

Leadership Process: Action Planning



INCLUSIVE INSURANCE (MICROINSURANCE) REGIONAL TRAINING PROGRAM FOR INSURANCE SUPERVISORS

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Leadership: An Iterative Process

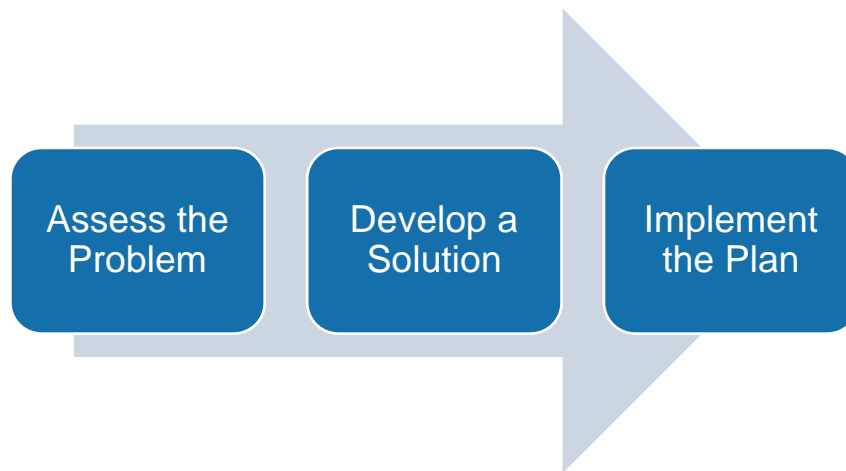


Action Planning Helps to Deal with Problems Effectively and Efficiently



- Contributes to the systematic identification and assessment of **problems and root causes**
- Facilitates the definition of clear **goals**
- Facilitates the assessment of **alternative solutions** and the selection of the best
- Improves the efficiency managing resources (IT, work force, management capabilities, etc.) in **alignment** with organizational priorities and performance goals
- It is an organizational **capability** that drives continuous improvement

Action Planning Methodology



A. Assess the Problem



1. Identify and describe the problem
2. Identify the causes
3. Understand effects
4. Consider priorities
5. State the problem precisely

A. Assess the Problem



1. Identify and describe the problem

A.1 Identify and Describe the Problem



- What is a Problem?
- Describe it briefly!
- Consider the problem in a broad context
- Gather information to support your assessment

A. Assess the Problem



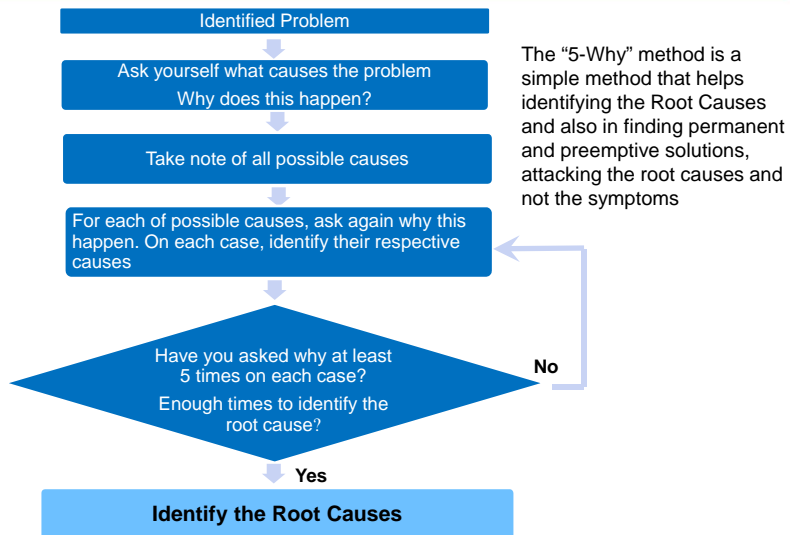
1. Identify and describe the problem
- 2. Identify the causes**

A.2 Identify Causes



- Factors that might have caused or are contributing to the problem
 - Macro factors: social, political, economic
 - Micro factors: supervised entity, agency
- What are the root causes?
 - Keep asking “why” to identify them!

A.2 Root Causes



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A. Assess the Problem



1. Identify and describe the problem
2. Identify the causes
- 3. Understand effects**

A.3 Understand Effects



- What is a stakeholder?
- Identify stakeholders that affect or are affected by your problem
 - Look Outward, Upward, and Inward: “OUI”
- How is each stakeholder affected?
- How do they perceive the problem?

A.3 OUI Model



OUTWARD

Owners
Managers
Supervisory/
Regulatory
Bodies

UPWARD

Executive
Legislative
Judiciary

OUTWARD

Service Providers
Trade Associations
Depositors
/Policyholders
/Investors
The Media

INWARD

You
Your Staff

A. Assess the Problem



1. Identify and describe the problem
2. Identify the causes
3. Understand effects
- 4. Consider priorities**

A.4 Consider Priorities



- Assess your problem prospectively
- What are the risks if you do not address the problem?
- What are the benefits if you do?
- Consider your readiness

A. Assess the Problem



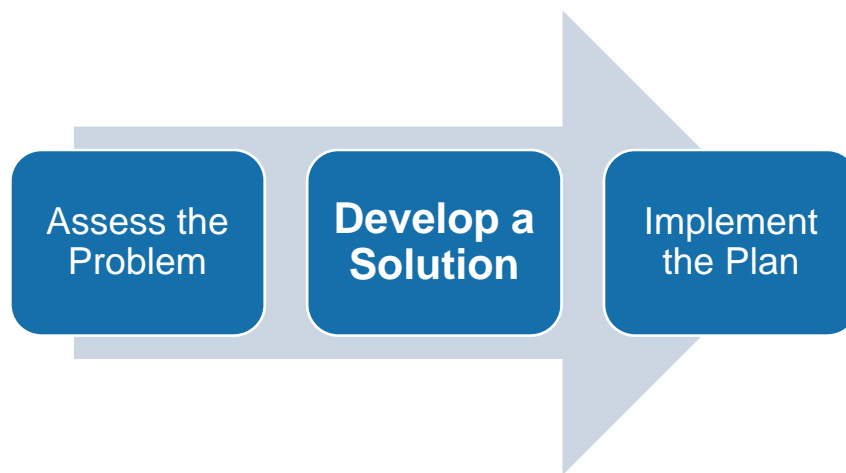
1. Identify and describe the problem
2. Identify the causes
3. Understand effects
4. Consider priorities
- 5. State the problem precisely**

A.5 State the Problem Precisely



- Convey its essence in a sentence or two
- Be sure you are stating the problem, not just symptoms!
- Enables the action plan to be clearly and properly focused
- Contributes to effective communication

Action Planning Methodology



B. Develop a Solution



1. Establish a goal
2. Consider alternatives
3. Outline the plan
4. Assess key stakeholders
5. Detail the action plan
6. Evaluate the plan

B. Develop a Solution



1. Establish a goal

B.1 Establish a Goal



- Visualize your preferred outcome
- Translate it into a **SMART** goal
 - **S**pecific
 - **M**easurable
 - **A**ctionable
 - **R**ealistic
 - **T**ime-bound

B. Develop a Solution



1. Establish a goal
- 2. Consider alternatives**

B.2 Consider Alternatives



- What alternatives might be used to reach the goal?
Think broadly!
- Select the most promising alternative
 - If you are unsure, work on more than one (in parallel)
for the next few steps and then decide

B. Develop a Solution



1. Establish a goal
2. Consider alternatives
- 3. Outline the plan**

B.3 Outline the Plan



- List a few big steps needed to implement your preferred alternative – not the details!
- Determine the appropriate sequencing
- Identify potential barriers and enablers for each step
 - What obstacles might you encounter?
 - Who or what might help you?

B. Develop a Solution



1. Establish a goal
2. Consider alternatives
3. Outline the plan
- 4. Assess key stakeholders**

B.4 Assess Key Stakeholders



- Identify key stakeholders – those with the power to hinder or help your plan
- Think about the problem, your preferred outcome, and your plan for achieving it from their perspectives
- Use the four-box model to analyze their needs, wants, interests, and concerns
- Consider alternatives if there is likely to be significant resistance

B. Develop a Solution



1. Establish a goal
2. Consider alternatives
3. Outline the plan
4. Assess key stakeholders
- 5. Detail the action plan**

B.5 Detail the Action Plan



- Break up the main steps into smaller steps
- Determine the timing
 - Sequencing
 - Target start and completion dates
- Identify responsibilities
- Estimate resources needed
 - Human, financial, physical

Action Plan Example: New Regulation

Action Step	Start	Complete	Responsibility	Resources
1. Perform research	Sep 2012	Nov 2012	Regulation	6 person-wks \$5,000
2. Develop proposal	Oct 2012	Dec 2012	Regulation, Supervision	4 person-wks \$5,000
3. Consult stakeholders	Jan 2013	Mar 2013	Management, Regulation	3 person-wks
4. Effect regulation	Apr 2013	Sep 2013	Regulation, MoF Legal	4 person-wks
5. Enforce regulation	Jan 2014	ongoing	Supervision	10 person-wks annually

B. Develop a Solution

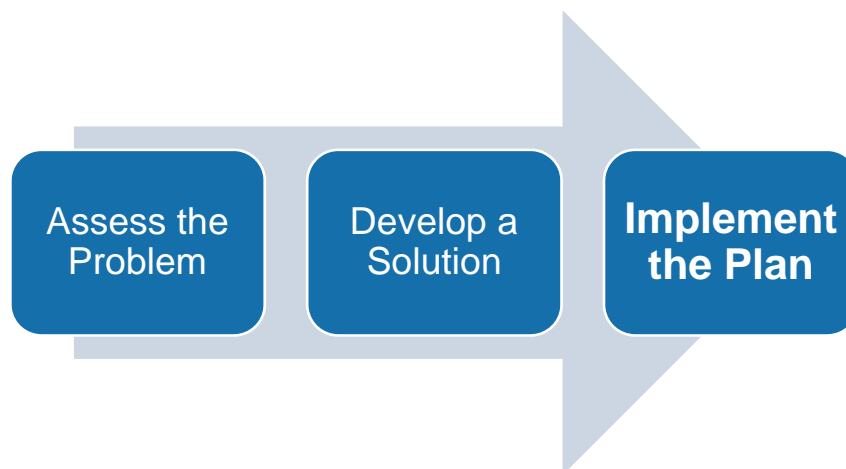
1. Establish a goal
2. Consider alternatives
3. Outline the plan
4. Assess key stakeholders
5. Detail the action plan
6. **Evaluate the plan**

B.6 Evaluate the Plan



- Step back and take an overall look at it
- Is it worth doing?
 - Is the timing right?
 - Are the necessary resources available?
 - Are the risks tolerable?
- If key risks are realized, what might you do?
- What is your contingency plan?

Action Planning Methodology



C. Implement the Plan



1. Sell the plan – use your communication plan
2. Establish the governance structure
3. Create the working plan
4. Manage the project team
5. Provide accountability

Action Planning: Methodology Outline Guide for the Week (See page 19 of Guide)



Action Plan Methodology – Outline

A. Assess the Problem

1. Describe the problem
 - Write a brief description of the problem
 - Consider the problem in its broad context
 - Gather information to support your assessment

2. Identify cause

- Consider what factors might have caused or contributed to your problem
- Some relevant factors might be macro in nature, while others might be micro
- Ask yourself "why" those factors exist until you have identified the root causes

3. Understand effect

- Identify stakeholders, the persons, groups, organizations, or systems that affect or are affected by your problem
- Look outward, upward, and inward
- Consider how stakeholder is affected by and perceives the problem

4. Consider priorities

- Assess your problem prospectively
- Consider the risks if you do not address the problem
- Consider the benefits that will be realized if you do find and implement a solution
- Consider your readiness to deal with the problem

5. State the problem precisely

- Convey the essence of the problem in one or two sentences
- Make sure that you are stating the problem, not describing your proposed solution!

B. Develop a Solution

1. Establish a goal

- Visualize the situation that will exist when your problem has been solved – your preferred outcome
- Translate it into a clearly-defined, SMART goal: specific, measurable, actionable, realistic, and time-bound

2. Consider alternatives

- Think in broad terms about the alternatives available to you for reaching your goal
- Select the alternative that you consider most promising
- If you cannot decide between two or more alternatives, work through the next two steps for each alternative and then decide

3. Outline the plan

- List a few big steps that you think will need to be done to implement your preferred alternative
- Determine the appropriate sequencing of these steps
- For each of the steps, identify potential barriers and enablers

4. Assess key stakeholders

- Identify the key stakeholders with the power to hinder or help your plan
- Think about the problem, your preferred outcome, and your plan for achieving it from the point of view of each key stakeholder, analyzing advantages and disadvantages using the four box model
- Consider alternatives if your approach seems likely to face significant resistance from key stakeholders

5. Detail the action plan

- Break up each main step in your outline into a number of smaller steps
- Be detailed enough so that you can make a reasonable estimate of the time and resources
- Determine the timing of each step, including sequencing and target dates at which each step will start and be completed
- Identify who will be responsible for completing each step
- Estimate the human, financial, and physical resources that will be needed to complete each step
- The plan itself should be SMART!

6. Evaluate the plan

- Take an overall look at your plan to assess whether it is worth doing
- Consider timing, resource availability, and riskiness
- If tricky risks are realized, what might you do in response?
- Prepare a contingency plan, if appropriate

C. Implement the Plan

1. Sell the plan
2. Establish the governance structure
3. Create the working plan
4. Manage the project team
5. Provide accountability

Elaborate Final Presentation



Action Planning: Deliverable for the Week Presentation Guide (See page 20 of guide)



Action Plan Summary

Name: _____ Country: _____

Toronto Centre Advisory Program: If you would like further advice from the Toronto Centre in refining your action plan, please check this box.

Precise Statement of the Problem:

Statement of the Goal: (SMART)

Action Plan:

	Action Step	Start	Complete	Responsibility	Resources ²
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

² Human resources (for example, person-days), financial resources, and other key resources (for example, special computer software) needed to carry out each action step.

Analysis of Key Stakeholders³

Key Stakeholder: _____

- Disadvantages of the current situation that support the need for action
- Advantages of your preferred outcome and your plan for achieving it
- Disadvantages of your preferred outcome or your plan for achieving it, concerns they might create, and how you might overcome the disadvantages and concerns
- Advantages of the current situation that will be retained
- The communication or persuasion approach that you will use with this key stakeholder

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³ Analyse the advantages and disadvantages from the perspective of each key stakeholder, using the four-box model. Use the results to develop a communication or persuasion approach for each key stakeholder.

Leadership: An Iterative Process



It's Natural to Resist Change because...



- Uncertainty, fear of the unknown
- Getting outside one's "comfort zone"
- Fear of incompetence, not having the skills, looking foolish (i.e., fear of failure)
- An imposed change
- A loss of control



It's Natural to Resist Change because...

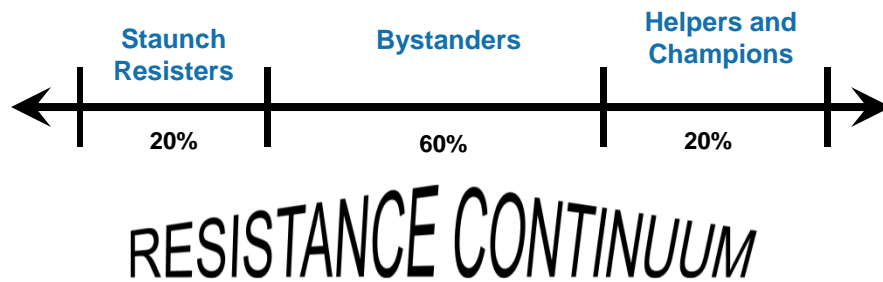


- Not enough information (e.g., why, what, how)
- Not understanding the purpose or benefits of the change
- Lacking clarity on expected outcomes
- Timing issues: too soon, too slow
- Experiencing other changes at same time
- Sense of loss

Most People are “Offside”



- Approximately 80% of stakeholders will be in mild to strong resistance at the outset of change.



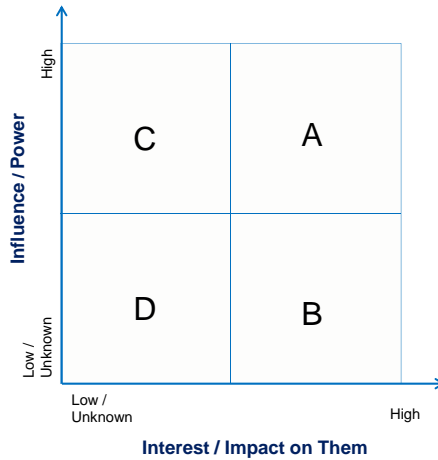
The Reality is...



- 2/3 of all change projects fail to realize their business goals
- 80% of impacted stakeholders start in “Resistance”
- The #1 predictor of change success or failure is the quality of the communications



Prioritizing Stakeholders



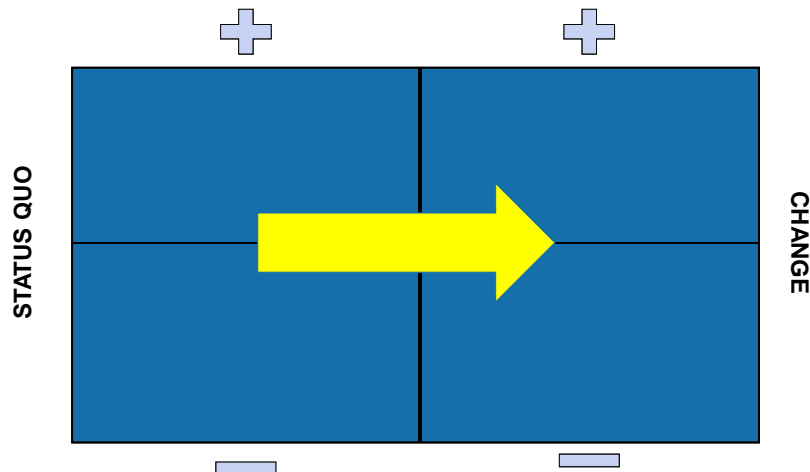
A: Develop a Clear Strategy to Influence and Communicate your Action Plan

B: Keep them well informed and manage expectations

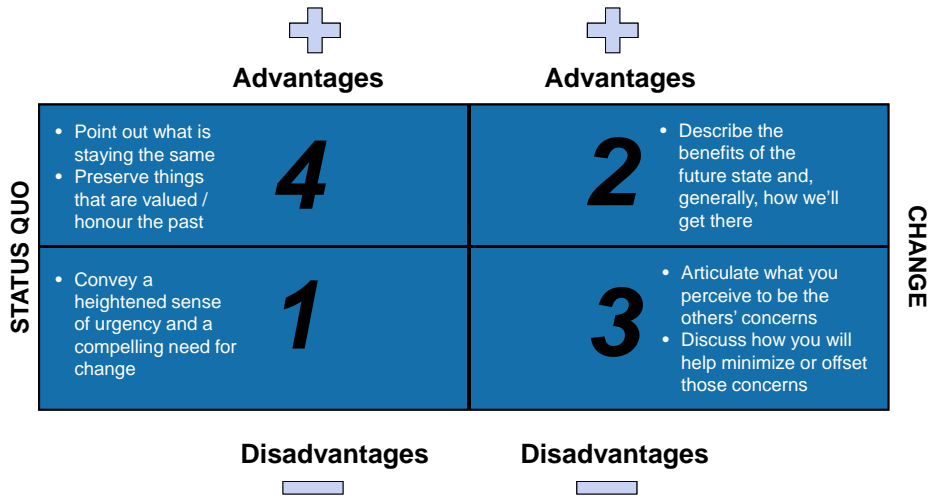
C: Their interests are not necessarily aligned, engage as required, keep satisfied

D: Low Priority. Monitor

Strategic Influencing (4-Box Model)

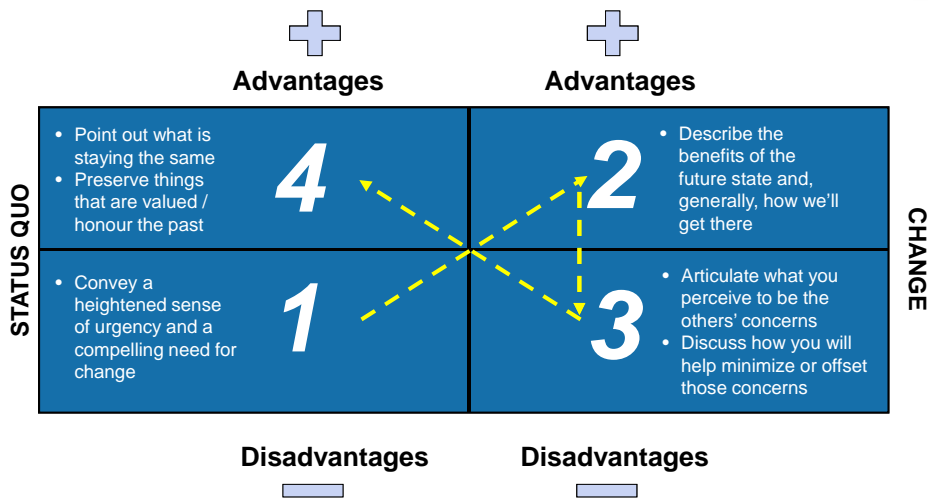


Strategic Influencing (4-Box) Model



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Strategic Influencing (4-Box) Model



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Keys to this Communications Approach

- Don't underdo Box 1 – it is important to present a compelling case for “why change”
- Don't overdo Box 2 – you can always return to this during Q&A
- Spend lots of time on Box 3 – you can't always resolve all issues, but validating them is important
- Keep the flow – don't go back and forth between boxes

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Thank you

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