from an astrological theme in which the ancients used to refer to the destruction or deconstruction of a star as a disaster.

### **Classification of disasters**

For more than a century researchers have been studying disasters and for more than forty years disaster research has been institutionalized through the Disaster Research Center. The studies reflect a common opinion when they argue that all disasters can be seen as being human-made, their reasoning being that human actions before the strike of the hazard can prevent it developing into a disaster. All disasters are hence the result of human failure to introduce appropriate disaster management measures. Hazards are routinely divided into natural or human-made, although complex disasters, where there is no single root

cause, are more common in developing countries. A specific disaster may spawn a secondary disaster that increases the impact. A classic example is an earthquake that causes a tsunami, resulting in coastal flooding.

### **Natural disaster**

A natural disaster is a consequence when a natural hazard (e.g., volcanic eruption or earthquake) affects humans and/or the built environment. Human vulnerability, caused by the lack of appropriate emergency management, leads to financial, environmental, or human impact. The resulting loss depends on the capacity of the population to support or resist the disaster: their resilience. This understanding is concentrated in the formulation: "disasters occur when hazards meet vulnerability". A natural hazard will hence never result in a natural disaster in areas without vulnerability, e.g., strong earthquakes in uninhabited areas.

### **Man-made disaster**

Disasters caused by human action, negligence, error, or involving the failure of a system are called man-made disasters. Man-made disasters are in turn categorized as technological or sociological. Technological disasters are the results of failure of technology, such as engineering failures, transport disasters, or environmental disasters. Sociological disasters have a strong human motive, such as criminal acts, stampedes, riots and war. Man-made earthquakes are well documented even though less known by the general public. The latest one is the December 9, 2006 Basel, Switzerland earthquake triggered by a quest for geothermal energy.

### **Disaster management**

With the tropical climate and unstable landforms, coupled with high population density, poverty, illiteracy and lack of adequate infrastructure, India is one of the most vulnerable developing countries to suffer very often from various natural disasters, namely drought, flood, cyclone, earth quake, landslide, forest fire, hail storm, locust, volcanic eruption, etc. Which strike causing a devastating impact on human life, economy and environment. Though it is almost impossible to fully recoup the damage caused by the disasters, it is possible to (i) minimize the potential risks by developing early warning strategies (ii) prepare and implement developmental plans to provide resilience to such disasters (iii) mobilize resources including communication and telemedicinal services, and (iv) to help in rehabilitation and post-disaster reconstruction. Space technology plays a crucial role in efficient mitigation of disasters. While communication satellites help in disaster warning, relief mobilization and tele-medicinal support, earth observation satellites provide required database for pre-disaster preparedness programmes, disaster response, monitoring activities and post-disaster damage assessment, and reconstruction, and rehabilitation. The article describes the role of space technology in evolving a suitable strategy for disaster preparedness and operational framework for their monitoring, assessment and mitigation, identifies gap areas and recommends appropriate strategies for disaster mitigation vis-à-vis likely developments in space and ground segments.

Various disasters like earthquake, landslides, volcanic eruptions, flood and cyclones are natural hazards that kill thousands of people and destroy billions of dollars of habitat and property each year. The rapid growth of the world's population and its increased concentration often in hazardous environment[citation needed] has escalated both the frequency and severity of natural disasters. With the tropical climate and unstable land forms, coupled with deforestation, unplanned growth proliferation non-engineered constructions which make the disaster-prone areas mere vulnerable, tardy communication, poor or no budgetary allocation for disaster prevention, developing countries suffer



more or less chronically by natural disasters.[citation needed] Asia tops the list of casualties due to natural disaster.

Among various natural hazards, earthquakes, landslides, floods and cyclones are the major disasters adversely affecting very large areas and population in the Indian sub-continent. These natural disasters are of (i) geophysical origin such as earthquakes, volcanic eruptions, land slides and (ii) climatic origin such as drought, flood, cyclone, locust, forest fire. Though it may not be possible to control nature and to stop the development of natural phenomena but the efforts could be made to avoid disasters and alleviate their effects on human lives, infrastructure and property. Rising frequency, amplitude and number of natural disasters and attendant problem coupled with loss of human lives prompted the General Assembly of the United Nations to proclaim 1990s as the International Decade for Natural Disaster Reduction (IDNDR) through a resolution 44/236 of December 22, 1989 to focus on all issues related to natural disaster reduction. In spite of IDNDR, there had been a string of major disaster throughout the decade. Nevertheless, by establishing the rich disaster management related traditions and by spreading public awareness the IDNDR provided required stimulus for disaster reduction. It is almost impossible to prevent the occurrence of natural disasters and their damages.

However, it is possible to reduce the impact of disasters by adopting suitable disaster mitigation strategies. The disaster mitigation works mainly address the following:

Minimize the potential risks by developing disaster early warning strategies

Prepare and implement developmental plans to provide resilience to such disasters,

Mobilize resources including communication and tele-medicinal services

To help in rehabilitation and post-disaster reduction.

Disaster management on the other hand involves

Pre-disaster planning, preparedness, monitoring including relief management capability

Prediction and early warning

Damage assessment and relief management.

Disaster reduction is a systematic work which involves with different regions, different professions and different scientific fields, and has become an important measure for human, society and nature sustainable development.

### **Emergency management and Business continuity planning**

The local communities at the time of disaster or before the disaster make groups for helping the people from suffering during the disaster. These groups include, First Aid group, Health group, Food and Welfare group etc. They all are well trained by some local community members. All the groups are sent for helping any other local community that is suffering from a disaster. They also migrate the people from the area affected from disaster to some other safe regions. They are given shelter and every possible facilities by those local management communities. Today, Government is also making effort to provide good facilities during the disaster. In India, in the rural areas, the community(group of families) are choosing a leader and developing their Disaster management skills to protect themselves and other local communities as well.

### **The Natural Disasters**

A natural disaster is the effect of a natural hazard (e.g. flood, tornado, volcano eruption, earthquake, or landslide) that affects the environment, and leads to financial, environmental and/or human losses. The resulting loss depends on the capacity of the population to support or resist the disaster, and their

resilience. This understanding is concentrated in the formulation: "disasters occur when hazards meet vulnerability." A natural hazard will hence never result in a natural disaster in areas without vulnerability, e.g. strong earthquakes in uninhabited areas. The term natural has consequently been disputed because the events simply are not hazards or disasters without human involvement.

### **Land movement disasters / Avalanches**

Avalanche on the backside (East) of Mt. Timpanogos, Utah at Aspen Grove trail

Notable avalanches include:

The 1910 Wellington avalanche

The 1954 Blons avalanches

The 1970 Ancash earthquake

The 1999 Galtür Avalanche

The 2002 Kolka-Karmadon rock ice slide

The 2008 Wenchuan earthquake

The 2010 Haiti earthquake

The 2010 Chile earthquake

The 2010 Yushu earthquake

### **Earthquakes**

An Earthquake is a sudden shake of the Earth's crust. The vibrations may vary in magnitude. The underground point of origin of the earthquake is called the "focus". The point directly above the focus on the surface is called the "epicenter". Earthquakes by themselves rarely kill people or wildlife. It is usually the secondary events that they trigger, such as building collapse, fires, tsunamis (seismic sea waves) and volcanoes, that are actually the human disaster. Many of these could possibly be avoided by better construction, safety systems, early warning and evacuation planning.

Earthquakes are caused by the discharge of accumulated along geologic faults.

### **Lahars**

A lahar is a volcanic mudflow or landslide. The 1953 Tangiwai disaster was caused by a lahar, as was the 1985 Armero tragedy in which the town of Armero was buried and an estimated 23,000 people were killed

### **Volcanic eruptions**

An Eruption may in itself be a disaster due to the explosion of the volcano or the fall of rock but there are several effects that may happen after an eruption that are also hazardous to human life.

Lava may be produced during the eruption of a volcano a material consisting of superheated rock. There are several different forms which may be either crumbly or gluey. Leaving the volcano this destroys any buildings and plants it encounters.

Volcanic ash - generally meaning the cooled ash - may form a cloud, and settle thickly in nearby locations. When mixed with water this forms a concrete like material. In sufficient quantity ash may cause roofs to collapse under its weight but even small quantities will cause ill health if inhaled. Since the ash has the consistency of ground glass it causes abrasion damage to moving parts such as engines.

**Supervolcanoes** : According to the Toba catastrophe theory 70 to 75 thousand years ago a super volcanic event at Lake Toba reduced the human population to 10,000 or even 1,000 breeding pairs creating a bottleneck in human evolution. It also killed three quarters of all plant life in the northern hemisphere. The main danger from a supervolcano is the immense cloud of ash which has a disastrous global effect on climate and temperature for many years.

Pyroclastic flows consist of a cloud of hot volcanic ash which builds up in the air above under its own weight and streams very rapidly from the mountain burning anything in its path. It is believed that Pompeii was destroyed by a pyroclastic flow.

### **Water disasters / Floods**

The Limpopo River, in southern Mozambique, during the 2000 Mozambique flood

Some of the most notable floods include:

The Huang He (Yellow River) in China floods particularly often. The Great Flood of 1931 caused between 800,000 and 4,000,000 deaths.

The Great Flood of 1993 was one of the most costly floods in United States history.

The 1998 Yangtze River Floods, also in China, left 14 million people homeless.

The 2000 Mozambique flood covered much of the country for three weeks, resulting in thousands of deaths, and leaving the country devastated for years afterward.

Tropical cyclones can result in extensive flooding and storm surge, as happened with:

Bhola Cyclone, striking East Pakistan (now Bangladesh) in 1970,

Typhoon Nina, striking China in 1975,

Tropical Storm Allison, which struck Houston, Texas in 2001 and

Hurricane Katrina, which left most of New Orleans under water in 2005. Much of the flooding was due to the failure of the city's levee system.

### **Limnic eruptions**

A cow suffocated by gases from Lake Nyos after a limnic eruption

A limnic eruption occurs when CO<sub>2</sub> suddenly erupts from deep lake water, posing the threat of suffocating wildlife, livestock and humans. Such an eruption may also cause tsunamis in the lake as the rising CO<sub>2</sub> displaces water. Scientists believe landslides, volcanic activity, or explosions can trigger such an eruption. Till date, only two limnic eruptions have been observed and recorded:

In 1984, in Cameroon, a limnic eruption in Lake Monoun caused the deaths of 37 nearby residents

At nearby Lake Nyos in 1986 a much larger eruption killed between 1,700 and 1,800 people by asphyxiation.

### **Tsunami**

The tsunami caused by the December 26, 2004 earthquake strikes Ao Nang, Thailand.

Tsunamis can be caused by undersea earthquakes as the one caused in Ao Nang, Thailand by the 2004 Indian Ocean Earthquake, or by landslides such as the one which occurred at Lituya Bay, Alaska.

Ao Nang, Thailand (2004). The 2004 Indian Ocean Earthquake created the Boxing Day Tsunami and disaster at this site.

Lituya Bay, Alaska (1953). A mega-tsunami occurred here, the largest ever recorded.

(This also fits within the "Land movement disaster" category because it started with an earthquake.)

### **Weather disasters / Blizzards**

Significant blizzards in the United States include:

The Great Blizzard of 1888

The Schoolhouse Blizzard earlier the same year

The Armistice Day Blizzard in 1940

The Storm of the Century in 1993

### **Cyclonic storms**

Tropical cyclone and cyclone

Cyclone, tropical cyclone, hurricane, and typhoon are different names for the same phenomenon a cyclonic storm system that forms over the oceans. The deadliest hurricane ever was the 1970 Bhola

cyclone the deadliest Atlantic hurricane was the Great Hurricane of 1780 which devastated Martinique St. Eustatius and Barbados. Another notable hurricane is Hurricane Katrina which devastated the Gulf Coast of the United States in 2005.

### **Droughts**

Well-known historical droughts include:

1900 India killing between 250,000 and 3.25 million.

1921-22 Soviet Union in which over 5 million perished from starvation due to drought

1928-30 northwest China resulting in over 3 million deaths by famine.

1936 and 1941 Sichuan Province China resulting in 5 million and 2.5 million deaths respectively.

As of 2006, states of Australia including Western Australia, New South Wales, Victoria and Queensland had been under drought conditions for five to ten years. The drought is beginning to affect urban area populations for the first time.

In 2006 Sichuan Province China experienced its worst drought in modern times with nearly 8 million people and over 7 million cattle facing water shortages.

### **Hailstorms**

Hailstorms (AKA hailstones) are rain drops that have formed together into ice. A particularly damaging hailstorm hit Munich, Germany on August 31, 1986, felling thousands of trees and causing millions of dollars in insurance claims.

### **Heat waves**

The worst heat wave in recent history was the European Heat Wave of 2003.

### **Hurricane Katrina**

A summer heat wave in Victoria, Australia caused the massive bushfires in 2009. Melbourne experienced 3 days in a row of temperatures exceeding 40°C.

## **Different Types of Tornadoes**

### **Supercell Tornadoes**

Some of the most violent tornadoes develop from supercell thunderstorms. A supercell thunderstorm is a long-lived thunderstorm possessing within its structure a continuously rotating updraft of air. These storms have the greatest tendency to produce tornadoes, some of the huge wedge shape. The supercell thunderstorm has a low-hanging, rotating layer of cloud known as a "wall cloud." It looks somewhat like a layer of a layer cake that hangs below the broader cloud base. One side of the wall cloud is often rain-free, while the other is neighbored by dense shafts of rain. The rotating updraft of the supercell is seen on radar as a "mesocyclone."

The tornadoes that accompany supercell thunderstorms are more likely to remain in contact with the ground for long periods of time—an hour or more—than other tornadoes, and are more likely to be violent, with winds exceeding-200 mph.

### **Landspout**

Generally weaker than a supercell tornado, a landspout is not associated with a wall cloud or mesocyclone. It may be observed beneath cumulonimbus or towering cumulus clouds and is the land equivalent of a waterspout. It often forms along the leading edge of rain-cooled downdraft air emanating from a thunderstorm, known as a "gust front."

## **Gustnado**

Weak and usually short-lived, a gustnado forms along the gust front of a thunderstorm, appearing as a temporary dust whirl or debris cloud. There may be no apparent connection to or circulation in the cloud aloft. These appear like dust devils.

## **Waterspout**

A waterspout is a tornado over water. A few form from supercell thunderstorms, but many form from weak thunderstorms or rapidly growing cumulus clouds. Waterspouts are usually less intense and causes far less damage. Rarely more than fifty yards wide, it forms over warm tropical ocean waters, although its funnel is made of freshwater droplets condensed from water vapor from condensation - not saltwater from the ocean. Waterspouts usually dissipate upon reaching land.

The following are tornado-like circulations

## **Dust Devils**

Dry, hot, clear days on the desert or over dry land can bring about dust devils. Generally forming in the hot sun during the late morning or early afternoon hours, these mostly harmless whirlwinds are triggered by light desert breezes that create a swirling plume of dust with speeds rarely over 70 mph. These differ from tornadoes in that they are not associated with a thunderstorm (or any cloud), and are usually weaker than the weakest

## **Tornado.**

Typically, the life cycle of a dust devil is a few minutes or less, although they can last much longer. Although usually harmless, they have been known to cause minor damage. They can blow vehicles off the road and could damage your eyes by blowing dust into them.

## **Firewhirls**

Sometimes the intense heat created by a major forest fire or volcanic eruption can create what is known as a firewhirl, a tornado-like rotating column of smoke and/or fire. This happens when the fire updraft concentrates some initial weak whirl or eddy in the wind. Winds associated with firewhirls have been estimated at over 100 mph. They are sometimes called fire tornadoes, fire devils, or even firenadoes.

## **Fire**

Wildfires are an uncontrolled fire burning in wildland areas. Common causes include lightning and drought but wildfires may also be started by human negligence or arson. They can be a threat to those in rural areas and also wildlife.

A notable case of wildfire was the 2009 Victorian bushfires in Australia.

## **Health and diseases**

### **Epidemic**

[http://en.wikipedia.org/wiki/File:Colorized\\_transmission\\_electron\\_micrograph\\_of\\_Avian\\_influenza\\_A\\_H5N1\\_viruses.jpg](http://en.wikipedia.org/wiki/File:Colorized_transmission_electron_micrograph_of_Avian_influenza_A_H5N1_viruses.jpg)The A H5N1 virus, which causes Avian influenza

An epidemic is an outbreak of a contractible disease that spreads at a rapid rate through a human population. A pandemic is an epidemic whose spread is global. There have been many epidemics throughout history, such as Black Death. In the last hundred years, significant pandemics include:

The 1918 Spanish flu pandemic, killing an estimated 50 million people worldwide

The 1957-58 Asian flu pandemic, which killed an estimated 1 million people

The 1968-69 Hong Kong flu pandemic

The 2002-3 SARS pandemic

The AIDS epidemic, beginning in 1959

The H1N1 Influenza (Swine Flu) Pandemic 2009-Present

Other diseases that spread more slowly, but are still considered to be global health emergencies by the WHO include:

XDR TB, a strain of tuberculosis that is extensively resistant to drug treatments

Malaria, which kills an estimated 1.6 million people each year

Ebola hemorrhagic fever, which has claimed hundreds of victims in Africa in several outbreaks

### **Famine**

In modern times, famine has hit Sub-Saharan Africa the hardest, although the number of victims of modern famines is much smaller than the number of people killed by the Asian famines of the 20th century.

### **Space**

Fallen trees caused by the Tunguska meteoroid of the Tunguska event in June, 1908.

Gamma ray bursts. Impact events One of the largest impact events in modern times was the Tunguska event in June, 1908.

### **Solar flares**

A solar flare is a phenomenon where the sun suddenly releases a great amount of solar radiation, much more than normal. Some known solar flares include:

An X20 event on August 16, 1989

A similar flare on April 2, 2001

The most powerful flare ever recorded, on November 4, 2003, estimated at between X40 and X45

The most powerful flare in the past 500 years is believed to have occurred in September 1859

### **Supernova and hypernova**

Future of natural disasters

The United Kingdom based charity Oxfam publicly stated that the number of people hit by climate-related disasters is expected to rise by about 50%, to reach 375 million a year by 2015.

### **Insurance**

Natural disasters play a major role in the insurance industry, which pays for certain damages arising from hurricanes, wildfires, and other catastrophes. Large reinsurance companies are particularly involved.

### **Disaster Risk Reduction (DRR)** <http://wikimediafoundation.org/>

Disaster Risk Reduction (DRR) is a term used for techniques that focus on preventing or minimizing the effects of disasters. For instance, certain areas of a city that are prone to flooding may have development restricted or building codes may be implemented that protect up to a specified level of shaking, to protect against earthquakes. The term has been adopted by the United Nations, which has developed an international strategy on promoting disaster risk reduction as it has been shown to be very cost effective.

Initiatives that are focused on disaster risk reduction will either seek to reduce the likelihood of a disaster occurring (flood protection works, known as dykes, levees and stopbanks) or enhance the community's ability to respond to an emergency (ensuring three days food and water). As a disaster is a product of a severe event and people, changing either will have an effect on any disasters that occur. Further examples of initiatives include increasing knowledge and creating legal and policy frameworks. Closely linked is the issue of post-disaster long term recovery. The International Recovery Platform functions as a knowledge hub to disseminate best practices and lessons from recovery efforts. The platform advocates to ensure the recovery process is utilized as an opportunity for "build back better",

to reduce risks inherent before the disaster. Disaster risk reduction is related to the following areas: humanitarian relief, development aid sectors, risk management, climate change, and emergency preparedness.

### **Definition**

The term "Disaster risk reduction" refers to a wide sector of work on disaster management including: mitigation [http://en.wikipedia.org/wiki/Disaster\\_Risk\\_Reduction](http://en.wikipedia.org/wiki/Disaster_Risk_Reduction) - cite\_note-3#cite\_note-3, prevention, risk reduction, preparedness, and vulnerabilities. The common definition of the UNISDR & UNDP for disaster risk reduction is:

“ The conceptual framework of elements considered with the possibilities to minimize vulnerabilities and disaster risks throughout a society, to avoid (prevention) or to limit (mitigation and preparedness) the adverse impacts of hazards, within the broad context of sustainable development. ”

### **Context**

Only 4% of the estimated \$10 billion in annual humanitarian assistance is devoted to prevention and yet every dollar spent on risk reduction saves between \$5 and \$10 in economic losses from disasters.

### **Major International Conferences & Workshops**

The World Conference on Disaster Reduction (WCDR) was held in Kobe, Japan in January 2005, only days after the 2004 Indian Ocean earthquake. The Conference was to take stock of progress in disaster risk reduction accomplished since the Yokohama Conference of 1994 and to make plans for the next ten years. The key outcome of this conference was the Hyogo Framework for Action.

The International Disaster Reduction Conference (IDRC) was held in Davos, Switzerland in August 2006.

The UNISDR Global Platform for Disaster Risk Reduction held its first session from 5-7 June 2007 in Geneva, Switzerland.

The International Recovery Forum 2010 was held at Kobe Japan on 16 January 2010

### **Major International Agreements & Funding Loci**

The key outcome of the WCDR was the Hyogo Framework for Action : building the resilience of nations and communities to disasters (HFA).

The UNISDR Global Facility for Disaster Reduction and Recovery (GFDRR) is a major initiative launched in September 2006 through a partnership between the World Bank and ISDR to support national, regional and global capacities in reducing disaster risk, particularly in low and middle-income countries. A progress report on GFDRR accomplishments to date in support of the implementation of Hyogo Framework for Action is now available [here](#).

### **Sector leaders**

Some of the leaders in the sector include:

UNISDR, formerly IDNDR - Salvano Briceño

ProVention Consortium - Margaret Arnold

The International Federation of Red Cross and Red Crescent Societies - Antony Spalton

USAID's Office of U.S. Foreign Disaster Assistance (OFDA) - David Hajjar

The Emergency Capacity Building (ECB) Project <http://www.ecbproject.org/>.  
UNDP - Joanne Burke (CADRI), Andrew Maskrey, Maxx Dilley, & Fenella Frost (BCPR)  
The World Bank - Saroj Kumar Jha, Global Facility for Disaster Reduction and Recovery (GFDRR)  
The BOND UK DRR Working Group  
Christian Aid - Sarah Moss <http://christianaid.org.uk/emergencies/prevention/index.aspx>  
The InterAction Risk Reduction Working Group - Susan Romanski Mercy Corps & Rebecca Schurer (American Red Cross)  
Tearfund - Marcus Oxley  
ActionAid - Roger Yates & Yasmin McDonnell  
Department for International Development (DFID), UK - Olivia Coghlan  
Global Risk Identification Program (GRIP) - Carlos Villacis

### **Space-based Information**

The use of space-based solutions and information to support risk and disaster management has increased significantly in recent years. The use of such technologies has been proven useful in the risk assessment, mitigation and preparedness phases of disaster management. As the global community learnt from the tsunami event of December 2004, space technologies have a central role to play in providing early warning to communities that are at risk and in supporting rescue efforts. The recent disasters in Myanmar (Cyclone Nargis) and China (Wenchen earthquake) have shown how the problem now is not accessing such information but coordinating the many opportunities and actually being able to take advantage of the information being provided.

In order for developing countries to be able to incorporate the use of space technology-based solutions and information there is a need to increase awareness, build national capacity and also develop solutions that are customised and appropriate to the needs of the developing world.

This is what the UN-SPIDER is helping achieve. In its resolution 61/110 of 14 December 2006 the United Nations General Assembly agreed to establish the "United Nations Platform for Space-based Information for Disaster Management and Emergency Response - UN-SPIDER" as a new United Nations programme, within the United Nations Office for Outer Space Affairs - UNOOSA, with the following mission statement: "Ensure that all countries and international and regional organizations have access to and develop the capacity to use all types of space-based information to support the full disaster management cycle". UN-SPIDER is being implemented as an open network of providers of space-based solutions to support disaster management activities. Besides Vienna (where UNOOSA is located), the programme also has an office in Bonn, Germany and will also have an office in Beijing, China and a Liaison Office in Geneva, Switzerland. Additionally, Algeria, the I.R. of Iran and Nigeria are setting up Regional Support Offices.

United Nations - International Strategy for Disaster Reduction  
United Nations - International Strategy for Disaster Reduction- Regional Unit for the Americas  
UN-SPIDER - United Nations Platform for Space-based Information for Disaster Management and Emergency Response  
Preventionweb - Building the resilience of nations and communities to disasters  
Education for hazards - What to do A guide for children and youth  
International Federation of Red Cross and Red Crescent Societies Disaster Management The ProVention Consortium - Red Cross and Red Crescent  
UNDP/CADRI  
UNDP/BCPR



UNDP DRR links

The World Bank, Hazards Management Unit

United Nations Platform for Space-based Information for Disaster Management and Emergency Response

Earthquakes and Megacities Initiative

International Recovery Platform

### **Phases and professional activities**

The nature of management depends on local economic and social conditions. Some disaster relief experts such as Fred Cuny have noted that in a sense the only real disasters are economic. Experts, such as Cuny, have long noted that the cycle of emergency management must include long-term work on infrastructure, public awareness, and even human justice issues. This is not important in developing nations. The process of emergency management involves four phases: mitigation, preparedness, response, and recovery.

[http://en.wikipedia.org/wiki/File:Em\\_cycle.png](http://en.wikipedia.org/wiki/File:Em_cycle.png)

### **Disaster Mitigation**

Mitigation efforts attempt to prevent hazards from developing into disasters altogether, or to reduce the effects of disasters when they occur. The mitigation phase differs from the other phases because it focuses on long-term measures for reducing or eliminating risk. The implementation of mitigation strategies can be considered a part of the recovery process if applied after a disaster occurs. Mitigative measures can be structural or non-structural. Structural measures use technological solutions, like flood levees. Non-structural measures include legislation, land-use planning (e.g. the designation of nonessential land like parks to be used as flood zones), and insurance. Mitigation is the most cost-efficient method for reducing the impact of hazards, however it is not always suitable. Mitigation does include providing regulations regarding evacuation, sanctions against those who refuse to obey the regulations (such as mandatory evacuations), and communication of potential risks to the public. Some structural mitigation measures may have adverse effects on the ecosystem.

A precursor activity to the mitigation is the identification of risks. Physical risk assessment refers to the process of identifying and evaluating hazards. The hazard-specific risk ( $R_h$ ) combines both the probability and the level of impact of a specific hazard. The equation below states that the hazard multiplied by the populations' vulnerability to that hazard produces a risk. Catastrophe modeling. The higher the risk, the more urgent that the hazard specific vulnerabilities are targeted by mitigation and preparedness efforts. However, if there is no vulnerability there will be no risk, e.g. an earthquake occurring in a desert where nobody lives.

### **Disaster Preparedness**

Preparedness is a continuous cycle of planning, organizing, training, equipping, exercising, evaluation and improvement activities to ensure effective coordination and the enhancement of capabilities to prevent, protect against, respond to, recover from, and mitigate against natural disasters, acts of terrorism, and other man-made disasters.

In the preparedness phase, emergency managers develop plans of action to manage and counter their risks and take action to build the necessary capabilities needed to implement such plans. Common preparedness measures include:

Communication plans with easily understandable terminology and methods.

Proper maintenance and training of emergency services, including mass human resources such as community emergency response teams.

Development and exercise of emergency population warning methods combined with emergency shelters and evacuation plans.

Stockpiling, inventory, and maintain disaster supplies and equipment. develop organizations of trained volunteers among civilian populations. (Professional emergency workers are rapidly overwhelmed in mass emergencies so trained, organized, responsible volunteers are extremely valuable. Organizations like Community Emergency Response Teams and the Red Cross are ready sources of trained volunteers. The latter's emergency management system has gotten high ratings from both California, and the Federal Emergency Management Agency (FEMA).)

Another aspect of preparedness is casualty prediction, the study of how many deaths or injuries to expect for a given kind of event. This gives planners an idea of what resources need to be in place to respond to a particular kind of event.

Emergency Managers in the planning phase should be flexible, and all encompassing - carefully recognizing the risks and exposures of their respective regions and employing unconventional, and atypical means of support. Depending on the region - municipal, or private sector emergency services can rapidly be depleted and heavily taxed. Non-governmental organizations that offer desired resources, i.e., transportation of displaced homeowners to be conducted by local school district buses, evacuation of flood victims to be performed by mutual aid agreements between fire departments and rescue squads, should be identified early in planning stages, and practiced with regularity.

### **Disaster Response**

The response phase includes the mobilization of the necessary emergency services and first responders in the disaster area. This is likely to include a first wave of core emergency services, such as firefighters, police and ambulance crews. When conducted as a military operation, it is termed Disaster Relief Operation (DRO) and can be a follow-up to a Non-combatant evacuation operation (NEO). They may be supported by a number of secondary emergency services, such as specialist rescue teams.

A well rehearsed emergency plan developed as part of the preparedness phase enables efficient coordination of rescue. Where required, search and rescue efforts commence at an early stage. Depending on injuries sustained by the victim, outside temperature, and victim access to air and water, the vast majority of those affected by a disaster will die within 72 hours after impact.

Organizational response to any significant disaster - natural or terrorist-borne - is based on existing emergency management organizational systems and processes: the Federal Response Plan (FRP) and the Incident Command System (ICS). These systems are solidified through the principles of Unified Command (UC) and Mutual Aid (MA)

### **Disaster Recovery**

The aim of the recovery phase is to restore the affected area to its previous state. It differs from the response phase in its focus; recovery efforts are concerned with issues and decisions that must be made after immediate needs are addressed. Recovery efforts are primarily concerned with actions that involve

rebuilding destroyed property, re-employment, and the repair of other essential infrastructure. Efforts should be made to "build back better", aiming to reduce the pre-disaster risks inherent in the community and infrastructure. An important aspect of effective recovery efforts is taking advantage of a 'window of opportunity' for the implementation of mitigative measures that might otherwise be unpopular. Citizens of the affected area are more likely to accept more mitigative changes when a recent disaster is in fresh memory.

In the United States, the National Response Plan dictates how the resources provided by the Homeland Security Act of 2002 will be used in recovery efforts. It is the Federal government that often provides the most technical and financial assistance for recovery efforts in the United States.

## **Phases and personal activities**

### **Mitigation**

Personal mitigation is mainly about knowing and avoiding unnecessary risks. This includes an assessment of possible risks to personal/family health and to personal property.

One example of mitigation would be to avoid buying property that is exposed to hazards, e.g., in a flood plain, in areas of subsidence or landslides. Home owners may not be aware of a property being exposed to a hazard until it strikes. However, specialists can be hired to conduct risk identification and assessment surveys. Purchase of insurance covering the most prominent identified risks is a common measure.

Personal structural mitigation in earthquake prone areas includes installation of an Earthquake Valve to instantly shut off the natural gas supply to a property, seismic retrofits of property and the securing of items inside a building to enhance household seismic safety. The latter may include the mounting of furniture, refrigerators, water heaters and breakables to the walls, and the addition of cabinet latches. In flood prone areas houses can be built on poles, as in much of southern Asia. In areas prone to prolonged electricity black-outs installation of a generator would be an example of an optimal structural mitigation measure. The construction of storm cellars and fallout shelters are further examples of personal mitigative actions.

Mitigation involves Structural and Non-structural measures taken to limit the impact of disasters.

## **Crisis management**

**Crisis management** is the process by which an organization deals with a major unpredictable event that threatens to harm the organization, its stakeholders, or the general public. Three elements are common to most definitions of crisis: (a) a threat to the organization, (b) the element of surprise, and (c) a short decision time. Venette argues that "crisis is a process of transformation where the old system can no longer be maintained." Therefore the fourth defining quality is the need for change. If change is not needed, the event could more accurately be described as a failure or incident.

In contrast to risk management, which involves assessing potential threats and finding the best ways to avoid those threats, crisis management involves dealing with threats after they have occurred. It is a discipline within the broader context of management consisting of skills and techniques required to identify, assess, understand, and cope with a serious situation, especially from the moment it first occurs to the point that recovery procedures start.

## **Introduction**

Crisis management consists of:

- Methods used to respond to both the reality and perception of crises.
- Establishing metrics to define what scenarios constitute a crisis and should consequently trigger the necessary response mechanisms.
- Communication that occurs within the response phase of emergency management scenarios.

Crisis management methods of a business or an organization are called **Crisis Management Plan**.

Crisis management is occasionally referred to as incident management, although several industry specialists such as Peter Power argue that the term crisis management is more accurate.

The credibility and reputation of organizations is heavily influenced by the perception of their responses during crisis situations. The organization and communication involved in responding to a crisis in a timely fashion makes for a challenge in businesses. There must be open and consistent communication throughout the hierarchy to contribute to a successful crisis communication process.

The related terms emergency management and business continuity management focus respectively on the prompt but short lived "first aid" type of response (e.g. putting the fire out) and the longer term recovery and restoration phases (e.g. moving operations to another site). Crisis is also a facet of risk management, although it is probably untrue to say that Crisis Management represents a failure of Risk Management since it will never be possible to totally mitigate the chances of catastrophes occurring.

### **Types of crisis**

During the crisis management process, it is important to identify types of crises in that different crises necessitate the use of different crisis management strategies. Potential crises are enormous, but crises can be clustered. Lerbinger categorized seven types of crises

1. Natural disaster
2. Technological crises
3. Confrontation
4. Malevolence
5. Crises of skewed management value
6. Crises of deception
7. Crises of management misconduct

### **Natural crises**

Natural crises, typically natural disasters considered as 'acts of God,' are such environmental phenomena as earthquakes, volcanic eruptions, tornadoes and hurricanes, floods, landslides, tidal waves, storms, and droughts that threaten life, property, and the environment itself.

Example: 2004 Indian Ocean earthquake (Tsunami)

### **Technological crises**

Technological crises are caused by human application of science and technology. Technological accidents inevitably occur when technology becomes complex and coupled and something goes wrong in the system as a whole (Technological breakdowns). Some technological crises occur when human

error causes disruptions (Human breakdowns). People tend to assign blame for a technological disaster because technology is subject to human manipulation whereas they do not hold anyone responsible for natural disaster. When an accident creates significant environmental damage, the crisis is categorized as *megadamage*. Samples include software failures, industrial accidents, and oil spills.

### **Confrontation crises**

Confrontation crises occur when discontented individuals and/or groups fight businesses, government, and various interest groups to win acceptance of their demands and expectations. The common type of confrontation crises is boycotts, and other types are picketing, sit-ins, ultimatums to those in authority, blockade or occupation of buildings, and resisting or disobeying police.

Example: Rainbow/PUSH's (People United to Serve Humanity) boycott of Nike

### **Crises of malevolence**

An organization faces a crisis of malevolence when opponents or miscreant individuals use criminal means or other extreme tactics for the purpose of expressing hostility or anger toward, or seeking gain from, a company, country, or economic system, perhaps with the aim of destabilizing or destroying it. Sample crises include product tampering, kidnapping, malicious rumors, terrorism, and espionage.

Example: 1982 Chicago Tylenol murders

### **Crises of organizational misdeeds**

Crises occur when management takes actions it knows will harm or place stakeholders at risk for harm without adequate precautions. Lerbinger specified three different types of crises of organizational misdeeds: crises of skewed management values, crises of deception, and crises of management misconduct.

### **Crises of skewed management values**

Crises of skewed management values are caused when managers favor short-term economic gain and neglect broader social values and stakeholders other than investors. This state of lopsided values is rooted in the classical business creed that focuses on the interests of stockholders and tends to view the interests of its other stakeholders such as customers, employees, and the community.

Example: Sears sacrifices customer trust

### **Crises of deception**

Crises of deception occur when management conceals or misrepresents information about itself and its products in its dealing with consumers and others.

### **Crises of management misconduct**

Some crises are caused not only by skewed values and deception but deliberate amorality and illegality.

## **Workplace violence**

Crises occur when an employee or former employee commits violence against other employees on organizational grounds.

Example: DuPont's Lycra

## **Rumors**

False information about an organization or its products creates crises hurting the organization's reputation. Sample is linking the organization to radical groups or stories that their products are contaminated.

## **Models and theories associated with crisis management**

### **Crisis management model**

Successfully diffusing a crisis requires an understanding of how to handle a crisis – before it occurs. Gonzalez-Herrero and Pratt created a four-phase crisis management model process that includes: issues management, planning-prevention, the crisis, and post-crisis (Gonzalez-Herrero and Pratt, 1995). The art is to define what the crisis specifically is or could be and what has caused it or could cause it.

### **Management crisis planning**

No corporation looks forward to facing a situation that causes a significant disruption to their business, especially one that stimulates extensive media coverage. Public scrutiny can result in a negative financial, political, legal and government impact. Crisis management planning deals with providing the best response to a crisis.

### **Contingency planning**

Preparing contingency plans in advance, as part of a crisis management plan, is the first step to ensuring an organization is appropriately prepared for a crisis. Crisis management teams can rehearse a crisis plan by developing a simulated scenario to use as a drill. The plan should clearly stipulate that the only people to speak publicly about the crisis are the designated persons, such as the company spokesperson or crisis team members. The first hours after a crisis breaks are the most crucial, so working with speed and efficiency is important, and the plan should indicate how quickly each function should be performed. When preparing to offer a statement externally as well as internally, information should be accurate. Providing incorrect or manipulated information has a tendency to backfire and will greatly exacerbate the situation. The contingency plan should contain information and guidance that will help decision makers to consider not only the short-term consequences, but the long-term effects of every decision.

### **Business continuity planning**

When a crisis will undoubtedly cause a significant disruption to an organization, a business continuity plan can help minimize the disruption. First, one must identify the critical functions and processes that are necessary to keep the organization running. Then each critical function and or/process must have its own contingency plan in the event that one of the functions/processes ceases or fails. Testing these

contingency plans by rehearsing the required actions in a simulation will allow for all involved to become more sensitive and aware of the possibility of a crisis. As a result, in the event of an actual crisis, the team members will act more quickly and effectively.

### **Structural-functional systems theory**

Providing information to an organization in a time of crisis is critical to effective crisis management. Structural-functional systems theory addresses the intricacies of information networks and levels of command making up organizational communication. The structural-functional theory identifies information flow in organizations as "networks" made up of members and "links". Information in organizations flow in patterns called networks.

### **Diffusion of innovation theory**

Another theory that can be applied to the sharing of information is Diffusion of Innovation Theory. Developed by Everett Rogers, the theory describes how innovation is disseminated and communicated through certain channels over a period of time. Diffusion of innovation in communication occurs when an individual communicates a new idea to one or several others. At its most elementary form, the process involves: (1) an innovation, (2) an individual or other unit of adoption that has knowledge of or experience with using the innovation, (3) another individual or other unit that does not yet have knowledge of the innovation, and (4) a communication channel connecting the two units. A communication channel is the means by which messages get from one individual to another.

### **Role of apologies in crisis management**

There has been debate about the role of apologies in crisis management, and some argue that apology opens an organization up for possible legal consequences. "However some evidence indicates that compensation and sympathy, two less expensive strategies, are as effective as an apology in shaping people's perceptions of the organization taking responsibility for the crisis because these strategies focus on the victims' needs. The sympathy response expresses concern for victims while compensation offers victims something to offset the suffering."

### **Examples of successful crisis management**

#### **Tylenol (Johnson and Johnson)**

In the fall of 1982, a murderer added 65 milligrams of cyanide to some Tylenol capsules on store shelves, killing seven people, including three in one family. Johnson & Johnson recalled and destroyed 31 million capsules at a cost of \$100 million. The affable CEO, James Burke, appeared in television ads and at news conferences informing consumers of the company's actions. Tamper-resistant packaging was rapidly introduced, and Tylenol sales swiftly bounced back to near pre-crisis levels.

Johnson & Johnson was again struck by a similar crisis in 1986 when a New York woman died on Feb. 8 after taking cyanide-laced Tylenol capsules. Johnson & Johnson was ready. Responding swiftly and smoothly to the new crisis, it immediately and indefinitely canceled all television commercials for Tylenol, established a toll-free telephone hot-line to answer consumer questions and offered refunds or exchanges to customers who had purchased Tylenol capsules. At week's end, when another bottle of tainted Tylenol was discovered in a store, it took only a matter of minutes for the manufacturer to issue a nationwide warning that people should not use the medication in its capsule form.

## **Odwalla Foods**

When Odwalla's apple juice was thought to be the cause of an outbreak of E. coli infection, the company lost a third of its market value. In October 1996, an outbreak of E. coli bacteria in Washington state, California, Colorado and British Columbia was traced to unpasteurized apple juice manufactured by natural juice maker Odwalla Inc. Forty-nine cases were reported, including the death of a small child. Within 24 hours, Odwalla conferred with the FDA and Washington state health officials; established a schedule of daily press briefings; sent out press releases which announced the recall; expressed remorse, concern and apology, and took responsibility for anyone harmed by their products; detailed symptoms of E. coli poisoning; and explained what consumers should do with any affected products. Odwalla then developed - through the help of consultants - effective thermal processes that would not harm the products' flavors when production resumed. All of these steps were communicated through close relations with the media and through full-page newspaper ads.

## **Mattel**

Mattel Inc., the toy maker, has been plagued with more than 28 product recalls and in Summer of 2007, amongst problems with exports from China, faced two product recall in two weeks. The company *did everything it could to get its message out, earning high marks from consumers and retailers. Though upset by the situation, they were appreciative of the company's response. At Mattel, just after the 7 a.m. recall announcement by federal officials, a public relations staff of 16 was set to call reporters at the 40 biggest media outlets. They told each to check their e-mail for a news release outlining the recalls, invited them to a teleconference call with executives and scheduled TV appearances or phone conversations with Mattel's chief executive. The Mattel CEO Robert Eckert did 14 TV interviews on a Tuesday in August and about 20 calls with individual reporters. By the week's end, Mattel had responded to more than 300 media inquiries in the U.S. a*

## **Pepsi**

The Pepsi Corporation faced a crisis in 1993 which started with claims of syringes being found in cans of diet Pepsi. Pepsi urged stores not to remove the product from shelves while it had the cans and the situation investigated. This led to an arrest, which Pepsi made public and then followed with their first video news release, showing the production process to demonstrate that such tampering was impossible within their factories. A second video news release displayed the man arrested. A third video news release showed surveillance from a convenience store where a woman was caught replicating the tampering incident. The company simultaneously publicly worked with the FDA during the crisis. The corporation was completely open with the public throughout, and every employee of Pepsi was kept aware of the details. This made public communications effective throughout the crisis. After the crisis had been resolved, the corporation ran a series of special campaigns designed to thank the public for standing by the corporation, along with coupons for further compensation. This case served as a design for how to handle other crisis situations.

## **Lessons learned in crisis management**

### **Impact of catastrophes on shareholder value**

One of the foremost recognized studies conducted on the impact of a catastrophe on the stock value of an organization was completed by Dr Rory Knight and Dr Deborah Pretty (1995, Templeton College, University of Oxford - commissioned by the Sedgewick Group). This study undertook a detailed



analysis of the stock price (post impact) of organizations that had experienced catastrophes. The study identified organizations that recovered and even exceeded pre-catastrophe stock price, (*Recoverers*), and those that did not recover on stock price, (*Non-recoverers*). The average cumulative impact on shareholder value for the recoverers was 5% plus on their original stock value. So the net impact on shareholder value by this stage was actually positive. The non-recoverers remained more or less unchanged between days 5 and 50 after the catastrophe, but suffered a net negative cumulative impact of almost 15% on their stock price up to one year afterwards.

One of the key conclusions of this study is that "Effective management of the consequences of catastrophes would appear to be a more significant factor than whether catastrophe insurance hedges the economic impact of the catastrophe".

While there are technical elements to this report it is highly recommended to those who wish to engage their senior management in the value of crisis management.

## **Bhopal**

The Bhopal disaster in which poor communication before, during, and after the crisis cost thousands of lives, illustrates the importance of incorporating cross-cultural communication in crisis management plans. According to American University's Trade Environmental Database Case Studies (1997), local residents were not sure how to react to warnings of potential threats from the Union Carbide plant. Operating manuals printed only in English is an extreme example of mismanagement but indicative of systemic barriers to information diffusion. According to Union Carbide's own chronology of the incident (2006), a day after the crisis Union Carbide's upper management arrived in India but was unable to assist in the relief efforts because they were placed under house arrest by the Indian government. Symbolic intervention can be counter productive; a crisis management strategy can help upper management make more calculated decisions in how they should respond to disaster scenarios. The Bhopal incident illustrates the difficulty in consistently applying management standards to multi-national operations and the blame shifting that often results from the lack of a clear management plan.

## **Ford and Firestone Tire and Rubber Company**

The Ford-Firestone Tire and Rubber Company dispute transpired in August 2000. In response to claims that their 15-inch Wilderness AT, radial ATX and ATX II tire treads were separating from the tire core—leading to grisly, spectacular crashes—Bridgestone/Firestone recalled 6.5 million tires. These tires were mostly used on the Ford Explorer, the world's top-selling sport utility vehicle (SUV).

The two companies' committed three major blunders early on, say crisis experts. First, they blamed consumers for not inflating their tires properly. Then they blamed each other for faulty tires and faulty vehicle design. Then they said very little about what they were doing to solve a problem that had caused more than 100 deaths—until they got called to Washington to testify before Congress.

## **Exxon**

On March 24, 1989, a tanker belonging to the Exxon Corporation ran aground in the Prince William Sound in Alaska. The Exxon Valdez spilled millions of gallons of crude oil into the waters off Valdez, killing thousands of fish, fowl, and sea otters. Hundreds of miles of coastline were polluted and salmon spawning runs disrupted; numerous fishermen, especially Native Americans, lost their livelihoods. Exxon, by contrast, did not react quickly in terms of dealing with the media and the public; the CEO,

Lawrence Rawl, did not become an active part of the public relations effort and actually shunned public involvement; the company had neither a communication plan nor a communication team in place to handle the event—in fact, the company did not appoint a public relations manager to its management team until 1993, 4 years after the incident; Exxon established its media center in Valdez, a location too small and too remote to handle the onslaught of media attention; and the company acted defensively in its response to its publics, even laying blame, at times, on other groups such as the Coast Guard. These responses also happened within days of the incident.

### **Public sector crisis management**

Corporate America is not the only community that is vulnerable to the perils of a crisis. Whether a school shooting, a public health crisis or a terrorist attack that leaves the public seeking comfort in the calm, steady leadership of an elected official, no sector of society is immune to crisis. In response to that reality, crisis management policies, strategies and practices have been developed and adapted across multiple disciplines.

### **Schools and crisis management**

In the wake of the Columbine High School Massacre, the September 11 attacks in 2001, and shootings on college campuses including the Virginia Tech massacre, educational institutions at all levels are now focused on crisis management.<sup>[18]</sup>

A national study conducted by the University of Arkansas for Medical Sciences (UAMS) and Arkansas Children's Hospital Research Institute (ACHRI) has shown that many public school districts have important deficiencies in their emergency and disaster plans (The School Violence Resource Center, 2003).

In response the Resource Center has organized a comprehensive set of resources to aid schools is the development of crisis management plans

Crisis management plans cover a wide variety of incidents including bomb threats, child abuse, natural disasters, suicide, drug abuse and gang activities – just to list a few. In a similar fashion the plans aim to address all audiences in need of information including parents, the media and law enforcement officials.[http://en.wikipedia.org/wiki/Crisis\\_Management](http://en.wikipedia.org/wiki/Crisis_Management) - cite\_note-VaDoE-19#cite\_note-VaDoE-19

### **Government and crisis management**

Historically, government at all levels – local, state, and national – has played a large role in crisis management. Indeed, many political philosophers have considered this to be one of the primary roles of government. Emergency services, such as fire and police departments at the local level, and the United States National Guard at the federal level, often play integral roles in crisis situations.

To help coordinate communication during the response phase of a crisis, the U.S. Federal Emergency Management Agency (FEMA) within the Department of Homeland Security administers the National Response Plan (NRP). This plan is intended to integrate public and private response by providing a common language and outlining a chain-of-command when multiple parties are mobilized. It is based on the premise that incidences should be handled at the lowest organizational level possible. The NRP recognizes the private sector as a key partner in domestic incident management, particularly in the area of critical infrastructure protection and restoration. The NRP is a companion to the National Incidence

Management System that acts as a more general template for incident management regardless of cause, size, or complexity.

FEMA offers free web-based training on the National Response Plan through the Emergency Management Institute.

Common Alerting Protocol (CAP) is a relatively recent mechanism that facilitates crisis communication across different mediums and systems. CAP helps create a consistent emergency alert format to reach geographically and linguistically diverse audiences through both audio and visual mediums.

## **Elected officials and crisis management**

Historically, politics and crisis go hand-in-hand. In describing crisis, President Abraham Lincoln said, "We live in the midst of alarms, anxiety beclouds the future; we expect some new disaster with each newspaper we read." [http://en.wikipedia.org/wiki/Wikipedia:Citation\\_needed](http://en.wikipedia.org/wiki/Wikipedia:Citation_needed)

Crisis management has become a defining feature of contemporary governance. In times of crisis, communities and members of organizations expect their public leaders to minimize the impact of the crisis at hand, while critics and bureaucratic competitors try to seize the moment to blame incumbent rulers and their policies. In this extreme environment, policy makers must somehow establish a sense of normality, and foster collective learning from the crisis experience.

In the face of crisis, leaders must deal with the strategic challenges they face, the political risks and opportunities they encounter, the errors they make, the pitfalls they need to avoid, and the paths away from crisis they may pursue. The necessity for management is even more significant with the advent of a 24-hour news cycle and an increasingly internet-savvy audience with ever-changing technology at its fingertips.

Public leaders have a special responsibility to help safeguard society from the adverse consequences of crisis. Experts in crisis management note that leaders who take this responsibility seriously would have to concern themselves with all crisis phases: the incubation stage, the onset, and the aftermath. Crisis leadership then involves five critical tasks: sense making, decision making, meaning making, terminating, and learning.

A brief description of the five facets of crisis leadership includes: Sense making may be considered as the classical situation assessment step in decision making.

1. Decision making is both the act of coming to a decision as the implementation of that decision.
2. Meaning making refers to crisis management as political communication.
3. Terminating a crisis is only possible if the public leader correctly handles the accountability question.
4. Learning, refers to the actual learning from a crisis is limited. The authors note, a crisis often opens a window of opportunity for reform for better or for worse.

### **Structural Mitigation:-**

This involves proper layout of building, particularly to make it resistant to disasters.

Non Structural Mitigation:-

This involves measures taken other than improving the structure of building.

Preparedness

### **Airport emergency preparedness exercise.**

While preparedness is aimed at preventing a disaster from occurring, personal preparedness focuses on preparing equipment and procedures for use when a disaster occurs, i.e., planning. Preparedness measures can take many forms including the construction of shelters, installation of warning devices, creation of back-up life-line services (e.g., power, water, sewage), and rehearsing evacuation plans. Two simple measures can help prepare the individual for sitting out the event or evacuating, as necessary. For evacuation, a disaster supplies kit may be prepared and for sheltering purposes a stockpile of supplies may be created. The preparation of a survival kit such as a "72-hour kit", is often advocated by authorities. These kits may include food, medicine, flashlights, candles and money.

### **Response**

The response phase of an emergency may commence with search and rescue but in all cases the focus will quickly turn to fulfilling the basic humanitarian needs of the affected population. This assistance may be provided by national or international agencies and organisations. Effective coordination of disaster assistance is often crucial, particularly when many organisations respond and local emergency management agency (LEMA) capacity has been exceeded by the demand or diminished by the disaster itself.

On a personal level the response can take the shape either of a shelter in place or an evacuation. In a shelter-in-place scenario, a family would be prepared to fend for themselves in their home for many days without any form of outside support. In an evacuation, a family leaves the area by automobile or other mode of transportation, taking with them the maximum amount of supplies they can carry, possibly including a tent for shelter. If mechanical transportation is not available, evacuation on foot would ideally include carrying at least three days of supplies and rain-tight bedding, a tarpaulin and a bedroll of blankets being the minimum.

### **Recovery**

The recovery phase starts after the immediate threat to human life has subsided. During reconstruction it is recommended to consider the location or construction material of the property.

The most extreme home confinement scenarios include war, famine and severe epidemics and may last a year or more. Then recovery will take place inside the home. Planners for these events usually buy bulk foods and appropriate storage and preparation equipment, and eat the food as part of normal life. A simple balanced diet can be constructed from vitamin pills, whole-meal wheat, beans, dried milk, corn, and cooking oil.[10] One should add vegetables, fruits, spices and meats, both prepared and fresh-gardened, when possible.

### **As a profession**

Emergency managers are trained in a wide variety of disciplines that support them through out the emergency life-cycle. Professional emergency managers can focus on government and community preparedness (Continuity of Operations/Continuity of Government Planning), or private business preparedness (Business Continuity Management Planning). Training is provided by local, state, federal and private organizations and ranges from public information and media relations to high-level incident command and tactical skills such as studying a terrorist bombing site or controlling an emergency scene.

In the past, the field of emergency management has been populated mostly by people with a military or first responder background. Currently, the population in the field has become more diverse, with many experts coming from a variety of backgrounds without military or first responder history. Educational opportunities are increasing for those seeking undergraduate and graduate degrees in emergency

management or a related field. There are eight schools in the US with emergency management-related doctorate programs, but only one doctoral program specifically in emergency management. Professional certifications such as Certified Emergency Manager (CEM) and Certified Business Continuity Professional (CBCP) are becoming more common as the need for high professional standards is recognized by the emergency management community, especially in the United States.

### **Tools**

In recent years the continuity feature of emergency management has resulted in a new concept, Emergency Management Information Systems (EMIS). For continuity and interoperability between emergency management stakeholders, EMIS supports the emergency management process by providing an infrastructure that integrates emergency plans at all levels of government and non-government involvement and by utilizing the management of all related resources (including human and other resources) for all four phases of emergencies. In the healthcare field, hospitals utilize HICS (Hospital Incident Command System) which provides structure and organization in a clearly defined chain of command with set responsibilities for each division.

### **Within other professions**

Practitioners in emergency management (disaster preparedness) come from an increasing variety of backgrounds as the field matures. Professionals from memory institutions (e.g., museums, historical societies, libraries, and archives) are dedicated to preserving cultural heritage—objects and records contained in their collections. This has been an increasingly major component within these field as a result of the heightened awareness following the September 11 attacks in 2001, the hurricanes in 2005, and the collapse of the Cologne Archives.

To increase the opportunity for a successful recovery of valuable records, a well-established and thoroughly tested plan must be developed. This plan must not be overly complex, but rather emphasize simplicity in order to aid in response and recovery. As an example of the simplicity, employees should perform similar tasks in the response and recovery phase that they perform under normal conditions. It should also include mitigation strategies such as the installation of sprinklers within the institution. This task requires the cooperation of a well-organized committee led by an experienced chairperson. Professional associations schedule regular workshops and hold focus sessions at annual conferences to keep individuals up to date with tools and resources in practice in order to minimize risk and maximize recovery.

### **Tools**

The joint efforts of professional associations and cultural heritage institutions have resulted in the development of a variety of different tools to assist professionals in preparing disaster and recovery plans. In many cases, these tools are made available to external users. Also frequently available on websites are plan templates created by existing organizations, which may be helpful to any committee or group preparing a disaster plan or updating an existing plan. While each organization will need to formulate plans and tools which meet their own specific needs, there are some examples of such tools that might represent useful starting points in the planning process. In 2009, the US Agency for International Development created a web-based tool for estimating populations impacted by disasters. Called Population Explorer the tool uses Landsat population data, developed by Oak Ridge National Laboratory, to distribute population at a resolution 1 km<sup>2</sup> for all countries in the world. Used by USAID's FEWS NET Project to estimate populations vulnerable and or impacted by food insecurity, Population Explorer is gaining wide use in a range of emergency analysis and response actions, including estimating populations impacted by floods in Central America and a Pacific Ocean Tsunami event in 2009.

In 2007, a checklist for veterinarians pondering participation in emergency response was published in the Journal of the American Veterinary Medical Association, it had two sections of questions for a professional to ask themselves before assisting with an emergency: Absolute requirements for participation: Have I chosen to participate?, Have I taken ICS training?, Have I taken other required background courses?, Have I made arrangements with my practice to deploy?, Have I made arrangements with my family?

Incident Participation: Have I been invited to participate?, Are my skill sets a match for the mission?, Can I access just-in-time training to refresh skills or acquire needed new skills?, Is this a self-support mission?, Do I have supplies needed for three to five days of self support?

While written for veterinarians, this checklist is applicable for any professional to consider before assisting with an emergency.

### **International organizations**

#### **International Association of Emergency Managers**

The International Association of Emergency Managers (IAEM) is a non-profit educational organization dedicated to promoting the goals of saving lives and protecting property during emergencies and disasters. The mission of IAEM is to serve its members by providing information, networking and professional opportunities, and to advance the emergency management profession.

#### **Red Cross/Red Crescent**

National Red Cross/Red Crescent societies often have pivotal roles in responding to emergencies. Additionally, the International Federation of Red Cross and Red Crescent Societies (IFRC, or "The Federation") may deploy assessment teams to the affected country. They specialize in the recovery component of the emergency management framework.

#### **United Nations**

Within the United Nations system responsibility for emergency response rests with the Resident Coordinator within the affected country. However, in practice international response will be coordinated, if requested by the affected country's government, by the UN Office for the Coordination of Humanitarian Affairs (UN-OCHA), by deploying a UN Disaster Assessment and Coordination (UNDAC) team.

#### **World Bank**

Since 1980, the World Bank has approved more than 500 operations related to disaster management, amounting to more than US\$40 billion. These include post-disaster reconstruction projects, as well as projects with components aimed at preventing and mitigating disaster impacts, in countries such as Argentina, Bangladesh, Colombia, Haiti, India, Mexico, Turkey and Vietnam to name only a few.

Common areas of focus for prevention and mitigation projects include forest fire prevention measures, such as early warning measures and education campaigns to discourage farmers from slash and burn agriculture that ignites forest fires; early-warning systems for hurricanes; flood prevention mechanisms, ranging from shore protection and terracing in rural areas to adaptation of production; and earthquake-prone construction.

In a joint venture with Columbia University under the umbrella of the ProVention Consortium the World Bank has established a Global Risk Analysis of Natural Disaster Hotspots.

In June 2006, the World Bank established the Global Facility for Disaster Reduction and Recovery (GFDRR), a longer term partnership with other aid donors to reduce disaster losses by mainstreaming disaster risk reduction in development, in support of the Hyogo Framework of Action. The facility helps developing countries fund development projects and programs that enhance local capacities for disaster prevention and emergency preparedness.

## **Emergency service /social services**

**Emergency services** are organizations which ensure public safety by addressing different emergencies. Some agencies exist solely for addressing certain types of emergencies whilst others deal with ad hoc emergencies as part of their normal responsibilities. Many agencies will engage in community awareness and prevention programs to help the public avoid, detect, and report emergencies effectively.

The availability of emergency services depends very heavily on location, and may in some cases also rely on the recipient giving payment or holding suitable insurance or other surety for receiving the service.

## **Core emergency services**

There are three services which are almost universally acknowledged as being core to the provision of emergency care to the populace, and are often government run. They would generally be summoned on a dedicated emergency telephone number, reserved for critical emergency calls. They are:

- **Police** — providing community safety and acting to reduce crime against persons and property
- **Fire and Rescue Service** — providing firefighters to deal with fire and rescue operations, and may also deal with some secondary emergency service duties
- **Emergency medical service** — providing ambulances and staff to deal with medical emergencies

## **Other emergency services**

These services can be provided by one of the core services or by a separate government or private body.

- **Military** — to provide specialist services, such as bomb disposal or to supplement emergency services at times of major disaster, civil dispute or high demand.
- **Coastguard** — Provide coastal patrols with a security function at sea, as well as involvement in search and rescue operations
- **Lifeboat** — Dedicated providers of rescue lifeboat services, usually at sea (such as by the RNLI in the United Kingdom).
- **Mountain rescue** — to provide search and rescue in mountainous areas, and sometimes in other wilderness environments.
- **Cave rescue** — to rescue people injured, trapped, or lost during caving explorations.
- **Mine rescue** — specially trained and equipped to rescue miners trapped by fires, explosions, cave-ins, toxic gas, flooding, etc.
- **Technical rescue** — other types of technical or heavy rescue, but usually specific to a discipline (such as swift water).
- **Search and rescue** — can be discipline-specific, such as urban, wildland, maritime, etc.

- **Wildland fire suppression** — to suppress, detect and control fires in forests and other wildland areas.
- **Bomb disposal** — to render safe hazardous explosive ordnance, such as terrorist devices or unexploded wartime bombs.
- **Blood/organ transplant supply** — to provide organs or blood on an emergency basis, such as the National Blood Service of the United Kingdom.
- **Emergency management** — to provide and coordinate resources during large-scale emergencies.
- **Amateur radio emergency communications** — to provide communications support to other emergency services.

## Civil emergency services

These groups and organisations respond to emergencies and provide other safety-related services either as a part of their on-the-job duties, as part of the main mission of their business or concern, or as part of their hobbies.

- **Public utilities** — safeguarding gas, electricity and water, which are all potentially hazardous if infrastructure fails
- **Emergency road service** — provide repair or recovery for disabled or crashed vehicles
- **Civilian Traffic Officers** — such as operated by the Highways Agency in the UK to facilitate cleanup and traffic flow at road traffic collisions
- **Emergency social services**
- **Community emergency response teams** — help organize facilities such as rest centers during large emergencies
- **Disaster relief** — such as services provided by the Red Cross and Salvation Army
- **Famine relief** teams
- **Amateur radio** communications groups — provide communications support during emergencies
- **Poison Control** — providing specialist support for poisoning
- **Animal control** — can assist or lead response to emergencies involving animals
- **Forest Service**
- **St. John Ambulance / Red Cross / Order of Malta Ambulance Corps** — Medical & First Aid Support

## Location-specific emergency services

Some locations have emergency services dedicated to them, and whilst this does not necessarily preclude employees using their skills outside this area (or be used to support other emergency services outside their area), they are primarily focused on the safety or security of a given geographical place.

- **Park rangers** — looking after many emergencies within their given area, including fire, medical and security issues
- **Lifeguards** — charged with reacting to emergencies within their own given remit area, usually a pool, beach or open water area



## Working together

Effective emergency service management requires agencies from many different services to work closely together and to have open lines of communication. Most services do, or should, have procedures and liaisons in place to ensure this, although absence of these can be severely detrimental to good working. There can sometimes be tension between services for a number of other reasons, including professional versus voluntary crew members, or simply based on area or division.

To aid effective communications, different services may share common practices and protocol for certain large-scale emergencies. In the UK, commonly used shared protocols include CHALET and ETHANE while in the US, the Department of Homeland Security has called for nationwide implementation of the National Incident Management System (NIMS), of which the Incident Command System (ICS) is a part.

## Environmental degradation

**Environmental degradation** is the deterioration of the environment through depletion of resources such as air, water and soil; the destruction of ecosystems and the extinction of wildlife<sup>1</sup>

Environmental degradation is one of the ten threats officially cautioned by the High Level Threat Panel of the United Nations. The **ten threats** identified by the High Level Threat Panel of the United Nations are these: Poverty , Infectious disease , Environmental degradation , Inter-state war , Civil war , Genocide , Other Atrocities (*e.g.*, trade in women and children for sexual slavery, or kidnapping for body parts) , Weapon of mass destruction (nuclear proliferation, chemical weapon proliferation, biological weapon proliferation) , Terrorism .

Transnational organized crime. The World Resources Institute (WRI), UNEP (the United Nations Environment Programme), UNDP (the United Nations Development Programme) and the World Bank have made public an important report on health and the environment worldwide on May 1, 1998.

Environmental degradation is of many types. When natural habitats are destroyed or natural resources are depleted, environment is degraded.

*Environmental Change and Human Health*, a special section of World Resources 1998-99 in this report describes how preventable illnesses and premature deaths are still occurring in very large numbers. If vast improvements are made in human health, millions of people will be living longer, healthier lives than ever before. In these poorest regions of the world an estimated 11 million children, or about one in five, will not live to see their fifth birthday, primarily because of environment-related diseases. Child mortality is larger than the combined populations of Norway and Switzerland, and mostly due to malaria, acute respiratory infections or diarrhea — illnesses that are largely preventable.

## Combating Environmental Degradation

### Introduction

The landmark report of the World Commission on Environment and Development, entitled "Our Common Future", warned that unless we change many of our lifestyle patterns, the world will face unacceptable levels of environmental damage and human suffering. The Commission, echoing the

urgent need for tailoring the pace and the pattern of global economic growth to the planet's carrying capacity, said that: "Humanity has the ability to make development sustainable and to ensure that it meets the needs of the present without compromising the ability of future generations to meet their own needs."

In the final analysis, the environmental crisis affects everyone on the planet, but the degree to which the inhabitants of different parts of the world contribute to this crisis depends on the level of their economic development and their consumption patterns. As much as 70% of the world's consumption of fossil fuel and 85% of chemical products is attributable to 25% of the world's population. Water consumption is also unevenly distributed. The per caput water consumption in the United States is about 2 300 m<sup>3</sup> per annum, as compared to 1 500 m<sup>3</sup> for the Canadians and 225 m<sup>3</sup> for the British. The average per caput consumption of water in developing countries ranges between 20 to 40 m<sup>3</sup>. The consumption patterns for forest products and many other commodities have the same direct inverse proportion to the size of population of the top 20% of the richest societies. This profligate demand puts excessive pressure on both national and global natural resources. The rest of the world, comprising 80% of its population with a share of less than 20% of global income, has a far more modest consumption level.

While international environmental concerns are often expressed in broad terms such as desertification or climatic change, the environmental problems of concern to vulnerable groups in marginal areas are generally quite localized in nature, revolving around immediate issues, such as the degradation of a particular rangeland or soil erosion on farmland or the progressive shortening of fallow. These affect the poor because they are directly related to household food security. Degradation of the resource base generally translates into decreases in production or income and thus in the availability of food. Declining soil fertility leads to lower crop yields while rangeland depletion reduces offtake, and any deterioration in water quality adversely affects the fish catch. Degradation of common property resources pulls labour away from directly productive activities towards gathering - simply collecting non-wood and minor forest products - and probably diminishes opportunities for deriving income from this source. Linkages with food security can also be less direct. Shortages of biomass may result in a transition to lower-nutrition foods that require less fuel for cooking. In addition, recurrent drought or natural calamities also directly result in progressive loss of food security prospects.

In their quest for food security, the rural poor have sometimes little choice but to overuse the limited resources available to them. The resulting environmental degradation imposes further constraints on their livelihood in what has been called a "downward spiral" or "vicious circle". They are often forced to make trade-offs between immediate household food requirements and environmental sustainability both in production and consumption. Their negligible man-made capital assets, ill-defined or non-existent property rights, limited access to financial services and other markets, inadequate safety nets in time of stress or disaster, and lack of participation in decision-making can result in their adopting "short time horizons", which favour immediate imperatives over longer-term objectives. This can result in coping strategies that rely on the drawing down of the capital available to them -- mainly in the form of natural resources. It also makes them more vulnerable to environmental degradation, including degradation wrought by others than the poor themselves.

The poor may be both agents and victims of environmental degradation, especially in marginal areas, where the resource base is ill-suited to agriculture. But it cannot be assumed that the poor have an intrinsic propensity to degrade environmental resources. On the contrary, many poor traditional communities demonstrate an admirable environmental ethic and have developed complex resource management regimes. There is little evidence that the rural poor, when offered an appropriate environment - including secure tenure and access to markets- pursue resource-degrading strategies. Thus, while poverty may be an underlying cause of environmental degradation, it is more accurately

seen as a proximate cause influenced by a complex of policy and institutional factors. The very same processes that lead to and perpetuate poverty constrain the poor in their decision-making with regard to natural resource management. Affluence and poverty affect the environment in different ways: poverty eradication would not erase environmental degradation but change the nature of environmental problems facing **society**.

### **Poverty in fragile ecosystems**

Absolute poverty has been on the retreat in most high-potential areas in developing countries. The combination of more productive technologies, fertile land and water, and high levels of development and public investment have raised incomes significantly for people living in these areas. While this development has not always been equitable - or sustainable, the most important disparities are not between rich and poor people within high-potential areas, but rather between high-potential high-investment areas and fragile ecosystems. In the latter areas, politically marginal indigenous populations have been neglected and have been joined by new groups displaced from more fertile areas through a variety of processes. These processes, although varying across countries and regions, include expropriation, demographic pressures, land fragmentation, privatization of common property lands, and consolidation and expansion of the commercial sector combined with reduced demand for labour due to mechanization.

While the challenge for poverty alleviation in high-potential areas remains considerable, the prognosis is not grim provided agricultural intensification proceeds without environmental destruction. On the other hand, for the 60% of poor populations who are found in fragile ecosystems and mainly remote and ecologically vulnerable rural areas, the challenge of environmentally sustainable poverty alleviation is immense. It has been estimated that 80% of poor people in Latin America live in such areas, 60% in Africa and 50% in Asia. Reliance on the currently prevailing patterns of growth will postpone the resolution of poverty in marginal areas, with severe implications not only for the people affected but also for the environment. The immediate-to-medium-term prospects for the rural poor to abandon these areas for other sectors of the economy, as was the case in Europe in the last century, are not promising. As a result, fragile ecosystems are rapidly becoming ghettos of poverty and environmental degradation.

The need for urgent action can be recognized in relation to the following characteristics of these regions:

(a) They constitute a significant part of the world's land resources. Forty percent of the earth's land surface is considered dryland, of which approximately 70% is already degraded or subject to heavy degradation. On the other hand, hilly and mountainous regions cover about 21% of the earth land mass and, although not so extensive as dry lands, they exert a far-reaching influence on other areas, primarily through watershed functions.

(b) The role of both ecosystems in terms of human habitat is also significant: approximately 900 million of the world's population are subsisting in dry zones. Although only about 10% of the world population live in mountain areas, a much larger percentage (about 40%) occupies the watersheds below. It is safe to assume that the future of mountain ecosystems affects the life of half of the world's population. From the Andes to the Himalayas, and from South East Asia to East and Central Africa a serious ecological deterioration caused by overgrazing, deforestation and excessive cultivation threatens the livelihood of these populations.

(c) Mountains are important sources of water, energy, minerals, agricultural products and a major reserve for the world's biodiversity. Similarly, dry zones are rich in biodiversity, hosting many endangered species. Moreover, crops, grasses, trees, and livestock species, that form the core of survival in drought prone regions, exist in these regions only.

(d) A high proportion of the absolute poor in ecologically fragile areas are indigenous peoples, estimated at some 300 million worldwide. They depend on renewable resources to maintain their well-being. This has led to the development of livelihood systems which are well-adapted to the harsh conditions in which they lived. Their holistic, traditional knowledge of their natural resources and environment constitutes a rich human heritage. However, their traditional ways of life are now being threatened, disturbing the delicate balance of natural resource use. Nevertheless, viable technology and institutional arrangements for resource conservation in these areas could be built upon indigenous knowledge; and similarly effective disaster prevention policies can benefit from coping strategies developed by the local population.

(e) Rural women play a key role in on- and off-farm activities in the developing countries. This is particularly true in the case of the ecologically fragile areas. With the growing male out-migration from marginal areas, the number of women headed households in these areas is increasing. Women are becoming more and more responsible for the day to day survival of the family. Women tend to be more vulnerable than men to the effects of environmental degradation because they are often involved in harvesting common property resources such as wood and water. Since women usually make a greater contribution to household food security than men, a decline in women's access to resources may have a significant impact on household consumption. Environmental degradation implies further burdens and responsibilities which are not compensated for by increased decision-making power.

(f) Degradation of land and loss of its vegetative cover also have consequences at the global level, primarily because of its influence on carbon exchange, but also in terms of loss of biodiversity. The large amount of carbon stored in the vegetation of the dry zones, for example, averaging about 30 tonnes per hectare, decreases when the vegetation is depleted or disappears. Carbon-rich soils, frequently found in dry zones, store a substantial amount of this element (nearly half the total quantity of carbon is stored in the organic matter in the soil, much more than is found in the world's vegetation). The destruction of these soils has a very powerful effect on the carbon cycle and boosts the greenhouse effect as a result of the release of carbon.

### **Towards action**

Over the past two decades, environmental degradation, including land degradation has continued to worsen exacerbating further poverty and food insecurity. Conversely, awareness of the importance of the environment and its conservation has increased. There has been a transformation in people's perception of the poverty problem in developing countries. If one accepts that hard core rural poverty is increasingly a phenomenon associated with marginal lands, then new strategies are required that integrate poverty alleviation and environmental management. Until recently, the international community and national governments have tended not to appreciate the need for integrated rural poverty alleviation and environmental management programmes in marginal areas. There were a number of promising initiatives in this field, usually undertaken by NGOs and community-based organizations, but they were usually small and very localized. At the same time, in many regions, rural people's perception of their environment and the priority they give to a better relationship with it have changed. Increasingly, rural people are realizing that: (a) the fragile environment on which they depend for their survival is being neglected or over-exploited, and it is now necessary to rehabilitate it and manage it sustainably; and (b) the environment belongs primarily to them, and they must take the

responsibility for the land and organize themselves in groups, cooperatives, village development associations and other local association to defend it.

UNCED's Agenda 21, the global action programme for sustainable development, is perhaps the first expression of international commitment to addressing the poverty- environment nexus. Chapter 3 on "combating poverty" called for specific long-term strategies that integrate poverty eradication and sustainable management of the environment. Agenda 21 devoted two chapters to the special needs of fragile ecosystems, namely Chapter 12 on "Combating Desertification and Drought" and Chapter 13 on "Sustainable Mountain Development". In the follow-up to UNCED, promising initiatives have emerged for these thematic areas. For drylands, the United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa (CCD) provides a framework for concrete action at the local level. For mountainous areas, efforts are currently under way to develop the basis for an action plan for sustainable mountain development, known as the "Mountain Agenda".

The Agenda involves the establishment of a network on sustainable mountain development consisting of United Nations agencies, NGOs and intergovernmental institutions. A set of action proposals has been developed by those involved in promoting sustainable mountain development. In recognition of the need to give prominence to the "Mountain Agenda" on the international and national lists of priorities, a global Inter-Governmental Organizations (IGO)/NGO Conference, as well as regional inter-governmental consultations are being convened. The main proposals for action that are emerging, identified through a broad participatory process involving the major NGOs, encompass five specific areas of focus: poverty eradication; the strengthening of a global information network and database; strengthening country capacity and the generation of "National Mountain Action Programmes"; raising awareness through the preparation and organization of a World Conference on Sustainable Mountain Development in early 1997; and the formulation, negotiation and implementation of regional or sub-regional mountain conventions and possibly the development of a "Global Mountain Charter".

The Desertification Convention offers new and exciting opportunities for collective action, as well as a fertile field for testing and nurturing innovative partnerships in development cooperation for local level action. It is the first International Treaty to squarely address poverty and environmental degradation in rural areas. Unlike the other Conventions associated with Rio, the direct beneficiaries of CCD are the hundreds of millions of predominantly poor and food-insecure people who populate the drylands of the world. It is the first Convention that casts resource users and their communities as central to the solution rather than part of the problem. At the very heart of the CCD is the concept of "Partnership". Partnership embodies the new thrust in development assistance, in which it is finally recognized that interdependence rather than dependence is the way forward. But partnerships won't work unless all partners stand to benefit. CCD tries to translate this attractive concept into more or less concrete terms.

While the underlying incentives to enter into partnership must exist, what is also needed is a favourable context to promote its emergence and functioning. In the context of CCD, the National Action Programmes - or NAPs - are the instrument for partnership. NAPs, which are not intended as static plans but as a dynamic programming capacity, should offer a macroeconomic and institutional framework that will support local-level action. Here, more is meant than economic and fiscal policies, although these are of course extremely important. It also means a policy orientation that actively focuses on empowerment of local actors to take advantage of new opportunities and overcome old constraints. The Convention therefore encourages devolution of decision-making from the centre to local populations and resource users. The most important reasons for this are compellingly obvious:

Local Ownership in Decision-making - Local structures are more likely to make decisions that are relevant and suitable to local circumstances.

Removing Bottlenecks in Information Flow and Decision-making - Decision-making for natural resource management requires prompt and relevant information.

Improved Ability to Involve Marginalized Groups - Decentralization might allow better targeting of services and better identification of needy groups.

Better Tailoring of Approaches to Local Conditions - Local appreciation of constraints and opportunities can only improve the quality of solutions.

An emphasis on empowerment of local populations and civil society should not be construed as a wish to actively withdraw from the sustainable development arena. Instead, it is based on a recognition that the public sector and multilateral finance can facilitate but cannot substitute for action that must come from economic agents at the local level that act individually or collectively. What is needed now is to build an operational coalition between NGOs, CBOs as well as other institutions of civil society together with government institutions and international agencies, to form action-oriented partnerships around specific and concrete areas of intervention.

### **The Challenge of Financing Action**

Promoted by the world's distress over the loss of life in the Sahelian famine of early 1970, the UN Conference on Desertification (UNCOD, Nairobi 1977) adopted a plan of action to end desertification by the close of the century. The response to the plan of action was dismal and it was virtually left on the shelf. Now with only four years left to the day when UNCOD's promises should have materialized, desertification has almost doubled, and the poor are paying the cost, with their health and lives. The CCD diligently negotiated and enthusiastically adopted holds new promises, as the degree of awareness, globally and locally, has increased. But unlike its sister Conventions on climate change and biological diversity, the CCD does not promote establishment of a new financial mechanism. Instead it foresees the creation of a "Global Mechanism" to be housed in an existing organization to coordinate and facilitate the flow of additional funds including grants and concessional loans through both bilateral and multilateral channels.

Neither national budgets nor statistics on international financial flows to developing countries give clear figures on resources presently allocated to combat desertification. But there is little argument about the dearth of international funding for desertification control. Even resources formally provided under Global Environmental Facility (GEF) - which, by and large, precludes eligibility for desertification programmes - are judged to be inadequate. Nevertheless, financing constitutes a major pillar for the success of CCD without which it may very well face the same fate as UNCOD. Within this context, a proactive role for the Global Mechanism should be promoted.

The multi-source and multi-channel orientation of the CCD is more of a strength than a weakness. Instead of relying on one mechanism - say, the GEF - the Convention is not predicated on the availability of external grant finance earmarked for the purpose. In contrast, the Global Mechanism configuration is about improving the effectiveness and efficiency of existing flows, in addition to catalyzing and leveraging new flows and sources of finance. It encourages a greater role for domestic resource mobilization, private sector initiative, and a blending of various concessional and non-concessional external finance.

This diversity of flows and the multifaceted diverse coalition which one hopes it would represent, will in the end make the Convention and the actions it triggers more robust and sustainable. One should work towards that coalition, by assisting to set in place policy and institutional frameworks that are favourable to private initiative, by helping governments to provide public goods, by pump-priming promising initiatives, and by assisting local populations and community organizations to interface more productively with the private sector.

### **Financing Peoples' Participation**

Local-level activities and creativity championed by CCD have a number of implications for the nature of resource mobilization as well as the manner through which resources are utilized. First, there is a need to step up efforts aimed at awareness- building at local level. This is a task for which NGOs and CBOs are best suited. The NGO community, and in particular the international NGOs, should give a high priority to this objective when mobilizing resources for CCD as stipulated in the Convention. Second, CCD calls upon Parties to promote a National Desertification Fund (NDF) and similar mechanisms for directing funds to the local level. Such mechanisms should be run on the basis of a participatory governance involving local communities and their partners in the NGO community.

NDF should also be flexible and simple in design. To preserve the confidence of both donors and local populations, it is imperative to ensure full transparency and effective accountability in its management. Moreover, the local populations could be true shareholders and effectively claim their share in the partnership if, in addition to the contribution from the external donors and national resources, they shoulder part of the financial burden. This could be done by mobilization and pooling of individual savings as well as through decentralization of collection and management of taxes, levies and other revenues derived from local resources. Third, it is absolutely important that the NDF resources are to be utilized for community level investment and that they lead to the creation of durable economic assets, shared collectively. Using the proceeds of NDF for relief activities or financing individually- owned enterprises would be a costly mistake. The former would deplete the resources of the fund without any lasting benefit, and the latter would distort the local financial market, preventing the creation of sound credit/saving structures. Such structures are equally important to facilitate investment for crop intensification or to promote economic diversification to lessen man and livestock pressure on land.

### **Conclusion**

Populations in marginal areas are not doomed to despair. On the contrary, it is in these very regions that the people, forced by circumstance, manage to cope most creatively with their harsh and unpredictable environment, and to diversify their resource use strategies over space, season and sector. They capitalize as much as they can on biological diversity - most pronounced in these regions and constituting a core of their survival. They are responsible for most appropriate technological and institutional innovations which depend minimally on costly and external inputs. This is particularly true in the conservation of rainwater, notwithstanding the saline soils common in those regions. It is also true for the institutions which developed for the collective management of very scarce common resources, such as water points, grazing land and forests.

Effective actions against poverty, household food insecurity, and environmental degradation in marginal areas require first and foremost the empowering and equipping of local communities to take up the reins of resource management. The importance of local area development and improved local governance - also covered in the other issues papers - must be emphasized. An important factor in this context, of course, is the issue of incentive frameworks and enabling environments, with specific regard

to the question of how to combine longer-term concerns for environmental rehabilitation and conservation with the pressing short-term needs of household food security. Also important are the technology and related measures to be promoted that build on traditional knowledge, such as those which will in the short term generate tangible benefits for the farmer, as outlined in the discussion paper on this topic.

Many conservation policies and strategies in the past have failed because of their top-down approach and their reliance on technologies which were irrelevant to the local circumstances. In contrast to the result of these efforts, the micro-projects implemented in many places over the past decade have made it possible to build up a store of knowledge allowing for the implementation of new approaches. Within this context, a consensus has emerged on the importance of indigenous people's traditional knowledge and practices in the management of arid land, forest, pasture and farmland to conserve soil and moisture, and in diversifying crop and livestock production to minimize risks.

Some traditional rural communities have developed complex resource management systems that have stood the test of time, and have much to offer in addressing present-day concerns over long-term resource sustainability. Their admirable environmental ethic deserves its due place. Asserting the importance of local knowledge calls for the empowerment of local people through their own organizations. Moreover, the considerable cultural and environmental heterogeneity of mountain areas and the scattered nature of dryland populations underline the need for decentralized local-level action toward integrated management of local areas.

This is not to suggest that local communities can be left to their own devices. There is a need for supportive and facilitating measures on the part of governments. The international community should also be aware of the global dimension of the process and the responsibility that this implies. There is therefore a need for a coalition of actors ranging from the international to the national and the local level. This is precisely what the CCD is promoting and what an eventual Mountain Agenda might promote. In the short term, what is needed is what one might risk calling "affirmative action" in the form of finance and assistance to local communities.

The immediate challenge is to consider how ratification of the CCD can be expedited, how it can be implemented and how to secure adequate financing for local area development. The CCD also stipulates a major role for civil society organizations, foremost among them the community-based organizations - namely that they should galvanize energies and mobilize resources. The private sector, as well as civil society at large, should also be encouraged to think beyond individual or corporate interests towards a recognition of a shared responsibility for the environment. Vigorous resource mobilization to combat desertification would stand a better chance of succeeding if launched on the basis of empirically verifiable improvements.

## **Vulnerability**

**Vulnerability** is the susceptibility to physical or emotional injury or attack. It also means to have one's guard down, open to censure or criticism. Vulnerability refers to a person's state of being liable to succumb, as to manipulation, persuasion or temptation.

A **window of vulnerability**, sometimes abbreviated to **wov**, is a time frame within which defensive measures are reduced, compromised or lacking.



## **Common applications**

In relation to hazards and disasters, **vulnerability** is a concept that links the relationship that people have with their environment to social forces and institutions and the cultural values that sustain and contest them. “The concept of vulnerability expresses the multidimensionality of disasters by focusing attention on the totality of relationships in a given social situation which constitute a condition that, in combination with environmental forces, produces a disaster” (Bankoff et al. 2004: 11).

It's also the extent to which changes could harm a system. In other words, it's the extent to which a community can be affected by the impact of a hazard.

In global warming, vulnerability is the degree to which a system is susceptible to, or unable to cope with, adverse effects of climate change, including climate variability and extremes

## **Emerging research**

Vulnerability research covers a complex, multidisciplinary field including development and poverty studies, public health, climate studies, security studies, engineering, geography, political ecology, and disaster and risk management. This research is of particular importance and interest for organizations trying to reduce vulnerability – especially as related to poverty and other Millennium Development Goals. Many institutions are conducting interdisciplinary research on vulnerability. A forum that brings many of the current researchers on vulnerability together is the Expert Working Group (EWG).<sup>1</sup> Researchers are currently working to refine definitions of “vulnerability”, measurement and assessment methods, and effective communication of research to decision makers (Birkmann et al. 2006).

## **Major research questions**

Within the body of literature related to vulnerability, major research streams include questions of methodology, such as: measuring and assessing vulnerability, including finding appropriate indicators for various aspects of vulnerability, up- and downscaling methods, and participatory methods (Villagran 2006).

A sub-category of vulnerability research is social vulnerability, where increasingly researchers are addressing some of the problems of complex human interactions, vulnerability of specific groups of people, and shocks like natural hazards, climate change, and other kinds of disruptions. The importance of the issue is indicated by the establishment of endowed chairs at university departments to examine social vulnerability.

## **Military vulnerability**

In military circles Vulnerability is a subset of Survivability (the others being Susceptibility and Recoverability). Vulnerability is defined in various ways depending on the nation and service arm concerned, but in general it refers to the near-instantaneous effects of a weapon attack. In some definitions Recoverability (damage control, firefighting, restoration of capability) is included in Vulnerability.

## **Invulnerability**

**Invulnerability** is a common feature found in video games. It makes the player impervious to pain, damage or loss of health. It can be found in the form of "power-ups" or cheats. Generally, it does not protect the player from certain instant-death hazards, most notably "bottomless" pits from which, even if the player were to survive the fall, they would be unable to escape. As a rule, invulnerability granted by power-ups is temporary, and wears off after a set amount of time, while invulnerability cheats, once activated, remain in effect until deactivated, or the end of the level is reached. Depending on the game in question, invulnerability to damage may or may not protect the player from non-damage effects, such as being immobilized or sent flying.

In comic books, some superheroes are considered invulnerable, though this usually only applies up to a certain level. (e.g. Superman is invulnerable to physical attacks from normal people but not to the extremely powerful attacks of Doomsday).

## **Expert Working Group on Vulnerability**

- The Expert Working Group on Vulnerability is a group of experts brought together by the United Nations University Institute of Environment and Human Security (UNU-EHS). The overall goal of the Expert Working Group is to advance the concept of human security regarding vulnerability of societies to hazards of natural origin. The EWG exchanges ideas about the development of methodologies, approaches and indicators to measure vulnerability. This is a key task to build a bridge between the theoretical conceptualization of vulnerability and its practical application in decision-making processes. The Expert Working Group is an exchange platform for experts and practitioners from various scientific backgrounds and world regions dealing with the identification and measurement of vulnerability. Emphasis is given to the identification of the different features and characteristics of vulnerability, coping capacities and adaptation strategies of different social groups, economic sectors and environmental components.

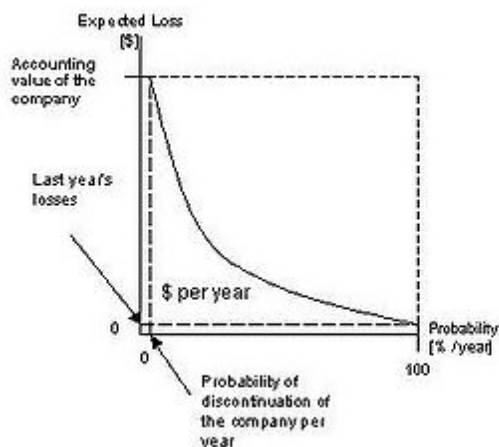
## **Risk assessment**

Risk assessment is a step in a risk management process. Risk assessment is the determination of quantitative or qualitative value of risk related to a concrete situation and a recognized threat (also called hazard). Quantitative risk assessment requires calculations of two components of risk:  $R$ , the magnitude of the potential loss  $L$ , and the probability  $p$ , that the loss will occur.

Methods may differ whether it is about general financial decisions or environmental or public health risk assessment.

### **Explanation**

Risk assessment consists in an objective evaluation of risk in which assumptions and uncertainties are clearly considered and presented. Part of the difficulty of risk management is that measurement of both of the quantities in which risk assessment is concerned - potential loss and probability of occurrence - can be very difficult to measure. The chance of error in the measurement of these two concepts is large. A risk with a large potential loss and a low probability of occurring is often treated differently from one with a low potential loss and a high likelihood of occurring. In theory, both are of nearly equal priority in dealing with first, but in practice it can be very difficult to manage when faced with the scarcity of resources, especially time, in which to conduct the risk management process. Expressed mathematically,



<http://en.wikipedia.org/wiki/File:Risk.jpg>

### **Risk assessment is a in financial point of view.**

Financial decisions, such as insurance, express loss in terms of dollar amounts. When risk assessment is used for public health or environmental decisions, loss can be quantified in a common metric, such as a country's currency, or some numerical measure of a location's quality of life. For public health and environmental decisions, loss is simply a verbal description of the outcome, such as increased cancer incidence or incidence of birth defects. In that case, the "risk" is expressed as:

If the risk estimate takes into account information on the number of individuals exposed, it is termed a "population risk" and is in units of expected increased cases per a time period. If the risk estimate does not take into account the number of individuals exposed, it is termed an "individual risk" and is in units of incidence rate per a time period. Population risks are of more use for cost/benefit analysis; individual risks are of more use for evaluating whether risks to individuals are "acceptable"....

### **Risk assessment in public health**

In the context of public health, risk assessment is the process of quantifying the probability of a harmful effect to individuals or populations from certain human activities. In most countries, the use of specific chemicals, or the operations of specific facilities (e.g. power plants, manufacturing plants) is not allowed unless it can be shown that they do not increase the risk of death or illness above a specific threshold. For example, the American Food and Drug Administration (FDA) regulates food safety through risk assessment. The FDA required in 1973 that cancer-causing compounds must not be present in meat at concentrations that would cause a cancer risk greater than 1 in a million lifetimes.

### **How the risk is determined**

In the estimation of the risks, three or more steps are involved, requiring the inputs of different disciplines:

Hazard Identification, aims to determine the qualitative nature of the potential adverse consequences of the contaminant (chemical, radiation, noise, etc.) and the strength of the evidence it can have that effect. This is done, for chemical hazards, by drawing from the results of the sciences of toxicology and epidemiology. For other kinds of hazard, engineering or other disciplines are involved.

Dose-Response Analysis, is determining the relationship between dose and the probability or the incidence of effect (dose-response assessment). The complexity of this step in many contexts derives mainly from the need to extrapolate results from experimental animals (e.g. mouse, rat) to humans, and/or from high to lower doses. In addition, the differences between individuals due to genetics or other factors mean that the hazard may be higher for particular groups, called susceptible populations. An alternative to dose-response estimation is to determine an effect unlikely to yield observable effects,

that is, a no effect concentration. In developing such a dose, to account for the largely unknown effects of animal to human extrapolations, increased variability in humans, or missing data, a prudent approach is often adopted by including safety factors in the estimate of the "safe" dose, typically a factor of 10 for each unknown step.

Exposure Quantification, aims to determine the amount of a contaminant (dose) that individuals and populations will receive. This is done by examining the results of the discipline of exposure assessment. As different location, lifestyles and other factors likely influence the amount of contaminant that is received, a range or distribution of possible values is generated in this step. Particular care is taken to determine the exposure of the susceptible population(s).

Finally, the results of the three steps above are then combined to produce an estimate of risk. Because of the different susceptibilities and exposures, this risk will vary within a population.

#### Small subpopulations

When risks apply mainly to small subpopulations, there is uncertainty at which point intervention is necessary. What if a risk is very low for everyone but 0.1% of the population? A difference exists whether this 0.1% is represented by \*all infants younger than X days or \*recreational users of a particular product. If the risk is higher for a particular sub-population because of abnormal exposure rather than susceptibility, there is a potential to consider strategies to further reduce the exposure of that subgroup. If an identifiable sub-population is more susceptible due to inherent genetic or other factors, there is a policy choice whether to set policies for protecting the general population that are protective of such groups (as is currently done for children when data exists, or is done under the Clean Air Act for populations such as asthmatics) or whether if the group is too small, or the costs too high. Sometimes, a suitable position is to at least limit the risk of the more susceptible to some risk level above which it seems too inequitable to leave them out of the risk.

#### Acceptable risk increase

The idea of not increasing lifetime risk by more than one in a million has become common place in public health discourse and policy. How consensus settled on this particular figure is unclear. In some respects, this figure has the characteristics of a mythical number. In another sense, the figure provides a numerical basis for what to consider a negligible increase in risk. Some current environmental decision making allows some discretion to deem individual risks potentially "acceptable" if below one in ten thousand increased lifetime risk. Low risk criteria such as these do provide some protection for the case that individuals may be exposed to multiple chemicals (whether pollutants or food additives, or other chemicals). But both of these benchmarks are clearly small relative to the typical one in four lifetime risk of death by cancer (due to all causes combined) in developed countries. On the other hand, adoption of a zero-risk policy could be motivated by the fact that the 1 in a million policy still would cause the death of hundreds or thousands of people in a large enough population. In practice however, a true zero-risk is possible only with the suppression of the risk-causing activity.

More stringent requirements, or even the 1 in a million one, may not be technologically feasible at a given time, or so expensive as to render the risk-causing activity unsustainable, resulting in the optimal degree of intervention being a balance between risks vs. benefit. For example, it might well be that the emissions from hospital incinerators result in a certain number of deaths per year. However, this risk must be balanced against the available alternatives. In some unusual cases, there are significant public health risks, as well as economic costs, associated with all options. For example, there are risks associated with no incineration (with the potential risk for spread of infectious diseases) or even no hospitals. But, often further investigation identifies further options, such as separating noninfectious from infectious wastes, or air pollution controls on a medical incinerator, that provide a broad range of options of acceptable risk - though with varying practical implications and varying economic costs.

Intelligent thought about a reasonably full set of options is essential. Thus, it is not unusual for there to be an iterative process between analysis, consideration of options, and then further analysis.

### **Risk assessment in auditing**

In auditing, risk assessment is a very crucial stage before accepting an audit engagement. According to ISA315 Understanding the Entity and its Environment and Assessing the Risks of Material Misstatement, "the auditor should perform risk assessment procedures to obtain an understanding of the entity and its environment, including its internal control." <evidence relating to the auditor's risk assessment of a material misstatement in the client's financial statements. Then, auditor obtains initial evidence regarding the classes of transactions at the client and the operating effectiveness of the client's internal controls. In auditing, audit risk includes inherent risk, control risk and detection risk.

### **Risk assessment in information security**

There are two methods of risk assessment in information security field, qualitative and quantitative. Purely quantitative risk assessment is a mathematical calculation based on security metrics on the asset (system or application). Qualitative risk assessment is performed when the organization requires a risk assessment be performed in a relatively short time or to meet a small budget, a significant quantity of relevant data is not available, or the persons performing the assessment don't have the sophisticated mathematical, financial, and risk assessment expertise required. Qualitative risk assessment can be performed in a shorter period of time and with less data. Qualitative risk assessments are typically performed through interviews of a sample of personnel from all relevant groups within an organization charged with the security of the asset being assessed. Qualitative risk assessments are descriptive versus measurable.

### **Quantitative Risk Assessment software**

Quantitative risk assessments include a calculation of the single loss expectancy (SLE) of an asset. The single loss expectancy can be defined as the loss of value to asset based on a single security incident. The team then calculates the annualized rate of occurrence (ARO) of the threat to the asset. The ARO is an estimate based on the data of how often a threat would be successful in exploiting a vulnerability. From this information, the annualized loss expectancy (ALE) can be calculated. The annualized loss expectancy is a calculation of the single loss expectancy multiplied the annual rate of occurrence, or how much an organization could estimate to lose from an asset based on the risks, threats, and vulnerabilities. It then becomes possible from a financial perspective to justify expenditures to implement countermeasures to protect the asset.

### **Criticisms of quantitative risk assessment**

Barry Commoner, Brian Wynne and other critics have expressed concerns that risk assessment tends to be overly quantitative and reductive. For example, they argue that risk assessments ignore qualitative differences among risks. Some charge that assessments may drop out important non-quantifiable or inaccessible information, such as variations among the classes of people exposed to hazards. Furthermore, Commoner and O'Brien claim that quantitative approaches divert attention from precautionary or preventative measures. Others, like Nassim Nicholas Taleb consider risk managers little more than "blind users" of statistical tools and methods.

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**Africa Population Institute**  
**P. O. Box 10842, Kampala Uganda**  
**Website: [www.africapopulation.net](http://www.africapopulation.net) Email: [info@africapopulation.net](mailto:info@africapopulation.net)**  
**Tel: +256-772/712-836998**

**AFRICA POPULATION INSTITUTE**  
**APPLIED PROJECT PLANNING AND MANAGEMENT**

PAPER CODES: **APDSW 401, APDPM 401, APDPA 404 APDHR 402**

1. a) Human/people are the greatest and most expensive asset to an organization. Discuss.
  - b) Discuss the role of the human resource manager in the organization
  - c) Discuss some of the barriers to effective communication
  
2. a) Compare and contrast project programs and project giving with relevant examples.
  - b) Mention some of the project planning and programs giving examples in your country.
  - c) Outline and discuss the different leadership styles
  
3. a) Why is project monitoring and evaluation done in organization
  - b) With a clear labelled diagram explain project management life cycle
  - c) Discuss different steps followed in project life cycle management.

**COMMUNITY PSYCHOLOGY**

PAPER CODES: **APDSW 404**

1. a) Differentiate between Negotiation and Mediation
  - b) If you are appointed to lead a team of negotiators, discuss the tactics that you would apply to effectively negotiate a deal!
  
2. a) Communication is very vital in negotiation, what is the importance of reading the non-verbal signs in negotiation?
  - b) With a well-illustrated diagram, explain the system of the model action in community psychology as a discipline.
  
3. a) Show the significance of community psychology to the empowerment and social justice
  - b) How would you prepare in case of any disaster

**NGO MANAGEMENT AND OPERATIONS**

PAPER CODES: **APDSW 403**

- 1 a) Distinguish between Non-Governmental Organizations and Non-Profit Organizations
  - b) Discuss the reasons why NGOs get involved in developing communities.
  - c) Explain the various examples of charitable organizations that you are aware of and the services they provide.
  
2. a) What is corporate social responsibility (CSR)?
  - b) Briefly discuss the approaches of corporate social responsibility.
  - c) Give the criticisms and concerns of corporate social responsibility.
  
3. a) Examine the core challenges that NGO's encounter in fostering development.



b) What is meant by the term personality trait theory? And discuss the big 5 personality traits.

### **DEVELOPMENT STUDIES**

PAPER CODES: **APDSW 403, APDPM 403**

1. a) Examine the effect of poverty on growth and development  
b) Explain different theories of development studies.  
c) Assess the solutions of poverty in developing countries.
2. a) Explain the importance of Affirmative action in development.  
b) Account for the groups of individuals who need affirmative action in your country?
3. a) Examine the relevance of community psychology in regard to economic development  
b) Discuss the advantages and disadvantages of decentralization of powers in developing countries.

### **DISASTER PREPAREDNESS AND MANAGEMENT**

PAPER CODES: **APDSW 405, APDPM 404, APDIR 404, APDPA 403**

1. a) Differentiate between crisis management and risk management  
b) Explain the different types of Disaster  
c) How has the population growth affected the disaster control?
2. a) As someone responsible for disaster response in your country; you are informed that river Nile has burst its banks, how would you handle the situation?  
b) Distinguish between personal mitigation and personal structural mitigation
3. a). Global warming is a great concern as a result of environmental degradation, what are the causes of environmental degradation in your country?  
b) Identify and elaborate the different types of crisis.

### **APDSW 405 Field Attachments Internship report Template**

1. Give a brief background of the institution where you were attached
2. Give a brief description of roles you were assigned
3. State the opportunities you encountered during the field excursion
4. Explain how you exploited those opportunities
5. Discuss the challenges that you encountered during the internship
6. State how you dealt with such challenges?
7. Suggest the recommendations to the institution where you were attached
8. What advice would do you give to Africa Population Institute