DFID Department for International Development

Tools for Development

A handbook for those engaged in development activity

Performance and Effectiveness Department
Department for International Development
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The Contributors

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CIDT

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Foreword

Tools for Development draws together a range of techniques designed to help DFID officers and others undertake development activities and interventions of any size and kind.

This is a manual from which to pick and choose: you may need to employ different skills at different times or several skills at the same time. Some are more likely to be employed at the outset, or in the design stage. Some skills may be employed once; others will need to be revisited and may be revised as the activity or intervention continues. And the skills and techniques you start out with may need to be added to as you progress.

This document began life as an attempt to draw together many people s years of experience undertaking development activity. However, many of the skills outlined here, such as those relating to teamworking, facilitating group activity, influencing and negotiating, or conflict reduction, are ones that you will need in everyday life, whether within DFID or outside it. They will prove particularly useful when engaged in team-based and multi-disciplinary work that is becoming increasingly the means by which development activity is delivered.

Some skills and techniques, such as Situational Analysis, Risk Assessment, and the ability to complete a logframe, should be regarded as essential professional tools if you are to participate fully in delivering the Millennium Development Goals.

A guide, not a leader

You should not need to read this handbook from cover-to-cover in order to undertake a development activity or intervention. If you do, you might do better to approach your line manager about many professional training courses available. You should, however, read all of Chapter 1, to give you an overview of what *Tools for Development* is about.

Nor does this handbook go into the procedural detail covered in *Office Instructions*, which sets out DFID s specific activity-related requirements and your responsibilities with regard to them. Use of the tools should be tailored to the specific circumstances you face. They should be applied in a proportional manner. For complex major spending activities, full-scale application of most of the tools may be appropriate. In contrast, for small-scale spending and non-spending activities, it may be more appropriate to apply only a sub-set of the tools in a more limited manner.

For experienced development personnel, this handbook should be regarded as an *aide-memoire*. For others, called on to use a particular skill or technique in a particular circumstance, *Tools for Development* may provide an introduction to issues that may arise and offer potential solutions. Specialist training, however, may still be necessary. Indeed, it is expected, even intended, that you will analyse your professional development needs in relation to work you are planning to undertake, and will supplement the material introduced here by formal and structured training from DFID or external providers.

What next?

This handbook does not offer answers to everything, it isn t the last word on any particular subject, and it is a living document. If you find something particularly useful, it may be valuable for us to expand upon it; alternatively, there may be areas which still need refinement. Many organisations, large and small, successfully use different techniques and skills from those mentioned here; if you know of any others of particular value, Performance and Effectiveness Department would welcome information about them, possibly for inclusion in future editions.

Performance and Effectiveness Department
Department for International Development

Contents

1. Introduction and Overview

1.1 Introduction

Tools for Development aims to help you deliver successful development activities and interventions by giving you access to the skills and techniques you will need to do so.

The demand for it has come from DFID staff both in the UK and overseas who recognise that development initiatives inside and outside DFID need to be designed and managed using people-driven and performance-based management methods. Over the past decade, DFID has worked with others to develop new methodologies and refine earlier ones to support such approaches; the range of techniques from which to choose is still expanding.

How well we use these techniques, as well as the depth of our commitment to doing so, has implications for how we engage in promoting development. Important potential benefits include:

- ¥ Development activities and interventions with clearer and more realistic goals and objectives;
- ¥ Broader and deeper stakeholder participation resulting in more responsive activities, increased stakeholder commitment, and more efficient use of local resources;
- ¥ An increased capacity by local institutions to manage development activities and interventions;
- ¥ Stronger partnerships between DFID and our partners in the North and South;
- ¥ A common core of principles and best practice for managing DFID s portfolio of development activity.

In creating *Tools for Development* we have drawn on emerging experiences and best practices, as well as practical tips from DFID and our partners.

1.2 A word on words

Throughout this handbook we refer to activities to encompass different sorts of development initiatives; broadly, activities relate to both initiatives which result in a tangible product (an improved water supply, the establishment of a healthcare programme), and non-financial initiatives, such as influencing or working with international organisations and civil society on policy development.

The trick, however, is not to get hung up on the language: whatever task you undertake, inside or outside DFID, large-scale or small, requires the use of certain skills and techniques; *Tools for Development* simply aims to help you deliver those tasks.

1.3 A live instrument

This handbook is a living, evolving resource for you to use, add to, and comment upon. It is not a substitute for DFID s *Office Instructions* or other key guidance documents; indeed, at certain points, *Tools for Development* will refer you directly to *Office Instructions* on technical matters. And it is only one of a range of professional and personal development options available from DFID to build your individual and group skills in delivering progress towards the 2015 Millennium Development Goals.

You might use *Tools for Development* in several ways:

- ¥ To become a better-informed customer when using local and international consultants, becoming better able to identify, contract and manage consultancy support;
- ¥ To improve your skills and techniques when designing, conducting or facilitating development initiatives, especially when working in an team-based and/or multi-disciplinary environment;
- ¥ To share the fruits of your own experience with your colleagues.

Tools for Development offers a range of skills and techniques from which to choose. Section 1.7 of this chapter tells you how to work your way through it.

1.4 Types of development assistance

Development is a complex issue, not least because it operates at so many levels and in such diverse ways. Digging a well to provide water for a village may be one form of development, but determining the best and most equitable use for the water supplied by that well is another. So is determining the most appropriate and sustainable means for obtaining the water. And a wide range of factors may need to be taken into account: livestock management, crop use, upstream contamination or extraction may all affect water purity and quantity. And the supply of water drawn from that well may be the subject of trans-national debate over its ownership and use, or affected by global conditions such as climate change.

So DFID s forms of development assistance must be equally diverse, able to have immediate or short-term, medium- or long-term impacts. And they must be capable of application at a variety of levels.

1.5 Overview of tools and skills

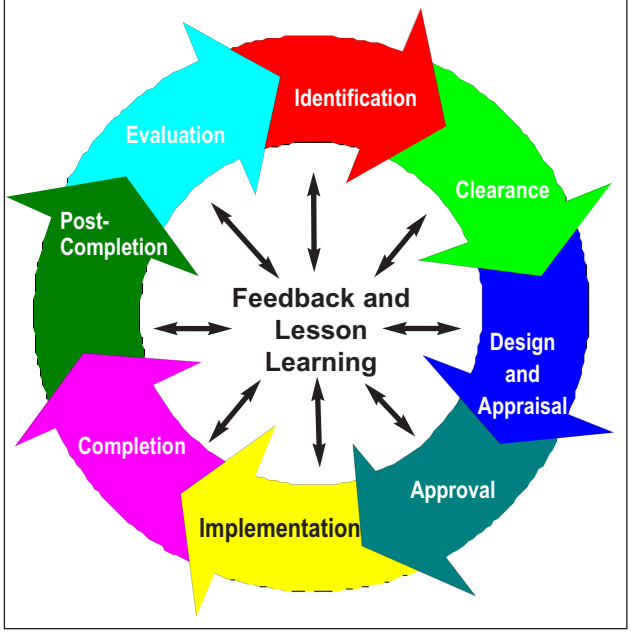
Many of the techniques and skills demonstrated in this handbook can be applied to any developmental activity or intervention, from short-term, small-scale project to high-level strategic interventions to influence the establishment of a pro-poor framework in, for example, international trade. They are equally applicable to internal as well as external DFID initiatives, where DFID is a primary initiator as well as where it is a secondary stakeholder. You should use those parts of this handbook you find useful, and set aside those you do not. Please let DFID s Development Policy Department know of any new methods of working you find of particular utility and wish to share with your colleagues.

Underlying DFID s approach to developmental activity are four principal aims:

- ¥ Promoting increased stakeholder participation;
- ¥ Generating feedback and learning at each stage;
- ¥ Using results-oriented management tools such as the Logical Framework; and
- ¥ Transforming your own attitudes, behaviours and skills in support of each of the above.

The skills and techniques available in this handbook can be applied to every stage of the Activity Cycle (see Box 1). For you, the opportunity and the challenge is how to use this handbook to reinforce participation and improve performance at each stage of the Cycle.

Box 1: The DFID Activity Cycle



1.6 The DFID Activity Cycle

Box 1 shows a simplified version of the DFID Activity Cycle. It shows the journey of a development activity from Identification to Evaluation. Throughout the life cycle of a development activity or intervention of whatever kind, a continual process of re-appraisal, lesson-learning and adjustment will take place.

Not every activity requires all the stages shown here, however; influencing interventions at the multilateral level, for example, will tend to omit the Clearance and Approval stages. But whatever the nature of the activity or intervention, it is important that the process of feedback and lesson learning takes place.

This is not done simply to refine an activity s outcomes, but also to enable those involved in the activity to enhance their own skills, techniques and insights. At the end of each stage of the activity, those involved in it should be able to ask themselves not just How could this stage have been better undertaken? but also, How could I have done better?

1.7 Using this handbook

The life cycle of any development initiative follows a certain broad pattern, from initial idea to completion and evaluation. *Tools for Development* is laid out in a way that roughly mirrors the cycle, and designed to assist you at every stage of the Activity Cycle. Box 2 demonstrates the tools and skills you can select from at each stage in order to improve your performance, and also indicates where particular chapters may be of use.

Box 2: Tools and Skills

Stage of Programme Cycle	Purpose	Tools/Skills
Identification *Chapters 2, 3*	To identify viable activity concepts and to develop a concept note	Stakeholder Analysis Key informant interviews
Problem and situational analysis *Chapters 2, 3, 6, 10*	To understand development problems, underlying causes and potential solutions	Stakeholder Analysis Group facilitation Key informant and focus group interviews Problem Tree Analysis Situational and Alternatives Analysis Participatory Approaches (PA), Participatory Rapid Appraisal (PRA) and Participatory Learning and Action (PLA) techniques Team building
Design *Chapters 2, 4, 5, 6, 10, 13*	To develop responsive and technically sound activity design capturing the commitment of key stakeholders	Stakeholder Analysis Facilitation skills Visioning Logical Framework analysis PA, PRA and PLA techniques Team building skills Social Development Handbook Environmental Handbook
Start-Up *Chapters 7, 8, 10, 11, 12, 13*	To build common vision of activity success; develop clear roles, responsibilities and time lines for implementation To develop Monitoring and Evaluation plans	Programme launch workshop Workshop to develop activity Monitoring and Evaluation system Team building Partnering workshops
Implementation *Chapters 2, 5, 9, 10, 11, 13*	To ensure smooth, efficient and effective implementation in partnership with government and implementing agencies To build commitment Build local capacity for activity management	Participatory leadership Stakeholder Analysis Logical Framework Analysis PA, PRA and PLA techniques Collaborative work planning Facilitation skills Team building skills Capacity building Partnering workshops
Monitoring, review, impact evaluation *Chapters 2, 8, 9, 10, 12, 14*	To generate useful information for improving activity performance To achieve accountability To increase local learning, commitment and capacity for activity management To learn lessons for future activities	Stakeholder Analysis Participatory monitoring and evaluation systems Participatory reviews and assessments PA, PRA and PLA techniques Impact evaluations
Building Partnerships *Chapters 2, 10, 12, 13, 14*	To build local capacity, commitment and sustainability To leverage local resources To expand benefits/impacts	Stakeholder Analysis Appreciative Inquiry Group facilitation Participatory leadership Team building skills

In initiating a development activity or intervention, the parameters of the issue to be tackled first have to be explored and understood. Who will be affected by what is proposed, whether positively or negatively? And what precisely is the issue that is being tackled? Chapter 2 (Stakeholder Analysis) answers the former question, while Chapter 3 (Problem and Situational Analysis) addresses the latter. Chapter 4 (Visioning) tries to help you establish precisely what is it that you are trying to achieve.

How do you get there from here? What is the logical progression from the current situation to the desired one? And what factors do you need to take into account? Chapter 5 (Logical Frameworks) provides the tools for the first two questions, while Chapter 6 (Risk Management) helps you determine what might threaten the success of the planned activity or intervention.

Delivering a successful development activity or intervention is not likely to be a solo undertaking: how will you work with your partners to achieve it? Chapter 7 (Participatory Methodologies and Management) offers insights into different ways of working in a participatory manner from conception to delivery, with particular

emphasis on participatory management techniques and on getting it right from the outset.

Chapters 8 to 11 focus on the different skills you will need in working collaboratively. Chapter 8 centres on working as a team; Chapter 9 on influencing and negotiating, rather than dominating an activity; Chapter 10 on building real partnerships between individuals and groups with possibly competitive aims in mind; and Chapter 11 on handling conflicts in a constructive manner.

Chapter 12 covers the various monitoring, reviewing and evaluating processes you will need to undertake from Day One. To us the analogy of a journey, the purpose here is to ensure that where you re heading is where you want to be going, and that where you ve got to is where you thought you were. Monitoring helps you ensure you re heading in the right direction. Reviewing means checking the compass every now and then to make sure you re not off-course and that the compass isn t being affected by magnetic rocks. Evaluating is about establishing where you ve got to, and working out if there s a more direct or less difficult route you can use next time.

Finally, Annexes 1 and 2 address particular techniques you may need to use at any stage of an activity cycle: how to facilitate workshops and courses (Annex 1), and the skills you will need as a facilitator (Annex 2). Annex 3 provides a list of references and suggested reading, and Annex 4 a number of potential training sources.

1.8 Lifelong learning

If this handbook is not a static document, it is because the work of promoting development cannot be a static one either. Organisations like DFID need to actively seek to learn lessons from its experience, sharing and applying them in such a way that the effectiveness of its future development activities is enhanced.

And because donors needs to be learning organisations, we must learn from the experience and knowledge of our staff and partners, actively incorporating them into the development of practices, policies, procedures and systems, to continuously improve our ability to achieve our objectives.

2. Stakeholder Analysis

2.1 Introduction

Who are the people who will benefit from any given development activity? And whose interests might be harmed by it? Identifying the stakeholders , large and small, individual and organisational, for any given activity is essential if all the people who could have a bearing on its success or failure are to have their voices heard. All stakeholders need to have their opinions taken into account, even if some are to be set aside at a later date.

Stakeholder Analysis allows managers to identify the interests of different groups and find ways of harnessing the support of those in favour or the activity, while managing the risks posed by stakeholders who are against it. It can also play a central role in identifying real development need — and that may mean devising a different programme from the one you thought you were about to embark upon.

Stakeholder Analysis should be an integral part of programme design, and appraisal. It is also a useful technique to use during reviews, missions and evaluations.

2.2 What is a stakeholder?

A stakeholder is any individual, community, group or organisation with an interest in the outcome of a programme, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way.

There are three main types of stakeholder:

- **Key stakeholders.** Those who can significantly influence or are important to the success of an activity.
- **Primary stakeholders.** Those individuals and groups who are ultimately affected by an activity, either as beneficiaries (positively impacted) or dis-beneficiaries (adversely impacted). In a rural roads activity, primary stakeholders might include both the petty traders and small farmers whose livelihoods are positively affected by the new roads, and those households who are adversely affected, such as by having to relocate because of road widening.
- Secondary stakeholders. All other individuals or institutions with a stake, interest or intermediary role in the activity. In a primary health care scenario, secondary stakeholders might include the local health workers, health department officials, the Ministry of Health, NGOs, DFID, other donors, private doctors and so on.

In reality, the distinction may not be clear-cut, with overlap between these main types: some primary or secondary stakeholders may also be key stakeholders.

2.3 Why do Stakeholder Analysis?

Stakeholder Analysis is used in the design and management of development programmes to identify:

- The interests of all stakeholders who may affect or be affected by a programme;
- Potential conflicts and risks that could jeopardise a programme;
- Opportunities and relationships to build upon in implementing a programme to help make it a success;
- The groups that should be encouraged to participate in different stages of the activity cycle;
- Ways to improve the programme and reduce, or hopefully remove, negative impacts on vulnerable and disadvantaged groups.

2.4 When to do it?

Stakeholder Analysis can be undertaken at every principal stage of the Activity Cycle (see Chapter 1, Box 1), and should be undertaken at the **Identification**, and **Design and Appraisal** stages. A review process at subsequent stages should be built into the design of the activity. One reason for undertaking Stakeholder Analysis throughout the life of an activity is because it fulfils different functions at different stages.

In **Identification**, the purpose is to undertake preliminary identification of key stakeholders. Here, it is important to identify important and influential stakeholders and decide how to involve them in design and appraisal.

In **Design and Appraisal**, undertaking detailed Stakeholder Analysis, involving all key stakeholders, is used as a basis for design and risk analysis.

At **Inception**, Stakeholder Analysis is used to plan the involvement of different stakeholders in starting up the activity.

At **Implementation**, Stakeholder Analysis is used as an *aide-memoire* to ensure the effective involvement of key stakeholders who support the programme, and to monitor key stakeholders who are opposed to it.

At **Evaluation**, it is important to review any analyses undertaken, and use them to plan the involvement of different stakeholders in reviewing and evaluating the activity.

2.5 Who should be involved?

Stakeholder Analysis should be undertaken with all stakeholders where possible, and in proportion to the planned activity. However, you may need to use your judgement over the practicality of doing so if the stakeholders are widely spread. At the same time, it is important to avoid skewing the analysis — and possibly threatening the viability or success of the activity — by failing to take into account the legitimate concerns of stakeholders simply because they are hard to reach or difficult to incorporate into your planning. If in doubt, it may be preferable to expand your planning horizon rather than exclude legitimate stakeholders.

There are different ways of undertaking such an analysis, but what is important is that any particular analysis, and the methods used to achieve it, meet the needs of the programme at that particular point in time.

Workshops, focus group discussions or individual interviews are three out of a range of techniques that can be used for this purpose (On workshops, Chapters 2.6 and 7.5 and Annex 1, and on focus groups, Chapter 3 Box 6 provide more detailed information). In all, the aim is for design and management teams to have identified all key stakeholders and to be aware of their potential impact on the activity and vice versa.

Whatever methods are used, the basic steps in any Stakeholder Analysis are:

1. Identify the key stakeholders and their interests in the activity;
2. Assess the influence and importance of each of these stakeholders in the activity.

2.6 Stakeholder Analysis workshops

The use of workshops to undertake Stakeholder Analysis is one method that has proved successful. It is not the only means of undertaking an analysis, but it is a common one. It assumes that stakeholders can be brought together and fairly represented in one space at one time, which may not always be possible. It also assumes that, once present, everyone will have an equal chance to participate, which may bias the activity in favour of the voluble, the urban-based, or the literate.

Nevertheless, the widespread use of the workshop format means that you are likely to encounter it on a fairly regular basis in the course of your work, so this section explains in fairly full detail how such a process operates.

The workshop method assumes that a facilitator is used, who can either be an outside professional or one of the participants. He or she should be experienced in Stakeholder Analysis. One facilitator can generally manage a process involving up to 25 participants. Above this number, a second facilitator may be needed.

Stage 1: Form working groups

Divide the participants into working groups of 4-6 people. Groups may either comprise individuals of similar background (e.g., managers, officials, etc) or be mixed. The participants should be involved in deciding on the constitution of groups, while the facilitator should ensure that all participants know why the groups have been formed in a particular way.

Stage 2: Inform participants about Stakeholder Analysis

Since participants need to understand their role and the purpose of the analysis, the facilitator should convey the information below. Flipcharts are ideal for this purpose.

The first flipchart should define who and what stakeholders are, using the definitions in 2.2. A key point for the facilitator to make is that stakeholders may be positively or adversely affected by an activity.

A second flipchart should define the reasons for undertaking Stakeholder Analysis, using the reasons

given in 2.3. The facilitator should give relevant examples for each of the bullet points.

- For bullet point 2, an example could be a flood control programme that benefits farmers (whose yields go up) but not fishers (whose catches go down). If the fishers are sufficiently angry, they may breach the embankments and the programme will fail.
- For bullet point 3, an example could be an urban poverty programme where an activity seeks to overcome problems caused by exploitative slum landlords. Here, the partners might include governmental ministries involved in social welfare, NGOs and community-based organisations. The activity s success may depend on building supportive links between these three stakeholders.
- For bullet point 4, an example could be to identify why the rural poor should participate in all stages of a rural livelihoods activity.

The third flipchart should show the three basic steps in undertaking a Stakeholder Analysis:

1. Identifying the main stakeholders using a stakeholder table (see Stage 3, below), and the reasons for their interest in the activity;
2. Identifying the influence and importance of each and showing them in a matrix (see Stage 4, below);
3. Identifying the risks that may affect activity design and discussing how they can be dealt with (see Chapter 6).

The fourth flipchart should show an illustrative Stakeholder Table (see Box 1), such as in Box 1, or one drawn from another activity.

Box 1: Stakeholder Table

Stakeholder	Interest in project	+ve / -ve
Small farmers	Higher output and incomes	+
Food traders	More sales	+
Labourers	More jobs	+
Moneylenders	Empowered clients	-
	Less business	-
Government officials	Success of project	+
	Possible loss of rent if farmers become empowered	-

Stage 3: Completing a Stakeholder Table

Participants should be asked to compile an initial Stakeholder Table for their own activity in small groups. An hour is usually adequate for this purpose. Only the main stakeholders should be listed at this stage, with no attempt to determine whether the stakeholders listed are key, primary or secondary.

Here, a useful method for each group is to:

1. Draw an outline table on a flipchart;
2. Identify stakeholders in a brainstorming session using Post-Its to write them down (one stakeholder per Post-It);
3. Place the stakeholders in the first column of the table;
4. Select (up to) ten main stakeholders. For each one, complete the other columns (again using Post-Its);
5. Check that no important stakeholders have been missed out. If they have, add them in and complete the other columns for them also.

At the end of this period, each group should present its findings to the others, followed by a discussion to identify common ground and differences of opinion. It may be possible to agree on a single table; if not, the facilitator should suggest that each group nominate one person to produce a single stakeholder table.

Stage 4: Influence and importance

Influence is the power a stakeholder has to facilitate or impede the achievement of an activity s objectives. Importance is the priority given to satisfying the needs and interests of each stakeholder.

In an urban livelihoods programme, local politicians may have a great influence over a programme by facilitating or impeding the allocation of necessary resources, while the urban poor (at least to start with) may have very little power to influence the outcome of the activity. At the same time, local politicians may have very little importance as far as the activity is concerned, since it is not designed to meet their needs, while the urban poor are central and very important to it.

A specimen Table of Importance and Influence is shown as Box 2. From the initial stakeholder table agreed by the participants, and using the headings shown in Box 2, list the main stakeholders in the first column. Ask the whole group to agree on influence and importance scores for each stakeholder, allowing sufficient time for discussion. To score each stakeholder, use a five-point scale where 1

Box 2: Table of Importance and Influence

Stakeholder	Importance	Influence
Small farmers	5	2
Food traders	1	3
Labourers	5	1
Moneylenders	1	4
Government officials	2	5

= very little importance or influence, to 5 = very great importance or influence.

Once each stakeholder has been scored, the facilitator should introduce the Importance / influence Matrix (see Box 3), and the scores transferred from the Table of influence and importance. The Matrix gives the relative locations of the various stakeholders, of whom those in Boxes A, B and C can now be identified as key stakeholders .

Box 3: Importance / Influence Matrix

High Importance / Low Influence	High Importance / High Influence
A	**B**
C	**D**
Low Importance / Low Influence	Low Importance / High Influence

The facilitator should explain the Importance / Influence Matrix as follows:

Those included in Boxes A, B and C are the key stakeholders in the activity: they can significantly influence it or are most important if the activity s objectives are to be met.

Box A shows stakeholders of high importance to the activity, but with low influence. They require special initiatives if their interests are to be protected.

Box B shows stakeholders of high importance to the activity who can also significantly influence its success. Managers and donors will need to develop good working relationships with these stakeholders to ensure an effective coalition of support for the activity.

Box C shows stakeholders who are of low priority but may need limited monitoring. They are unlikely to be the focus of the activity.

Box D shows stakeholders with high influence, who can affect outcome of the activity, but whose interests are not the target of the activity. These stakeholders may be able to block the activity and therefore could constitute a killer risk .

2.7 Other types of Stakeholder Analysis

There are many other techniques that can be used for Stakeholder Analysis. The important thing is that whatever technique is used, it should be one that is found useful.

Some other common forms of Stakeholder Analysis are set out in Boxes 4-9. Two detailed examples of Stakeholder Analysis can be found: the first (Boxes 10, 11 and 12) comprises the Stakeholder Table, Importance / Influence Matrix and Participation Matrix from an Icitrap training exercise; the second (Boxes 13 and 14) comprises a Stakeholder Table and a Power and Interest Matrix for the Dir District Development Project in Pakistan.

2.8 Risks and pitfalls

Stakeholder Analysis can go wrong. It is a tool, but it does not guarantee success:

- ¥The jargon can be threatening to many
- ¥The analysis can only be as good as the information collected and used (as in GIGO : Garbage In, Garbage Out);
- ¥ Matrices can oversimplify complex situations;
- ¥The judgements used in placing stakeholders in a matrix or table are often subjective. Several opinions from different sources will often be needed to confirm or deny the judgement;
- ¥Teamworking can be damaged if the differences between groups in an activity, rather than their common ground, are over-emphasised.
- ¥Trying to describe winners and losers , as well as predicting hidden conflicts and interests, can alienate powerful groups.

Box 4: Participation Matrix

Action Stage	Inform	Consult	Partnership	Control
Identification		Rural poor		Govt agency
Planning		Rural poor		Govt agency
Implementation			Rural Poor Govt agency	
Monitoring & Evaluation			Rural poor Govt agency	

The participation matrix is used to indicate the type of participation (from being informed about the activity to actually controlling it) by key stakeholders at different stages of the activity cycle.

For example, in a rural poverty initiative in which the aim is to fully empower poor people to ultimately take over and control that activity, it may only be possible for a government agency to consult the poor at the identification and planning stages. However, as the activity is implemented, a partnership with the poor (e.g., through groups or a facilitating NGO) may be established which, over time, involves the poor taking more and more control of the activity. As the poor gain more power, the government agency loses power and by the end is, possibly, only being consulted or informed about the progress of the activity.

Box 5: Impact / Priority Matrix

Stakeholder	Interests	Potential Impact	Priority of Importance
Primary			
Secondary			
External			

The Impact / Priority Matrix is another way of presenting the interests of different stakeholders and involves assessing the potential impact of different stakeholders. What power do different stakeholders have to facilitate or impede the successful implementation of the activity?

Box 6: Power and Interest Matrix

The Power and Interest Matrix can be a powerful tool in assessing the feasibility of an activity. It also ensures the management team focuses on how the activity should be trying to empower or reduce the power of different stakeholders.

In formulating the Matrix the power of key stakeholders to facilitate or impede the programme (from 1 = little power to 5 = great power) is assessed, together with the interest of the stakeholder in the success or failure of the programme (from —2 = great interest in failure, to +2 = great interest in success). See Box 14.

Box 7: Readiness / Power Matrix

Stakeholders	Readiness			Power		
	High	Medium	Low	High	Medium	Low
1.		O	X	X		
2.	X			O	X	
3.	X					X
4.			X		X	O
etc.						

The Readiness / Power Matrix is used in assessing how ready different stakeholders are to participate in an activity and how much power they have.

- ¥ Readiness is defined as **either** the amount a stakeholder knows about the activity **or** a stakeholder s view of the activity, whether positive or negative;
- ¥ Power is the influence a stakeholder has over the success of the activity;
- ¥ X is the position from which they start;
- ¥ O is the position we may decide we wish them to move to.

In the above example:

- ¥ 1 is a senior manager. It is in our interest to move his knowledge of our programme from Low to Medium.
- ¥ 2 is our middle manager direct counterpart. It is in our interest to increase his influence.
- ¥ 3 is a programme worker. We may decide we don t need to do anything about him / her.
- ¥ 4 is a competing middle manager who is disruptive to the activity and whose power needs to be lessened.

In all cases where we decide that we need to do something, we now have to decide what to do and how to achieve it.

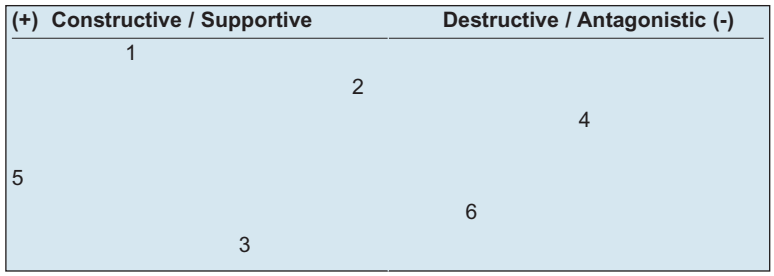
Box 8: Problems / Interests / Linkages Matrix

This Matrix is used to identify the problems different stakeholders have in the activity and the linkages between the stakeholders.

Stakeholders	Problems	Interests	Linkages

Box 9: Supportive / Antagonistic / Constructive / Destructive Matrix

The idea is to place the stakeholders in the Matrix, then decide where you need to move them to and how you are going to do it.



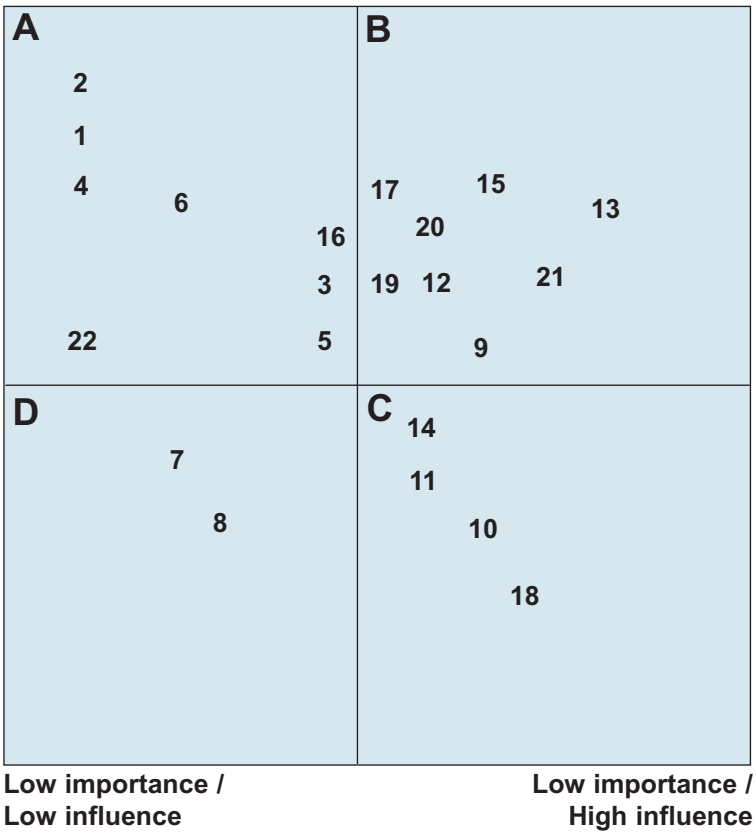
Box 10: Stakeholder Table Example from Icitrap Training Exercise

	Interests	*Likely impact of the activity*	*Relative priorities of interest*
PRIMARY STAKEHOLDERS			
Lower income men and women smallholders of East and West Marivi Districts			
	Enhanced quality of life	(+)	1
Women	Sustainable fuelwood sources	(+)	1
	Improved water supplies	(+)	
	Status	(+)	
Cash crop producers	Sustained yields and income	(+/-)	3
Forest adjacent dwellers	Enhanced quality of life	(+)	1
Large landowners: Ekim Cattle Owners Association (ECOA)			
	Sustained production and income	(+/-)	4
	Improved livestock services	(+)	
Fisher folk and processors	Sustained production and income	(+)	2
Market traders	Increased trading activity	(+)	4
Public service vehicle owners	Increased activity	(+)	5
SECONDARY STAKEHOLDERS			
GOVERNMENT AGENCIES			
Ministry of Forests and Environment (MoFE)			
	Achievement of objectives	(+)	3
	Better utilisation of existing infrastructure and resources	(+)	
	Better trained staff	(+)	
	Control of encroachment into Forest Reserve	(+/-)	
Yram Fuel Wood Project (YFWP)			
	Development of eucalyptus plantation in Forest Reserve	(-)	4
Ekim Natural Resources College (ENRC)			
	Better trained staff	(+)	3
	Control of training programmes and other activities	(-)	
	Improved training programmes	(+)	

Ministry of Tourism, Wildlife and National Parks (MoTWNP)			
	Achievement of programme objectives	(+)	3
	Development of tourism potential within Ekim	(+/-)	
	Better trained staff	(+)	
	Better utilisation of existing infrastructure and resources	(+)	
	Control of poaching	(+)	
	Buffer zone development		
Ministry of Agriculture (MoA)			
	Achievement of programme objectives	(+)	3
	Better trained staff	(+)	
	Better utilisation of existing infrastructure and resources	(+)	
	Buffer zone development	(+/-)	
	Control of encroachment into Forest Reserve		
National Cattle Breeding Programme (NCBP)			
	Control over stocking rates in Forest Reserve	(-)	5
Ministry of Water and Fisheries (MoWF)			
	Achievement of programme objectives	(+)	2
	Control of funds	(-)	
	Better utilisation of existing infrastructure and resources	(+)	
	Better trained staff	(+)	
	Reduced siltation in Lake Ekim	(+)	
Department of Women s Development, Ministry of Health and Population (MoHP)			
	Achievement of programme objectives	(+)	2
	Better utilisation of existing		
	infrastructure and resources	(+)	
	Better trained staff	(+)	
NON-GOVERNMENTAL ORGANISATIONS, COMMUNITY GROUPS, OTHER AGENCIES			
AFCON Nkonia	Development of operating capacity	(+)	4
	Income from consultancy, management and		
	training services	(+)	
Anglican Diocese of Ekim South (ADES)			
	Achievement of complementary objectives	(+)	5
Marivi Integrated Development Project (MIDP)			
	Achievement of complementary objectives	(+)	3
PROGRAMME DONORS			
EU	Fulfilment of sector policy objectives	(+)	3
	Institutional learning	(+)	
	Cost-effective disbursement	(+)	
World Bank	Achievement of complementary objectives	(+)	5
OTHERS			
Overseas training institutions	Income from consultancy work and from		
	training scholarships	(+)	5
MINOR STAKEHOLDERS			
Department of Roads (DoR) Methodist Church of Nkonia (MCN) Roman Catholic Church Spiritualist Church of Nkonia Ekim Ornithological Club (EOC)			

Box 11: Importance / Influence Matrix

Example from Icitrap Training Exercise



Primary

1. Lower income men and women smallholders of East and West Marivi Districts
2. Women
3. Cash crop producers
4. Forest adjacent dwellers
5. Large landowners and cattle owners — Ekim Cattle Owners Association (ECOA)
6. Fisher folk and processors
7. Market traders
8. Public service vehicle owners

Secondary

9. Ministry of Forests and Environment (MoFE),
10. Yram Fuel Wood Project (YFWP)
11. Ekim Natural Resources College (ENRC)
12. Ministry of Tourism, Wildlife and National Parks (MoTWNP)
13. Ministry of Agriculture (MoA)
14. National Cattle Breeding Programme (NCBP)
15. Ministry of Water and Fisheries (MoWF)
16. Department of Women s Development, Ministry of Health and Population (MoHP)
17. AFCON Nkonia
18. Anglican Diocese of Ekim South (ADES)
19. Marivi Integrated Development Project (MIDP)
20. EU
21. World Bank
22. Overseas training institutions

Box 12: Summary Participation Matrix Example from Icitrap Training Exercise

Type of participation	**Inform**	**Consult**	**Partnership**	**Control**
Stage in programme				
Identification		World Bank	EU	
		MoFE/YFWP/ENRC	MoWF	
		MoTWNP	Smallholders	
		MoA/NCBP	Women s Groups	
		MoHP		
Planning		World Bank	EU	
		MoFE/YFWP/ENRC	MoWF	
		MoTWNP	Smallholders	
		MoA/NCBP	Women s Groups	
		MoHP		
		AFCON		
		ADES		
		MIDP		
Implementation	EU	MoFE/YFWP/ENRC	MoWF	
	ADES	MoTWNP	NGOs AFCON?	EU
		MoA/NCBP	Smallholders	Project Office?
		MoHP	Women s Groups	
		AFCON?		
		MIDP		
		Forest adjacent dwellers		
		Cash crop producers		
		Large landowners		
		Fisher Folk		
Monitoring and Evaluation			MoWF	External
	EU		NGOs AFCON?	Consultants
			Smallholders	
			Women s Groups	

Box 13: Stakeholder Table

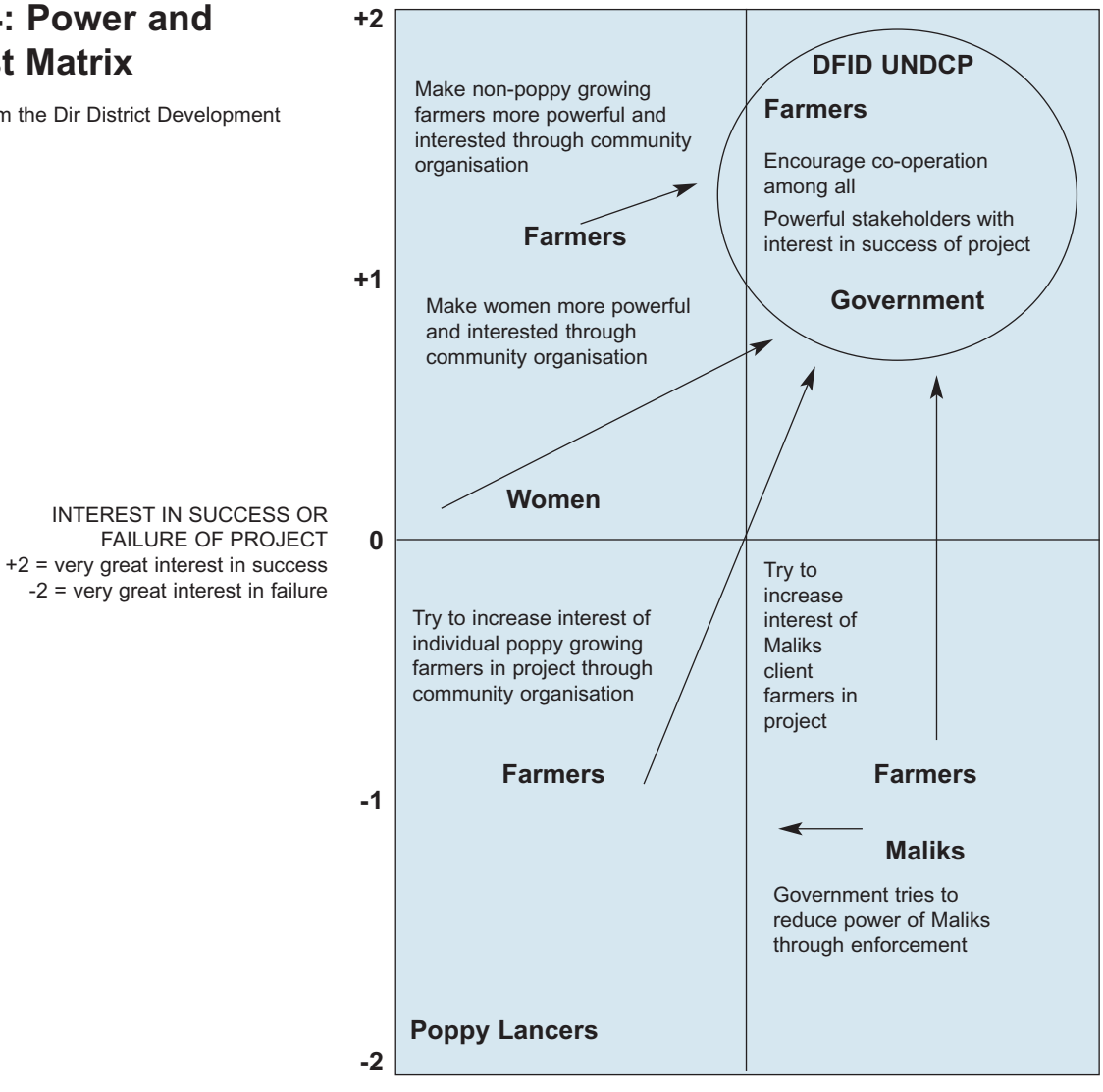
Example from the Dir District Development Project

The Dir District Development Project, in Northwest Frontier District of Pakistan is a project co-financed by DFID and the United Nations Drug Control Programme. It aims to encourage farmers to give up poppy cultivation.

Stakeholder	*+/-*	*Interest*
Local community	+	Socio-economic development
	+	Increase in non-poppy incomes
	-	Loss of poppy income
Farmers	+	Increase in non-poppy incomes
	-	Loss of poppy income
Women	+	New income-generating activities
	+	Drinking water and sanitation
	-	Increased workload
Men	+	Increased development
	-	Loss of control over women
Traffickers	-	Loss of business
	+	Easier transport
Politicians	-	Loss of influence/ control over development funds
	+	Increase in influence
GoP / GoNWFP	+	Extra funds for drug eradication
	+	Integration of Dir into Pakistan
	+	More jobs
	+	Pakistan compliance with international commitments
Line agencies	+	More funds
	+	Gain experience
	-	Resents interference in spending funds
	-	Pressure to participate with communities
UNDCP	+	Achieve policy
	-	Worry that development overrides drug control aims
DFID and other donors	+	Achieve policy objectives
	+	Institutional strengthening
	+	Support Pakistan compliance with international commitments
	+	Reduce world supply of opium
Special Development Unit	+	Learn from DDDP
Chief Minister	+	Enforcement
	-	To please MLAs
Project staff and consultants	+	Keen to attain project objectives
	+	Future employment
Contractors	+	Increased contracts
	-	Opposed to participatory approach
Maliks	-	May lose dominance to community organisations
Poppy lancers	-	Lose jobs and income

Box 14: Power and Interest Matrix

Example from the Dir District Development Project



Source: Steve Jones and Associates, Workshop Report, 1998.

3. Problem and Situational Analysis

3.1 Introduction

Together with Stakeholder Analysis, Problem and Situational Analysis can be another central tool in the design and management of any activity or intervention.

Problem and Situational Analysis helps to determine real - as opposed to apparent - development needs. In addition, it helps to bond programme participants together by identifying a variety of issues that may need to be dealt with, such as the roles of different partners in resolving those issues, or the timescale and resources needed to achieve a given solution.

Sometimes, for example, the analysis for a proposed activity may reveal upstream issues that need to be tackled before the apparent development activity downstream can take place. Or it may identify underlying issues affecting the sustainability of development benefits once the immediate activity is finished.

Problem and alternative analysis helps by:

- ¥ Building a better understanding of the underlying causes of development issues;
- ¥ Building stakeholder consensus;
- ¥ Identifying potential constraints;
- ¥Aiding the analysis of the real causes of the problem;
- ¥ Helping establish meaningful relationships with other implementers;
- ¥ Helping establish the actual size of the problem and the likely resources needed to tackle it;
- ¥ Helping establish DFID's comparative advantage against alternative ways of solving the problem.

3.2 When and how should it be used?

Problem and Situational Analysis can be undertaken at any stage of the activity cycle. However, it is most useful at the stages of **Identification**, and **Design and Appraisal**.

The three main techniques used for Problem and Situational Analysis are:

1. Problem tree analysis workshop with key stakeholders (see 3.3);
2. Focus group interviews with key stakeholders (see 3.4);
3. Participatory Rural Appraisal (see Chapter 7).

The first two techniques are complementary, and ideally should be used together. The third technique is covered in Chapter 7.

3.3 Problem tree analysis workshop with key stakeholders

Problem tree analysis is undertaken in a workshop setting, where a variety of stakeholders are brought together to analyse the existing situation. As with stakeholder analysis, an experienced facilitator will be needed.

The first task is to identify major problems, then the main causal relationships between them are visualised using a problem tree.

How to do it

During the Problem Analysis stage, it is important that as many possible options are examined as possible. Here, the aim is to establish an overview of the situation. Later in the process, the perspective will be narrowed and deepened in order to prepare an activity design. To do this, follow the steps outlined, using the examples in Boxes 2-5.

Linking the Problem Analysis with the logframe

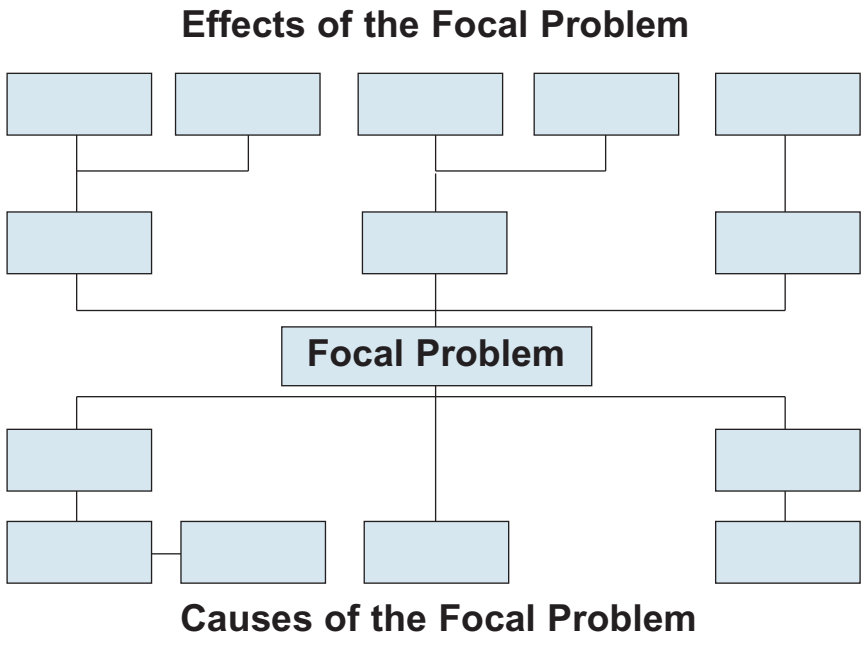
In some situations the Problem Analysis can be used to directly identify the hierarchy of objectives in the first or left-hand column of the logframe (see Chapter 5).

Box 1: Steps in undertaking a Problem and Situational Analysis

Guidance notes and key questions	Hints
Step 1: Formulate problems A. Stakeholders brainstorm suggestions to identify a focal problem, that is, to describe what they consider to be the central point of the overall problem. B. Each identified problem is written down on a separate card or Post-It.	Post-Its are a particularly useful device, otherwise use small cards, such as 5 x 3 record cards, and display them where all participants can see them. Try only to identify existing problems, not possible, imagined or future ones. What is a problem ? A problem is not the absence of a solution but an existing negative state: Crops are infested with pests is a problem; No pesticides are available is not.
Step 2: Select one focal problem A. The participants should discuss each proposal and try and agree on one focal problem.	What is a focal problem ? One that involves the interests and problems of the stakeholders present. If agreement cannot be reached, then: ¥ arrange the proposed problems in a problem tree according to the causal relationships between them; ¥ try again to agree on the focal problem on the basis of the overview achieved in this way. If no consensus can be achieved: ¥ try further brainstorming; ¥ select the best decision, e.g. by awarding points; or ¥ decide temporarily on one, continue your work but return at a later stage to discuss the other options. Whenever possible, avoid a formal vote by the participants to obtain a majority decision.
Step 3: Develop the problem tree A. Identify immediate and direct causes of the focal problem. B. Identify immediate and direct effects of the focal problem. C. Construct a problem tree showing the cause and effect relationships between the problems. D. Review the problem tree, verify its validity and completeness and make any necessary adjustments.	In developing the problem tree, the cards or Post-Its can be moved so that: ¥ the immediate and direct causes of the focal problem are placed in parallel beneath it; ¥ the immediate and direct effects of the focal problem are placed in parallel above it. Causes and effects are further developed along the same principle to form the problem tree. The problem analysis can be concluded when the stakeholder groups are agreed that all essential information has been included that explains the main cause and effect relationships characterising the problem.
Step 4: Developing the Objectives Tree A. Reformulate all the elements in the problem tree into positive desirable conditions. B. Review the resulting means-ends relationships to assure the validity and completeness of the objective tree. C. If required: ¥ Revise statements; ¥ Delete objectives that appear unrealistic or unnecessary; ¥Add new objectives where required. D. Draw connecting lines to indicate the means-ends relationships.	In the objectives analysis, the problem tree is transformed into a tree of objectives (future solutions of the problems) and analysed. Working from the top, all problems are reworded, making them into objectives (positive statements). Difficulties in rewording may be solved by clarifying the original problem statement. If a statement makes no sense after being reworded, write a replacement objective, or leave the objective unchanged. Check that meeting objectives at one level will be sufficient to achieve the objectives at the next level. Problems: If cause is A, then the effect is B Objectives: The means is X in order to achieve Y Note: Not every cause-effect relationship becomes a means-ends relationship. This depends upon the rewording. Working from the bottom upwards, ensure that cause- effect relationships have become means-end relationships. Draw lines to indicate the means-ends relationships in the objectives tree.

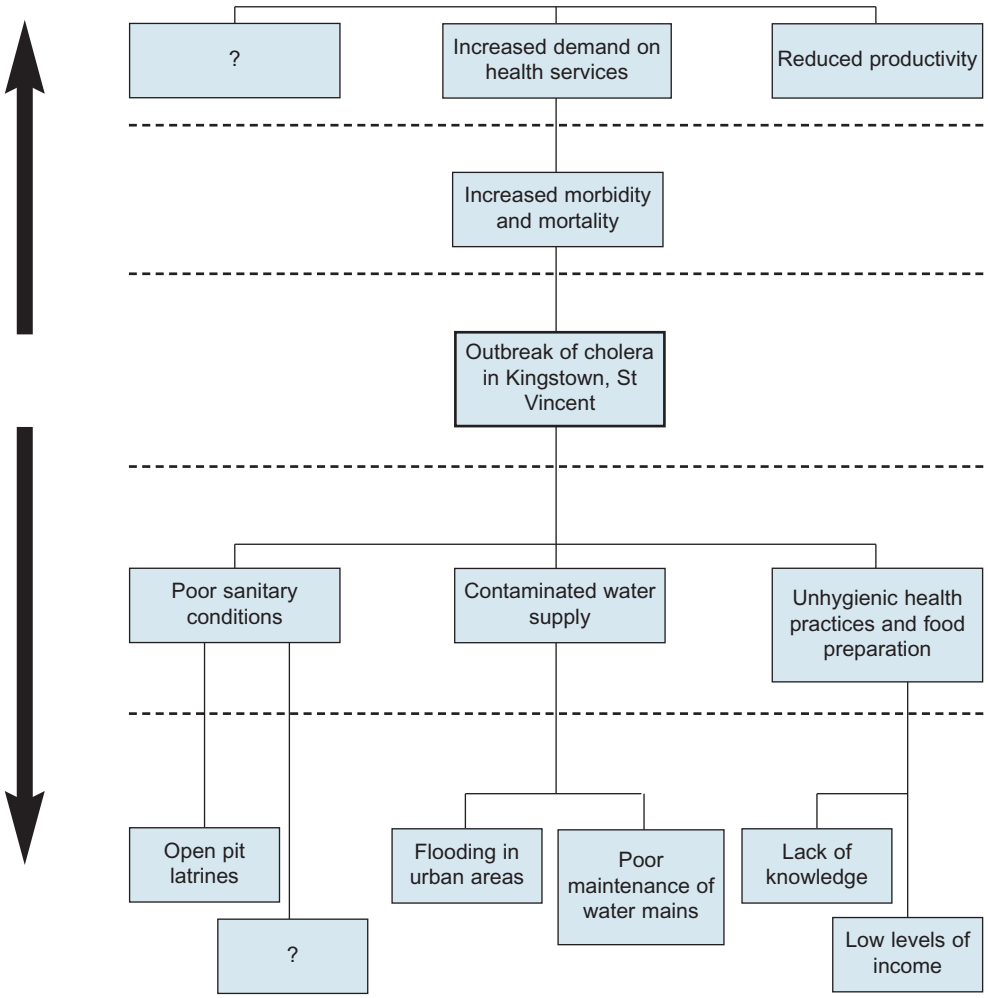
Step 5: Alternative Analysis A. Identify differing means-ends ladders, as possible alternative options or activity components. B. Eliminate objectives that are obviously not desirable or achievable. C. Eliminate objectives being pursued by other development activities in the area. D. Discuss the implications for affected groups.	The purpose of the alternative analysis is to identify possible alternative options, to assess their feasibility and agree upon one strategy for action. Possible alternative means-ends branches in the objective tree that could become activities are identified and circled. These means-end branches constitute alternative options . Alternative options should be discussed in the light of the interest groups that would be affected by them and the ways in which they would be affected.
Step 6: Selecting the Activity Strategy A. Make an assessment of the feasibility of the different alternatives. B. Select one of the alternatives as the activity strategy. C. If agreement cannot be reached, then: ¥ introduce additional criteria; ¥ alter the most promising option by including or subtracting elements from the objectives tree.	In selecting the most viable alternative a series of criteria should be developed and used. These could include: ¥ costs; ¥ benefits to particular groups, e.g. the poverty focus of the activity; ¥ the probability of achieving objectives; ¥ the social risks and costs; ¥ the assumptions made. Stakeholders should also agree on other criteria to use when assessing the viability of the alternative options. These could include: **Social criteria**. Distribution of costs and benefits, gender issues, socio-cultural constraints, local involvement and motivation; **Environmental criteria**. Environmental effects, environmental costs versus benefits. **Technical criteria.** Appropriateness, use of local resources, market suitability. **Institutional criteria.** Capacity, capability, technical assistance. **Economic criteria.** Economic return, cost effectiveness. **Financial criteria.** Costs, financial sustainability, foreign exchange needs.

Box 2: Structure of the problem tree showing causes and effects



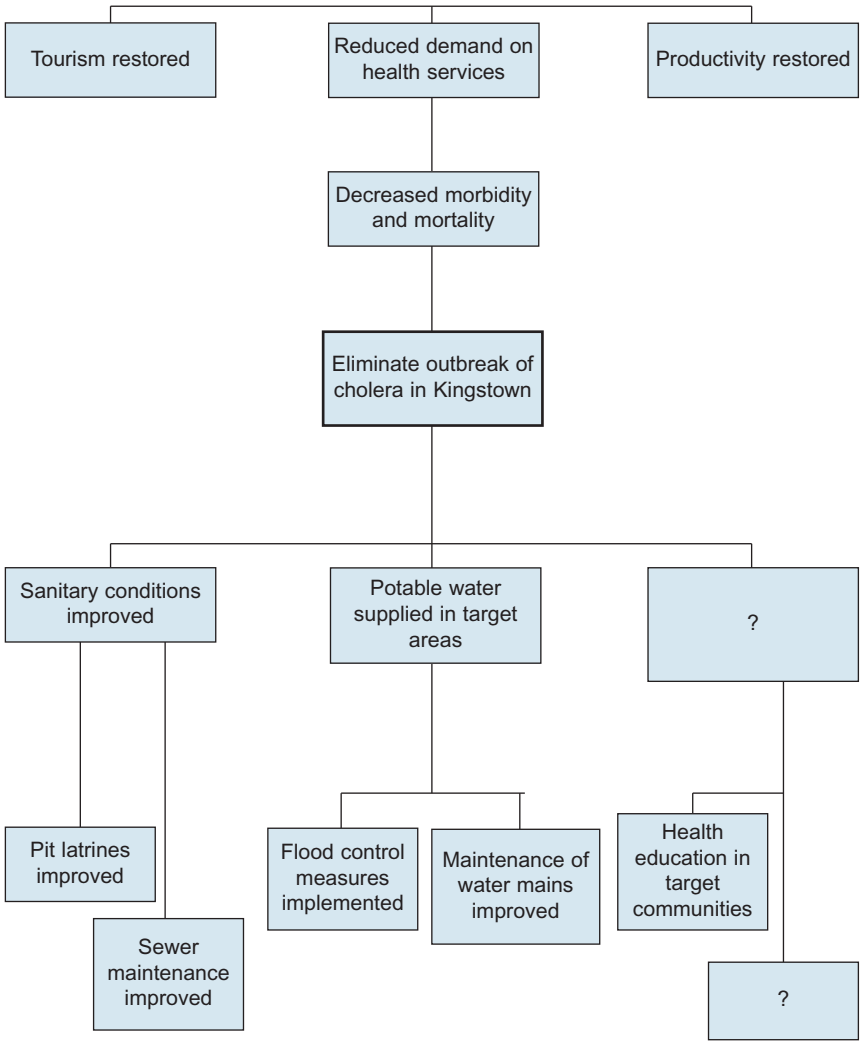
Box 3: Problem tree analysis

Define the focal problem, its immediate and direct causes and its effects



Box 4: Objectives tree analysis

Transform each problem statement into an objective



Box 5: Alternatives analysis

Using objective criteria, analyse which objectives should be central to the activity design

Alternative A: ??

Alternative B: Health Education

Source: Social Impact

3.4 Focus group interviews

Focus groups are a form of group interview used to guide, focus and inform planning and implementation of any activity, and to ensure that the activities undertaken respond to the needs of primary stakeholders. They are used to gain the views of stakeholders and to learn their perceptions about current or proposed activities.

Focus groups offer four principal advantages over other ways of working.

1. They have high face validity : for everyone involved, the technique looks as though it can measure what it says it will (people s opinions), it s transparent (everyone can see and hear what s going on), and those using the information can easily understand the results.
2. Focus groups place participants in a naturalistic, relaxed setting, assisting a higher degree of candour from participants as well as immediate cross-checking of responses from other group members.
3. Focus groups give their moderators the opportunity to probe and to explore unanticipated issues and diverse experiences.
4. Focus groups are rapid, low-cost data collection methods, making them especially practical for development planning and evaluation purposes.

Focus groups are not without their dangers. As with any group of people, the rules of group dynamics will apply: the views of the most voluble may overshadow those of the less talkative. And focus groups may be self-selecting, with those more confident of membership supplanting others with different but just as valid opinions. Hence the need for the careful selection of a facilitator, and for careful planning well in advance of the activity.

Focus groups can be used at each stage of the activity cycle.

In **Problem and Situation Analysis**, focus groups are used to understand user needs and requirements, or reactions to new or proposed product or service ideas.

During **Implementation**, focus groups can be used to ensure that activities are on track and performing to user standards.

At the time of **Completion**, focus groups can be used to determine to what extent an activity has accomplished its objectives and to identify lessons learned for improving future activities.

What is required?

Creating a focus group requires:

1. 8-10 open-ended questions (see below), carefully thought through and sequenced.
2. A group of 8-12 participants of similar background and experience (see below).
3. A moderator with knowledge of group dynamics and facilitating skills to ask the questions.
4. An assistant moderator to take notes.
5. A comfortable place where everyone can sit facing each other.
6. An optional inducement (such as a free lunch) to persuade people to attend.

An open-ended question is one that generates a range of responses. Are you well today? presumes the answer yes or no and is not open-ended. What do you think about the workshop? is open-ended: it invites any one of a number of answers.

Participants of similar background or experience are used to generate a variety of responses to the questions, but from people with a comparable body of experience. For example, when testing ideas for new management software, you might organise focus groups for office staff and others for field staff. The participants would have similarly broad backgrounds and knowledge, but their perspectives on the software s utility will differ.

The actual focus group should not take much longer than an hour. Analysis of the discussion and of your notes may take several hours.

Further guidance on conducting a focus group is provided in Box 6. Boxes 7 and 8 give examples of the use of focus groups in a development context.

Box 6: Guide for conducting a focus group

1. Think about the purpose of the focus group and the information you need very carefully. Do you really need the information? How will the information be used? How much is worth knowing?

2. Develop a basic set of open-ended questions. They should be sequenced so that more mundane and general questions are at the front-end. There should be a logical flow to the questions that is clear to the respondents.

Pilot test the questions to make sure they are clear. Memorise the questioning route so that you don t have to refer to it during your interview. This will keep the discussion flowing more smoothly.

3. Invite participants to your session well in advance and get firm commitments to attend. Contact people to remind them the day of the event.

4. Set up your working area and organise either a table or circle of chairs so that people can sit comfortably facing each other. Arrange for coffee, tea or lunch at the beginning of the session.

5. When people begin to arrive for the event welcome them and make them feel comfortable. When everyone has arrived, sit down and get started.

6. Open the session with thanks, a description of the purpose of the interview, any assurances about confidentiality, and an overview of the discussion topics.

7. The moderator should work through his/her questions, seeking a balanced input from all participants. Watching the time and knowing your bottom line questions, will mean that when time runs out, you have your most important information. You may need to probe for more details on important points, Could you tell me more about that?

The co-moderator should take notes, highlighting key points, important themes and patterns to the discussion. Don t try to take detailed notes, this will distract you. When you re through, thank people for their time and contributions.

8. Analyse your findings. This is the key step and it should take place right after the interview while things are still fresh. Plan to spend at least an hour with the co-moderator to discuss and analyse your findings. Now is the time to make detailed notes. Use this time as an opportunity to review and critique your questions and moderator skills.

9. Decide if you need to run additional focus groups to round out or deepen your analysis.

Box 7: Focus groups for designing HIV/AIDS interventions

As part of designing an HIV/AIDS activity in Kenya, the design team needed to have a deeper understanding of various issues and constraints related to the epidemic. Before moving to a large logframe workshop (see Chapter 5) the team decided to conduct focus group interviews with potential target groups and service providers:

- ¥ People living with HIV/AIDS
- ¥Youth
- ¥ Groups providing counselling and testing services
- ¥ Groups providing home-based care
- ¥ Business leaders, and
- ¥ Religious leaders.

Through the focus groups the team gained a much deeper understanding of HIV/AIDS-related problems, constraints and opportunities. At the same time, participants in the groups learned much about common problems they themselves were facing and their possible solutions. For example, counselling and testing groups discovered they all faced a critical issue about how to protect the confidentiality of HIV-positive clients. Through the discussion they were able to exchange ideas of how to achieve this. These issues were brought into the logframe workshop, where they were integrated in the design through an activity output dealing with improved counselling and testing services.

Source: Social Impact, 1998

Box 8: Focus groups to improve a worldwide strategy for poverty reduction

As part of a worldwide assessment of the World Bank s Poverty Reduction Strategy, focus groups were held in six countries. These involved Ministry officials, NGO leaders, academics and Bank watchers , and helped to generate a number of ideas and recommendations used to improve the Bank s poverty alleviation work.

What follows is the focus group interview guide, used in the two-hour discussions in each of the six countries. Before being used in the field, the guide was tested with a participant group at Bank headquarters. Interviews in local languages were conducted with the assistance of a local co-moderator.

Knowledge about the Bank s Poverty Reduction Strategy and assessment of its relevance to country conditions

- ¥ How would you define the overall goal of Bank assistance in your country?
- ¥ How would you describe, specifically, the Bank s Poverty Reduction Strategy in your country?
- ¥ How relevant is this strategy for actually reducing poverty in your country?

Strengths and weaknesses of Bank assistance for poverty reduction

- ¥ What are the major strengths of the implementation of the Bank s Poverty Reduction Strategy in your country?
- ¥ What are the major weaknesses in the strategy s implementation?
- ¥ What are some of the strengths and weaknesses in the way the Bank works with others - like different levels of government, NGOs and other stakeholders -in defining and implementing its Poverty Reduction Strategy?
- ¥ How does the Bank s work on poverty in your country compare with the work of other donors?

Looking ahead

- ¥ How can the Bank improve the design of its Poverty Reduction Strategy, whether in content or process?
- ¥ How can the Bank improve the strategy s operational effectiveness?
- ¥ Finally, if you could write a manifesto for priorities in poverty reduction in your country, what would be its major elements?

Source: Social Impact, 1999

4. Visioning

4.1 Introduction

Visioning is a technique used to assist key stakeholders in an activity or organisation in developing a shared vision of the future. It can be used in:

- **Activity planning**. What will be the end result of the activity? How will the lives of poor people have been improved as a result of it?
- **Organisational change**. What kind of organisation do we want? How will it be structured? What will be its core values and ways of working? How will effectiveness be improved?
- **Formulating development strategy**. See Box 3, overleaf.

Visioning is a powerful technique, which, if used effectively, can result in a shared commitment to a future vision and an energised team focused on what needs to be done to achieve that vision.

4.2 What is Visioning?

Visioning is a technique that is used to assist a group of stakeholders in developing a shared vision of the future. It involves asking the group to assess where they are now and where they can realistically expect to be in the future (Box 1).

4.3 When to do Visioning?

In planning a new activity, Visioning is usually done after the Problem and Situation Analysis has been completed and before developing a logical framework for the activity (see Box 2). The results of the Problem and Situation Analysis help the group to define State A (Where are we now?). The results of the Visioning workshop describe State B (Where do we want to be?), and can be used as an input to the logframe workshop. The vision provides a basis on which to develop the goal and purpose of the activity (see Box 3, overleaf).

Box 1: Visioning for an urban poverty programme

State A: Where are we now?

Over 3 million poor people in Luanda, Angola, live in shanty towns with poor housing, limited access to drinking water, insanitary living conditions (owing to lack of sanitation, solid waste management problems) and suffer difficult road access in rainy season.

State B: here do we want to be?

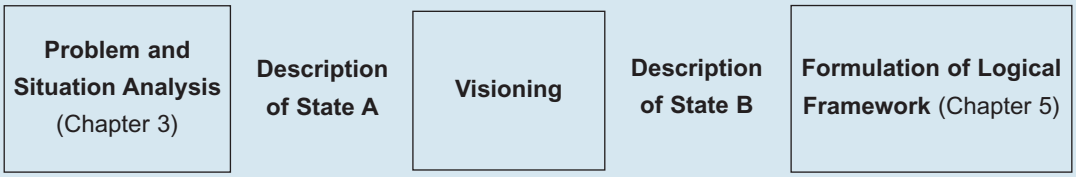
In 5 years, living conditions of 250,000 slum dwellers could be improved through the development and implementation of replicable, low-cost, community-managed systems for the provision and improvement of basic services.

In 10 years, living conditions of 1 million shanty town dwellers could be improved through provision of improved basic services.

At Implementation, Visioning can be used at any stage to help clarify where the activity is going (How will poverty be reduced as a result of the activity?) and to decide whether the activity design needs to be changed for the vision (the activity s purpose or goal) to be achieved.

Similarly in organisational change, Visioning is an essential step at the outset of the process (to gain a

Box 2: Where Visioning fits in



shared vision of the kind of organisation the group wants to develop) and during Implementation (to check that the change process is on track).

4.4 Who should be involved?

All the key stakeholders in a development activity or organisation undergoing change should be represented in the Visioning workshop. Ideally, representatives of all stakeholders should come together in the same workshop, and arrangements made to allow full participation by each stakeholder. The workshop described in Box 4, for example, took place in three languages.

Sometimes, if a new activity is being developed in an area where the poor have not previously been involved in development activity, it may be difficult for them to participate directly in a workshop. In this case champions , such as representatives from locally-based NGOs or social development consultants, should undertake participatory assessments with the poor, bring the results of that exercise to the workshop, and take the results of the workshop back to those same communities.

Box 3: Visioning a national development strategy

A DFID geographical department, together with other donors, was concerned that a country, just emerging from civil war, was unable to verbalise or prioritise its needs for assistance. The new, democratically elected government had few policies and was a coalition of interests; politicians were inexperienced in government and did not know how to teamwork with civil servants, producing antagonism and inertia.

A Diagnostic / Visioning workshop was mounted after careful consultation with the President and leading ministers composed of all ministers and deputy ministers, permanent secretaries and heads of departments, around 150 participants in all. The three-day workshop sometimes included parliamentarians as well. It was constantly televised and the media were on hand throughout.

The workshop followed the basic structure of the Visioning methodology and included group work on subjects identified in plenary sessions. A team of four facilitators from the UK and the region assisted them. A leading politician from a nearby country that had successfully embarked upon change supplemented the facilitators. Evening sessions were given over to unstructured discussions, often built around the viewing of episodes of Yes, Minister. This succeeded in creating a closer bond between politicians and senior civil servants. The workshop outcome was evident in the policy framework adopted by the Government from that time forward.

Mel Blunt, Organisational Development Associates

4.5 Facilitating Visioning workshops

Visioning workshops can be difficult to facilitate. Participants often require more support and encouragement than in other kinds of workshop. Because of this, one facilitator is generally needed for every 15 or so participants. If there is one professional or trained facilitator, it may be possible to find a second facilitator, with suitable skills and experience, from among the participants.

The key points for facilitators to keep in mind in organising Visioning workshops, include the following:

- Allow sufficient time. Four hours is the absolute minimum, and a full day is often needed.
- Start the workshop in the morning, so participants are fresh. This is especially important if the previous day has been spent in problem analysis.
- Recognise that some people are happier thinking at the level of day-to-day activities and may be sceptical of the value of Visioning. These people will need to be persuaded.
- Recognise that not everybody finds Visioning easy. Some participants will need support from colleagues and coaching by the facilitator, in order to make an effective contribution.

There are many different methods that can be used in Visioning. Two that have proved most useful are described in 4.6 and 4.7.

4.6 Visioning using pictures

This method is often used where participants speak different languages and/or many of the participants are illiterate. It can also be used in workshops with literate participants who all speak the same language, though the keywords approach (see 4.7) may be more effective for them.

Pictures can be very powerful ways of communicating, helping participants to show the relationships between different components and to visualise positive outcomes of an activity. Poetry, music or drama to aid the Visioning process can supplement the use of pictures.

The materials needed are large sheets of white paper and coloured flipchart pens.

Stage 1: State the objective

Use the Stage A to Stage B model to explain the objective of the workshop, that is, to come to a shared and realistic vision of how the lives of poor people can be improved by a given point in the future (e.g., 5 or 10 years hence). Agree with participants what the end product will be: a picture summarising the vision, which will also be described in words and written down.

A briefing document for participants at a 1997 Visioning workshop on primary education in Ethiopia is shown in Box 5.

Stage 2: Create working groups

Create mixed stakeholder groups of six or seven participants each. Ensure that the groups are gender-balanced. If it becomes clear that some stakeholders are not participating effectively in discussions (e.g., primary stakeholders, women, people who only speak a minority language) rearrange the groups to try to overcome the problem. If necessary set up single stakeholder groups and/or provide a higher level of coaching and support.

Stage 3: Describe State A

Ask each group to describe State A (Where are we now?) using a picture, and to be ready to present the picture in a plenary session. If a prior problem analysis has been undertaken, ask participants to reflect on the results of that analysis. If not, use selected problem analysis techniques to help the groups think through the current state and its causes (see Chapter 3).

Encourage participants to reflect for a while on their own before starting group discussions. The facilitators should move among the groups, encouraging participation, creativity and imagination.

Stage 4: Present State A

Ask each group to present its State A picture in a plenary session and to explain in detail what the picture is trying to convey. The facilitators should attempt to draw out the similarities and differences between pictures, and assist the workshop to reach a consensus description of the State A.

Stage 5: Describe State B

Ask participants to continue working in the same groups and to describe State B (Where do we want to be?),

Box 4: Links between Visioning and logical frameworks

It is not always necessary for all stakeholders to understand logical framework analysis (see Chapter 5). Indeed, logical frameworks can be scary to some people. In such situations, it can be useful to ask the same questions that are used in logframe analysis, but without presenting the findings in a 16-box matrix.

This was the approach used in the 1997 Ethiopia Basic Education Project stakeholder workshop. Here, there were 40 participants - parents, teachers, local, regional and national officials, and DFID advisers - speaking three different languages. Over a period of one week, the following questions were asked. Only at the end of the process was a logframe produced.

Question	Provides information on
Where are we now? What is the problem?	
What is our vision of the future?	**Goal**
Where would we like to get to in the next 5-10 years?	**Purpose**
What are the main things that need to be delivered by the project to achieve the vision?	**Outputs**
What needs to be done to deliver each of these?	**Activities**
How would you assess or measure that you are on track?	**Indicators**
Where would you get the information needed to make these assessments?	**Means of Verification**
What risks are there that the project might fail?	**Assumptions**

Once the workshop had reached consensus on each of these questions, one of the most articulate participants was shown how this information could be arranged into a logical framework; he presented the result to the other participants. A logframe was produced, but the most important thing was that participants gained a shared vision and reached a consensus on what the project would deliver.

Adapted from Tomas Kennedy and Steve Jones, *Ethiopia Basic Education Project Workshop Report*, 1997.

Box 5: A workshop brief provided to participants

Primary Education in Ethiopia: The Ideal Future

Stakeholder Workshop Visioning Process (Addis Ababa, November 1997)

Objective:

Imagine what the ideal future for primary education in Ethiopia would be

In what ways would the lives of children, teachers and education officials be different from now?

At this stage don t think of how the ideal future could be achieved, concentrate on describing what it would look like.

Small Group Work

Individual Preparation

- ¥ What would improving primary education achieve for Ethiopia?
- ¥ Make notes for your small group discussion.
- ¥ Draw a picture that shows, as best you can, what the ideal future for primary education in Ethiopia would look like if it were achieved.
- ¥ Discuss your picture, your thoughts and feelings with the rest of your group.

Small group discussion

- ¥ Each person shares their picture in turn with the rest of the group
- ¥ Listen carefully to each other. This is not the time for critical questions or analysis, but an opportunity to get a deeper understanding of how different individuals feel about the ideal future for the primary education sector.
- ¥Ask any questions you may have for clarification.
- ¥ Draw a group picture that conveys as much of the group s ideas as possible.
- ¥ Post the group s picture on the wall of the workshop room.

The General Session

- ¥ Each group views all the pictures.
- ¥A representative from each group should describe the picture to the other groups, who may also make comments about the ideas and feelings suggested by the picture.
- ¥Are there themes, ideas or emotions that are common to each group?
- ¥ Record the characteristics of the ideal future on flipcharts and use this information as a lead-in to the logframe session.

For facilitators, it is a good idea to take photographs of the groups at work, and of the pictures that they create. If you use a digital camera the photographs can be inserted quite easily into a workshop report. Otherwise they can be scanned and then inserted.

Adapted from Tomas Kennedy and Steve Jones, *Ethiopia Basic Education Project Workshop Report*, 1997

Box 6: Example of a vision statement

In five years, the Ethiopia Basic Education Project would result, in three regions of the country:

Pupils

- ¥All girls and boys of appropriate ages will be in school and achieve good levels of literacy and numeracy.
- ¥ More relevant curriculum taught in local language and including practical skills.
- ¥ Reduced drop-out, repeat and failure rates.

Schools

- ¥ Equipped and furnished primary schools with sufficient classrooms, libraries and laboratories.
- ¥ Schools will have adequate toilets for teachers and children and water supplies.
- ¥ Increasing numbers of schools will have electricity and access to modern teaching aids (e.g., videos, computers).

Teachers

- ¥Teachers will be well trained, better paid, respected and professionally interested.

Education officials

- ¥ Capacity to do their professional work will be enhanced, including their management skills.

Parents

- ¥Aware of the importance of education.
- ¥Will co-operate in the management of schools.
- ¥Will encourage their children to go to school.

again using a picture, and to be ready to present the picture in a plenary session. Encourage participants to imagine they have the authority and power needed to implement their preferred solutions to the problems identified in the State A description. An example could be: Imagine you are the Minister of Education and have the resources you need to bring about significant improvements in basic education. What could be achieved in 5 or 10 years?

Stage 6: Present State B

As with Stage 4, the facilitators should draw out the similarities and differences among the pictures presented. Now, the workshop should be assisted to reach a consensus on State B.

Stage 7: Turn the State B picture into words

The facilitators should now assist the workshop in translating the picture into words. This can be done either in plenary session or using a small group comprising members from each of the working groups. Once drafted, the statement of the vision should be agreed in a plenary session.

Vision statements are usually up to one page in length, though there is no fixed rule for this. An example of a vision statement for the Ethiopia Basic Education Project is shown in Box 6.

4.7 Visioning using keywords

This method is often useful where participants share the same language and are literate. The materials needed are flipcharts for working groups, coloured flipchart pens and Post-Its.

Stage 1: State the objectives of the workshop

As 4.6 Stage 1, except that here, the end product will be a written statement of the group s vision of the future.

Stage 2: Create working groups

As 4.6 stage 2, save that here, setting up single stakeholder groups will probably not be needed, although facilitators should still ensure that everyone has an opportunity to contribute, but not to over-contribute.

Stage 3: Describe State A

Explain to each working group that the aim is to create a list of keywords describing the current situation, then to use the keywords to develop a brief description of State A. The list of keywords and the description will be presented by a group member in a plenary feedback session.

If a prior problem analysis has been undertaken, ask participants to start by reflecting on the results of that analysis. If not, use appropriate problem analysis techniques to help the groups think through the current state and its causes (see Chapter 3). Encourage participants to reflect individually before starting group discussions. The facilitators should encourage full participation, creativity and imagination.

The facilitator should invite individuals to think, on their own, of five keywords that describe the current situation. The facilitator should then go round the members of each group in turn to supply one word, not previously said, to be written on a Post-It or card and placed on the flipchart or an area of wall. Once all the words have been recorded, the group should be asked to suggest how the keywords could be grouped to describe different dimensions of the current situation. These groupings of keywords can then be used as a basis for a brief description, in a few sentences, of State A.

The different descriptions of State A are then presented in a plenary session.

One of the facilitators highlights the similarities and differences between the descriptions, and assists the workshop to reach a consensus on State A.

Stage 4: Describe State B

Ask participants to continue working in the same groups and describe State B, using keywords to arrive at a brief description, and to be ready to present this in a plenary session. As in 4.6 Stage 4, facilitators should encourage participants to imagine they have the authority and power needed to implement their preferred solutions to the problems identified in the description of State A.

Each group is then asked to give a detailed presentation of its vision (State B) in a plenary session. One of the facilitators should attempt to draw out the similarities and differences among the presentations, and assist the workshop to reach a consensus on the vision of the future.

4.8 Organisational Visioning

The principal circumstances in which staff working to create development interventions will come into contact with Visioning, will be as shown in 4.6 and 4.7. Where the objective is to assist a group of stakeholders to envision

where they wish to get to, Visioning at an organisational level can be both more complex and more challenging.

Often, the most difficult thing for any collection of people to do is to imagine what the future of their organisation should look like. Here, it will be the facilitator s task to assist the participants through this Visioning.

Where an organisation is seeking in a workshop environment to review what its role should be, Visioning can be important to the overall success of the workshop process, by divorcing participants from the problems of the present. Visioning allows participants to visualise not only the future role and functions of the organisation but its purpose, its values and its style of operation. Participating in the process can help commit participants to that vision and can provide a base for obtaining subsequent commitment in the wider organisation. For instance, it is often used in change processes for police services in the form of a Statement of Common Purpose and Values, a mission or vision statement found on a plastic card in every police officer s pocket. The Visioning process, therefore, lies at the heart of organisational future planning and the change process necessary to bring it about.

Visioning is not a one-time activity, and self-limitations by participants — such as I couldn t possibly suggest that — may harm the outcomes, The facilitator must not be afraid of having repeated attempts, using different Visioning techniques, to create a common vision, if the initial results are unsatisfactory.

A keyword approach to undertaking an organisational Visioning workshop is shown in Box 7.

4.9 Guided visualisation

Whether used in creating a development activity, or change within an organisation, Visioning has one common feature: its participants should operate as equals, with the facilitator seeking to ensure that all are given an equal voice in the process of determining the future.

At one level this reflects DFID s own promotion of the role of partnership in development, where different partners bring different skills and resources to an activity, but for a common aim. While the doctor-patient approach to development assistance — this will be good for you —may have been consigned to history, many organisations operate on a basis of inherited vision — sometimes cloaked in spurious historicity as the founder s vision .

Box 7: Organisational Visioning: Where do we want to get to?

There have been many techniques developed to assist workshops to think through their vision of the future organisation. The most common and simple is to use keywords.

Having told workshop participants they are now going to visualise their organisation in the future, the facilitator can ask them to shout out single words that describe some aspect of their future organisation s operations.

The experienced facilitator may introduce some drama by asking them to close their eyes to visualise the organisation. The facilitator may also direct the participants thoughts in various ways given the words s/he uses to describe the task. Phrases such as give me a word that describes the feel of the organisation is more likely to result in words describing values and style whereas give me a word that describes what the organisation does will result in purposes, functions and roles.

The facilitator writes up all the words on a flipchart, adding the name of the person who suggested it. When new words have been exhausted, the facilitator asks the participants to concentrate on the words as a way of getting them back together as a group. Some words will overlap or describe roughly the same thing, but it is not the facilitator s task to recognise this.

The facilitator then asks the person who suggested each word to write a sentence about what the word means. Those participants who did not suggest a word can help the individual keyword champions . The results are then fed back in plenary.

It is possible to continue to produce a mission or vision statement on the flipchart in plenary, but this is often disruptive to the flow of the workshop. It is therefore best left to a group to undertake following the workshop, or a statement can be drafted by the facilitator during a break and fed back to participants later in the workshop. If the latter technique is used, it is useful to underline those participants words that have been used in the statement.

The resulting mission or vision statement will often have a concise, catchy beginning and then a list of functions and/or values attached to it. For example, This organisation [the Ministry of X] exists to It does so by / through

Mel Blunt, Organisational Development Associates

Here, the salient feature is that the vision was handed down from the top. Co-creating a vision is different: it results not in an imposed vision, but a shared one.

A shared vision is a collective awareness of what is important for the future, and, by being more likely to link past, present and future, can be a more holistic view of the organisation than an imposed vision.

Creating a shared vision, however, may need assistance, since, as management consultant Peter Senge describes (see Annex 3), there are several different ways in which a vision can be created, and only one of them involves co-creation:

- **Telling**. We ve got to do this. It s our vision. Be excited about this, or reconsider your vision of your future with us.
- **Selling**. We have the best answer. Let s see if we can get you to buy in.
- **Testing**. What excites you about this vision? What doesn t?
- **Consulting**. What vision do members recommend that we adopt?
- **Co-creating**. Let s create the future we individually and collectively want.

Guided visualisation is about drawing pictures in people s minds, and allowing them to act as co-creators, filling in the details of the general landscape that has been pictured. Box 8 shows how it can be used with large groups to focus on specific initiatives or areas of work.

Box 8: Creating a shared vision through guided visualisation

In Zambia, several hundred stakeholders were brought together to develop and implement a national HIV/AIDS programme and district action plans. Reading a short story about a better future, the facilitators guided the group through a half-day process to create a shared vision. Although the visualisation below relates to HIV/AIDS, it can easily be modified to suit your own purposes.

Ask participants to make themselves comfortable. Read the story slowly, with frequent pauses to allow the participants to visualise what is being depicted.

> Imagine yourself three years from now in the future.
>
> You have been away from Zambia since 2001 and are now just returning. On your flight, you recall receiving a letter from a former colleague.
>
> Your colleague invited you to visit her and see the many changes in HIV/AIDS programmes while you were away.
>
> She said that there have been many changes resulting from strengthened co-operation and collaboration among organisations, and between the district health teams, non-governmental organisations and donors.
>
> After your plane lands, you will be able to see the changes.
>
> As you and your colleague drive through the district, meeting people working on HIV/AIDS issues, you are pleased with the changes you see. Some changes are great, some small.
>
> Now describe what you have seen. What has changed for the better? Be as specific as possible.

Source: Social Impact

5. Logical Frameworks

5.1 Introduction

Logical Frameworks (usually referred to as logframes) are widely used by development organisations to help strengthen activity design, implementation and evaluation. They can be used in almost any context to identify what is to be achieved, and to determine to what degree the planned activity fits into broader or higher-level strategies.

Within the activity, the logframe helps to determine the role(s) to be played by different participants, and provide an accurate schedule of the actions that will need to be undertaken. It can also be used as the focus for discussions about amendments and alterations to an activity in the light of experience, while the activity is under way.

5.2 What is a logframe and how does it help?

The logframe is a simple but potentially powerful participatory tool. The essential questions it helps to address are set out in Box 3. If used correctly the logframe approach can help us to:

- ¥Achieve stakeholder consensus;
- ¥ Organise thinking;
- ¥ Relate activities and investment to expected results;
- ¥ Set performance indicators;
- ¥Allocate responsibilities;
- ¥ Communicate concisely and unambiguously with all key stakeholders.

5.3 Advantages

Most major donor agencies use logframes for planning, implementation and evaluation, because of the advantages they offer.

- ¥The logframe draws together all key components of the planned activity into a clear set of statements. This provides a convenient overview that is useful for busy staff. It can also act as an aid to the exchange of views amongst all those involved.
- ¥ It enables possible responses to weaknesses in past designs to be identified, documented, and lessons learned.
- ¥ It is easy to learn how to use.
- ¥ It is used internally for design and appraisal processes and externally with consultants working for DFID.
- ¥ It anticipates implementation and helps plan out development activities.
- ¥ It sets up a framework for monitoring and evaluation where planned and actual results can be compared.

5.4 Limitations

However, the logframe approach also has limitations. It begins with identifying problems (Problem Analysis). This can have the following consequences:

- ¥The process of problem analysis and this process can sometimes produce poor results. If this is the case a negative focus may pervade the rest of the logframe process. This may result in a limited vision. (See Chapter 4 on Visioning to try and overcome this problem)
- ¥ Starting with a problem analysis can be difficult in cultures where it is considered to be inappropriate to openly discuss problems or be critical of others
- ¥ Starting with a problem analysis is often not a suitable strategy where there is a great deal of uncertainty or where agreement cannot be reached on the main problem.

Over-emphasising objectives and external factors specified during design can cause rigidity in programme management. This can stifle innovative thinking and adaptive management.

It is not a substitute for other technical, economic, social and environmental analyses. It cannot replace the use of professionally qualified and experienced staff.

It requires a team process with good leadership and facilitation skills to be most effective. Without these skills the logframe process can falter and have negative consequences.

The process requires strong facilitation skills to ensure effective participation by appropriate stakeholders — this may take time.

Logframes are often developed after the activity has been designed rather than used as the basis for design. The use of the logframe late in the design process can be caused by:

- ¥A lack of understanding of the logframe approach by the design team;
- ¥The logframe being seen a bureaucratic requirement rather than as a design or management tool.

The whole culture of the logframe approach can be alienating for some stakeholder groups. For others the approach may be difficult to understand because of the language used.

5.5 How to develop a logframe

Box 1 provides some key points to completing a logframe. The best logframes are built upon clear stakeholder involvement. A participatory team approach is critical in the development of good logframe. The team should include not only the programme management and implementation people but also the key and primary stakeholders. In most circumstances a workshop approach works well: this may be allied to workshops being constructed as part of the process of Stakeholder Analysis or Visioning, or may be operated separately. It is likely that several of the participants from these other activities will need to be involved here, although timetabling for those with other pressing responsibilities may prove a difficult issue to resolve if several workshops are planned to run consecutively.

What follows is a simple step-by-step guide to developing a logframe. Follow the steps in numerical order working in small groups as part of a workshop process.

It is important to check the logic of the logframe (see Box 2). This is:

IF we undertake the activities AND the assumptions hold true, THEN we will create the outputs.

IF we create the outputs AND the assumptions hold true, THEN we will achieve the purpose.

IF we achieve the purpose AND the assumptions hold true, THEN we will contribute to the goal.

Box 1: Key Points to completing the logframe

A logframe is a 4 x 4 matrix, with a hierarchy of objectives (the project structure), indicators of performance, means of verifying the indicators and important risks and assumptions along the horizontal axis and goal, purpose, outputs and activities along the vertical axis.

The logframe should be simple and concise.

Goal, Purpose and Output must be specified in full, activities should be summarised where possible.

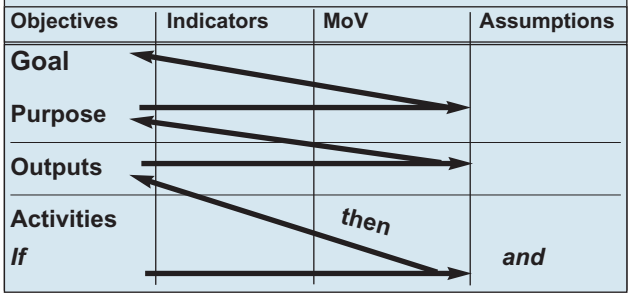
The logframe in a programme or project document should rarely be more than two or three sides of paper.

It should be a stand-alone document, comprehensive, at first glance, to the reader.

The logframe is utilised not only at the programme or project proposal stage, but throughout the implementation and eventual evaluation as a basic management and monitoring tool.

The logframe is a living document: it should be reviewed regularly during programme and project implementation.

Box 2: The If / And / Then logic that underlies the logframe approach



5.6 Types of Indicators

Indicators play a crucial role in logframe planning and analysis (Box 4). There are many different types of indicators: some are more common than others, some better than others, some easier to collect than others, some more widely recognised than others. The formulation of indicators has become a major field of development work, an indication itself that much of former and current practice may not be good practice.

Box 3: The logframe matrix

Project Structure	Indicators of Achievement (See 5.6)	Means of Verification (See Box 9)	Important Risks and Assumptions (See Box 8)
Goal What are the wider objectives which the activity will help achieve? Longer term programme impact	What are the quantitative measures or qualitative judgements, whether these broad objectives have been achieved?	What sources of information exist or can be provided to allow the goal to be measured?	What external factors are necessary to sustain the objectives in the long run?
Purpose What are the intended immediate effects of the programme or project, what are the benefits, to whom? What improvements or changes will the programme or project bring about? The essential motivation for undertaking the programme or project.	What are the quantitative measures or qualitative judgements, by which achievement of the purpose can be judged?	What sources of information exist or can be provided to allow the achievement of the purpose to be measured?	What external factors are necessary if the purpose is to contribute to achievement of the goal?
Outputs What outputs (deliverables) are to be produced in order to achieve the purpose?	What kind and quality of outputs and by when will they be produced? (QQT: Quantity, Quality, Time)	What are the sources of information to verify the achievement of the outputs?	What are the factors not in control of the project which are liable to restrict the outputs achieving the purpose?
Activities What activities must be achieved to accomplish the outputs?	What kind and quality of activities and by when will they be produced?	What are the sources of information to verify the achievement of the activities?	What factors will restrict the activities from creating the outputs?

Direct and Indirect Indicators

Direct Indicators are used for objectives that relate to directly observable change. This is usually at Output and Activity level in the logframe. A direct indicator is simply a more precise, comprehensive and operational restatement of the respective objective.

Indirect or Proxy Indicators may be used instead of, or in addition to direct indicators. They may be used if the achievement of objectives:

- ¥ Is not directly observable like the quality of life, organisational development or institutional capacity;
- ¥ Is directly measurable only at high cost that is not justified;
- ¥ Is measurable only after long periods of time beyond the life span of the activity.

Process and Product Indicators

It is important to measure not just what is done but how it is done; not just the products of an activity, but also the processes . Emphasis in development work is increasingly on the processes involved, where the means are just as important, if not more important, than the ends.

This is particularly the case in process work, where iterative processes are emphasised. Focus on the processes will generally lead to better targeting at real problems and needs, better implementation and improved sustainability. At the outset of a process-led task, it may be very difficult, and undesirable, to state precise outputs. Instead, outputs and activities may be devised for the first stage or year; then later outputs and activities are defined on the basis of lesson-learning.

Product indicators may measure the technologies adopted, the training manual in print and disseminated , or the increase in income generated. Process indicators are usually entirely qualitative and will assess how technologies were developed and adopted, how income was generated, and who was involved. At least some of these indicators will be subjective. End-users and participants may be asked to verify them, but the means of verification may still be less than fully objective.

Qualitative and Quantitative Indicators

The Quality, Quantity, Time (QQT) maxim for constructing an indicator generally works well. But its rigid application can result in performance and change that is difficult to quantify not being considered or given appropriate value. Just because a change may be difficult to quantify, or the analysis of qualitative data may not be straightforward, is not reason to ignore them. Instead, special effort and attention needs to be given to devising qualitative indicators. A balance of indicators is needed, some focusing on the quantitative, others on qualitative, aspects.

Quantitative indicators may relate to:

¥The frequency of meetings, the number of people involved;

¥ Growth rates;

¥ Climate data;

¥Yields, prices;

¥The up-take of activity inputs; e.g. loans, school enrolment, seeds, visits to the clinic, children vaccinated;

¥The adoption/implementation of activity outputs; e.g. technologies, manuals, newsletters or guidelines in use.

Qualitative indicators may relate to:

¥The level of participation of a stakeholder group;

¥ Stakeholder/consumer opinions; satisfaction;

¥Aesthetic judgements; e.g. taste, texture, colour, size, shape, marketability;

¥ Decision-making ability;

¥Attitudinal change;

¥The emergence of leadership;

¥The ability to self-monitor;

¥The development of groups and of solidarity;

¥ Behavioural changes;

¥ Evidence of consensus.

It is generally easier to measure behaviour than feelings; behaviour can be observed. So if an objective is to increase people s confidence in meetings , it may be appropriate to measure this by observing how often they speak and whether they speak clearly.

Box 4: Indicators

Indicators show performance. In logframe analysis and planning, they play a crucial role:

¥They specify realistic targets (minimum and otherwise) for measuring or judging if the objectives at each level have been achieved;

¥They provide the basis for monitoring, review and evaluation so feeding back into the management of programme/project implementation and into lesson learning and planning for other subsequent programme/projects (Box 11);

¥The process of setting indicators contributes to transparency, consensus and ownership of the overall objectives, logframe and plan.

Some important points:

Who sets indicators is fundamental, not only to ownership and transparency but also to the effectiveness of the indicators chosen. Setting objectives and indicators should be a crucial opportunity for participatory management.

A **variety** of indicator types is more likely to be effective; the demand for objective verification may mean that focus is given to the quantitative or to the simplistic at the expense of indicators that are harder to verify but which may better capture the essence of the change taking place.

The **fewer the indicators the better**. Measuring change is costly so use as few indicators as possible. **But** there must be indicators in sufficient number to measure the breadth of changes happening and to provide the triangulation (cross-checking) required.

SMARTER and SPICED Indicators

These indicators seek to examine different aspects of an activity s design. When defining the logframe s objectives (effectively the left-hand column), SMARTER helps in defining good and useful objectives. In the same way, SPICED helps when you are trying to define a relevant and comprehensive set of Objectively Verifiable Indicators, remembering that indicators have functions beyond simply attempting the measure the quantifiable aspects of an activity.

SMARTER Indicators	SPICED Indicators
Specific	**S**ubjective
Measurable	**P**articipatory
Achievable	**I**ndirect
Realistic	**C**ross-Checked
Time-Bound	**E**mpowering
+	**D**iverse
Enjoyable	
Rewarding	

Cross-Sector Indicators

Sector-based or technical indicators must be balanced by the inclusion of other more cross-sector indicators; for example relating to social issues, gender, the environment, and capacity building.

Formative and Summative Indicators

Formative indicators are set with a time-frame to be measured during part of, or across the whole of, an activity; hence, they are really synonymous with milestones. Summative indicators are used to measure performance at the end.

Boxes 5 and 6 demonstrate practical ways in which the logframe can be developed with different kinds of groups, Boxes 7 to 11 provide checklists for developing a logframe.

5.7 Living logframes

Logframes have great value in clarifying thinking about the task to be achieved and how to evaluate change. They also have value as a means of improving communication between participants in any given activity. And if they are constantly referred to and reported upon, people will understand what they are doing and why.

But logframes are dynamic, not static, and are therefore subject to change. There is a standard procedure for achieving this:

- Those managing any particular activity usually have the discretionary authority to change Activity level objectives for their logframe.
- Changes to Output level objectives require consultation with immediate managers or supervisors, but should be initiated by the person concerned.
- Changes to Purpose level objectives must be initiated by the level above and discussed with the staff affected.

However, changes impact downwards as well as up: changes to Activity level and Output level objectives may affect someone else s Purpose level objectives, so consulting downwards about proposed changes is always valuable.

Box 5: Logframe programme planning for primary education

Background

Structural adjustment in Kenya has placed an increased burden on all aspects of education and especially primary education, with a large proportion of poor families no longer able to afford school fees and related costs. As a result primary enrolment rates have declined dramatically since their peak in the mid-1980s.

In 1997 the Ministry of Education (MOE) developed a Master Plan for Education and Training (MPET) providing a broad framework for the development of the sector for 1998-2010. However, the Master Plan did little to place Primary Education within an operational programme structure.

Task

The purpose of the planning activity was to develop an overarching programme framework and operational plan for the sub-sector integrating current and planned Government of Kenya inputs with those of donors, NGOs and communities and set them against the MPET priorities. Social Impact designed and facilitated a week-long planning activity involving 35 senior MOE officials from the central and district levels and several education consultants. The activity was designed to tackle planning issues at the strategic, technical and operational levels.

The planning process first covered technical issues related to management of primary education, quality assurance, cost and financing, HRD, curriculum assessment and infrastructure. Social Impact then employed a participatory process using the logframe approach to guide intensive working groups to develop the following aspects of the programme:

1) A shared vision for primary education within MOE.
2) An assessment of opportunities and threats to primary education.
3) A clearly defined hierarchy of sub-sector objectives (a generic logframe).
4) Measurable indicators of sub-sector programme performance.
5) A detailed operational plan for the programme including work break down structures, time lines and responsibility charts for each of the programme components including integration of GOK and donor inputs.
6) Agreement on Next Steps for programme implementation.

Results/Customer Satisfaction

Through a simple survey, participants indicated a high degree of satisfaction with the logframe planning process and its results. The results included the creation of a shared vision for primary education, the comprehensive and realistic programme structure, consensus on critical program tasks and time lines, and clarification of roles and responsibilities for implementation.

MOE was especially pleased with the improved integration of donor and Government of Kenya inputs, the identification of gaps remaining for external financing and the specification of indicators of programme performance. In addition, MOE indicated it had gained an increased capacity for programme planning and management.

Source: Social Impact

Box 6: Learning logframe principles

Here, the exercise was to train all the staff at an international research centre. Training senior scientific staff in an experiential manner in a two-day workshop was easy, while training support staff proved a bigger challenge.

In order to enable support staff to relate to the logframe process, the topic of building a recreational swing for children was chosen. The principles of the logframe process, the structure and the internal logic of the approach were outlined and then the participants set to work.

A team of ten support staff developed the resulting logframe in a participatory manner within two hours.

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Risks and Assumptions
Goal: Integrated community with happy children and adults	Number of stressed families decreases by 50% Other communities adopt similar ideas	Reports from village clinic and counsellors Newspaper articles	Birth rate continues
Purpose: Children have fun, are busy and safe because there are more recreational facilities in the village.	75% of young children use the swing at least once a month 90% young children using the swing feel happier	User survey Participatory evaluation with the children	Safe recreation leads to happiness and community integration Facilities don t create conflict
Outputs: 1. Capacity within community to manage the building and long-term maintenance of the swing	6-monthly meetings after completion with >5 members. New members become involved at a rate of 2 a year. Swing maintained and in use over minimum 5 year period.	Minutes of meetings Ditto Maintenance and annual safety inspection records	People see the benefit of it Easy maintenance
2. A safe, well-built swing	Swing completed and in use in 12 months. Minimal number of minor accidents only. Minimal number of minor repairs needed.	Safety certificate on completion Accident records; bruises, minor cuts & hospitalisation Maintenance log	No vandalism Swing works Children like and use it Children don t fight
Activities: 1.1 Establish community committee	Planning team set up by x Committee chosen by x Monthly meetings during planning & building phase with >8 members.	Minutes of meetings Attendance records	Enthusiasm is maintained People support project
1.2 Set budget	Budget	Accounts	Low inflation
1.3 Raise funds	Enough money raised by x	Income/receipts	Money is raised
1.4 Set up systems for maintenance	Rota agreed amongst parents to maintain swing by x	Quarterly rota pinned on library notice board	Enough parents can be identified
2.1 Consult children	Ideas generated and incorporated in design	Plan discussed with designers	
2.2 Design it	Designed by x	Design in hand	
2.3 Get planning permission	Planning permission by x	Permit in hand	Permission given
2.4 Commission builder	Tenders issued by x Contract awarded by x	Documentation	Good builder No strikes
2.5 Build it	Completion by x	Documentation	
2.6 Test it	Tested by builders by x	Verbal report	
2.7 Safety inspection on completion	Inspection by x	Certificate in hand	No accidents
2.8 Carry out user survey and participatory evaluation with the children	Survey carried out by x	Findings displayed in public library	

Source: CIDT, University of Wolverhampton

Box 7: Checklist for Objectives column of the logframe

For checking Column 1 of the logframe:

1. Do the Objectives answer:

¥ Goal Greater Why?

¥ Purpose Why?

¥ Outputs What?

¥Activities How?

2. Does the logic work?

¥Vertical logic in Column 1;

Then

If

¥Are the Objectives necessary and sufficient?

3. Where are the boundaries of the programme or project?

4. Is there only one Purpose?

5. Is the Purpose too remote from the Outputs?

¥ Is it assessable?

¥ Is the causal link reasonably strong?

6. Do we see Process as well as Product objectives?

7. Are the Outputs and Activities linked /cross-numbered?

Source: CIDT, University of Wolverhampton

Box 8: Checklist for Risks and Assumptions

For checking Column 4 of the logframe:

1. Have all the risks been identified?

¥ Stakeholder analysis?

¥ Problem trees, etc?

2. Are the risks specific? Or too general?

3. Are the risks/assumptions at the right level?

4. Does the logic work?

¥ Diagonal logic between Columns 1 and 4

Then

If And

¥ Necessary and sufficient?

5. Where risks are manageable, have they been managed?

¥ Where possible, have they been turned into Activities and Outputs? i.e. moved into Column 1?

6. What are the pre-conditions?

7. Should the activity proceed in view of the remaining assumptions/risks?

Source: CIDT, University of Wolverhampton

Box 9: Checklist for Indicators and Means of Verification

For checking Columns 2 and 3 of the logframe:

1. Are the Indicators QQT ed? (Quality Quantity and Time)

2. Are the Indicators and Means of Verification:

¥ Relevant

¥Valid

¥ Reliable

¥ Measurable / verifiable

¥ Cost-effective / proportionate?

3. Are the Indicators necessary and sufficient?

¥ Do they provide enough triangulation?

4. Are the Indicators varied enough? Do you have indicators that are:

¥ Product and Process

¥ Direct and Indirect

¥ Formative, Summative and beyond

¥ Qualitative and Quantitative

¥ Cross-sectoral?

5. Who has set / will set the indicators? How will indicators be owned?

6. Are the data collection / Means of Verification

¥Already available

¥ Set up where necessary within the programme or project?

7. Is there need for baseline measurement?

Source: CIDT, University of Wolverhampton

Box 10: The Logical Framework: Project Design

Start work on the Project Summary and Assumptions (Columns 1 and 4). Return to Columns 2 and 3 later.

Step 1: Define the Goal

What is the wider sector or programme goal? What overall need or problem are you trying to address? The goal does not change. It is effected by other factors outside the project. A group of projects may share a common goal.

Step 2: Define the Purpose

What is the rationale for what is planned? What impact do you hope to make? How will the client/user benefit? The purpose often relates to how outputs will be used or implemented. The purpose may be effected by factors outside your project.

Step 3: Define the Outputs

What will be the measurable end results of the planned activities? What results will the activity be directly responsible for? Given the necessary resources, the management team will be directly accountable for the outputs.

Step 4: Define the Activities

What will actually be done to achieve the outputs? This is a summary presentation showing what needs to be done to accomplish each output.

Step 5: Verify the vertical logic

Use the If/Then test to check cause and effect. If the given activities are carried out, will the stated output result? And so on up Column 1.

Column 1: Summary - Hierarchy of Objectives	Column 2: Objectively Verifiable Indicators (OVIs)	Column 3: Means of Verification (MoV)	Column 4: Assumptions and Risks
Goal			Goal assumptions (6e)
Purpose			Purpose assumptions (6d)
Outputs			Output assumptions (6c)
Activities			Activity assumptions (6b)
			Critical conditions (6a)

As design and implementation progress, return to the logframe and update it. Changes to assumptions, activities and outputs are certain to happen.

Step 6e: Define the assumptions → Action

What external factors are needed for, or may prevent, the long-term sustainability of the activity?

- Redesign the plan
- Evaluate your assumptions

Step 6d: Define the assumptions → Action

If the activity's purpose is achieved, will this in fact contribute to solving the original problem/need, i.e. the goal? If No, then redesign the activity. If Yes, then state clearly the assumptions you have made to reach this view.

- Redesign the plan
- Evaluate your assumptions

Step 6c: Define the assumptions → Action

If the outputs were produced, would the purpose be achieved? What assumptions, outside the control of the activity, have been made about the achievement of the outputs? If the list of assumptions are too great, then redesign.

- Redesign the plan
- Evaluate your assumptions

Step 6b Define the assumptions → Action

Check your logic. Will the completed activities lead to achievement of the outputs? Are all the resources needed to achieve the outputs? What assumptions, outside the control of the project, have been made? If the list of assumptions are too great, then redesign.

- Redesign the plan
- Evaluate your assumptions

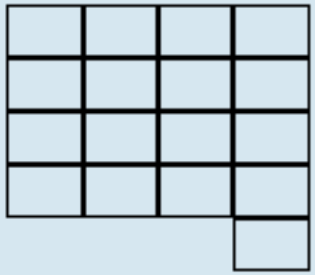
Step 6a Define the assumptions

Include here anything that must happen before the activity can commence.

Box 11: The Logical Framework: Project Indicators, Monitoring, Evaluation and Reporting

Objectively Verifiable Indicators

OVIs are standards against which change can be measured. Set targets in terms of quantity, quality and time. Indicators should be specific, usable, measurable, sensitive, cost-effective and available. Begin with higher order objectives and apply the necessary and sufficient test.



Means of Verification

What are the data sources you will use to verify the indicators? e.g. reports, minutes, surveys, accounts, government statistics, harvest records. If a survey is needed, are related activities included in the Column 1? If this costs money, is it added to the budget?

Column 1: Summary – Hierarchy of Objectives	Column 2: Objectively Verifiable Indicators			Column 3: Means of Verification	Column 4: Assumptions and Risks
Goals		Step 7a What will indicate whether the goal has been achieved?	Step 8a How will you verify goal OVIs?		Overall goal hypothesis
Purpose(s)		Step 7b What will indicate whether the purpose has been achieved?	Step 8b How will you verify purpose OVIs?		Purpose assumptions
Outputs		Step 7c What will indicate whether the outputs have been achieved? These indicators define the terms of reference, the deliverables for the activity.	Step 8c How will you verify output OVIs?		Output assumptions
Activities		Step 7d What will indicate whether the activities have been achieved? The inputs and budget will also be an entry here. What inputs are needed to carry out the activities? Staff, transport, materials, finance.	Step 8d How will you verify activity OVIs? The activity accounts will be one of the MoVs here.		Activity and Input assumptions
					Critical conditions

6. Risk Management

6.1 Introduction

The analysis of risk is an essential part of the design of any activity, whether large or small, internal and narrowly focused, or multi-partnered and global in impact. Risk analysis involves the identification and systematic evaluation of all risk factors. Once identified and assessed, risks can then be managed, and this chapter shows how risks can be dealt with in different ways. It also shows how Risk Assessment Workshops work, and how a Risk Assessment was applied to a particular DFID activity.

Risk analysis is carried out during the planning stage and at key points in the life cycle of an activity. Risk management is carried out continuously.

Risk has to be considered in a variety of forms, and so appears in different contexts in activity planning, deign and management. Stakeholder analysis (Chapter 2), for example, identifies those stakeholders who present potential risks to a programme, and is a first step in risk assessment. Situation analysis (Chapter 3) must necessarily take risk into account. Creating the logframe (Chapter 5) also requires programme planning and implementation teams to focus on risks.

6.2 What is a risk?

A risk is a factor that could adversely affect the outcome of an activity or intervention.

There are three principal types of risks.

1. Risks that arise from factors actually or potentially under your control (e.g., poor design, ineffective management systems; poor performance by contractors);
2. Risks that arise from factors in the wider policy and institutional environment, and which are only controllable by decision-makers elsewhere (e.g., poor policy environment; institutional weaknesses; lack of political will);
3. Risks that are essentially uncontrollable (e.g., natural disasters, political instability, world prices, interest rates).

One of the difficulties of considering and evaluating risk is that different types of risk arise, which may not be easily comparable. However, a critical stage in any attempt at risk assessment is to identify the range of different types of risk involved.

Risks at source and as an effect

Risk timing also needs to be taken into account. Each category of risk can potentially arise as **source** of risk to the activity, or as an **effect** of the activity, sometimes as a combination of both. Any real risk is unlikely to be confined to any one category.

Box 1 (overleaf) offers a summary of the most common categories of risk with examples of the nature of the source and effect issues. It is not comprehensive: different activities and interventions will need to take into account different categories of risk.

Internal and external risks

Risks can arise both from within and without, which can make risk assessment even more complicated. In addition, risks don t tend to have a straight-line effect: like the one small rock that starts an avalanche, one source of risk may give rise to several effects, or there may be several sources of any particular effect. The domino effect is also something to be aware of through the life of an activity, when the effect of one risk becomes the source of further risk(s), leading to complicated chains of effect, each consequent to others.

Box 2 (overleaf) demonstrates how internal and external sources and effects of risk combine to generate four areas of consideration in risk assessment and management.

Box 1: Categories of Risk

Categories	Risk at source	Risk as an effect
External		
1. Infrastructure	Infrastructure failure prevents normal functioning (e.g., key staff unable to attend work due to transport strike).	Actions have adverse effect on infrastructure (e.g., overload communications systems such as email).
2. Economic	Economic issues such as interest rates, exchange rates or inflation adversely affect plans.	Actions generate an adverse effect on economic issues.
3. Legal and Regulatory	Laws or regulations may limit scope to act as desired.	Inappropriate constraint through regulation may be imposed
4. Environment	Environmental constraints limit possible action.	Actions have a damaging effect on the environment.
5. Political	Political change requires change of objectives.	Actions give raise to need for a political response.
6. Market	Market developments adversely affect plans.	Actions have a material effect on the relevant markets.
7. Act of God	Ability to act as desired affected by (e.g., flood, earthquake.	Contingency plans against disaster scenario prove inadequate.
Financial		
8. Budgetary	Lack of resources to carry out desirable actions.	Inability to control or direct resources.
9. Fraud or theft	Resources not available to carry out desirable actions.	Resources lost.
10. Insurable	Insurance not obtainable at acceptable cost.	Failure to insure against insurable risk leads to loss.
11. Capital investment	Poor investment limits scope for future action.	Inappropriate investment decisions made.
12. Liability	The organisation is damaged by others actions leading to the organisation gaining a right to seek damages.	A third party acquires a right to damages against the organisation.
Activity		
13. Policy	Policies are founded on flawed background information.	Inappropriate or damaging polices are pursued.
14. Operational	Unachievable / impractical objectives.	Objectives not achieved or inadequately achieved.
15. Information	Inadequate information leads to decisions being made without sufficient knowledge	Information available for decision making lacks integrity and is not reliable
16. Reputational	Reputation may limit scope to act as desired	Development of poor reputation
17. Transferable	Risks which could be transferred are retained or are transferred at wrong price	the cost of transferring risk outweighs the risk transferred
18. Technological	Technology failure (e.g. IT system) prohibits operation as planned	Need to improve / replace technology to maintain effectiveness
19. Project	Projects are embarked upon without the associated risk being properly assessed.	Projects fail to deliver either within assigned resource or in functionality or outcome.
20. Innovation	Opportunity to use new approaches embarked upon without appropriate identification of associated risk.	Opportunities for gain from innovation missed.
Human Resources		
21. Personnel	Lack of suitable personnel with appropriate skills limits ability to act as desired.	Personnel adversely affected in terms of morale or loyalty.
22. Health and Safety	People unable to perform their responsibilities due to health issues.	Damage to the physical or psychological well being of people.

Box 2: Types of Risk

	Internal	External
Source	A risk arises because of circumstances or events within the organisation. There is a high likelihood of ability to exert appropriate control to limit likelihood of the risk being realised.	A risk arises because of circumstances or events outside of the organisation. The ability to exert control may be limited to planning for a contingency response.
Effect	A realised risks has an impact within the organisation. These impacts are likely to be easier than external impacts to contain and manage.	A realised risk has an impact outside of the organisation. Regulatory or policy frameworks are responses to these types of risk.

6.3 Responding to risk

Does risk always matter? No: sometimes your activity may be able to survive without doing anything about a known risk (although you will need to be confident why you and your team are setting that risk aside).

The result of looking at risk internally and externally as part of activity design is to create a risk environment . DFID s risk environment, for example, includes political change (e.g., commitment to agreed tasks, financial support for the work we undertake), economic change (the ability of the UK to fund development activity), and environmental change (the scale and frequency of humanitarian crisis).

The risk environment of any organisation or activity is constantly changing, objectives and their priorities may change, and with them the consequent importance of risks. Risk assessments have to be regularly revisited and reconsidered to ensure they remain valid.

Transfer, Tolerate, Treat

Once a risk assessment has been undertaken, or when it is being reviewed, consideration can then be given to how best to respond to risks that have been identified. Responses can be in three ways:

1. Transfer. For some risks, the best response may be to transfer them. This might be done by conventional insurance, or by supporting a third party to take the risk in another way.
2. Tolerate. The ability to do anything about some risks may be limited, or the cost of taking any action may be disproportionate to the potential benefit gained. In these cases the response may be toleration.
3. Treat. By far the greater number of risks will belong to this category. The purpose of treatment is not necessarily to obviate the risk, but more to contain it at an acceptable level.

Risk appetite

Your Risk appetite is the amount of risk you are prepared to be exposed to before you judge action to be necessary. The resources available to you to control or obviate risks are likely to be limited; that means that value for money decisions in terms of cost against the extent to which risks may actually be realised have to be made. In consequence every activity, small or large, has to identify its risk appetite. That means that the decisions on how you plan to response to identified risks have to include identifying how much risk can be tolerated. Greater risks may be tolerated if greater benefits are expected from an activity.

6.4 Risk Analysis

Risk Analysis is the process of identifying risks, assessing their individual and collective potential for causing damage, and defining counter-measures.

Every development activity needs to describe risks and make an assessment of the overall risk of failure or success-limitation. The procedure involves:

- ¥ Identifying the key risk factors that could affect programme viability or cost-effectiveness;
- ¥ With this information, presented in a Risk Assessment Matrix, estimating the overall riskiness of the programme or risk of failure (Box 3);
- ¥ Assessing each risk in terms of its probability and impact (Box 4, overleaf).

Box 3: Risk Assessment Matrix

Impact / Probability	Low	Medium	High
Low	1	2	3
Medium	4	5	6
High	7	8	9 **Killer risk!**

6.5 Risk assessment workshops

In risk assessment, all likely risks, internal and external to the programme, need to be identified. This is unlikely to

Box 4: Overall assessment of programme risk

Risk category	Number of risks in selected matrix boxes	Impact	Probability
High risk programme	One or more in 9	High	High
	More than one in 6 or 8	High Medium	Medium High
Medium risk programme	One or more in 5	Medium	Medium
	One or more in 6 or 8	High Medium	Medium High
	More than one in 3 or 7	Low High	High Low
Low risk programme	One or more in 1	Low	Low
	in 2	Medium	Low
	in 4	Low	Medium
	One in 3 or 7	Low High	High Low

be achieved by one or two people working alone. A facilitated workshop session may be useful.

Workshop Design 1

A useful way to organise the workshop is to bring together a group of key stakeholders (but excluding those who are opposed to the activity) and ask participants, working in small groups to undertake the following.

- ¥ Draw a Risk Assessment Matrix on a piece of flip-chart paper and put it on the wall;
- ¥ Brainstorm all the risks to the success of the activity that anybody in the group can think of, writing each risk on a Post-It and placing them on a blank piece of wall;
- ¥Take each risk in turn: discuss how critical or dangerous to the success of the enterprise if it happened, and classify all risks as either low , medium or high impact;
- ¥Take each risk in turn, discuss how probable it is and classify all risks as either low , medium or high; probability;
- ¥ Put each of the Post-Its into the appropriate one of the nine boxes.
- ¥ Present the risk matrices of each group in plenary, discuss and decide on one overall risk matrix.

At this point, the facilitator should ask the group to focus on the lower right half of the matrix and ask the group to consider if the activity can be redesigned to minimise these risks; if not, to identify how they can be managed.

Sometimes, at this stage, a redesign will enable you to manage internal risks or to internalise external risks (e.g., by increasing the staff or other resources available; adding new activities, such as training your own staff or the staff of other participating organisations). This may not be possible in the case of risk types 2 and 3 (see 6.2), so monitoring systems and contingency plans should be included at the design stage to ensure that team leaders receive as much notice of the impact of such external risks and can implement contingency plans, when appropriate.

Risks in the bottom right-hand square (High Probability, High Impact) are killer risks ; if you have any of these and want the activity to go ahead, you should have your arguments ready when seeking approval for it!

Workshop Design 2

Another way of identifying risks, if Column 1 of the logframe (see Chapter 5) has been agreed, is to ask the working groups to answer a series of questions:

- ¥ If the team successfully delivers the Activities in the logframe, what are the assumptions about external risks (risks outside the control of the team) that need to be made if the Outputs are to be delivered?
- ¥ If the team successfully delivers the Outputs in the logframe, what are the assumptions about external risks (risks outside the control of the team) that need to be made if the Purpose is to be achieved?
- ¥ If the team successfully delivers the Purpose in the logframe, what are the assumptions about external risks (risks outside the control of the team) that need to be made if the overall activity is to contribute to achievement of the Goal?

Box 5 offers such a series of questions in relation to a primary healthcare activity.

Box 6 (overleaf) presents a risk analysis for a poverty reduction activity in Angola. It starts with a brief introduction, then the section of the main submission and the Risk Analysis annex are presented.

Box 5: Example of Assumptions and Risks in the logframe

Narrative summary	OVI	MOV	Assumptions about risks
Goal Overall improvement in standards of living of poor households in region X		NB: Many logframes do show risks at this level.	Goal to super-goal assumptions not needed.
Purpose Poor households enjoy improved access to primary healthcare facilities.			QUESTION: If the project team successfully delivers the purpose in the logframe, what are the assumptions about external risks (risks outside the control of project managers) which need to be made if the project is to contribute to achievement of the goal? ¥ Other aspects of standard of living improved by other projects. ¥ Macro-economic and political stability. ¥ No civil war or prolonged civil strife. ¥ No natural disasters
Outputs 1. Primary health care centres (PHCC) established and operational 2 Health care staff trained and posted to work in PHCCs 3. Public information campaign planned and implemented.			QUESTION: If the project team successfully delivers the outputs in the logframe, what are the assumptions about external risks (risks outside the control of project managers) which need to be made if the purpose is to be achieved? ¥ Government can afford to provide drugs needed by PHCCs in providing effective health care. ¥ Public willing to listen to public information messages and willing and able to use PHCCs. ¥ PHCCs willing and able to target the needs of poor households.
Activities ***For Output 1*** 1. Survey on distance from villages to PHCCs conducted 2. Locations of new centres selected. 3. Contractor retained to construct and equip PHCCs. ***For Output 2*** 1. Training Needs Assessment for PHCC staff undertaken. 2. Training programmes planned and implemented. 3. Trained staff posted to new PHCCs.			QUESTION: If the project team successfully delivers the activities in the logframe, what are the assumptions about external risks (risks outside the control of project managers) which need to be made if the outputs are to be delivered? ¥ Contractors do their work efficiently and on time. ¥ Necessary building materials available locally. ¥Trained staff stay in post.

Box 6: A Risks Analysis in a DFID submission

This box starts with a brief introduction to the activity, the Luanda Urban Poverty Programme in Angola, then the section of the main submission and the Risk Analysis annex are presented.

Angola has suffered civil war for the last thirty years. Since the late 1980 s Luanda, the capital, has been one of the fastest growing cities in Africa as people leave rural areas for the relative security of the city

The Luanda Urban Poverty Programme (LUPP) purpose is to develop and implement sustainable ways of improving the economic livelihoods and access to basic services of the urban poor, most of whom live in shanty towns. To achieve this the project aims:

- ¥To develop and test efficient and equitable community-managed service provision in selected parts of the city;
- ¥To develop and test community-based ways of improving the economic livelihoods of the poor in selected parts of the city; and
- ¥To enhance the capacity of communities, national NGOs and local government to meet the needs of the poor.

Because of the weakness of provincial and municipal authorities and national NGOs, the project will be implemented by three international NGOs, working with local partners, including local authorities.

Given the security situation in Angola and the havoc caused by thirty years of war, any development project in the country is bound to be risky. The DFID team that prepared the project carried out careful risk analysis, which was presented in the project submission and an annex. Both are reproduced here.

Main Submission

5. RISKS AND UNDERTAKINGS

5.1 The main risks that could adversely affect the project are as follows:

A: An increase in the intensity in the conflict, domestically and in Democratic Republic of Congo (DRC), results in further deterioration in economic governance, a rapid influx of displaced people into target areas and the collapse of infrastructure or inappropriate government response

Medium probability medium impact

Given the recent deterioration in the security situation, this a medium-to-high probability risk, that the project cannot mitigate.

B: Community-based approach is not sustained beyond project life

Medium probability medium-high impact

Primary and secondary stakeholders have few resources and government s recurrent budgets are stretched. This is a medium-high impact risk because it will undermine long-term benefits and sustainability of the project. The programme will devote significant resources to capacity building and training initiatives to ensure that community based approaches are embedded and key change agents can tap other sources of funding where appropriate.

C: No revival of long-term economic growth.

Medium probability medium impact

Some poverty reduction could be generated in urban areas without a step up in economic growth but the prospects for poverty eradication and significant welfare gains are seriously harmed if growth is note revived.

D: Implementation of supportive macro supply-side investments and policy changes by GoA (with support of the World Bank) does not occur.

Medium probability, high-medium impact

A failure to increase the overall supply of water or waste disposal facilities would present a medium impact to the direct project beneficiaries and a more severe impact on the long-term indirect beneficiaries. Capacity building to help local government will have very little impact if local government s powers and responsibilities are not extended or the utilities, such as EPAL, continue to be unresponsive to community demands.

E: Macro-economic policy deteriorates, worsening volatility and instability in the monetised sector, with rapid or hyper-inflation.

Medium-high probability, high impact

This would impact everyone in Angola, raising uncertainty, transaction costs and lowering the ability of money to retain its value. High price volatility has been identified as a primary reason why no autonomous micro credit programmes currently exist. The programme aims to design innovative approaches to deal with this problem, using experienced consultants and action research. Also, the project contains milestones (notable a review after year 1) to ensure that if any approach

is unsuccessful in coping with economic volatility, it will be discontinued.

F: Government policies and regulations (or lack of them) hinder development of small-scale credit activities.

Medium probability, low impact

Present Government policies and regulations are not conducive to micro-finance and micro-enterprise activities. The government is examining how it can improve this situation but changes in the laws are unlikely in the next year. However, the government is allowing NGOs to experiment with micro-finance initiatives and reviewing their experiences with interest.

Risks B, E and F represent a significant threat to the project. Their probability is interdependent and impact is likely to be cumulative. However, they are also closely linked to the problems of economic governance, which the project is partially trying to address, with significant amounts of capacity building and demonstration. This is a high-risk project, but the potential gains, in terms of reducing poverty, are proportionally high.

Risks Matrix Summary

	Low Impact	Medium Impact	High Impact
Low Probability			
Medium Probability	G	A/B, C, D	B, E, F
High Probability			

Annex on Risks

1. In any country, a participatory urban poverty reduction project of this kind is bound to entail some level of risk. In Angola, a country riven by civil war, these risks are even higher. The LUPP has been designed to minimise the impact of these risks so that the project s ability to achieve its outputs should only be affected in extreme conditions.

2. The risks the project faces are of three types:

- ¥ Generic risks which pertain to the whole project;
- ¥ Risks that impact the environmental components of the project (water, sanitation and solid waste management);
- ¥ Risks that impact the micro-finance and income generating aspects of the project.

Generic Risks

A. An increase in the intensity in the civil conflict, domestically and in the neighbouring Democratic Republic of Congo, results in further deterioration in economic governance.

Medium probability medium impact

Given the recent deterioration in the security situation, this a medium to high probability risk. The impact on direct project beneficiaries is likely to be low, since fighting is extremely unlikely in Luanda. However, if resources continue to be diverted towards the security situation and away from investing in physical and human infrastructure (and if the donor community withdraws its support as a consequence), then the negative long-term impact on economic governance will be high. The project will address this risk by raising community and municipal awareness and capacity to organise and lobby for improvements in economic governance.

B: An increase in intensity of the conflict, domestically and in DRC, resulting in a rapid influx of displaced people into target areas and the collapse of infrastructure or inappropriate government response:

Medium probability high impact

This is a medium probability risk, given the deterioration in the security situation and the trend movement of refugees into Luanda. Primary and secondary stakeholders have virtually no capital resources at their disposal and recurrent resources are likely to be more over-stretched than at present. There exists the remote possibility that the Angola government may choose to ameliorate social problems and discourage unrest by implementing large-scale relief type programmes in Luanda. These programmes may be directed at resolving, albeit temporarily, water, livelihood and sanitation problems without dealing directly with the root causes of these problems. Once in place, LUPP would build community and municipal capacity to advocate constructive policies and programmes for dealing with urban issues.

C: Community based approach is not sustained beyond project life

Medium probability medium-high impact

Primary and secondary stakeholders have virtually no investment resources at their disposal, and recurrent resources are already highly stretched. This situation is unlikely to change. It is a medium-high impact risk because it will undermine the wider indirect (and more crucial) long-term benefits and sustainability of the project. LUPP will devote significant resources (X% of project costs) to capacity building and training initiatives to ensure that community based approaches are embedded and key change agents can continue to tap other sources of funding where appropriate.

D: No revival of long-term economic growth

Medium probability medium impact

Some poverty reduction could be generated in urban areas without a step up in economic growth but the prospects for poverty eradication and significant welfare gains are seriously harmed if growth is note revived.

Environmental risks

E: Implementation of supportive macro supply-side investments by GoA and donors does not occur (i.e. World Bank/Brazilian water supply projects)

Medium probability, high-medium impact

The probability of this will be effected by the government s ability to improve its own service delivery mechanisms and to honour contractual arrangements with implementing partners (with the World Bank credit for water and sanitation this may also include a achieving a stable macro economic environment, which is less certain). A failure to increase the overall supply of water or waste disposal facilities would present a medium impact to the current direct project beneficiaries but would have much more severe impact on the long-term indirect beneficiaries. Capacity building to help local government will have very little impact if local government s powers and responsibilities are not extended or the utilities, such as EPAL, continue to be unresponsive to community demands.

Risks to micro-finance and income generating activities

F: Macro-economic policy deteriorates, raising volatility and instability in the monetised sector, with rapid or hyper-inflation.

Medium-high probability, high impact

This is a macro-level factor that impacts everyone in Angola, raising uncertainty, transaction costs and lowering the ability of money to retain its value.

Given the recent deterioration in the security situation it is likely that the macro economic environment will become more uncertain over the medium-term. High price volatility has been identified as a primary reason why no autonomous micro credit programmes currently exist. In the past, people have attempted to isolate themselves through investing and transacting in dollar assets (which is illegal and subsequently there is a premium). The project is explicitly aiming to design innovative approaches to deal with this problem, utilising a range of specialist external experience and action research. Nevertheless, the project contains milestones (notable a review after year 1) to ensure that if no approach is successful in coping with the problems of economic volatility then this area of project activity will be discontinued.

G: Government policies and regulations (or lack of them) hinder development of small-scale credit activities.

Medium probability, low impact

Present Government policies and regulations are not conducive to micro-finance and micro-enterprise activities and actually function as a disincentive. The government is presently looking at the how it can improve this situation but concrete changes in the laws are probably many months off. Projects like LUPP will generate concrete examples of what works and notions of the appropriate kinds of policies that should be enacted. In the meantime the government is giving considerable latitude to the NGOs whom are experimenting with micro-finance and looking at their experiences with interest.

Risks B, E and F represent a significant threat to the project. Their probability is interdependent and impact is likely to be cumulative. However, they are also closely linked to the problems of economic governance, which the project is partially trying to address, with significant amounts of capacity building and demonstration. It should be acknowledged that this is a high-risk project although the potential gains, in terms of reducing poverty, are proportionally high.

7. Participatory methodologies and management

7.1 Introduction

This chapter looks at three areas relating to participation:

- ¥The methodologies that should underpin any DFID-supported development activity or intervention, regardless of the nature of DFID s participation;
- ¥The ways in which an activity can be managed in a participatory fashion, rather than through the exercise of control;
- ¥The particular ways in which participation can be engendered at the start-up phase of any activity.

7.2 What are participatory methodologies?

Participatory methodologies aim to actively involve people and communities in identifying problems, formulating plans and implementing decisions.

They are often seen as a set of principles for generating insights about people and the communities in which they live. However, for those involved in using them, they are not only often flexible and informal, they are also continually evolving. In addition, there is no one standard methodology or set of methods to employ in any given situation: different techniques therefore need to be developed for particular situations.

Participatory methodologies enable people to do their own investigations, analyses, presentations, planning and action, and to own the outcome. The principles behind participatory methodologies are:

- ¥That it is possible, and desirable, to increase participation in development by involving those immediately affected by a particular need;
- ¥ Involving people so affected enables activity designers and managers to explore a range of real circumstances and systems rather than concentrating on statistical samples;
- ¥ Issues can be investigated from different perspectives and using a range of approaches, such as involving multidisciplinary teams;
- ¥ Informal approaches are often more appropriate and can be changed as the work progresses.

7.3 Application

Participatory methodologies can be used at any stage of the Activity Cycle:

- ¥At the Design stage, by involving people in identifying problems during the planning and designing stage, e.g. needs assessments, feasibility studies;
- ¥At the Implementation stage, through examination of a particular problem or topic e.g. identifying priorities, or implementing new activities where information needs to be collected;
- ¥At the Monitoring and Evaluation stage, by enabling participants to implement procedures to examine their own activities.

The precise information requirements of the different stages are diverse. However they all depend on the systematic collection of data about the households and communities served by the activity and the environments in which they live and work.

Three of the more common methodologies are:

1. Participatory Learning and Action;
2. Participatory Rapid Appraisal;
3. Participatory Action Research.

See Box 1 (overleaf) for more information on these.

7.4 Why is participatory management important?

Participatory management will not arise spontaneously: it is a conscious and informed activity to be advocated and implemented at every stage of the activity cycle. And it s important that senior staff recognise participatory management as necessary to the success of any development activity or intervention: senior staff are key because they act as powerful role models for other staff; and the practices they espouse should filter through to

influence the way whole teams of staff interact with their partners.

The process of continued, active stakeholder involvement in an activity results in various improvements.

¥ Sustainability and sustainable impact:

More people are committed to carrying on the activity after outside support has stopped;

Active participation helps develop skills and confidence.

¥ Effectiveness:

There is a greater sense of ownership and agreement of the processes to achieve an objective.

¥ Responsiveness:

Effort and inputs are more likely to be targeted at perceived needs so that outputs are used appropriately.

¥ Efficiency:

Inputs and activities are more likely to result in outputs on time, of good quality and within budget if local knowledge and skills are tapped into and mistakes are avoided.

¥ Transparency and accountability:

This accrues as more and more stakeholders are given information and decision making power.

¥ Equity:

This is likely to result if all the stakeholders needs, interests and abilities are taken into account.

Box 1: Common Participatory Methodologies

Participatory Learning and Action (PLA)

Text to be created.

Participatory Rural Appraisal (PRA) is a cross-disciplinary, cross-sectoral approach to engaging communities in development through interactive and participatory processes. PRA builds upon the techniques of **Rapid Rural Appraisal** (RRA) pioneered to involve communities in their own needs assessment, problem identification and ranking, strategy for implementation, and community action plan. It uses a a wide range of tool, often within a focus group discussion format, to elicit spatial, time related and social or institutional data.

Participatory Action Research (PAR) involves three key elements: research, education and socio-political action. It is an experiential methodology for the acquisition of serious and reliable knowledge upon which to construct power, or countervailing power for the poor, oppressed and exploited groups and social classes — the grassroots — and for their authentic organisations and movements.

Its purpose is to enable oppressed groups and classes to acquire sufficient creative and transforming leverage as expressed in specific projects, acts struggles to achieve the goals of social transformation.

7.5 Applying participatory methodologies

Start with yourself

To become a participatory manager, start with an examination of your own attitudes and actions - these are critical. A self-assessment exercise is shown in Box 2.

Understand that participation means different things to different people in different situations (See Box 3 for a typology of participation).

For example, someone may be said to participate by:

¥Attending a meeting, even though they do not say anything;

¥ Being actively involved in building a clinic by supplying sand and their labour;

¥ Controlling the design of a programme;

¥ Being responsible for achieving objectives in the implementation or management of an activity.

Understand yourself and where you are on the Ladder of Participation (see Box 4 overleaf).

Understand that if required, you can change your management style and become more participatory.

Learn, develop and practice the wide range of techniques for participatory management and actively search for new and innovative ways of involving stakeholders in management decision-making:

¥Actively listen to others

¥ Involve primary as well as secondary stakeholders

¥ Build local capacity

¥ Cultivate teamwork

¥Advocate the use of participatory approaches

¥ Build the required attitudes in the programme team

¥ Develop a self critical/learning culture in the team

¥ Cultivate a partnership relationship by

- building trust and confidence in partners
- handing over control to partners

¥ Develop and use a facilitator leadership style as opposed to a traditional leadership style.

The approach is basic. If our attitudes are wrong and rapport is not good, many of the methods will not work.

The following list is a menu. Use those you find comfortable and appropriate. Some methods are plain common sense and common practice given a new name.

¥Try out and explore

¥Adapt and invent for yourself

¥ Don t lecture - Look, listen and learn

¥ Facilitate, don t dominate

¥ Don t interrupt or interfere

¥ Spend time with stakeholder groups

Box 2: Participatory Management — Self-Assessment

As a manager involved with programme work, you may already involve programme staff and stakeholders to some extent. Assess how many participative behaviours you are currently using. This self- assessment may help you focus on areas you wish to improve. For each statement, check off the category that best describes you.

	Almost always	Sometimes	Never
1. I believe that involvement of programme staff is critical to the programme s success.			
2. I believe that the active involvement of other stakeholders is critical to the programme s success.			
3. I believe that I have a lot to learn from stakeholders.			
4. I believe that programme staff have a lot to learn from stakeholders.			
5. I review the programme Goal, Purpose and Outputs with programme staff regularly.			
6. I review the programme Goal, Purpose and Outputs with other stakeholders regularly.			
7. I review and refine the programme indicators and their means of verification with programme staff.			
8. I review and refine the programme indicators and their means of verification with other stakeholders.			
9. I clearly communicate how the programme team contributes to the overall success of the programme.			
10. I establish clear performance measures with all programme staff.			
11. I provide informal but clear performance feedback to all programme staff.			
12 I involve programme staff in determining recognition and rewards.			
13. I involve other stakeholders in determining recognition and rewards.			
14. I appropriately delegate responsibilities to programme staff.			
15. I appropriately delegate responsibilities to other stakeholder groups.			
16. I support programme staff by providing the resources that they need.			
17. I support other stakeholder groups by providing the resources that they need.			
18. I clearly emphasise the importance of teamwork.			
19. I use a facilitative style of management as opposed to a traditional style.			
20. I cultivate ways of building trust and confidence with programme partners.			

To determine your score, give yourself a 3 for each Almost Always, 2 for each Sometimes and a 1 for each Never.

51—60: You are already a participative manager

40—50: You are well on the way to becoming a participative manager

30—39: You have begun the shift to participative management

Below 30: You are still a traditional manager — you have a lot of work to do

¥ Relax, don t rush

¥Allow time

¥ Show interest and enthusiasm in learning

Working in teams, working in a multidisciplinary environment, working with diverse partners, and doing so to achieve sustainable development, means adopting core values that reflect real participation: values about empowerment, collaboration, building trust, and respecting people s ability to solve their own problems.

Such values are fundamental in building local ownership and commitment to successful development progress.

Participatory approaches require attitudes that favour:

¥ Participation

¥ Respect for community members

¥ Interest in what they know, say, show and do

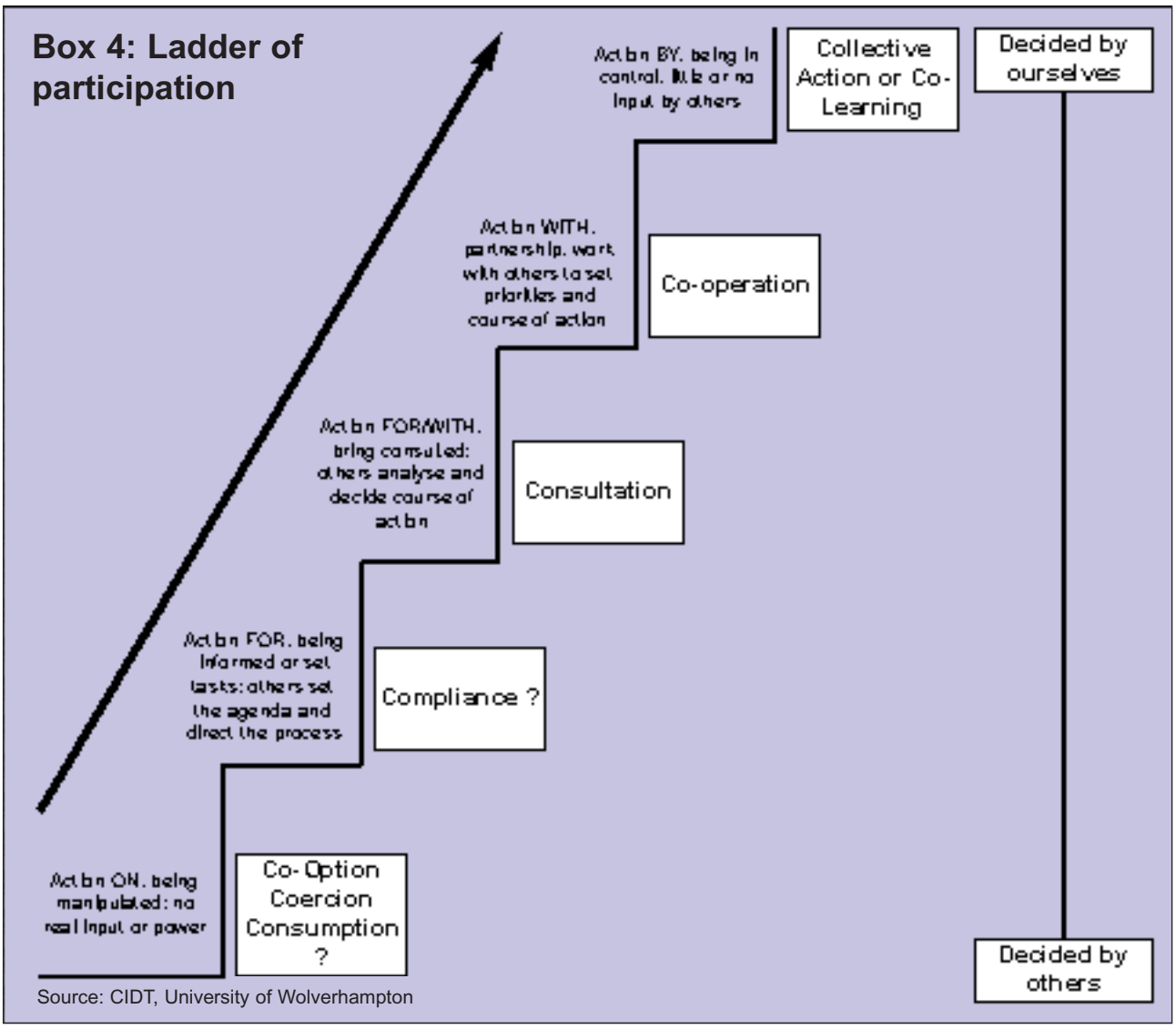
¥ Patience, not rushing, not interrupting

¥ Listening not lecturing

Box 3: A typology of participation

Passive Participation	People participate by being told what is going to happen or has already happened. It is unilateral announcement by an administration or programme management without listening to people s responses. The information being shared belongs only to external professionals.
Participation in Information Giving	People participate by answering questions posed by extractive researchers and programme managers using questionnaire surveys or similar approaches. People do not have the opportunity to influence proceedings, as the findings of the research or programme design are neither shared nor checked for accuracy.
Participation by Consultation	People participate by being consulted, and external agents listen to views. These external agents define both problems and solutions, and may modify these in the light of people s responses. Such a consultative process does not concede any share in decision making and professionals are under no obligation to take on board peoples views.
Participation for Material Incentives	People participate by providing resources, for example, labour, in return for food, cash or other material incentives. Much in situ research and bio-prospecting falls into this category, as rural people provide the fields but are not involved in the experimentation or the process of learning. It is very common to see this called participation, yet people have no stake in prolonging the development activities when the incentives end.
Functional Participation	People participate by forming groups to meet predetermined objectives related to the programme, which can involve the development or promotion of externally initiated social organisation. Such involvement does not tend to be at the early stages of programme cycles or planning but rather after decisions have been made elsewhere. These institutions tend to be dependent on external initiators and facilitators but may become self-dependent.
Interactive Participation	People participate in joint analysis, which leads to action plans and the formulation of new local groups or strengthening of existing ones. It tends to involve interdisciplinary methodologies that seek multiple perspectives and make use of systematic and structured learning processes. These groups take control over local decisions, so people have a stake in maintaining structures and practices.
Self- Mobilisation	People participate by taking initiatives independent of external institutions to change systems. Such self-initiated mobilisation and collective action may or may not challenge inequitable distributions of wealth or power.

Modified from Pimbert and Pretty, 1997



Source: CIDT, University of Wolverhampton

¥ Humility

¥ Methods that enable community members to express, share, enhance and analyse their knowledge

While the logical framework approach has great strengths (see Chapter 5) it can be as a cookie-cutter , without sufficient adaptation to the needs of local participants and local realities. Logical frameworks are often created at a distance from the activity location; those people immediately affected by the development need may be under-represented, while central elites may be over-represented, or urban / rural or gender bias may be found. Here, stakeholder analysis (see Chapter 2) is essential to understand the interests and needs of local participants, to make valid decisions about which local participants should be involved in the planning and management processes.

Working with stakeholders

Understanding the stakeholders, including their literacy levels, local languages, gender roles, indigenous management practices and work ethics, is one important step. This information can be used to design logframe planning activities that are more appropriate to the local context and more conducive to local participation.

A second, related step is to learn roughly equivalent terms in local languages for key logframe concepts (such as Goal, Purpose, Outputs, Assumptions). This often has to be done through discussions with local people. Sometimes the terms need to be renegotiated in logframe workshops when there is more of a context for the discussion and a better understanding of key concepts. Each of the above require that the preparation for logframe planning workshops be thoughtful and rigorous, including ample time for stakeholder interviews in advance of the session and adequate time for designing

and preparing specialised planning sessions that are responsive to local requirements.

For planning work with illiterate or semi-literate participants, the traditional (literacy-based) version of the logframe is inappropriate. In these groups, more literate and more articulate elites may dominate discussions, even with the assistance of an outside facilitator. In these situations local ownership of activity designs will not result and the disbenefits of using the logframe approach far outweigh its benefits.

Through adequate planning and preliminary stakeholder interviews, this kind of situation should be recognised well in advance of the arrival of a planning team. Where use of the logframe approach is not appropriate, Participatory Learning and Action (PLA) or Participatory Rural Appraisal (PRA) planning methodologies will be more appropriate (Refs), because they rely more on images rather than words. If need be, the results of these planning methods may be eventually be married with the logframe, preferably through a planning process involving more articulate local representatives. If necessary, though this is less desirable, planning experts can synthesis PRA planning decisions into a logframe format.

In these kinds of planning settings, using the formal, literacy-based version of the logframe will created a bias against local participation. Again, more literate and articulate elites will tend to dominate the planning process. In these situations, the logframe approach can be used subtly with little explicit mention of its technical terms.

One planning process used in this situation combines consensus-based approaches for determining objectives that have more of a visual focus or an intuitive appeal. For example, planning methodologies such as Appreciative Inquiry or Future Search, with a strong emphasis on visioning, are blended with informal use of the logframe. UNICEF and GTZ (Germany) have pioneered more visually based variations of the logframe. In using and blending these planning methods the visual focus and visioning provides a common basis for communication and building consensus and ownership amongst local groups.

The facilitator

The role and skill of the facilitator is crucial in avoiding top-down bias: engaging local facilitators and co-facilitator can help to ensure that planning processes are culturally appropriate and sensitive to local realities. Local facilitators may also be especially adept at translating logframe terms and concepts into local languages and metaphors. In larger group settings, two facilitators should be involved because of their increased ability to track and support a participatory group process.

Facilitators may, however, bring their own pressures to bear: preference for one methodology to the exclusion of others that might be more appropriate. The best facilitators, however, will have a repertoire of skills that can be brought to bear. Here, your own judgement will be central in selecting a skilled team with an awareness of the importance of designing and managing a locally appropriate and inclusive planning process to build local ownership over results.

Creating a logframe, undertaking stakeholder and situation analyses or a risk assessment, are not one-time events. Building local capacity, engagement, ownership and sustainable support for an activity requires appropriate and relevant training to help groups to understand how these different processes can be integrated into their own organisational structures and procedures. Doing so helps build partnerships at the design and appraisal stage, not just at the point of implementation, while follow-up training (or training of trainers) and regular consultation helps reinforce involvement.

Longer-term, more comprehensive approaches to capacity building can also develop greater ownership over planning and design processes and the results that are produced, but local ownership on any activity can be particularly enhanced when participants are involved from the start.

Participatory launch workshops provide an excellent opportunity to build on participatory design efforts, or to strengthen participation if it has not been integral to earlier stages. They help build collaboration amongst implementing agencies, creating a common vision of success and defining detailed plans of operation. Each of these is important to building ownership and commitment from stakeholder groups and to help to lay a solid foundation for implementation.

Participatory Monitoring and Evaluation

Participatory Monitoring and Evaluation (PME) can also enhance local ownership. PME is a broad set of practical approaches, methodologies and techniques for monitoring and evaluating programmes. Like other participatory methodologies, PME is focused on increasing local learning and ownership over development activity.

PME produces important benefits including valid, timely and relevant information for management decision-making and development activity improvement, especially when PME systems feature in the planning and early implementation phases. During implementation, PME systems provide a framework for collaborative learning and for involving different partners in the M&E process.

PME is most effective when it reinforces participatory processes that are already operating, but it can also help to make up for lost ground where participation has not been integral to earlier phases, although this poses a greater challenge.

Groups that are seriously considering PME approaches must be willing to commit to participatory management approaches, a positive attitude towards partnership, and they must commit the time and resources needed to support PME systems.

Thoughtful, focused participation of stakeholders - especially local ones - in decision-making is at the heart of successful development activity. Developing a participation plan with stakeholders and staying with it throughout the activity cycle will help to keep stakeholders involved and committed. The plan should encompass:

- ¥A thorough stakeholder analysis;
- ¥ Identifying key interventions during the life cycle to build local participation and ownership, specifying when these interventions will take place;
- ¥ Identifying who will be involved in each of these activities;
- ¥A line item budget for participatory activities that have not be included elsewhere in the budget.

Further guidance on PME is provided in Sections 12.8 to 12.10.

7.6 Where and when to use a start-up workshop

Start-up workshops should be used to launch new projects, programmes and policies. They add the greatest value where development activities are complex and need sorting out, where there is little knowledge of, or buy-in, to a design by implementing groups, or where relationships among these groups are weak and non-collaborative. Start-up workshops can also be used to reinforce programmes that incorporate participatory management as a central theme. Start-up workshops can be used at any time during the inception phase, however, earlier use-once all implementing groups or staff are in place-enables teams to get off to the best start.

The benefits of participatory start-up are:

- ¥A shared vision of objectives and success criteria;
- ¥ Strengthened local capacity for collaborative planning and implementation;
- ¥ Clear roles, responsibilities and time frames for implementation;
- ¥ Increased stakeholder commitment and participation in implementation;
- ¥ Strengthened Project Monitoring and Evaluation systems;
- ¥ Improved co-ordination amongst partner agencies during implementation;
- ¥ Increased potential for lasting programme benefits.

7.7 Conducting effective start-up workshops

Following are some basic tips/guidelines/steps for planning and carrying out effective project start-up activities. These activities could take place in a single three-five day workshop or they could be an integrated series of events over a several month period. These guidelines are not meant as a blueprint but should be seen as a point of departure for planning and adapting start-up workshops to specific situations. Since participatory start-up activities will create a set of expectations among stakeholders for collaborative management and working in partnership DFID should only use this approach where it has the intention and wherewithal to follow through.

The Checklist in Box 5 may also be of help.

Planning: Conduct a Stakeholder Analysis

By completing an initial Stakeholder Analysis you can identify groups and agencies with an interest in implementing the activity, better understand how certain groups may affect implementation, and decide which groups should be directly involved with the start-up activities (See Chapter 2 for more details). Special consideration should be given to involving representatives from implementing agencies, clients/beneficiaries, groups which control important resources for implementation, and key stakeholders who may have been peripheral to the design process. Simply getting the right groups together at the same place and time is a key success factor for this activity.

Planning: Recruit skilled facilitators

The planning phase is essential to laying the foundation for a successful launch. During this phase you can begin to put together a detailed plan for the workshop. For this type of activity we highly recommend facilitation teams that involve a local facilitator who has added sensitivity to issues related to local culture, language and working in groups. In addition, facilitators will need skills in team building, using the logical framework approach in groups, and be familiar with basic concepts and tools for project scheduling.

Planning: Assess stakeholder expectations and potential for collaboration

Interview stakeholders several weeks in advance of the workshop to surface their interests, expectations and concerns, assess current levels of collaboration and to explore other issues and opportunities related to activity start-up and implementation. Since it is often impractical to interview all participants, a simple, one page survey can be used to supplement the interviews. This is also a good time to build rapport with participating groups, and to double check that important stakeholders have not been omitted from the process.

Box 5: Start-up Workshop Checklist

Planning

☐ 1. A stakeholder analysis for the workshop has been completed.

☐ 2. The analysis has been used to understand the interests of groups who have a stake in the activity s implementation;

☐ 3. The analysis has been used to identify which groups should be involved in the start-up workshop, including peripheral groups.

☐ 4. A needs assessment (interviews/simple survey) has been used to understand participant s issues and expectations for the workshop.

☐ 5. Clear and realistic Terms of Reference for the workshop have been developed.

☐ 6. A good venue for the workshop has been selected with adequate space, seating, lighting and ventilation.

☐ 7. Skilled facilitators (including a local facilitator) have been identified and recruited.

☐ 8. The assessment has been used to develop a detailed workshop design including:

- ¥ workshop objectives;
- ¥ individual session objectives;
- ¥ estimated duration of each session; and
- ¥ process guidelines for each session.

☐ 9. Invitations and project documents have been sent to participants well in advance.

☐ 10. All logistics have been double checked.

☐ 11. Follow-up calls to participants have been made.

☐ 12. Arrangements with presenters and guest speakers have been made.

Conducting the Workshop

☐ 13. The workshop process is participatory and engages all participants.

☐ 14. The process is flexible allowing adequate time to respond to unanticipated issues.

☐ 15. Each day includes a simple activity for monitoring workshop progress.

☐ 16. Warm-ups and energisers related to themes of collaboration and team work are included in each day s activity.

☐ 17. The workshop process, activities and exercises are sensitive to local culture.

Each of the core workshop sessions have been completed:

☐ 18. Introductions, Expectations, Workshop Objectives and Group Norms

☐ 19. Partner Introductions

☐ 20. Understanding the Project Rationale and Its Main Objectives

☐ 21. Creating a Shared Vision

☐ 22. Reviewing the Project Design

☐ 23. Developing Work Plans

☐ 24. Developing an M&E Plan

☐ 25. Next Steps and Personal Action Plans

☐ 26. Final Workshop Evaluation

Planning: Design a responsive workshop

Now is the time to spell out clear, realistic and responsive objectives for the workshop and the content, sequencing and process of its main sessions. For situations where there is little understanding of the activity design among key stakeholders or a weak sense of collaboration you will need to introduce special sessions to build these. Similarly, if the activity is complex you will need additional time for developing annual work plans.

Planning: Ensure adequate logistics

Select a comfortable venue for the workshop with adequate space, seating, lighting and ventilation and develop a list of all the materials required. Send invitations and activity documents to participants well in advance of the session. Make follow-up calls to understand who plans to attend and who will not and to encourage participation. Check that all logistics are in place well before the workshop and make a point of visiting the workshop facilities a day in advance to ensure everything is ready.

Conducting: Set the tone for collaboration at the beginning

The introductory sessions are vital to establishing an environment of trust, learning and collaboration. This is especially important when participants are unfamiliar with each other or where they represent competing interests in activity implementation. These initial sessions orient the group to the participatory process of the workshop, establish an environment of respect and learning and model collaborative management. The introductory sessions should also present workshop objectives, clarify participant expectations, present a basic flow of the workshop and establish group norms about how the workshop will be run.

Conducting: Create an appreciation for collaboration across agencies

For activities that are national in scope, or those involving many partners, many of whom may be unfamiliar with each other, you can start sessions to create a shared appreciation of organisational capabilities and best practices. One method is to use a poster gallery or other process where partners can introduce their organisation to the others. Groups should be asked to be as creative as possible (using logos, slogans, symbols, etc) in designing a poster that conveys the following information: name of organisation, district, mission, key services and best practices, unique program features. After each of the posters have been hung, participants walk around the room making note of the other organisations and services that may be effectively linked with their own. The session is completed with discussion about how partners may improve collaboration.

Conducting: Strengthen the team process

Start-up workshops provide a model and a structure for collaborative planning and management. Although the content of each start-up workshop will be different, team-building and collaboration are common underlying themes. Since the process side of the equation is so important, it requires special attention. Introduce short warm-ups, energisers and experiential learning activities each day to deepen the understanding of themes related to team process and collaboration. Helping the team reflect on its process an how to improve it can be very useful. See the Chapter 8 on Teamworking for more ideas.

Conducting: Develop a common understanding of the activity s rationale and its main objectives

The purpose of this session is to clarify the activity s rationale and main objectives while building ownership over it by the participants. If the design process has not been participatory, this step may be difficult, requiring more time and an additional visioning exercise.

Involve local stakeholders in presenting the rationale and main objective objectives for the activity logframe (Goal, Purpose, Outputs), referring to collaborative processes that were part of activity preparation and design. This is followed by a short group discussion.

The activity structure can be presented using a large (wall-sized) visual format or simple objectives tree showing how the activity objectives are linked causally. This is followed by further discussion.

This session is critical to helping the group become oriented to the activity design and it works best if participants have read the activity document or a synopsis of it in advance.

If the activity has not been developed using a collaborative process, or if the stakeholders involved in implementation are quite different than the ones who participated in activity design, then we recommend a separate visioning step.

Conducting: Create a shared vision

The purpose of this step is to provide an opportunity for the partners to create a shared vision of success for the

activity. The shared vision is the collective sense of what s important for the future . If the activity is working at the district level we often develop district visions and then meld these into a common vision for the group.

You may find it useful to begin the visioning step by reading a guided visualisation (see Chapter 4) which asks people to imagine what beneficial changes the will result from the activity and from improved collaboration in 3-5 years. Groups express their visions using drawings, symbols and images. During presentations or galleries we ask groups to discuss their visions, to identify common themes, and to relate these back to the activity design.

Conducting: Review and strengthen the activity design

The earlier steps, while creating ownership over the activity design, often create questions about it. Depending on the questions raised, smaller working groups of 5-8 people can be set up to discuss issues related to activity objectives, indicators, assumptions and activities. The working groups are tasked to review various aspects of the activity design and to develop recommendations for strengthening it. The main points are then presented and discussed in the plenary with ideas for strengthening the activity being fed into the next working group. This step is especially important if there has been a significant lag time between design and launch or if the activity context has changed substantially since its design.

Conducting: Develop work plans

In this session, sub-teams develop one and/or two-year work plans for each Output in the activity design. Output teams are created and asked to develop Work Breakdown Structures (WBS): Outputs broken down into small sets of activities and tasks. Two levels below Outputs are usually sufficient in the WBS, and Post-Its can be used for this step. After cross-checking their WBS with other groups in poster sessions, the Output teams develop realistic schedules for the activities and agree on roles and responsibilities. Most teams tend to underestimate the amount of time needed to complete activities, often by 100%. To counteract this tendency a sceptic may be appointed to each team to argue for allocating more time for suspect activities. The teams then present, discuss and refine their work plans and identify critical dependencies among tasks (see Box 6).

Conducting: Use activity scheduling software where there is a good fit

Where groups are computer literate, scheduling software may be useful, enabling teams to easily track and update activity progress, and to share information in a consistent reporting format. Software should only be used after the teams have developed consensus on the work plans using the larger visual formats.

Software such as Time Line Solution s On Target has been found to be easy to use yet robust enough to get the job done. Software requires additional time for training, but the payoff for many has been found to be well worth the additional effort.

Conducting: Develop a Monitoring and Evaluation Plan

Start-up workshops provide an ideal opportunity to develop a practical Monitoring and Evaluation (M&E) plan derived from the activity logframe. Teams review and refine the activity indicators, define roles, responsibilities and time lines for data collection, analysis and reporting and sometimes review and develop simple reporting formats.

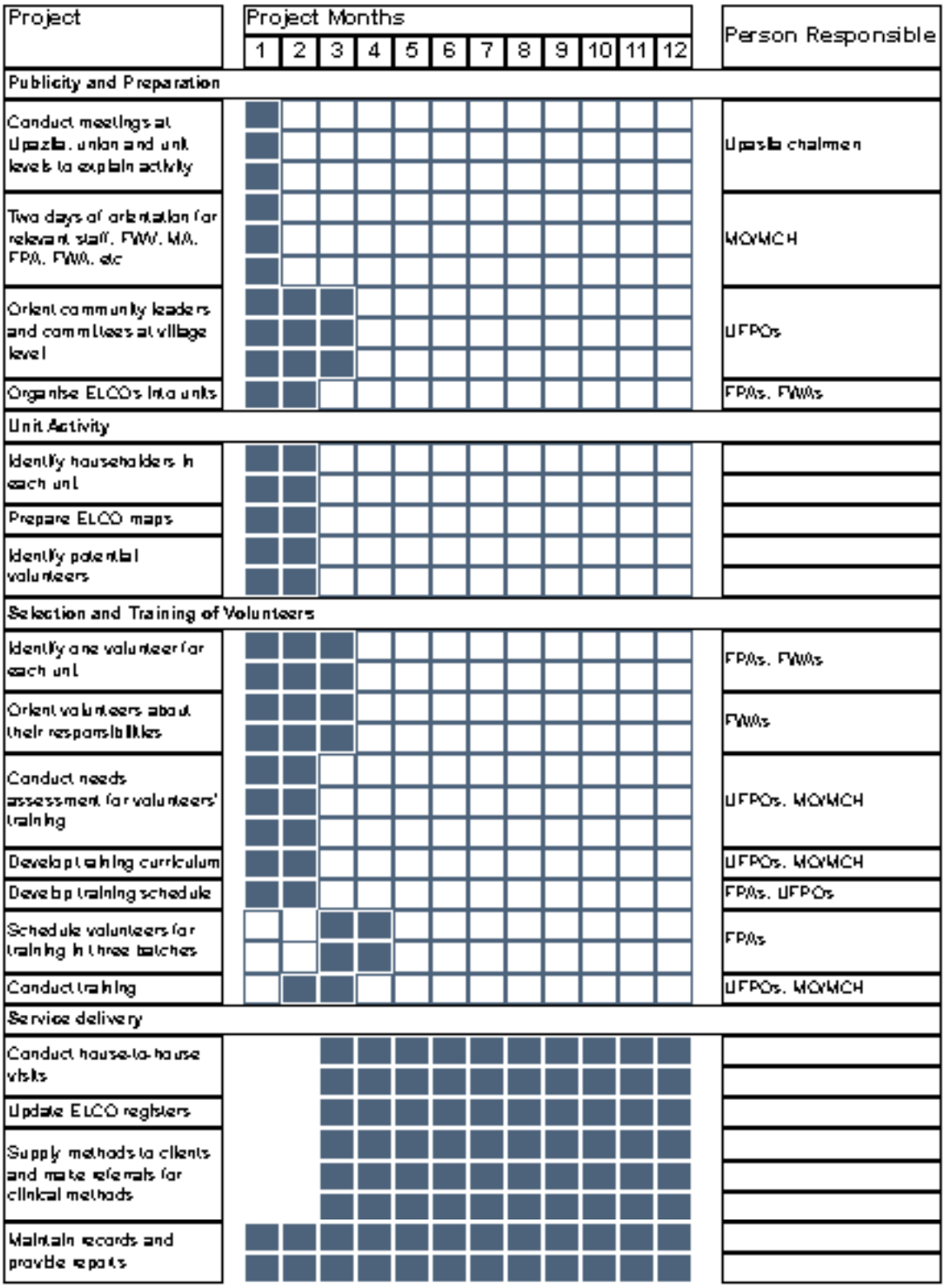
M&E systems in participatory activities need to be in harmony with principles of stakeholder involvement (see Chapter 8 on Designing Participatory M&E systems). The M&E plan should include agreements on regular meetings to review activity progress and plans for more systematic annual performance reviews.

Conclusion

Start-up workshops provide an excellent opportunity to build on participatory activity design efforts or to strengthen participation if it has not been integral to earlier stages.

Start-up workshops are useful in building collaboration amongst implementing agencies, creating a common vision of activity success and defining detailed plans of operation, including M&E plans. Each of these results are important to building the ownership and commitment of stakeholder groups to the activity and help to lay a solid foundation for activity implementation. Moreover, the workshop process models the type of collaboration the DFID is seeking in its work and helps to build the capacity of partner agencies for collaborative programme management.

Box 6: GANTT Chart for developing a work plan



Source: 1997 Management Sciences for Health, Boston, MA, USA

7.8 Participatory Learning and Action, Participatory Rapid Appraisal and Participatory Action Research

PLA, PRA and PAR (see Box 1) all make use of a combination of techniques, the choice depending on the objectives and available resources.

Review of secondary data

¥ Sometimes secondary data can mislead. Sometimes it can help a lot. At present secondary data is not emphasised much because of the concentration on our reorientation and their participation.

Observe directly

¥ See for yourself. It can be striking for many to realise how much they have not seen, or did not think to ask. Does our education and background desensitise us?

Do-it-yourself

¥ Let yourself be taught by villagers at an early stage of the exercise, work alongside them in their daily routines and tasks (weeding, herding, collecting water, fishing ...etc.) Roles are reversed; they are the experts. We learn from them; they are the experts.

Semi-structured interviews

¥This is guided interviewing and listening with only some of the questions determined beforehand. New questions arise and aspects to follow-up, during the interview. The interviews are informal and conversational, but actually are carefully controlled. Interviews may be with:

Individual villagers or households perhaps selected on the basis of a particular characteristic of their household or farm

Key informants; seek out the experts? Often overlooked. Medicinal plants? Water supplies? Ecological history? Markets and prices? Changing values and customs? Fuels? Historical time-line?

Group interviews; community groups, specialist groups (birth attendants? fruit-growers, structured groups (by age? by wealth?), random groups.

As a guide in interviewing:

¥ Have a mental or written checklist ready.

¥ Use open-ended questions. What? When? Where? Who? Why? How? Avoid questions that can be answered Yes or No .

¥ Generally at least 2 people should interview with one of the team leading

¥Watch your manners; greetings, non-verbal factors, seating arrangements, posture, etc.

¥ Keep it informal and relaxed, not an inquisition; listen

Participatory mapping and modelling

¥ Resource maps of catchment areas, villages, forests, fields, farms etc.

¥ Social maps of residential areas of a village

¥Wealth/well-being maps and household assets surveys

¥ Health maps e.g. to identify TB cases or ear infection

Transect walks

Systematic walks with key informants through an area, observing, listening, asking, seeking problems, solutions and mapping the finding onto a transect diagram.

Participatory diagrams

¥ Seasonal Calendars

Explore seasonal constraints and possibilities by diagramming changes month by month through the year; rain, labour, diet, sickness, prices, animal fodder, income, debt, etc. Histogram calendars can be drawn over 12 or 18 months.

¥Activity profiles and daily routines

Histograms chart daily patterns of work. Compare for different groups; e.g. women, men, children. Compare different profiles for different seasons.

¥ Historical profile, time lines and change analyses

Chronologies listing major local events, ecological change, disease/pest/weed occurrence, population trends, etc.

¥Venn (chapatti) diagrams

Use of circles to represent people, groups and institutions and their relationships.

Analytical games

Rankings and choices and analysed through interview games.

¥Wealth/well-being rankings

Groups or clusters of households are identified according to relative wealth or well-being. Informants sort a pile of cards, each with one household name on it, into piles. The wealthiest are put at one end, the poorest at the other. The process is replicated with at least three informants. This provides a good lead into discussions on the livelihoods of the poor and how they cope.

¥ Matrix scoring and preference rankings

Matrices constructed using seeds, stones etc. confirm the values, categories, choices and priorities of local people, e.g. different trees, soil conservation methods, varieties of a crop or animal. For pair-wise ranking, items are compared pair by pair for preference.

Portraits, songs and stories

Case studies, household histories, how conflict was resolved... are recorded.

¥ Workshops

Brainstorming and analysis exercises

¥ SWOT analysis: Strengths, Weaknesses, Opportunities and Threats.

¥ Problem web and flow charts

¥ Games and role-play

¥ Presentation and evaluation of information gathered.

Investigators using participatory methodologies can select from a basket of choices for a given situation according to their needs and experience. Both PRA and PAR use triangulation - i.e. different methods, sources and disciplines, and a range of informants in a range of places are used to cross-check and thus get closer to the truth.

7.9 Examples of participatory management

Three examples of participatory management can be found in Boxes 7, 8 and 9 (overleaf).

Box 7: Launching the Malaria Control and Research Project

The Gujarat Malaria Control and Research (MCR) Project is a $12 million project financed by DFID. A participatory launch workshop was conducted in Surat, India under the auspices of DFID and the British Council. It involved 27 participants from 12 implementing agencies, including local community and women s groups.

Workshop rationale and objectives. The launch workshop was initiated to respond to a difficult and unwieldy project development process that had spanned nearly a decade with little continuity of the main actors. The organisers felt a strong need to reach a common understanding of the project rationale, its design and implementation responsibilities among the many and diverse stakeholders involved in implementation. The main purpose of the 5-day workshop was to build the implementation team and to launch the project with the commitment and understanding of implementing agencies and participants. Specific objectives were to:

1. Provide basic training in results-oriented project management;
2. Understand the MCR Project rationale and the project design;
3. Refine the project design;
4. Develop operational plans for the project components/outputs;
5. Develop the project s monitoring and evaluation plans; and
6. Identify and resolve any outstanding implementation issues.

Through exercises around the project s LogFrame the implementing agencies gained a common understanding of the project s rationale, goals, objectives and activities. A good deal of effort was required to build the sense of a team among these groups and to establish bonds of trust and collaboration. Team dynamics were improved through groups working to refine each of the project s outputs and activities and team building exercises which encouraged people to take risks and analyse team dynamics. Using flip charts and Microsoft Project software, teams then reached consensus on first year work plans, including clear time lines and roles and responsibilities for implementation. At the same time another working developed a simple framework for project evaluation based on the LogFrame s indicators. An evaluation of the workshop indicated that all objectives had been met. During the project s first two years major problems were avoided and the implementing agencies worked collaborative to carry out work plans and to monitor project performance.

Source: Social Impact

Box 8: Facilitation skills for improved HIV/AIDS work in Zambia

While working in Zambia, an international NGO and a bilateral donor recognised the need for Facilitation Skills training for local groups at the District level; in particular, these groups wanted HIV/AIDS programming that was more in tune to local realities, especially limited technical capacities and resources. At the same time, there was great potential for building on the work of existing community groups, churches, district health personnel, traditional healers, and the military in the fight against HIV/AIDS.

Outside consultants worked with these groups to better understand their training/facilitation needs. The assessment underscored the need for front-line HIV/AIDS workers to improve their group work and training skills in order to have greater impact in the communities. the consultants designed and facilitated a four-day facilitation skills workshop to respond to these needs. Several months later, the consultants returned to deliver an advanced facilitation workshop for many of the same participants.

As a result of the facilitation skills training, participants reported being more confident and effective in mobilising groups in local HIV/AIDS activities, such as AIDS education, training and community meetings. Many participants had taken on new leadership roles. HIV/AIDS groups who had formerly been suspicious of one another now collaborated more closely.

Source: Social Impact

Box 9: Participatory management in India

The KRIBHCO Rainfed Farming Project in is a participatory rural development project that has been successful in developing approaches to improving the livelihoods of poor women and men farmers in one of the most poorest regions in India.

The participatory approach in communities has been mirrored by efforts to develop a participatory management culture within the project. Key elements of the approach are:

- ¥ fortnightly (later monthly) meetings to share experiences among all the 50-60 field and office staff of the project and to develop and reinforce a common vision of what the project was trying to achieve;
- ¥ encouraging a spirit of self-criticism, so that lessons are learnt from both successes and failures;
- ¥ decentralisation of decision-making from Delhi to the project manager and to co-ordinators in each of the three states, where the project is working.

However, it has not been easy. KRIBHCO is a major co-operative sector company (the Krishak Bharati Co-operative Ltd) and was reluctant to change its hierarchical and top-down procedures, designed for a large organisation, to meet the need of the small development project to be flexible and able to respond to requests from communities. Because of this, KRIBHCO has established a charitable trust (The Gramin Vikas Trust, translated as the Village Development Trust) to implement the second phase of the project. The Trust is headed by a Chief Executive Officer with powers to introduce management systems appropriate to participatory rural development projects.

8. Teamworking

8.1 Introduction

Development activities and interventions of any kind have to be carefully planned and designed if they are to be of good quality and to provide significant and sustainable benefits. In the case of major actions, planning and design is likely to take place over several months.

Most donors believe in a team approach to such work, and in particular that it is very important to involve partners at all stages. There are two principal reasons for this:

- ¥To ensure good design;
- ¥To ensure sustainability.

Design

Although the personnel involved will usually have experience of designing similar activities in other regions or countries, they may not have an in-depth knowledge of or insight into local circumstances, needs, and constraints. This essential ingredient has to come from local partners.

Sustainability

Where activities or interventions are perceived as donor-imposed, they tend not to generate strong local commitment. If so, they will be in danger of proving unsustainable. It is essential that ownership be recognised as belonging to the local partner rather than the donor. This can only happen if partners are fully involved in planning and design.

This chapter looks at different issues raised by teamworking. It provides a simple model of team development, and an overview of team member roles to help build effective teams with an appropriate mix of skills. It also introduces a method called Team Planning Meeting to help when launching new teams.

Sometimes, not all your team members will be physically part of the team, so practical tips on building virtual teams are offered. Leadership is an essential quality, and the chapter offers guidance on how to develop your own skills to best effect. The chapter concludes with examples and practical resources for team building.

And as a separate point, it should be remembered that the teamwork concept applies just as much within DFID as outside it: internal activities need to be just as rigorously designed, operated, monitored, and evaluated as external ones.

8.2 Teamwork takes longer, but produces better results

Teams are the primary means by which many donors organise and carry out much of their work. The ability to establish and sustain successful teamworking is therefore an essential skill in the design, implementation, and evaluation of activities.

Teams come not just in different sizes, but also in different forms:

- ¥ Multi-disciplinary teams. These offer the both the advantage and challenge of combining technical perspectives to solve complex developmental issues.
- ¥ Multi-cultural teams. These offer special advantages of added creativity, though they may require more intensive team building to reap their full benefits.
- ¥Virtual teams. Here, team members are not located in the same place at the same time. Virtual teams offer advantages of efficiency and the ability to spread scarce technical resources across many diverse activities. They too pose unique challenges.

When each of these kinds of teams is performing well we expect the following benefits:

- ¥Added creativity, efficiency, and effectiveness of work;
- ¥ Greater ability to get work done in the long run;
- ¥ More effective problem solving;
- ¥ Mutual learning;
- ¥Added commitment to high quality results;

- ¥ Increased responsiveness to client/beneficiary needs, interests, and concerns;
- ¥ More rapid response times;
- ¥ Improved collaboration among team members and with their clients/customers.

8.3 Stages of team development

When a group of individuals first is formed into a team, member s roles and interactions are unclear. Individuals may tend to act as observers while they try to decide what is expected of them. Gradually, the process of team development occurs, as team members learn their roles, establish ways of doing things, and become acquainted with team issues, pressures, goals, etc. The process of team development consists of five relatively predictable stages.

Several authors offer insightful models of team development (see Annex 3 for references to Kormanski and Mozenter (1991); Tuckman and Jenson (1977); Drexler and Sibbet (1994)). The model offered by Tuckman and Jenson is shown here. It suggests that new teams generally go through five major, but quite separate, stages of development. At each stage, therefore, activities to build and reinforce teamwork can be introduced. And the model can also be used to help team members build an understanding of teamwork and they issues they can expect to meet at each stage.

The five stages are:

1. Orientation (or forming)
2. Conflict (or storming)
3. Collaboration (or norming)
4. Productivity (or performing)
5. Changing (or transforming)

Stage 1. Orientation

The behaviours expressed by team members in this first stage are initially polite and superficial. While introductions are made, team members make decisions about the other team members and try to assess which team members have needs similar to theirs and which have different needs. Sometimes confusion and anxiety are experienced as different styles and different needs emerge within the team.

A major issue in the first stage is members inclusion into the team. Some common questions for people at this stage are:

- ¥ Do I wish to be included with these people?
- ¥Will they accept me as I am?
- ¥ What is the price to join this team and am I willing to pay it?

Team members have a strong dependency on formal leadership in this stage. As team members experience confusion and anxiety, they will look to the existing leadership in the team.

The first stage may be smooth and pleasant, or intense and frustrating, for some or all team members, depending on the similarities in style, needs and tolerance for ambiguity.

Team leaders can facilitate team members through this stage by:

- ¥ Establishing a safe and open environment for teamwork;
- ¥ Facilitating learning about one another;
- ¥ Providing clarification to the team on their purpose and deliverables;
- ¥ Encouraging participation by all team members;
- ¥ Providing structure to the team by assisting in task and role clarification;
- ¥ Establishing norms for interaction;
- ¥ Encouraging open communication among team members.

Stage 2. Conflict

When a common level of expectation is developed the team will move into a conflict or storming stage of development. Conflict cannot be avoided. This is a difficult and crucial stage, because it deals with power and decision-making, two issues critical to the future of the team.

Team members will challenge the formal leadership in an attempt to regain individuality and influence. Regardless of how clear the task or structure of the team is, team members will react and strike out at the designated team leader or others emerging as leaders in the team. These actions might take the form of direct challenges or covert non-support.

Here, team members are working through their own needs to be in sufficient control and to have some sense of direction.

Box 1 offers ideas as to how to manage team conflict, while conflict in the broader arena is discussed in Chapter 11.

The leadership issue is one where it is important to resolve the felt dependence of Stage 1 and to assist team members to initiate independent and interdependent behaviour. As the team begins to establish acceptable decision-making processes, and an awareness of what it has accomplished at this stage, it will move into Stage 3.

Team leaders can facilitate team members through Stage 2 by:

- ¥Assisting team members to establish norms that support effective communication;
- ¥ Discussing how the team will make decisions;
- ¥ Encouraging team members to share their ideas about issues;
- ¥ Facilitating conflict reduction.

Stage 3: Collaborating

The major issue in the third stage is norming. The team members can finally pull together as a real team, not merely as a collection of individuals. The team becomes a cohesive unit, and the team members begin to negotiate or renegotiate roles for accomplishing their tasks.

With the accomplishment of some tasks, team members often gain confidence and insight into what contributes to or hinders their success. Team members are now committed to working with each other and functional relationships have developed. Tasks are accomplished by recognising the unique talents of team. Trust, a key factor in team performance, begins to deepen.

Team leaders can facilitate teams through Stage 3 by:

- ¥Talking openly about issues and team members concerns;
- ¥ Encouraging team members to give feedback;
- ¥Assigning tasks for consensus decision-making;
- ¥ Delegating to team members as much as possible.

Stage 4: Productivity

At this stage, team members have learned how to work together in a fully functioning team. They now have the skills to define tasks, work out relationships, and manage conflict and work towards producing results. Stage 4 is the most harmonious and productive stage of the team s life. The team has a sense of its own identity, and members are committed to the team and its goals.

Team leaders can facilitate team members through this stage by:

- ¥ Collaboratively setting goals challenging to all team members;

Box 1: Six steps to managing team conflict

The most desirable conflict-resolution strategy in groups is collaboration. Collaboration calls for members to work together to in an atmosphere of trust, mutual respect and commitment that supports effective teamwork

Team members can use the following six-step, win-win strategy to manage team conflict effectively

1. Clarify: What is the conflict?

Team members should ask for information about other members views. A dialogue should continue until all points of view are understood.

2. Goal: What is the common goal?

Team members should try to find common goals and establish other members preferred outcomes. They should then find common ground that all can agree on.

3. Options: What are some options?

Team members should discuss their ideas with the other team members to assist them in meeting their goals. They should ask one another for suggestions and explore all options.

4. Remove barriers: What are the barriers? What would happen if they were removed?

Team members should define the things that can and can not be changed. They should remove one barrier at a time to reach agreement. Team members should ask, If we could have the outcome we both desired, what would it be?

5. Agree: What meets the needs of both parties?

Team members should settle on a solution that everyone can accept.

6. Acknowledge: What is the solution?

Team members should recognise the win-win solution. They should make sure that all parties understand what the solution means to them. Team members should grant credit where credit is due.

Source: Spiegel and Torres (1994)

- ¥ Looking for ways to enhance the team s ability to excel;
- ¥ Developing an on-going assessment of the team;
- ¥ Recognising individual contributions;
- ¥ Developing members full potential through coaching and feedback.

The development of teams also has pitfalls and inattention to issues at each stage may cause more frustration and anxiety than is needed. If no learning or insight is gained, team members may wonder, Why are we doing all this again? Team leaders must support team to be attentive to their frustration and to learn from it.

Teams may also fall back to an earlier stage before completing the full cycle. Often you may find that the entry of new members to the team, or a change in team leadership, requires returning to Stage 1. Also, inattention to the needed activities in an earlier Stage will require, sooner or later, returning to that Stage.

Stage 5: Changing

The major issue in the final stage is transforming. When the team has reached its intended outcome, team members must redefine or establish a new purpose for their team or end the team.

The natural tendency for any team that has successfully achieved its goal is to attempt to remain intact. However, clearly some teams must end when their task is completed.

At this stage, team leaders can facilitate the team to:

- ¥ Decide whether to redefine its purpose or to reach closure;
- ¥ Celebrate the team s accomplishments and the members mutual growth and accomplishments if the team is ending;
- ¥ Renew the process of team development if the team is going to continue.

8.4 Team players

People in teams, as in other walks of life, tend to play roles. Some of us are more comfortable playing some roles on teams rather than others. Effective teams require a good mix of roles among team members in order to get the task done and to promote a team process enabling the team to work smoothly. This section, based on work by Meredith Belbin (see Annex 3), provides an overview of common team roles and how to manage them to best effect.

Belbin s research recognises eight different roles played within teams, and he suggests that each team will need a good balance or mix of these roles in order to be most effective. This doesn t mean that you need eight people on the team: each person can play several roles well and each of us has some capacity to play different roles. Many of us have one or two roles that we particularly enjoy playing and one or two that we dislike.

As a team manager, your task will be to find what roles your team members like playing, and what roles they are good at, and to ensure that work is allocated on that basis. Many people now use Belbin s questionnaire during the formation of a team to help decide these issues.

Where there is an uneven spread of roles in a group, there may be issues in addressing the task to be completed. It is important for team members to appreciate their best roles and see if they can compliment other team roles. In this way, an effective team can be assembled.

Box 2 shows some of the characteristics of team roles. Demonstrating these characteristics in a team workshop setting can be useful: it helps increase awareness of team roles and enables team members to discuss their own role strengths and preferences: Which roles do you like playing? Which members of your team have which role preferences? The resulting team awareness can help to allocate roles and responsibilities among team members, so that the team is at its most effective and efficient.

8.5 Team Planning Meetings

Understanding the stages of team development is especially helpful when building a new team to engage in a development activity or intervention. One particular workshop activity, the Team Planning Meeting (TPM), provides an accelerated process to get teams up and running and to establish a foundation for effective teamwork. (The TPM methodology was developed by the Water and Sanitation for Health Project and the Development Project Management Center of the U.S. Department of Agriculture in 1984 and has since been used widely in donor-funded development activities.)

The TPM approach responds to the serious challenges faced by many teams: when bringing together technical experts from different fields and perspectives for the first time. Building a team swiftly is particularly important where the requirement is to accomplish a great deal of high quality work in a short time, usually working in a complex and uncertain environment. But it is equally applicable where no such immediate constraints apply.

Box 2: Team Roles and Qualities

Team Roles	Positive Qualities	Negative Qualities
The Company Worker A practical organiser, dutiful, conservative, predictable	Organising ability, practical, common sense, hard working, self-disciplined	Lack of flexibility, unresponsive to unproven ideas
The Co-ordinator A co-ordinator of efforts, social leader, calm, self confident, controlled	Capacity for treating and welcoming all potential contributors on their merits, and without prejudice, strong sense of objectives	No more than ordinary in terms of intellect or creativity
The Shaper Outgoing and dominant, the task leader, highly strung, dynamic	Drive and readiness to challenge inertia, ineffectiveness, complacency or self-deception	Prone to provocation, irritation and impatience
The Plant Most creative and intelligent-but introverted, ideas person, individualistic,	serious minded Genius, imagination, intellect, knowledge	Up in the clouds, inclined to disregard, practical details, or protocol
The Resource Investigator The most popular, the sales person, the diplomat, the fix-it, extroverted, enthusiastic, curious	Capacity for contacting people and exploring anything new, an ability to respond to a challenge	Liable to lose interest once the fascination has passed
The Monitor-Evaluator Analytically rather than creatively intelligent, sober, unemotional, prudent	Judgement, discretion, hard headed	Lacks inspiration or the ability to motivate others
The Team Worker Supportive, uncompetitive, mediator, socially oriented, rather mild, sensitive	Ability to respond to people and situations and to promote team spirit	Indecisive at moments of crisis
Completer-Finisher Checks details, worries about deadlines, painstaking, orderly, conscientious, anxious	Capacity to follow through, perfectionist	A tendency to worry about small things, a reluctance to let go

The Team Planning Meeting brings team members together in a concentrated one- or two-day effort to define and plan work, and to mobilise themselves to accomplish it.

Team planning covers two dimensions:

- ¥Task functions: what is to be done;
- ¥Team building: how the team members can make themselves into an effective temporary team to enable them to do the work.

The Team Planning Meeting focuses on the following elements:

- ¥The background of the assignment;
- ¥ Identifying the clients (stakeholders) for the assignment;
- ¥Analysing the Scope of Work or Terms of Reference of the assignment;
- ¥ Defining the end product and its quality standards;
- ¥Agreeing on key team issues, such as norms, leadership and communications;
- ¥ Developing a detailed work plan.

You will see that aspects of the work shown above, e.g. the processes of Stakeholder Analysis, Risk Assessment, and the development of the logframe, etc, are covered in earlier chapters. The TPM can be seen as a concentrated version of this; organised into ten sequenced, facilitated sessions, each session is designed to achieve a specific result and to tackle specific issues through group discussion, problem solving, and action planning.

The role of the facilitator in the TPM is important. He or she:

- ¥ Notifies team members of the meeting, its content and purpose;
- ¥ Discusses with the team leader how he or she is to be involved;
- ¥ Finds people knowledgeable about the project and schedules them for sessions;
- ¥ Gathers necessary documents;
- ¥ Prepares and facilitates the ten sessions;
- ¥Adjusts the design as needed;
- ¥ Evaluates the meeting results.

Boxes 3 and 4 (overleaf) show how TPM has been applied in different circumstances. A detailed Facilitator s Guide to the TPM is available from Social Impact via email (see Annex 3).

8.6 Virtual Teams

Virtual teams, where team members are not physically located in the same place, offer both a challenge and an opportunity for getting work done. The challenge lies in the increased obstacles that may lie in wait to successful teamworking; the opportunity stems from the significant savings in time and cost that can accrue.

Virtual teams experience all the issues encountered by face-to-face teams, though in a magnified way. Indeed, it is harder for virtual teams to be successful: misunderstandings are more likely to arise and things are more likely to go wrong. The following tips may help when building virtual teams.

1. Begin with a face-to-face Team Planning Meeting, if possible

The critical phase of team start-up lays the foundation for effective virtual teamwork. For major initiatives, and where the expense is justified, an initial face-to-face team planning activity is recommended. There is no substitute for this in terms of building trust, rapport and a common understanding of goals, roles, responsibilities and norms for interaction among team members.

In addition to the issues addressed in the traditional TPM, TPMs for virtual teams also need to address:

- ¥ What is the communications backbone for the team? Email, voice, website, virtual conference facility, video link?
- ¥ What are the expected patterns of communications? How often do we communicate? When do we communicate directly? When do we communicate through the team leader? What will be our response time?

2. Facilitate the TPM virtually, if it is not possible to meet face-to-face

In this situation the team leader will need to facilitate each of the steps in the TPM virtually. Working though each of the issues: team member introductions, background and purpose of the assignment, stakeholder analysis, analysis of the scope of work, agreeing on the role of leadership, establishing team norms, developing a detailed work plan

Box 3: Team planning meeting for NGO capacity building

As part of a major donor initiative, two international agencies needed to create a common approach for building institutional capacity among leading health NGOs.

Over a two-day period, the two agencies used a Team Planning Meeting (TPM) to lay the foundation for becoming an effective team and to devise a common approach to their work which would span three years.

During the course of the TPM the team created a common understanding of the background and scope of work for the assignment, they established team norms, analysed the interests of the client NGOs and established detailed work plans and modalities for blending the best elements from their two approaches.

By the end of the TPM the team was very excited about the common ground they had established, their ability to work as a team and to deliver high quality capacity building services to the client NGOs.

Source: Social Impact

Box 4: Team building for programme staff in Zambia

A bilateral donor was experiencing declining morale and productivity among its international and local staff of sixty in Zambia. A new director had just been appointed and he wanted to get off to a good start by addressing these problems.

Social Impact was contracted to lead team building activities for the mission. The activities began with a simple diagnostic survey and in-depth interviews with staff. These revealed a number of issues, including undervaluing of local staff and very different management styles among international managers.

During team building sessions staff discussed common problems and ways to address them. Staff explored differing management and work styles and were able to depersonalise a number a difficult issues. Actions plans were developed to improve team performance.

Six months after the activity staff morale and team performance were at a higher level. Under the new director team building activities continued to be a part of the mission s approach.

Source: Social Impact

and clarifying roles and responsibilities, agreeing on standards for communications are all essential.

The team leader can address many of these issues by providing guidance and by posting open-ended questions to the team. For example, What are the key tasks we need to undertake to reach our goal? Responses should be summarised and fed back to the team in simple tables, graphics depicting work processes and tabular formats (see below).

3. Appoint a virtual team facilitator

After the initial planning activities are completed, a team facilitator, who can be the same as the team leader, should pay attention to tracking the team s performance both on the task side (getting the work done), and on the process side (how the group is working as a team).

The facilitator or team leader should work with the team to facilitate it through each of the stages of team development, introducing appropriate activities, raising questions and checking-in with the team from time to time on its process. Proficiency often takes more time to establish on virtual teams and it is more difficult to verify. Just learning the skills of presenting information on-line takes time.

The facilitator can also help the team members to build proficiency by providing timely responses and acknowledging individual contributions.

4. Build trust through a shared purpose and access to quality, timely information

Developing trust on virtual teams is also a difficult process. A key means by which members generate trust is by their commitment to a unifying purpose with shared rewards. If there is a mismatch between the team s goals and the system that rewards it, or if principles of fairness are not employed in recognising contributions, trust will be undermined.

Trust can also come through proficiency and the added confidence that team members gain in each other through success in accomplishing tasks. Finally, because virtual teams are information-intensive: they rely heavily on the quality, quantity and availability of information, making it a prime source of trust and mistrust.

With this said, virtual team leaders and facilitators need to pay special attention to developing a shared purpose, rewards, fairness and access to quality timely information are critical in building a trusting virtual team environment.

5. Face to face meetings are still invaluable

Although virtual teams can achieve much efficiently and effectively, there is still no substitute for face-to-face interaction. For teams that are tackling complex tasks and have a longer life span, it is especially important to schedule routine face to face meetings. Some do so once a year; others might meet quarterly.

In these gatherings, rapport, trust, and collaboration are renewed and deepened.

6. Develop a team website or web book

For on-going virtual teams, where the investment is merited, a web book or website can be a valuable resource, clearly and explicitly sharing common information and learning. Such a resource can help teams to be smart, responsive, and fast.

For example, the Responsibility Matrix in Box 5 can be made hot on a website so that it can be continuously updated and reviewed by team members to better understand individual and shared tasks. Lessons learned about the teams work or its process can be shared either internally (on an Intranet), promoted externally (through the website) or both. The site can also help to establish a common sense of place for virtual team members; its graphics, logos and mental models can help to build a shared sense of purpose and identity.

Box 5: Responsibility Matrix

	Member A	Member B	Member C
Task 1	x	x	x
Task 2		x	x
Task 3		x	

8.7 When the going gets tough

Even with a good understanding of teams, you may from time to time find that certain teams facing major problems or lost potential. In these situations, team leaders or facilitators may try to diagnose and remedy a team s ills through thoughtful team building. If this fails, additional consulting support should be obtained.

Sometimes, it can be that the team leader has too limited a horizon. The following material, adapted from the University of Wolverhampton, analyses ways in which team leaders can survey the horizon to ensure that as many factors as possible are being taken into account when seeking to promote successful teamworking.

The leader s direction finder

Box 6 illustrates the idea that a leader must look in six directions: up, out, forward, backward, down, and in. The first two facets of the team leader s role are about managing the stakeholders.

- **Looking up**. The institution that initiates the project is the sponsor of the project. The sponsor provides an organisational umbrella, should it be needed. The sponsor will have had specific reasons for asking you to do the job in question. It is important to know these reasons. Looking up and managing your sponsor is an essential part of the team leader s role.
- **Looking out**. All activities or interventions have a client, an end-user (who might be different from the client) and possibly a number of other external stakeholders (such as suppliers and subcontractors). Such parties have expectations you must seek to meet.

The middle two facets of the team leader s role are about managing the activity s life cycle.

- **Looking backward and looking forward**. These two facets are part of the same function. As a team leader you must establish appropriate control systems to ensure that you meet targets and learn from your mistakes. You cannot do this, however, without first looking forward, establishing realistic plans, raising the necessary resources, and putting in place the appropriate monitoring and reporting systems.

The last two facets of the team leader s role are about managing performance: maximising both your own performance and that of your team.

- **Looking down**. As the leader of a team, you have a responsibility to ensure that they perform well, both individually and collectively. You can do this in the context of organisational teamworking.
- **Looking in**. It is all too easy to become too involved in the day-to-day tasks of an activity and forget that your own performance has a big impact on its overall progress.

The three dimensions to a team leader s role are therefore:

- The management of stakeholders;
- The management of the activity s life cycle;
- The management of performance.

The concept of organisational teamworking

Development activities and interventions are a dynamic means of change. They require the skills and knowledge of a whole range of people, sometimes on a regular or permanent basis, sometimes on an occasional basis. A team is often a frequently fluctuating body of people from different levels of the organisation(s), many of whom may never meet each other. The term organisational teamworking describes this type of collaboration. It has a number of characteristics (see Box 7) distinguishing it from the more traditional teamworking.

- People in the team are spread throughout the organisation, and frequently outside it as well;
- Team members seldom work full-time on the activity, and often have other priorities and loyalties fighting for their attention;

Box 6: The direction finder

Box 7: Organisational Teamworking

	Negotiating success criteria	= Understanding what the client wants and integrating this with the desires of individual team members.
	The team together	= Ensuring that the team works productively when together by establishing and agreeing basic codes of conduct and procedure.
Some characteristics		
Brought together for a specific activity	The team apart	= Ensuring that team members are kept informed when working apart, and retain their commitment to the project.
Seldom full-time	Membership contributions	= Ensuring continued commitment by valuing individual contributions and delegating leadership roles where possible.
Non-hierarchical team members	Leading the team	= Keeping the team moving forward by setting realistic targets and achieving motivation.
Cross-functional	Continuous planning and review	= Constantly revising the project plan in the light of changing circumstances or amended stakeholder expectations, and keeping members informed of any changes.
Visible and invisible team members	Managing the outside	= Keeping suppliers and subcontractors in tune with the project in order to avoid problems arising from poor quality or delays in contributions.

- ¥Team members are often not under the direct organisational control of the team leader, and may even be higher in the hierarchy than him/her;
- ¥ Being scattered and lacking visible coherence, team members may not think of themselves, nor be seen by the organisation, as parts of a team.

The team can be defined as:

> All those individuals who have a significant contribution to make to the successful achievement of the activity through one or more of these factors:
>
> ¥Their technical or specialist expertise;
>
> ¥Their sponsorship, political support or commitment;
>
> ¥Their expectations of and interest in its outcome.

Creating a sense of team out of previously unconnected specialists with other priorities is a complex skill. Team leaders have to build a committed group, often against all the odds, and then achieve the full benefits, both personally and to the organisation, of this form of cross-functional collaboration. To do this, a successful team leader has to understand how to carry out a number of tasks, as outlined in Box 8 (overleaf).

8.8 Conclusions

Teams are a basic unit of organisation for developmental work, with the team leader given specific tasks within the context of establishing a team response to a task. Effective teams lead to more effective development programs and improve a donor s collaboration with local partners.

Teams progress through predictable stages of development. Team leaders can facilitate team-building activities at each stage to help teams become most effective. Developing an awareness of team roles within a team and playing off members strengths can also help to promote team effectiveness.

Team Planning Meetings are a useful and efficient way to get new teams up and running and to lay the foundation for effective team work; they bring team members though a carefully sequenced set of steps that respond to many of the issues related to team development.

Virtual teams offer important benefits to donors, including cost savings and the ability to spread scarce technical resources more evenly. Virtual teams, however, face more serious challenges to effective teamwork, and require some additional know-how, skills and patience to realise their full potential.

Quality leadership is crucial both to establishing a successful team and enabling rapid lesson learning, both for the team leader and team members. The role of a team leader, after all, is not just about ensuring your own success; it also involves building success for the future through training others to become successful leaders in their own right.

Box 8: Knowledge Skills and Attitudes for Managers

	Knowledge	Skills	Attitudes
Managing Yourself	Own strengths Own weaknesses Self-imposed constraints Ability to prioritise	Saying no Ability to plan Ability to take decisions Ability to deal with many problems at once	Self-discipline Drive and enthusiasm Tact and diplomacy Wanting to get things done
Managing Your Team	People in general People as individuals Laws, policies	Communication ¥ listening ¥ interpreting ¥ informing ¥ briefing Motivating ¥ enthusing ¥ supporting ¥ counselling ¥ persuading Training and Developing ¥ coaching ¥ delegating Selecting ¥ interviewing	Caring and sympathetic Loyalty to staff and organisation Approachable Flexibility and adaptability
Managing Your Project	Task aims Resource needs Organisation policies and systems External suppliers and services	Foresight and planning Sense of judgement and evaluation Problem-solving ability Assessing priorities Skills in control	Balance between people and task Commitment Questioning

Adapted from Geddes, M., Hastings, C., and Briner, W. (1993) Project Leadership, Gower.

9. Influencing and Negotiating

9.1 Introduction

Influencing and negotiating are important skills in managing development activity. This chapter discusses how you can use these skills in working with others to achieve DFID s objectives. This chapter is based on, and provides key concepts from, the Management Development Programme, implemented by Sheppard Moscow for all Band A/B managers in DFID.

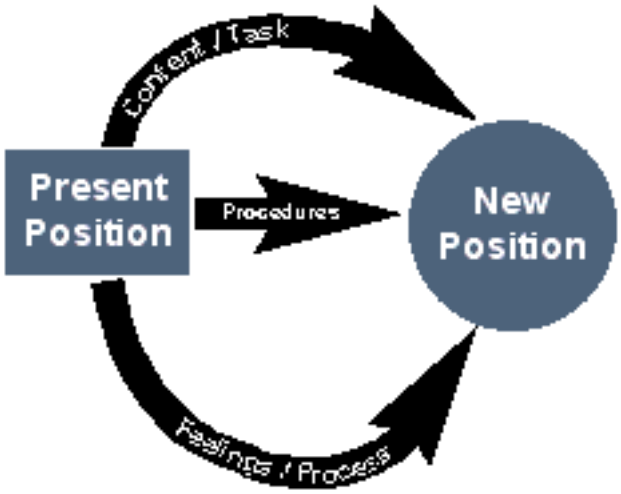
9.2 Untying the nots

Influencing and negotiating are not about imposition. DFID s aim is not to devalue other people s value-systems, but to establish how those values can be successfully incorporated into the design and management of development activities and interventions.

Influencing is not about motivating or obliging others to do what you want them to do. In particular, it is not about turning a potential or actual partnership into a relationship of subservience by virtue of the resources which one partner happens to bring into play. In development, assistance is transferred , not sold.

Nor is negotiating about creating sides , in which one participant waits for another to give way. There may be circumstances in which it is necessary to make clear how much value can be added to a development process by extending, or possibly limiting, the range of an activity s scope. However, the principal driver for donor engagement in influencing and negotiating is the developmental progress that can result. And the recognition that progress may be made greater or constrained by virtue of what arises from the partnerships entered into.

Nor is negotiating a synonym for telling . The principal disadvantages in trying to make someone do what doesn t fit are that, firstly, it takes a lot of effort and time to try to persuade someone to do what doesn t actually suit them. Secondly, they will either feel manipulated, or they will ultimately be dissatisfied, and a dissatisfied team member



is far worse than a team member who is treated well and who is respectfully told that what they are suggesting or advocating is inappropriate.

Box 6, at the end of this Chapter, looks at a particular aspect of negotiating and influencing.

9.3 Relationship behaviours

The core behaviour skills that we use in managing relationships and the climate of meetings is called relationship behaviours . They are used in formal and informal meetings, workshops, and negotiations at every stage of work. Used carefully, these key behaviours enable effective influencing and management of relationships in meetings. Inappropriate use of these relationship behaviours (e.g., under-use or over-use) is likely to reduce the effectiveness of meetings.

9.4 Behavioural skills models

There are many approaches to understanding human behaviour, and many seek to organise behaviour into types. In this chapter, different approaches to categorisation are discussed: they may be complementary or competitive, and you may find them useful in some situations more than others. The trick is to find what works for you in any given circumstance.

9.5 Behaviour skill sets: PUSH and PULL

In this model, there are two categories of positive or empowering behaviours - Assertive or PUSH and Responsive or PULL. Each of these categories has two associated types of behaviour, as is shown in Boxes 1 and 2.

9.6 Verbal and non-verbal communication

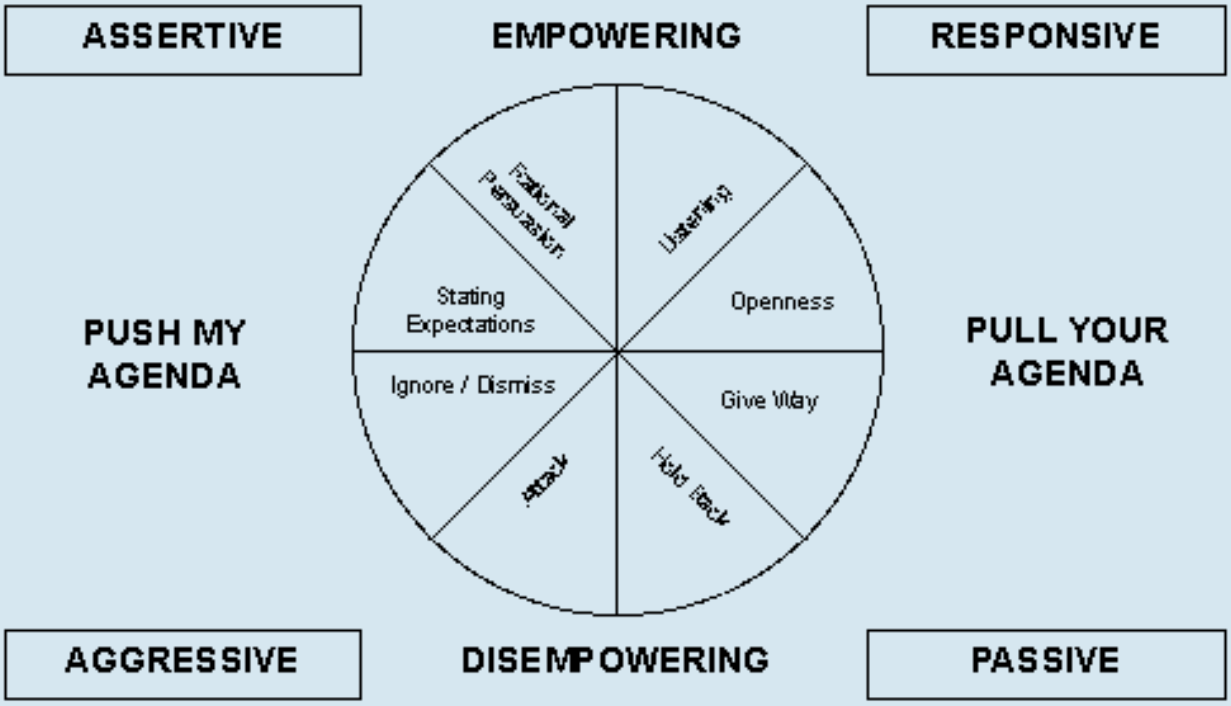
Effective influence involves the consistent use of verbal and non-verbal forms of communication. Or, to put it another way, the consistent use of words, the voice and body language. To influence effectively, you do not just need a good message: you need to know how to influence others to your point of view by effective use of your voice and body language.

A key secret of effective influence is to pitch your voice and body language at levels that match the needs of the

Box 1: Categories of behaviour

Category	Behaviours	Definition
Assertive (PUSH)	Rational Persuasion	Expressing your views and opinions backed up with reasons with enough conviction to be taken seriously, with the objective of moving things forward.
	Stating Expectations	Making it clear what you want/need/expect from another individual and, where appropriate, making explicit the consequences of meeting or not meeting your expectation.
Responsive (PULL)	Listening	Listening to others in order to understand their ideas, opinions and feelings, and to demonstrate actively that you have done so.
	Openness	Openness is the disclosure of relevant facts, thoughts and feelings that you believe will be useful to the other person.

Box 2: Behavioural skills model



situation and reflect your needs and those of the other people being influenced.

In PUSH situations you aim to take charge of the space and time around you. High energy verbal and non-verbal communication will ensure high influence provided they are not overdone.

In PULL situations the aim is to play down your energy and match it to the needs of the other person. Here you let the other person take charge of the space and time, while you respond to their energy. Both Assertive and Responsive behaviours can be used to influence others.

Box 3 offers advice with regard to the use of verbal communication.

9.7 Persuading and influencing

The myth of persuasion is that great persuaders are born that way, that they are smooth talkers. In fact, what is of greater importance is the fact that they are great listeners. Listening is vital in order to persuade:

- ¥ People feel good and are more likely to listen to you if they feel you have really listened to them. Being heard is a special experience that we all like and want more of. Most of us are rarely listened to - or believe that to be the case.
- ¥ Listening is the best way to find out what is important to a particular person. From listening comes the information that tells you whether someone else need or could want what we have to offer. When you know what a person wants and needs, there are two possibilities; either the skills or resources you have to offer fits those needs or it does not.

If you want to be effective at influencing others you cannot do it with techniques alone. You have to build trust and openness and create relationships. Doing so has to be based on individual regard , an acknowledgement of the worth of an individual irrespective of his/her actual or perceived status (i.e., what others think or what you think of them). Individual regard cuts both ways, however: you cannot expect it, if you do not offer it, but, whether as a team member or team manager, you should offer it equally.

The key to influencing is establishing common values, ones that may not initially be yours, or even theirs. What are those common values? They include, for example:

- ¥The task that needs to be done;
- ¥The way(s) in which it can be achieved;

Box 3: Using language to convince

To communicate with influence it is vitally important to use language which engages the hearts and minds of your listener. Skilled communicators use language which creates a climate of trust. Analysis show that effective communicators have an ability to adapt their language to match the language of the person to whom they speak. Your speech is an expression of the way you think and the values you hold.

Everyone has specific means by which s/he becomes convinced. Part of what convinces is the channel through which they receive information and which they interpret and associate with it.

We interpret and associate in several ways:

Visually:

I get the picture

I see what you mean

I can see it clearly now

It's clear to me

Show me again.

Auditory:

That sounds good

I hear you

I'm pleased you said that

Tell me again

It rings a bell.

Feelings:

That feels right

It made an impact on me

I was really moved

That's sad

I know how you feel.

We all have the ability to interpret and associate in these ways, however most of us use one way more predominantly than another. By listening to others it is easy to detect which method a person chooses most and to match your language to it.

Appeal to people's senses by using the appropriate style and you have their attention.

- ¥The roles that team members need to play in order for the task to be achieved;
- ¥The establishment of a fitting partnership between different stakeholders.

Persuasion can also be seen as motivating others. In some cases, you may be motivating others to do what they want, what is in their best interests, and what will satisfy their values. In other cases, establishing that common ground may be the first task, through the creation of a shared vision (see Chapter 4).

9.8 Influencing and negotiating strategies

1: Identifying styles and adapting yours

We use language in the same way and in different ways: we are precise in the use of some words, and diffuse in the use of many.

People comprehend different meanings from the same sentence, or read subordinate — even subliminal — messages into sentences. They may do so for positive or negative reasons, and one of the reasons for establishing trust among members of a group is precisely to avoid counter-productive over-analysis of meanings from any given group of sentences delivered, decisions taken, or options proposed or explored.

How people listen is crucial to understanding what others read into what you say. Your own behaviour, and the ways in which you interact with others, has a bearing on how easily - or not - you will be able to convey the truth of what you wish to say, and reduce misunderstandings.

Without being over-prescriptive, it is possible to determine four principal ways in which individuals interact within a group. They are not exclusive, but recognising where and how they arise within a group enables you to develop a means of achieving the best results for the individuals and the group. The proposed strategies are designed to apply whether you are a team manager or a subordinate member.

Style One: Supportive

Here, people likely to believe in the importance of personal relationships. They tend to approach problem-solving from a collaborative point of view and are supportive to others who are less experienced. They enjoy working with others and will share responsibility and resources readily. Trust is an important issue for the supportive person and they are likely to build long-term relationships.

How to influence:

- ¥ Stress the worthwhile nature of causes in the long term, emphasising the relationship between your objective and their personal development;
- ¥Ask for their help in tackling a problem;
- ¥ Be careful of criticism; they are particularly likely to fear ridicule and failure.

How to manage someone who has this style:

- ¥ Give them recognition for their ideas, achievement and contribution;
- ¥ Provide opportunities for them to work with or alongside others;
- ¥ Share information and be open;
- ¥ When setting goals and targets, both parties should be involved, and the manager should make opportunities available for the subordinate to achieve these targets.

How to influence a team manager who has this style:

- ¥ Demonstrate your value and contribution to the organisation;
- ¥ Sincerity and honesty will be particularly respected. It will be better to admit mistakes and seek help rather than cover them up;
- ¥ Be willing to participate in activities and tasks.

Style Two: Competitive

This person tends to rely on power based on authority and position and approaches tasks in a strongly competitive manner. The main aim of the competitive person is to achieve results, challenge others to get on with doing things.

How to influence:

- ¥ Emphasise the opportunities being offered to the person and the ways in which they can personally raise their profile.
- ¥ If it is possible to give authority to this person, they are likely to respond favourably;
- ¥ Responds well to direct approaches and will be intolerant of woolly approaches which might be seen as weakness.

How to manage someone who has this style:

- ¥ Provide challenges, autonomy and individual responsibility;
- ¥ Recognise his or her achievement;

- ¥ Define clearly the demarcation of the role so they do not undermine or encroach on the responsibility of others;
- ¥ Provide the opportunity to take initiative within given boundaries.

How to influence a team manager who has this style:

- ¥ Take a direct approach;
- ¥ Demonstrate your capability and independence, but don t be afraid to recognise the boss as a resource to draw on for assistance when required;
- ¥ Stick to your views and meet objections head-on when you know you are right;
- ¥ Don t take a submissive stance. They enjoy a challenge and the cut and thrust of a strong argument: you may need to mirror the direct and straight-talking approach.

Style Three: Restless

People who enjoy change and thrive on opportunities to be in the spotlight. Tendency to be optimistic, active and sociable. Like to deal with new and different people and situations.

How to influence:

- ¥ Emphasise the benefits of change: they like new ideas;
- ¥ Stress the excitement and emotion associated with any proposal.

How to manage someone who has this style:

- ¥ Be flexible. Accept that this person does not like routine, firm scheduling or close supervision. They will respond best to variety rather than routine tasks;
- ¥ Offer supportive responses and do not underestimate the impact of humour.

How to influence a team manager who has this style:

- ¥ Emphasise the eagerness and positive open attitudes to new ventures;
- ¥ Be wary of going into too much detail when explaining things. This person will tend to have short attention span;
- ¥ Make an impact quickly and express yourself succinctly and clearly;
- ¥ Offer to take on some of the more routine responsibilities in order to relieve the manager of them.

Style Four: Consolidative

This style tends to be biased towards order, routine and detail. They are comfortable with policy and doing things that are in the best interests of the organisation or authority. This will often mean a suspicion of change and preference for consistency.

How to influence:

- ¥ Demonstrate a careful and cautious approach.

How to manage someone who has this style:

- ¥ Provide high levels of detail and planning;
- ¥ They need time to make considered decisions, and don t like being rushed or pressurised;
- ¥ They like to be treated fairly with pragmatic management style.

How to influence a team manager who has this style:

- ¥ Be careful in making recommendations for change. A useful tactic is to stress how your recommendations are similar to or build on historical methods and systems;
- ¥ Stress conformity and logic;
- ¥ Respect organisational norms and standards and be well prepared with relevant facts and information to hand. This person will want to be confident that you have explored all possible options before agreeing to your proposal.

9.9: Towards / Away from motivational strategies

Towards / Away from is another form of analysis which may prove useful.

Towards people are motivated by what they want and move towards their goals. At the extreme, they may not recognise problems or consider potential obstacles.

- ¥ Typical Towards expressions: attain , have , get , achieve , benefits , advantages , enable , accomplish .

Towards people want to attain goals and want to know benefits of doing a particular task.

Away from people are motivated by what they don t want, they move away from or want to solve problems; the result may be problem avoidance. At the extreme, they tend to concentrate on crisis and can be seen as cynical and negative.

- ¥ Typical Away from expressions: won t have to , solve , prevent , avoid , fix , not have to deal with , what went wrong , eliminate .

Away from people look at problems, at what s gone wrong with proposals. Give them problems to solve and task to fix. They are very good at picking out spelling errors.

Determining whether a person falls into the Towards or Away from category is a matter of entering dialogue. What follows are examples of questions to elicit Toward / Away from strategies and values:

- ¥ How did you decide to take your present job?
- ¥ What s important to you about your job?
- ¥ What was the basis of your decision to take your job?
- ¥ Why is that important to you?
- ¥ Why bother?

9.10 Making your case

At some point you will seek to persuade others of a course of action. The following guidelines may be helpful in focusing on how to achieve the best results from a given situation. As usual, there s an acronym involved: PROEP.

- ¥ **Proposition**: State your proposal in a concise and bold way.
- ¥ **Reason**: Give your best one or two reasons for your proposal.
- ¥ **Other view:** Give the downside, counter arguments (not too many), and show you have considered the alternatives.
- ¥ **Examples**: Prove your case, give your best examples (not too many), give benefits and successes.
- ¥ **Proposition**: Restate your proposition and visualise your outcome

Presentations need information, variation in pacing and body language, and vivid verbal and visual images to make it compelling. They also need to appeal to both logic and emotion.

Box 6: Tactics for working with an international organisation

This document, which includes extracts from *Negotiating in the EU* by James Humphreys, explores team-working options with particular relation to the EU.

It is in many areas applicable to any partnership activity within the context of an organisation-to-organisation relationship, as opposed to working with a collection of individuals, but will still have applicability in the latter case.

Before the negotiations

Consult relevant staff within DFID and outside if appropriate.

Set objectives which are clear and realistic. Make sure you know your main priorities, your chances of getting them agreed and any compromises you could accept. If you are providing briefing for someone else, you may find the guidance on briefing helpful.

Plan your influencing. What are the various stages of the negotiations? Who do you need to influence, and when?

Network with the relevant staff in the Commission and other member states. This is a far more important skill in Brussels than in the UK. The more people you know, the more likely you are to see an early draft of a particular document. Remember to return such favours to your allies when you can.

Influence early. Don t be embarrassed about influencing — everyone else does it in Brussels. The earlier you try to do it, the more likely you are to achieve your objectives. You might offer to help an understaffed section of the Commission with the drafting of a particular document, for example. The longer you wait, the harder it becomes to secure changes to such documents.

Build alliances with other member states on issues of mutual concern, and try to convince the waverers. This may mean making concessions on points which are less important to the UK. Our natural allies on development issues are called the like-minded.

At the negotiations

Know your brief. Be aware of how far you can commit yourself, what type of reserve you might need to apply and on what you can compromise.

Arrive on time. Meetings invariably start late, but you can use the time to network and plan any last minute strategies.

Use your negotiating capital sparingly. There is an unstated assumption that each member state may raise a certain number of points of objections. Those who raise too many objections will not win all their points, however sensible they are, because others will get tired of listening to them. Keep your negotiating capital for your key points.

Speak clearly and concisely. On a small number of points. Avoid rambling on, using language which is hard to translate (such as colloquialisms, irony and puns) and undermining your strong points by making weaker ones.

Speak early. If you want to steer the debate along particular lines, convince waverers or spoil someone else s intervention. Speak later if you think others will make your point for you, if you want to hear the arguments of others first so you can counter them or if you want to summarise the debate and draw conclusions (although it is usually the Presidency which summarises).

And for the card players amongst you:

- ¥ Keep a poker face. If a point made and secured by another delegation helps the UK, try not to show this by smiling. Others may assume you still need to be given something to balance the deal.
- ¥ Don t overbid. If you have secured your main points, don t risk your goodwill by quibbling on minor ones.
- ¥ Don t fold too soon: There is usually pressure to agree a deal, and not doing so may be seen as failure, but it may be worth holding out for the right package.
- ¥ Never deal from the bottom of the pack. Your best asset is your trustworthiness.

After the negotiations

Check any minutes or conclusions reflect the discussions you had.

Guard against backsliding on your hard-won points.

10. Building Partnerships

10.1 Introduction

The UK Government s 1997 and 2000 White Papers on International Development place a premium upon creating partnerships with groups in the North and South in order to respond to development challenges. Partnerships are a special kind of relationship that transcends traditional donor/beneficiary and client/customer relationships.

Partnerships require common goals, a good fit in the comparative advantages of the groups involved, a commitment to mutual learning, a high degree of trust, respect for local knowledge and initiative, shared decision-making and commitment to capacity building.

Partnerships also require a good deal of time to develop. Although genuine partnerships may pose a challenge to a donor s traditional management culture, tremendous value can be added to development programmes, including:

- ¥ Increased programme scope, impact and sustainability;
- ¥ Increased cost-effectiveness of programmes;
- ¥ Increased resource mobilisation;
- ¥ Better use of local skills and resources;
- ¥ Increased capacity of national organisations;
- ¥ Improved relationships with development partners.

This section deals with three issues related to partnership building:

- ¥The different kinds of partnerships a donor may support or engage in and the unique challenges posed by each kind;
- ¥The role of the donor in building partnerships through four stages of partnership development, highlighting specific tools and methods which can be used at each stage;
- ¥ Examples of partnership building and suggested additional partnering resources.

10.2 Dimensions of partnering

USAID s New Partnership Initiative (see Annex 3) synthesises a vast experience in partnering. The NPI uses the term partnerships broadly to describe a wide variety of institutional arrangements designed to share and exchange resources and information and to produce results that one partner working alone could not achieve. These might range from informal gatherings to share information to the creation of new organisations to deliver new, expanded or improved goods or services. Partnerships are always changing as goals, abilities and relationships change. Thus, it is best to think of partnering as a process rather than as an outcome since this conveys its dynamic nature.

Partnerships can take place with a broad range of actors within and between sectors. Although partnering has been on the rise for the past 30 years (see, for example, Collaborating: Finding Common Ground for Multiparty Problems in Annex 3), we now have a better understanding of partnerships in development settings and the value of strengthening partnerships at the local level to empower groups to take charge of their own development.

10.3 Forms of partnership

Partnering can take place among organisations at three levels: local, national and international. It can also occur among organisations between levels. Very often building support for local development also requires strengthening partnerships at the national and international levels.

With this in mind, partnerships can take on a variety of forms including:

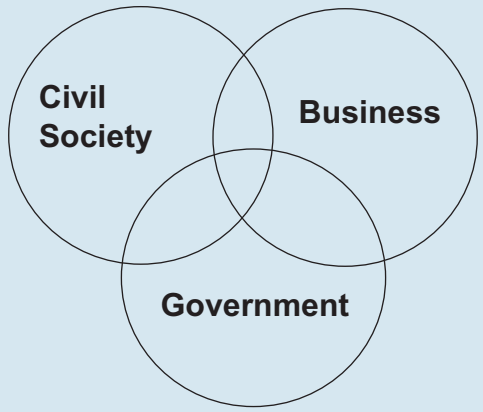
- ¥ North-South partnerships between a UK NGO and local NGOs or local government;
- ¥ South-South partnerships among NGOs and business in neighbouring developing countries;
- ¥ Partnerships between different donors;

¥ Inter-sectoral partnerships that include the formation of national level associations and coalitions within each of the main sectors in society: civil society, government and business.

10.4 Inter-sectoral partnerships

Inter-sectoral partnerships have special potential for their ability to join the state, market and civil society systems critical for sustainable development (see Box 1). Without collaborative action the sectors often work at cross purposes or duplicate efforts; with collaborative action they can take advantage of synergies and can address large scale issues that no one sector has the resources and ability to manage, and in which each has a stake.

Box 1: Inter-sectoral partnerships combining one or more sectors



Key areas in which inter-sectoral partnerships can make a critical difference are issues related to public goods such as health, environment, education and economic infrastructure.

A classic example is environmental concerns, often requiring changes in the behaviour of each sector. NGOs express community concerns (through advocacy and other means) and obtain changed citizen behaviour; national government makes environmental policy; local government is responsible for operational aspects; and business faces the demands for environmentally sound goods and services.

Important factors include: an understanding of the different structures that partnerships can take; the determinants of that structure; its organisational and resource requirements. According to Brown (1991, see Annex 3) the vision and organisational structure of a partnership are often shaped by two key factors:

- ¥The degree of difference (diversity) among the partners;
- ¥The nature of the tasks the alliance seeks to accomplish.

The degree of difference among partners will affect how many resources and how much effort will be required to build a partnership between them. If the partners are quite similar in terms of their management cultures and have little history of conflict (such as a group of businesses), it may require relatively few resources to build understanding and manage their differences. On the other hand, if the groups are quite different, have varying degrees of power and a history of conflict, then more resources and effort will be required to build a partnership.

Similarly, the nature of the task to be undertaken influences the kind of organisation required by the partnership. With very general tasks requiring little coordination (such as information sharing) partners can be loosely organised. When tasks are specific, complex and require close co-ordination among interdependent actors, then more tightly organised partnerships may be required.

Box 2 describes the vision necessary to undertake partnership, and the kinds of organisations most

Box 2: Dimensions of partnering

	Low Partner Diversity	High Partner Diversity
Low Task Specificity	Vision: Agreement on general problems relevant to similar constituents. Organisation: Associations or ideological networks that allow loose coordination among similar organisations. Vision: Agreement on general problems	relevant to diverse constituents. Organisation: Broad social movements and geographically-based networks that allow loose coordination among diverse organisations.
High Task Specificity	Vision: Agreement on specific problems and actions needed by similar constituents. Organisation: Issue-based networks, alliances or organisations that coordinate task and resource allocation among similar organisations.	Vision: Agreement on specific problems and actions needed by diverse constituents. Organisation: Coalitions and partnerships that coordinate tasks and resource allocation among diverse organisations.

commonly found for effective delivery of goods and services.

When both partners diversity and task specificity are low, loosely organised networks or associations may be an effective form for linking partners.

When the partners are similar but the task is specific and complex, alliances or joint ventures that allow tight coordination are important.

When both diversity and task demands are high, partners need to invest both in negotiating acceptable shared visions and partnership organisations capable of implementing the tasks to accomplish the vision.

10.5 Building partnerships

One of the most important roles donors can play in promoting partnerships is to work with governments to create an enabling environment for partnerships by working to remove policy, communications and other constraints to partnering. At the same time, partner organisations require capacity building to develop the knowledge, attitudes and skills needed for effective partnering. These two areas - creating an enabling environment and capacity building for partnering - are key areas where a donor can intervene to foster partnerships.

When a donor actually participates in partnerships as a partner, it may be hard pressed by the challenges to its traditional forms of hierarchical management. Key skills required of the donor in the partnering process involve:

- ¥ Intense listening;
- ¥Asking open-ended questions
- ¥ Building trust and a learning environment;
- ¥ Integrating multiple perspectives to inform actions, negotiating power and resource differences;
- ¥ Discovering common ground and creating shared visions.

Many of these skills come under the general heading of facilitation skills and are areas that a donor needs to develop for itself and for its partners. In this way, the management skills that a donor develops for itself mirror the skills and capabilities the donor needs to develop among its partners.

Donors can play a direct role in building partnerships by bringing potentially beneficial partnerships to the attention of likely participants and by inviting them to the table (or the partnering workshop). The key strategic role of a donor at this initial stage is to identify organisations with the necessary complementarities of interests, skills and resources to work together to tackle a development problem. Here, a donor can help to bring together potential allies directly or through an appropriate intermediary. Donors can also help by providing technical assistance to build capacity for partnering and by providing financial resources and facilitators to support partnering activities.

10.6 Stages in developing a partnership

Understanding the different stages of partnership development, the issues involved at each stage and how to respond to these, gives donors a framework for planning how they can intervene to support specific activities. Not surprisingly, the models of partnership development are similar to the models of team development (See Drexler & Sibbet (1995) and Kormanski & Mozenter (1991) in Annex 3).# Both are forms of groups needing to address certain issues in order to become and remain effective.

Stage I: Preconditions for co-operation

Any successful co-operation must be driven by real problems and needs that touch all potential partners. It is important to understand the problem (or opportunity), how it relates to the interests of potential partners and what capacities the organisations must have to collaborate.

The important questions a donor might want to ask at this stage are:

- ¥ What is the nature of the problem that a partnership might solve, and why is it necessary to bring together several actors to solve it?
- ¥ How are the stakeholders affected by the problem?
- ¥ Who are the key stakeholders?
- ¥To what extent are resources from different stakeholders required?
- ¥ What is the organisational capacity of stakeholders to get involved in partnership?

Specific tools and skills that a donor can use at this include:

Stakeholder Analysis (see Chapter 2) to develop an understanding of key actors and their interests in the partnership;

- ¥ Problem Analysis (see Chapter 3) to deepen the understanding of the development problem that the partnership might try to tackle;
- ¥The Partnership Readiness Questionnaire (see Box 6) to make an initial assessment of the extent to

which certain groups are ready to engage in partnering.

Stage II: Convening partners and discovering their unique aspects

Identifying a strategy to bring potential partners together needs to be based on an understanding of the problem and its stakeholders. It is important that the right group or individual be identified to convene the potential partners - someone with credibility among all the participants. Initial meetings need to be organised in such a way that mutual trust, commitment and appreciation of the assets of each organisation can be established among them.

Several key questions at this stage are:

- ¥ Who should call the meeting and where should it be held?
- ¥ What are the unique aspects of each organisation?
- ¥ What have been peak moments in organisational life to address similar issues?
- ¥ What are the parameters of the issue to be addressed?

An initial meeting of potential partners should be simply exploratory, with the goal being to build enough trust and commitment to meet again. Trust is often cited as a key factor in successful partnerships, but it requires sufficient time to grow.

An agenda for the first meeting might focus on two things:

- ¥ Personal and organisational introductions;
- ¥ Sharing of viewpoints on the key issue.

Tools and skills that can be applied to address the issues at this stage include:

- ¥ Facilitation Skills (see Annex 2)
- ¥Team Building (see Chapters 7 and 8)
- ¥ Problem Analysis (See Chapter 3)
- ¥Appreciative Inquiry (see Box 3)

Stage III: Creating shared directions

In order to be successful, members of a partnership need a joint understanding of the issue, problem or opportunity and most importantly a shared vision of what they hope to achieve together. Identifying the intersection of interests of the partners, and later, keeping a focused on the vision are key to building the relationship. Partners work to develop a realistic strategy and joint action plans.

Key issues at this stage are:

- ¥ What are our common values?
- ¥ What are our bold hopes for the future?
- ¥ How must we change our organisations to become more effective partners?
- ¥ What is our common strategy and action plans?

The Appreciative Inquiry steps of Dreaming and Designing help the partners resolve the issues at this stage.

In the Dreaming step, partners boldly challenge the status quo by envisioning an impact and a more valued and vital future. This becomes an essential motivating force for the partnership.

In the Design step, partners map out concretely how their partnership and their organisations need to change to realise their vision and the ideals that both they and their stakeholders share. The partners also develop a common and realistic strategy and action plans to realise their shared vision.

Specific tools and skills that can be applied to address partnering issues at this stage include:

- ¥ Facilitation Skills (see Annex 2)
- ¥Appreciative Inquiry (see Box 3)
- ¥Visioning (see Chapter 4)
- ¥Action Planning, and
- ¥Team Building (see Chapters 7 and 8).

Again, at this stage DFID may want to draw on professional facilitators to cement this critical stage of the partnering process and to build capacity among the partners.

Stage IV: Implementing action plans

The implementation of the partner s strategy and action plans will pose challenges given the differences among the partners and the evolving nature of the relationship. The different partners will need to learn how to work together, respect differences, manage conflict, bring on board new actors-all the while keeping focused on common objectives.

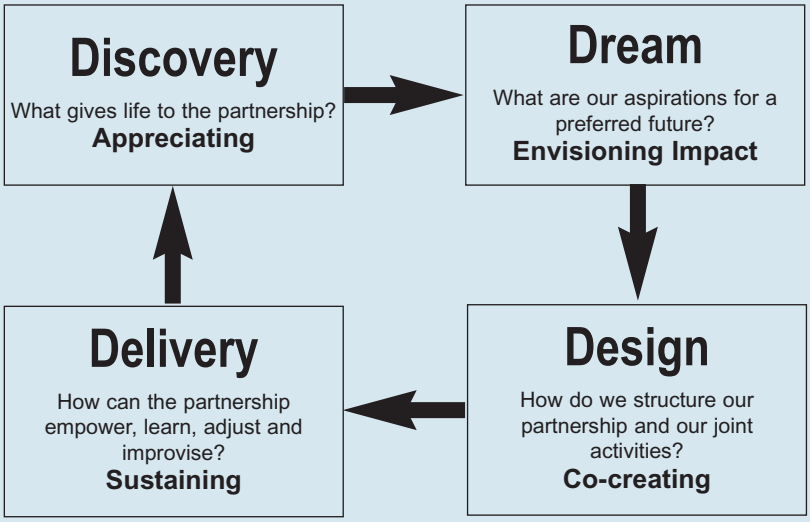
In Appreciative Inquiry this is the Delivery step, emphasising the concept of the learning organisation to support partners to become committed to continuous learning, adjustment and innovation in support of their shared vision. During this stage the partnership seeks to become its own learning organisation in which the partners continually expand their capacity to envision and create the results they truly desire. The AI model is summarised in Box 4 and a sample activity shown in Box 5.

Box 3: Appreciative Inquiry

One innovative methodology for partnering, called Appreciative Inquiry (AI) can be introduced at this stage. Pioneered by the Global Excellence in Management (GEM) Initiative, a USAID-funded project to support global NGO Partnering and Institutional Development, AI is suited to the dual purpose of organisational capacity building and partnering (see Box 3). Its power lies in its ability to tap into the values, assets and strengths of organisations using these as building blocks for discovering organisational best practices and creating a shared vision, strategy and action plans across organisations.

AI deepens and accelerates the partnering process through its core values of deep inquiry and developing common ground. At this stage of partnering the AI step of discovering best practices and peak moments of organisational life and partnering are vital for fostering the partnering process.

Box 4: An Appreciative Inquiry model for building partnerships



Source: GEM Initiative (1997)

Box 5: Appreciative Inquiry for building partnerships and institutional capacity in HIV/AIDS

Social Impact recently collaborated with Family Health International (FHI) a large HIV/AIDS service organisation to build NGO partnerships and institutional capacity using the Appreciative Inquiry (AI) model. The purpose of the activity was to convert FHI s 20 field offices into independent, sustainable NGOs that would work in partnership with FHI and other in-country organisations.

Each workshop used the AI 4-D framework Discover, Dream, Design and Deliver to create a new vision for partnerships with FHI and other partners. Each group developed strategies and action plans for improved service delivery and internal capacity building.

Following the workshops the NGOs began to implement their action plans with partners, improving their internal operations and external programming, reducing costs, making better use of their executive boards, diversifying their resources and deepening partnerships with FHI and other organisations in their regions. Several NGOs successfully repeated the AI process with their staff, boards and additional local partners.

Source: Social Impact

Critical to this stage are agreements on practical and key indicators for monitoring and evaluating the performance of the partnership and the capacities of partner organisations.

During the past several years much progress has been made in this area by a number of groups# (See for example the PROSE capacity assessment instrument developed by PACT and Educational Development Center (1998) and other similar tools developed by World Learning and Save the Children. In business environments and among major donors an equivalent tool is the Balanced Score Card approach (Kaplan and Norton, 1995, se Annex 3).

Important categories of indicators include measures of partnership collaboration, operational capacity, and changes in the enabling environment (USAID s New Partnership Initiative (Chapter 2) provides a comprehensive framework and menu of indicators for tracking partnership performance).

The donor s role in capacity building becomes critical at this stage as the strengths and weaknesses of individual partners become more apparent. Inter-sectoral partnerships will require generic skills of all the partners and specific skills from each sector. Generic skills will include joint decision-making, conflict resolution and setting up new administrative systems that will support the partnership.

For the civil sector developing technical expertise is often a key issue. For the business sector challenges often centre on increasing responsiveness to community concerns. For government a key challenge is often to instill a sense of public accountability. Effective partnership will access adequate resources and technical skills to build each of these capacities among the partners. This is a key area where donors can support partnership building.

In sum, critical issues that need to be addressed at this stage are:

- ¥ How can the partners implement action plans in ways that respect their differences and particular interests?
- ¥ How will tensions and conflicts be managed?
- ¥ How will decisions be handled and to what extent is participation by grassroots groups required for effective implementation?
- ¥ What kinds of capacity building are necessary for the different partners to carry out their part of the process effectively?

Specific tools and skills that can be applied to address issues at this stage include:

- ¥Appreciative Inquiry
- ¥ Conflict Reduction (see Chapter 11)
- ¥ Monitoring and Evaluation (see Chapter 12)
- ¥ Capacity Assessment Tools
- ¥ Organisational Capacity Building(see Chapter 7)
- ¥Team Building (see Chapter 8)

Again, donors may want to use consultants and professional facilitators at this stage to assist partners to develop action plans, M&E systems, build technical capacity and their ability to work in partnership.

10.5 Summary

Partnership building is a process that can leverage important development impacts including programmes with greater scope and increased sustainability. Effective partnering is a long-term process requiring long-term commitment to build the operational capacities of individual organisations and their ability to collaborate.

Inter-sectoral partnerships offer special advantages by combining the strengths of civil society, business and government to realise more profound development results that each group could not accomplish on its own. Donors need to pay attention to the degree of difference among partners and the nature of the tasks they wish to carry out. This has important implications for how the partnership should be structured and what kinds of resources the donor can provide to support it.

Donors can support partnerships in a numbers of ways including facilitating partnering formation and development, committing resources for capacity building and working to improve the enabling environment for partnerships to take place.

Many of a donor s management tools and skills are well suited for partnering and can be used by the donor and its consultants to assess and build partnerships. When the donor is an actual member of the partnership it will need to deepen its own skills in listening and shared decision-making.

Appreciative Inquiry is a practical framework for organisational partnering and institutional development. The Four D steps of Discovery, Dreaming, Design and Delivery are highly intuitive and provide a solid basis for diverse organisations to create and realise shared aspirations.

Box 6: Partnership Readiness Questionnaire

Rate each of the eight items listed using the following five-point scale as a guideline. Place the appropriate number from this scale in the space located to the left of each item. Obtain a total readiness score by adding together your eight ratings.

Five-point scale:

5 = Strongly agree

4 = Moderately agree

3 = Indeterminate

2 = Moderately disagree

1 = Strongly disagree

I. Efficiency and Effectiveness

☐ 1. Effectiveness. Our product or service could be offered on a greater scale if we were able to combine efforts with one or more organisations.

☐ 2. Quality. Our product or service could be offered at a higher quality if we were able to combine efforts with one or more organisations.

☐ 3. Cost. Our product or service could be offered at a lower cost if we were able to combine efforts with one or more organisations.

☐ 4. Resources. Our organisation needs resources that we do not currently possess that could be accessed through other organisations.

☐ 5. Sustainability. Our products product or service could be provided on a more sustainable basis if we were able to combine efforts with one or more organisations.

II. Personal Fulfilment

☐ 6. Gratification. Other members of this organisation and/or I would become much more involved in, have more control over, and/or be more satisfied with the work environment if our organisation were to enter into some form of partnership with another organisation.

☐ 7. Gratification. I believe that other members of this organisation and/or I would find a partnership with one or more organisations a source of challenge, excitement, personal learning, and/or professional development

III. Organisational Culture

☐ 8. Decision-making. Our organisation has a culture of collaborative decision-making that would support a partnership with one or more organisations.

Source: adapted from Bergquist (1995).

11. Conflict Reduction

11.1 Introduction

DFID s activities are increasingly implemented in countries experiencing various types of conflict, from low levels of sporadic violence to open and protracted conflict. It has become clear that conflict impacts on these activities. For example, objectives may be undermined or activities halted due to security concerns. At the same time, activities sometimes have unforeseen effects on conflict situations. For example, the benefits of an activity may be captured by one group and reinforce existing inequalities. There may also be ungrasped opportunities to support peace within ongoing activities.

Conflict should not be seen as something which is always negative. It is an inherent feature of change in society. It becomes a problem when society cannot manage or resolve its different interests in a peaceful way and violent conflict emerges.

11.2 Coping with conflict

A number of development activities seek to cope with issues of conflict, in recognition of the need to identify and analyse conflict issues in a consistent way. DFID s 2000 *Policy Statement on Conflict Reduction and Humanitarian Assistance* (see Annex 3) looks at the wider context and outlines the links between conflict and poverty, and the principal strategies for integrating conflict reduction objectives into development work to promote the right environment for fostering peace .

Efforts to address conflict are integral to broader poverty reduction work. Promoting sustainable development should mean addressing the sources of tension and grievance which give rise to conflict. In order to build the will and capacity of states and civil society to prevent and resolve conflict, we need to understand its causes. A number of analytical tools have been developed to assist with this process.

Conflict analysis and assessment should now be regarded as an integrated dimension in development work, undertaken in an inter-disciplinary manner, and with the same professional discipline applied to other aspects of planning and design. Box 1 (below) sets out some guiding principles to be considered when conducting conflict assessments.

Box 1: Guiding principles for conflict assessments

- ¥Adapt according to the needs and objectives of the end user
- ¥ Develop according to the nature and phase of the conflict
- ¥ Develop dynamic forms of analysis to cope with changes over time (sometimes rapidly), taking into account a live understanding of actors, triggers, incentives and trends (See also Box 4)
- ¥ Encourage joined-up analysis, in the form of a shared analysis of conflict by partners in the development activity (other donors, participating Governments, etc), to reach common solutions.

Abridged from Conducting Conflict Assessments: Guidance Notes, DFID

Since the nature and potential effects of conflict differ according to the scale of the activity or intervention being considered, different approaches are required. Box 2 (overleaf) shows how higher level strategic conflict assessment (SCA) and lower-level peace and conflict impact assessment (PCIA) can help meet the challenges posed by conflict. Here, the objective is to ensure that development initiatives avoid or minimise the exacerbation of conflict situations and, if possible, contribute effectively to their reduction.

11.3 Understanding the conflict

Any developmental intervention may exacerbate or provoke tensions in situations of open or latent conflict. These tensions may then contribute to disputes, hostility

and violence, possibly damaging the environment within which an intervention is taking place, though without undermining the intervention itself, or at other times having severe consequences for the viability of the intervention. An example of the interplay between conflict and poverty is set out in Box 3.

Box 2: Comparing Strategic Conflict Assessment and Peace and Conflict Impact Assessment

Strategic Conflict Assessment (SCA) is an analysis on a regional and/or country level of the conflict dynamics within a particular situation. It can help develop strategic priorities and indicators for the screening of development activities, and assess the associated risks.

It seeks to establish a broadly shared understanding, at a national or transnational level, of the most significant issues that may have an impact on conflict and peace in the area under discussion. These issues may be political, economic, socio-cultural and/or environmental, or relate to other issues such as security and governance.

Peace and Conflict Impact Assessment (PCIA) is a micro-level assessment, as part of the planning and appraisal process. It can inform activity design by systematically analysing the effects of an intervention on its social and physical environment, and help evaluate the impact of the activity on conflict and peace.

Box 3: Poverty and conflict in Nepal

Poverty is central to the dynamics of conflict in Nepal. The Maoist rebel movement has attempted to mobilise the support of rural people around the issues of social exclusion and poverty. The conflict is centred in the areas experiencing the highest levels of poverty and with the least voice in democratic politics.

Due to failings including a lack of genuine commitment and widespread Government corruption, national and bilateral programmes have failed to make a significant impact in these areas, fuelling rural resentment. In Nepal, therefore, poverty appears to be both a cause and a consequence of conflict. It is used to try to legitimise violence, while the conflict itself has led to deepening poverty in conflict affected areas.

Abridged from the 2000 DFID strategic conflict assessment, Nepal

An understanding of the conflict dynamics in a situation therefore helps activity design by assessing:

- ¥ Risks of negative effects of conflict on activities and policies
- ¥ Risks of activities or policies exacerbating conflict
- ¥ Opportunities to improve the effectiveness of activities and policies in contributing to conflict reduction.

DFID has developed an analytical framework for assessing conflict and helping to develop conflict reduction strategies. This looks at both the longer-term structural factors underlying conflict, as well as shorter-term motivations, incentives, and potential conflict triggers. This framework is set out in Box 4.

Box 4: DFID conflict assessment framework

Structures →	Actors →	Dynamics
POLITICAL	INTERESTS	LONG-TERM TRENDS
ECONOMIC	INCENTIVES	TRIGGERS
SECURITY	RELATIONS	CAPACITIES
SOCIAL	CAPACITIES	SCENARIOS
	PEACE AGENDAS	

From Conducting Conflict Assessments: Guidance Notes, DFID

11.4 Conflict reduction strategies and options

A macro-level conflict assessment can help improve the design of development activities by giving an understanding of structural factors which may promote or mitigate conflict, identifying conflict actors and their motivations, and analysing the dynamics of conflict. By providing the basis for accurate policy analysis, this can help target development interventions most effectively, and develop strategies and options which take conflict tensions into account.

One approach is to adapt existing development activities to minimise conflict-related risks or even contribute to building peace. A further approach is to develop new initiatives to respond more effectively to conflict.

Both these approaches should draw upon established developmental tools and good practice, for example with respect to Stakeholder Analysis (Chapter 2), Problem and Situational Analysis (Chapter 3), Visioning (Chapter 4), institutional and governance analysis, Risk Management

(Chapter 6), as well as a range of other participatory appraisal tools (Chapter 7). Conflict prevention and reduction measures should be designed-in to each stage of the activity cycle.

Box 5: Example of the interaction between conflict and a development activity in Kyrgyzstan

General analysis in Kyrgyzstan revealed that the benefits of an agricultural extension activity were mainly going to the local elite. But the conflict perspective pointed questions towards the issue of ethnicity. There had been serious ethnic clashes in the past. The Government was about to lift a moratorium on the land sales and tension over land sales was expected to rise. Local political power had been captured by an elite group which also controlled the judiciary. There were also border tensions and conflicts over resources which tended to fuel ethnic differences.

The Conflict Assessment pointed out that some local persons might perceive a considerable gain to be made by causing conflict. The activity tended to favour the political elite and marginalise the ethnic minority. Recommendations included the monitoring of the ethnic composition of activities in the area and the formulation of new activities which more directly reached the target groups.

Abridged from the 2000 DFID strategic conflict assessment, Kyrgyzstan

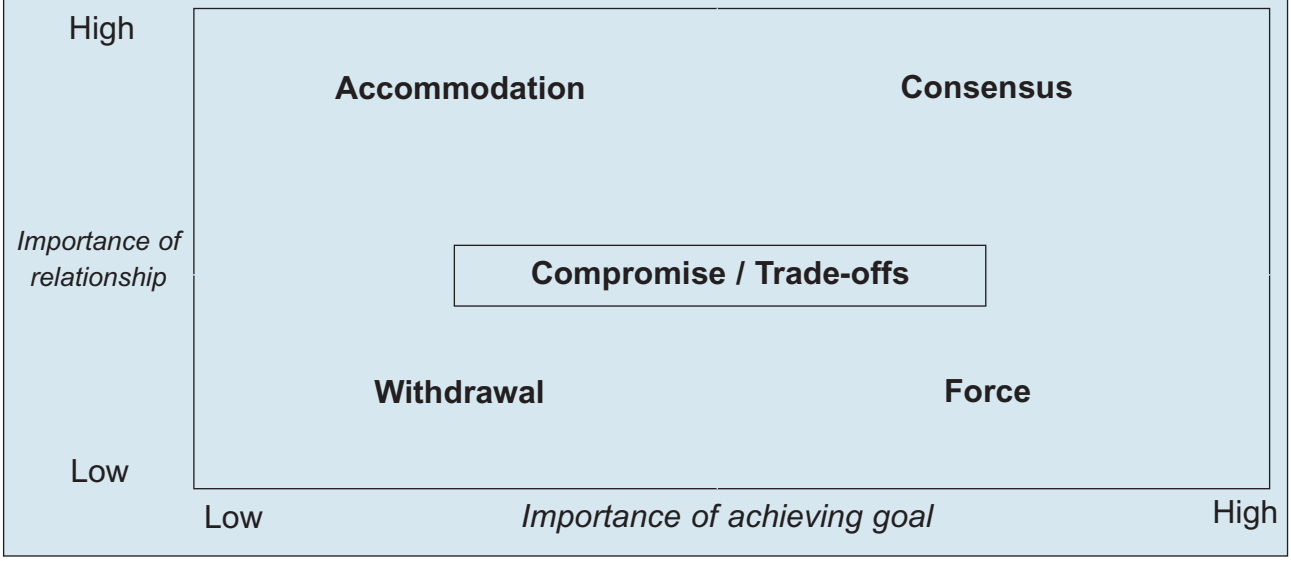
Box 5 sets out an example of the interaction between latent conflict and a development activity in the Ferghana Valley area of Kyrgyzstan. Box 6 sets out examples of the kind of adjustments which can be made to development activities to mitigate conflict-related risks.

There is no perfect process for dealing with conflict. The chosen strategy for each activity needs to be that which is most practicable given the available resources and capabilities of the implementing groups and agencies, and due consideration to issues of safety and the availability of viable risk management options. It is also crucial to ensure coherence in overall engagement with the country in question and to work towards complementarity with the efforts of others.

Box 6: Examples of adjustments to development activities to mitigate conflict-related risk

- ¥ Developing sound security procedures for staff and project partners
- ¥ Reducing inter-group disparities or horizontal inequalities
- ¥ Developing a sensitivity to the distributional impacts of development activities
- ¥ Balancing interventions which address short-term incentives with those that target long-term structural issues
- ¥ Limiting private incentives for elites to accumulate wealth
- ¥ Better addressing poverty and the needs of particularly disadvantaged groups

Box 7: Conflict Management Strategies



11.5 Conflict management

Conflicts can also arise at the community, group or individual level at different points in the activity cycle — for instance during a stakeholder workshop. To avoid or minimise any exacerbation of this conflict requires an understanding of the motivations and strategies of the different parties. Box 7 (previous page) summarises the different strategies that can be adopted. In this diagram the approaches differ depending upon the extent to which:

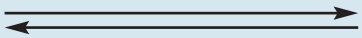
- ¥The party values the maintenance of good relations with other parties; and
- ¥The importance the party places on achieving its own goals.

Each of the five possible strategies outlined in Box 7 — Accommodation, Consensus, Compromise / Trade-offs, Withdrawal or Force — has its advantages and disadvantages. What those are will be dependent on the situation. Ideally, consensual negotiations are required: they may not always be possible. Box 8 presents the strategic options for each particular strategy.

The importance of building and maintaining an open dialogue in any situation of conflict is critical. A list of the key skills required is presented in Box 9.

Training and facilitation are also often critically important. Some simple facilitation guidelines are presented in Box 10. The importance of these skills and facilitation guidelines is also illustrated in the case study outlined in Box 11 overleaf).

Box 8: Options for constructing a most practicable strategy for managing conflict

Specific Strategies	¥Adversarial uncompromising negotiation ¥ Legal channels ¥ Electoral system ¥ Use of mass media to rally public support ¥ Public protest ¥Threat of withdrawal ¥ Lobbying
Strategic Options **Force**	
Withdrawal	¥Avoidance ¥ Opting out ¥ Deployment of delaying tactics ¥ Postponement of decision ¥Temporary boycott ¥ Strikes
Accommodation	¥ Relationships dominate ¥ Goodwill nurtured
Compromise 	¥Trade-off ¥Arbitration
Consensus 	¥ Direct consensual negotiation (no facilitator) ¥Third party facilitated negotiation
	Adapted after UKFSP/ODI

Box 9: Key skills in building and maintaining effective communications

¥ Listening, listening, more listening.

¥ Build and maintain rapport.

¥Acknowledge perceptions.

¥Accommodate cultural differences.

¥ Understanding and describing the viewpoints of others.

¥ Identifying needs, interests, concerns and fears.

¥ Encouraging conflicting parties to listen to each other.

¥ Setting and getting agreement on rules.

¥ Starting constructive discussions (and keeping them going!)

¥ Creative problem solving.

¥ Building relationships.

After CIDT in Footsteps, Tear Fund

Box 10: Guidelines for conflict facilitation at project level

¥ Identify that conflict is happening.

¥ Disagree with ideas NOT people. Do not accuse or blame.

¥ State the problem as a shared one: We do not agree about x , rather than You are wrong about x .

¥ Identify and focus on the central issues to the conflict. Do not digress.

¥ Do not compromise too quickly. Quick compromise may mean that you have not adequately explored the problem or possible solutions. The idea solution gives everyone what they need and meets their interests.

¥Those not directly involved in the conflict can be invited to pay close attention to both sides and add perspectives on the process as well as the content.

¥Acknowledge and accommodate cultural differences.

¥ Be aware of your own opinions and feeling. People tend to think their wants and needs are locally justifiable, so often they focus on rational arguments even though their feelings may be the driving force.

¥ Use quiet time. If the discussion becomes too heated, a few minutes break or a schedule that permits meetings over several days or weeks may help facilitate a decision.

Box 11: Case Study: Managing rights and opportunities in a marine protected area

This case study considers conflicts among community members in two Fijian island villages and external agencies on a site proposed by the Fijian government s National Environmental Strategy for protection and management. The case study illustrates the use of facilitated CM in managing a process of negotiation between villages and an interested third party (international NGO, INGO) It emphasises the primacy of customary procedures, and highlights the value of perceived neutrality and training for INGO.

An international NGO activity, begun in 1998, had three aims:

- ¥ Establishing a marine protected area,
- ¥ Establishing and monitoring sustainable resources management, and
- ¥ Developing business options for poor people on a Fijian island with a globally important reef system where the major issues poor people faced were:
- ¥ Balancing conservation and sustainability with the need to harvest fish.
- ¥ Reducing fish harvest to sustainable levels and choosing among three poor alternatives: farming on very low fertility soil, harvesting and selling seaweed, and opening the area to tourism.

The activity proposed strengthening traditional management systems, building on these with new skills, and searching for appropriate income alternatives. Government backing is an important reason why the activity has been taken up by the international NGO.

Preliminary stakeholder and conflict analyses (SA & CA) revealed several existing conflicts, the most significant being the long history of conflict between two neighbouring fishing ground owners relating to user rights, ownership and dispute over the Chiefly line. The SA and CA also suggested that several new conflicts may arise between local people, Fisheries Department and INGO staff when activities began. Beyond that, little was known of the specific circumstances.

A trained conflict management (CM) trainer was invited to attend an INGO Planning Workshop in late 1998. Following this INGO staff undertook one day of live training, the output of which was a refined stakeholder analysis, initial conflict mapping, the development of alternative strategies, and action plans based upon preliminary conflict prioritisation. Preparations were made for a community based conflict analysis, and a four-day workshop took place with five objectives:

1. To introduce CM principles and processes to the community
2. To identify, verify and analyse potential and existing conflicts, including

¥A verification of the OBA

¥ Identifying additional issues

¥ Identifying underlying needs of stakeholders

¥ Identifying existing local approaches to conflict management

3. To analyse the way in which the Chiefly line conflict could affect the activity
4. To identify other known conflicts in the area and how these were resolved
5. To establish a baseline and system for monitoring levels of conflict and consensus

Twenty-one stakeholders and nine conflicts were identified and nine conflicts were prioritised.

A detailed set of tables was then prepared that described, for each conflict, the key components of existing approaches to CM (customary and institutional) and suggestions for strengthening these. Other records were made that summarised the issues affecting each stakeholder group, and how these groups might perceive others as able to influence conflicts, positively or negatively.

At a second workshop in 1999 the three objectives were:

1. To assess the needs of each of the key stakeholders in relation to MPA establishment
2. To facilitate communities in identifying issues with potential to develop into conflicts
3. To assist communities identify strategies for managing conflicts, using customary and other processes

The workshop lasted nearly four days with activities undertaken mainly in groups followed by plenary discussion, namely:

- ¥ Introduction, traditional ceremony, description of WWF and FSP roles
- ¥ Identification of issues
- ¥ Re-framing
- ¥ Benefits to MPA
- ¥ Modelling of approaches to conflict resolution
- ¥Action planning

- ¥ Recap and review of strategies
- ¥ Community time-line (which went from 1952 to 1998)
- ¥ Concluding session including question and answers about the process and next steps

These activities resulted in a new list of nine conflicts, with three issues considered to be a priority:

1. Conflict between villages on the chiefly title
2. Traditional fishing ground not properly registered
3. Conflicts among villages over traditional fishing rights boundaries
4. Lack of community support, (related to the chiefly title problem)
5. Absence of an MPA management plan
6. Community members not in agreement with current MPA guidelines
7. Low levels of support from Fisheries Department and other outside agencies
8. Low support levels from some community members
9. Communications difficulties with outside agencies

The team felt that focussing on a big issue (chiefly title) too early would have forced an unwelcome pace and prevented them from establishing positive relationships and trust with the community. As events showed, however, the title conflict permeated all aspects of the MPA activity. Although dormant for a long time, the conflict was brought to life when open confrontation between one chief and people from a neighbouring village emerged during a district meeting. Retaliation consisted of cutting off water supply to a village which then had to build their own reservoir. Elders sought reconciliation but this was turned down.

The approach of the CM trainer and INGO was to first separate the three key conflicts. It was agreed that these needed to be resolved first, in customary ways, before the activity could proceed. This is more or less where things stand today, although steady progress is being made and a supportive framework for this process is being provided, largely through one-on-one discussions involving INGO staff, the CM team and key local parties. Additional training has been undertaken despite the difficulties, in:

- ¥ Conflict management and problem solving
- ¥ Small business development
- ¥ Fisheries management
- ¥ Fisheries technical training
- ¥ Species counting and reef checking methods

The neutrality of then CM trainer staff (i.e not aligned with the community or with INGO) has been key. Both INGO staff and the communities received some training in CM in a live context and also in general terms. All parties also have experienced the CM team facilitating meetings and workshops where their neutrality was clear and agreed by all. Thus, the trainer is well placed to maintain constructive dialogue about CM with all parties without compromising INGO s stance or favouring either side. Where INGO could function as a broker, the trainer has been able to work as mediators (Jones, 1998).

The team now have a five-point action plan:

1. Build dialogue and continue building options for next steps with INGO
2. Keeping an eye on sustainability issues for MPA management when INGO leave the area
3. Build relationships with people in villages and with the Fisheries Department
4. Seek ways of improving the relationships among people in villages
5. Continue CM assessment as the activity debates tabu areas (off limits to fishing)

Source: after CIDT, University of Wolverhampton

12: Monitoring, Reviewing, Evaluating

12.1 Introduction

In recent years, donors have given a high priority to the monitoring and impact assessment of development activities. Output-to-Purpose Reviews (OPRs) are central to the process of undertaking strategic review of the effectiveness of development activities.

OPRs assess (a) progress in delivering logframe outputs and (b) whether the purpose and goal are likely to be, or have been, achieved. OPRs also identify key strategic issues and examine unintended programme impacts. As a form of strategic review, however, they are not used to monitor individual actions within an activity.

OPRs may be carried out annually, in mid-cycle, as Mid-Term Reviews (MTRs), or as End of Project Reviews (EPRs).

12.2 Why emphasise OPRs?

There are a number of reasons why DFID and its partners now emphasise the Output-to-Purpose Reviews of development programmes. These include the following:

Good Management

Evaluation is seen as an essential aspect of good management. Good evaluation systems are needed if development programmes are to be implemented effectively, and their successor programmes to be made more effective.

Accountability

Government departments in most democracies have become more accountable than they were a decade ago and need effective evaluation systems to report to their parliaments. In the UK, for example, DFID, which has always had to report on its use of public funds, now has policy objectives, which are agreed with Parliament. DFID has to report each year on how well these are achieved.

Lesson Learning

If development agencies are to learn from experience and use this in the design and redesign of development programmes, effective impact assessment is essential.

It is essential that donor organisations actively learn lessons from their experiences, sharing and applying these in such a way that the effectiveness of its future development activities is enhanced. Many donors, including DFID, have designed evaluation systems to make this possible. Learning is now an integral part of the process of programmes. This is especially important in process work, where the purpose and key outputs are agreed at the outset, but the activities evolve over time, in the light of experience gained.

Participation

The participation of primary and other key stakeholders in all stages of the activity cycle is essential if development programmes are to deliver sustainable benefits for the poor. Partnerships with stakeholders should ideally start at the identification stage and continue right through to evaluation. They should participate actively in impact assessment, and systems should be designed to meet their information needs. Unless local stakeholders have strong ownership of the intervention, benefits are unlikely to be successfully achieved and sustained.

In recent years, evaluation systems have become more streamlined. The large and complex information systems of the past, have been replaced by more selective ones in which only the minimum data needed for key stakeholders (beneficiaries, team members, government, donors) effectively to track progress is collected and analysed.

12.3 Types of reporting and review

The purpose of reporting and review is to improve development effectiveness in two ways: firstly, through ensuring accountability for funds allocated; secondly, by promoting the learning of lessons from experience so that implementation can be strengthened by making any

adjustments required. Significant lessons learned may, through wider application, strengthen development policy and practice. However, proportionality is an important consideration: it is clear that a major investment should be rigorously monitored, but a small task may not merit close scrutiny unless it is seen as a pilot for a major follow-on investment.

Reporting, internal monitoring and external reviews are key processes in managing the activity cycle. All involve comparing actual progress with what was planned in the logframe. They are not only a DFID policing requirement, the local activity staff should be fully involved too. They offer an opportunity to reflect on the work in hand, allowing lessons to be learnt and adjustments to be made accordingly.

Donors may require up to three different types of report: activity reports, and monitoring reports, usually undertaken by the staff directly involved in the activity; and strategic reviews, more wide-ranging reports sometimes undertaken by personnel not directly carried out with the activity (Box 1 shows types of DFID reports).

Strategic reviews involve assessment at Output and Purpose levels; Output-to-Purpose Reviews, undertaken as part of strategic reviews, are more comprehensive. The purpose of undertaking a strategic review is to ensure that the activity being undertaken feeds into the appropriate Country Strategy Review. Strategic reviews are key inputs to these Reviews.

Review Timings

In some cases, there is no set frequency with which these different reports are prepared; their frequency depends on the size and complexity of the intervention. However, reports on all but the smallest activities are generally completed quarterly or six-monthly, while monitoring reports are undertaken annually.

Strategic reviews are generally undertaken at the mid-term of an activity, where they are termed a Mid-Term Review (MTR). They may also be undertaken at the end of the project, where they may be termed an End of Project Review (EPR), especially if key lessons need to be learnt or as part of the planning of a new phase. If an activity is perceived as running into difficulties, a strategic review can be carried out at that point as well, or indeed, at any point in the activity cycle.

It is desirable to conduct both monitoring and review jointly with other agencies, particularly, of course, if a programme is joint-funded. Collaborative monitoring and review can be an effective part of an influencing strategy; and can allow greater efficiency if donor input is reduced

Box 1: Types of DFID reports	***Focus***
Programme or Project Reports By non-DFID staff Project staff, consultants	**Activity-to-Output Review:** ¥Assess progress in delivering activities and outputs. ¥ Monitor the use of inputs.
Monitoring Reports By DFID staff, including field managers	**Activity-to-Output Review:** ¥Assess progress in delivering activities, outputs and achieving the purpose. ¥ Estimate the likelihood that outputs and purpose will be achieved. ¥ Review assumptions about risks at activity-to-output and output-to-purpose levels.
Strategic Reviews By a multi-disciplinary team — involving DFID and other key stakeholders (e.g., primary stakeholders, the implementing agency, other donors)	**Output-to-Purpose Review (OPR):** ¥Assess progress in delivering the outputs and achieving the purpose and goal. ¥ Estimate the likelihood that outputs, purpose and goal will be achieved. ¥Address any key strategic issues that need attention if the activity or intervention is to achieve its purpose and contribute towards achieving the goal. ¥ Review assumptions about risks at all levels. ¥Assess progress against agreed objectives, usually sector-specific and organisation-wide in scope. *Note:* If undertaken during the course of a task, they may be termed Mid-Term Reviews (MTRs), if at the close, they may be termed End-of-Project Reviews (EPRs).

as other partners provide more input. One example is the joint supervision missions of the District Primary Education Project, led by the Indian Government and in which several donors participate. Generally, joint monitoring and review is a useful way of promoting joint accountability.

12.4 Project Completion Reports

Donors usually require a Project Completion Report (PCR) for their activities. The result will be an assessment of the extent to which planned outputs have been achieved, and whether this has been done within the timescale planned in accordance with the logframe. This information enables the donor to draw conclusions and to learn lessons from its experience of implementation.

The Project Completion Report has a number of additional purposes. Firstly, it provides an initial opportunity to assess the likely wider and longer term impact of the activity. In relation to the logframe, this means making an initial assessment of the extent to which the goal and purpose identified in the logframe are likely to be met. It is important to recognise that, in most cases, a completely reliable impact assessment of this kind can only be made some years after the inputs have been completed, and that the primary tool for assessing impact is the evaluation system; this includes the Output-to-Purpose Reviews which inform the findings of PCRs on impact.

Secondly, it allows team leaders to identify activities that may be particularly suitable for evaluation at some future date;

Thirdly, a PCR produced concurrently with the implementation stage can provide an aid to monitoring.

12.5 Evaluation Studies

Donors will often commission a number of retrospective evaluation studies, whose purpose is to examine rigorously the implementation and impact of a small selection of completed activities and interventions and to generate the lessons learned from them so that these can be applied to current and future work.

For further information about Evaluation, see Box 2 (*overleaf*).

12.6 Reporting formats

The formats used by development organisations to report progress vary, though most are based on the logframe or another variant of results-based task management.

The use of clear and concise formats are recommended for different reports. Programme or project reports will involve reporting on use of inputs (see Annex 3 for reference to DFID s *Office Instructions*) and an Activity-to-Output report to establish what progress has been made in delivering activities, and whether is this leading to the achievement of outputs. The recommended format for Activity-to-Output Reviews is shown in Box 3.

12.7 Monitoring and Strategic Reviews

Monitoring and Strategic Reviews both involve undertaking a review at Output-to-Purpose level, though OPRs conducted during strategic reviews are more rigorous. The OPR reporting format is similar to that for Programme and Project Reports, but includes a column to score the likelihood that objectives (goal, purpose, outputs) will be achieved. This is estimated on a six-point scale, ranging from 1 (Likely to be completely achieved) to 5 (Unlikely to be realised) with X (Too early to judge the extent of achievement) to indicate where a judgment cannot yet be made.

The format recommended is shown in Box 4 and the Annual Scoring Report (Box 5), which must be completed each year for activities and interventions over £500,000 (except in the first two years, if this would be premature). Further advice on completing the formats and ways of reporting on inputs is given in DFID s *Office Instructions*.

Strategic Reviews

Strategic reviews involve thorough Output-to-Purpose Reviews, which aim to:

- ¥Assess likely development outcomes (what is the likelihood that the activity will deliver its outputs, achieve its purpose and contribute towards the achievement of the goal?);
- ¥ Identify any unintended impacts;
- ¥ Re-assess the activity s design, implementation procedures and underlying assumptions to increase prospects for success;
- ¥ Explore any differences in view among key stakeholders and strengthen and reaffirm a common purpose;
- ¥ Learn lessons and communicate these to senior donor management and partner organisations (including lessons for the donor s own management systems).

There is no blueprint on how to conduct a strategic review. The way the review is organised will depend on a number of factors, including:

- ¥The size of the programme;
- ¥ Its strategic importance;
- ¥ Whether it is innovative and has the potential for replication;
- ¥ Whether it shows signs of running into problems;
- ¥ Whether adequate monitoring and impact assessment data are available or need to be especially collected.

Here are some key tips on points to keep in mind in planning and implementing a strategic review. An example of a recent review is given in Box 6 (Another example, the Faislabad Urban Upgrading Project MTR, is discussed in Anne Coles and Phil Evans (1998). See Annex 3).

Plan well ahead

Strategic reviews should be planned well ahead of the actual mission in order to:

- ¥ Ensure all key stakeholders are involved;
- ¥ Provide adequate notice to managers, so that they can contribute as effectively as possible;
- ¥ Plan and implement any special surveys or other work that might be needed;
- ¥ Ensure that key donor and other staff (e.g., senior government officials) block the time in their diaries;

Box 2: Evaluation

The role of Evaluation

The use of the term evaluation varies from one institution to another. It usually refers to a study carried out after a project or other activity has been completed. On-going evaluation also takes place, in the form of Output to Purpose Reviews.

Some agencies use the term to cover both the initial assessment of a proposed activity — the stage termed appraisal in DFID — and the post-completion assessment, although more are now moving to the use of ongoing evaluation.

In DFID the term monitoring covers the examination of a task during implementation, at the input, activity and output levels, while review denotes a study of the implementation process and the immediate result. Output to Purpose Reviews also assess impact.

Evaluation does assess the implementation process but is distinguished from the other activities by its primary emphasis on the impact of any given exercise.

Appraisal, monitoring and review are all aimed at ensuring that a project attains the impacts intended by the donor and the developing country. Evaluation provides a judgement on whether or not these impacts have in fact been achieved. For the purpose of this illustration, evaluation should be taken to refer to DFID s traditional ex-post form of evaluation.

The purpose of Evaluation

The purpose of evaluation is to learn lessons from past experience lessons so as to improve the effectiveness of future development undertakings. The intention is not to apportion praise or blame, although donor accountability is another objective of evaluation. Instead, evaluation reviews how and why tasks succeeded, failed or were changed.

Lessons can be learnt about the appraisal, design and implementation of an undertaking, as well as about its beneficiaries. Evaluation can also suggest how the donor s procedures might be improved by identifying lessons in ways that can be used by operational departments.

Approaches to Evaluation

An evaluation will assess:

- ¥Technical, economic and procedural aspects of an undertaking;
- ¥ How far the implementation of each stage of the cycle was carried out effectively and efficiently;
- ¥ What results were achieved in comparison with what had been intended, and in relation to costs.

All evaluations look back to the submission for approval and consider its adequacy, taking account of comments made by the approving authority. The achievement of the objectives stated in the logframe will be a central consideration of the evaluation, but an evaluation will also seek to identify whether there have been any impacts that were not foreseen in either the original appraisal or the submission for approval.

Further information on managing evaluation is available in DFID s *Office Instructions* (see Annex 3).

Box 3: Format for Activity-to-Output Reviews

Project Structure	Indicators	Progress	Comments / Recommendations
ACTIVITIES			
Insert Activities from the logframe	Insert Indicators of achievement from the logframe for each activity.	Provide a report against each Indicator	¥ Provide any comments ¥ Explain if progress is not as planned ¥ Provide time-bound action points for DFID or other stakeholders.
To:			
OUTPUTS			
Insert Outputs from the logframe	Insert Indicators of achievement from the logframe for each Output.	Provide a report against each Indicator	¥ Provide any comments ¥ Explain if progress is not as planned ¥ Provide time-bound action points for DFID or other stakeholders. Comment on the extent to which Activities to Output assumptions are still valid.

¥ Plan for any special requirements (e.g., translation of key documents).

The planning of strategic reviews often starts 6-9 months before the actual review mission.

Commission an independent assessment

Most strategic review missions last 5-10 days. In such a short time, it is not possible to understand all the important issues or have extensive discussions with key stakeholders.

Because of this, many strategic reviews commission an independent assessment by outside consultants, which is undertaken earlier. The aim may be to have a thorough study of all aspects of the activity or intervention, in order to identify key issues for the review, and/or to ensure that the views of primary stakeholders are listened to and included in the review process.

The TOR for independent assessments should be jointly agreed by the donor with other key stakeholders (e.g., in a workshop) and the assessment report should be completed and circulated at least one month before the mission, to give task managers time to respond to its findings and recommendations. Care should be taken to ensure that the assessment team has specialists in all key disciplines and that the team is well briefed and debriefed.

Use a multi-disciplinary team

The use of small, multi-disciplinary teams, with advisers often covering more than one discipline, makes better use of human resources and often makes for a more efficient mission. The key note is proportionality: use of a larger team on major activities and interventions is justifiable.

In the case of Strategic Reviews, this means that all advisers in appropriate disciplines should have an input to the review, but the whole advisory team does not necessarily need to go on the mission. The strategic review team should comprise the team leader and advisers in strategic disciplines for that activity. Cross-cutting advisers (governance, economics, social development) often have key roles to play.

Efforts should be made to ensure the team is gender-balanced and that one or more of the team has good facilitation skills. If this is not the case, a professional facilitator should be used.

Others advisers can input to the mission in an number of ways (e.g., by making a prior visit; by including a consultant in an appropriate discipline on the independent assessment team; by briefing colleagues on important issues).

Involve all key stakeholders

All key stakeholders should be involved in strategic reviews. Ensuring that this is done effectively requires prior planning and commitment. It can be achieved in a number of ways. Two examples follow.

Firstly, by ensuring that senior representatives from partner organisations (e.g., government officials, officials or trustees of NGOs) take part in the mission, either as a full members or as resource people. This is especially important when strategic decisions will be made.

Secondly, by holding workshops, meetings and interviews with all key stakeholder groups. The independent assessment should be undertaken in a participatory way and involve all key stakeholders, especially primary stakeholders — or their representatives — in the exercise. During the strategic mission, itself, there will be less time but, efforts should still be made to involve key stakeholder groups in the process of the review.

It is often a good idea to undertake a stakeholder analysis when planning the review, to ensure that all key stakeholders have been identified and to focus on the best ways of involving them in the review.

Managed carefully, strategic reviews can be powerful capacity-building exercises for key stakeholders in the programme, who may not previously have taken part in strategic planning or impact assessment.

Formulate Terms of Reference and identify strategic issues jointly with other key stakeholders

It is essential that partners in a programme and other key stakeholders have a sense of ownership of the review process from the start. Terms of Reference for reviews should be formulated jointly with them and they should be involved in identifying key strategic issues.

One way this can be done is for the mission or team leader to undertake a pre-assessment some months in advance to discuss the TOR for the mission. This is best done after an advisory team has met to agree on what it sees to be the most important issues and to decide on its division of responsibilities.

Box 4: Reporting format for Monitoring and Strategic Reviews

Project Structure	Indicators	Progress	Comments / Recommendations	Score
OUTPUTS				
Insert Outputs from the logframe	Insert indicators of achievement from the logframe for each Output	Provide a report against each Indicator	¥ Provide any comments ¥ Explain if progress is not as planned ¥ Provide time-bound action points by DFID or other stakeholders	Score likely achievement 1-5 or X
To:				
PURPOSE				
Insert Purpose from the LogFrame	Insert indicators of achievement from the logframe for the Purpose	Provide a report against each Indicator	¥ Provide any comments ¥ Explain if progress is not as planned ¥ Provide time-bound action points by DFID or other stakeholders Comment on the extent to which Output to Purpose assumptions are being met	Score likely achievement 1-5 or X
To:				
GOAL				
Insert Goal from the LogFrame	Insert indicators of achievement from the logframe for the Purpose	Provide a report against each Indicator	¥ Provide any comments ¥ Explain if progress is not as planned ¥ Provide time-bound action points by DFID or other stakeholders Comment on the extent to which Purpose to Goal assumptions are being met	Score likely achievement 1-5 or X

It is good practice to ask any partners, with the assistance of primary stakeholders, to hold a workshop to discuss what they consider to be the key strategic issues, in the course of preparing the TOR.

Project reports should be distributed in advance and a brief presentation of keys issues made at the start of the mission

A Mid-Term Report or End of Project Report should be produced, detailing progress against the logframe and discussing key strategic issues. It should be drafted after the independent assessment (if any) has been completed, so that the programme team can respond to its findings. It should be circulated well in advance of the mission (at least two weeks before, preferably earlier).

Some teams are comfortable addressing strategic issues, others tend to focus more on operational issues (i.e., inputs, activities and outputs). Sometimes it can be helpful to provide a facilitator to assist the team in preparing its report, to ensure that strategic issues are covered.

Box 5: Example of an On-Going Project Scoring Summary Report

Title: Participatory Development Initiative

Country:	**MIS Code:**	
Start Date: 01/07/95	End Date: 01/06/01	Date of Report: 16/10/00

Risk Category (Mandatory): Medium

Purpose Statement: To strengthen the capacity of communities to respond possibility to changes in their social, economic and physical environment through improving community.

Purpose OVI: CBOs design and implement plans for sustainable and equitable use of resources. Poor and marginalised identity own needs, participate in planning and implementation and perform self-monitoring. Awareness of rights and access to resources improved. CBOs understand roles and responsibilities.

Purpose Rating: 2: Likely to be largely achieved.

Rating Justification *(What is the likelihood that the purpose and outputs of the activity will be fulfilled?):*

Purpose: The activity has made very good progress in terms of its original objectives, which were concerned with the piloting of a rights based approach in 3 communities only. Already the activity has extended to 7 villages and through its training programmes and influence, particularly on Government, is likely to have an impact throughout the sub-district. Its participatory training methods are working and local officials have made it clear they regard the project very highly. More importantly at the community level the comments were unanimous in terms of praising the approach of ACORD: imparting knowledge and understanding of rights rather than a product, which will allow the villagers to develop themselves and access resources more equitably. The project has specifically assisted the elderly by facilitating the process for obtaining OMANG cards so that they could receive their pensions. Trust and respect have been established. Very good relationships have been developed at community level, and at the district level there is evidence of increased collaboration. Contacts are slowly being developed at the central level and once the reputation of ACORD is established it is expected that their influence will increase.

Outputs: The project is making progress with most of the outputs, particularly in terms of VDC and CBO capacity. A good start has been made on AIDS. The IGA and Policy outputs will require further thought and new approaches if they are to have an impact on household incomes.

Attribution *(Commentary on to what extent achievement of purpose is attributable to project outputs)*:

The main reason for the success of ACORD compared with so many other projects that have tried to do the same thing is their participatory methodology and approach to training. They have also spent time in obtaining the confidence of the communities where they are working; so many others have come and the disappeared. In just one year they have been accepted by the communities, other NGOs and by Government.

Quality of Scoring *(Methodologies used and team composition details):*

The scoring is always subjective but the project has made substantial progress in terms of its original purpose. In a semi to arid environment with limited resources it will not be easy to achieve a substantial reduction in poverty.

Lessons Learned *(Comment as appropriate on lessons at project/programme level; sector or thematic level; general development lessons):*

The methodology used for training and capacity building is slowly being adopted by other NGOs and Government staff are also being trained. The concept of training other trainers so that they can replicate the ACORD methods is taking place. ACORD have assisted in the formation of the coalition of NGOs and this will be a good conduit for further influence. The planned lesson learning workshop with other projects will also help to establish a wider network and promote best practice.

Achievement Rating

The following rating scheme should be used to rate the likelihood of achieving outputs and in turn fulfilling the activity s purpose.

1 = likely to be completely achieved

2 = likely to be largely achieved

3 = likely to be partially achieved

4 = only likely to be achieved to a very limited extent

5 = unlikely to be realised

x = too early to judge the extent of achievement

Risk Category

Activities can be categorised into one of three categories of risk as follows:

H: High risk

M: Medium risk

L: Low risk

Box 6: The process of a Strategic Review: the Eastern India Rain-Fed Farming Project MTR

The Eastern India Rain-fed Farming Project is an eight year (1995-2003) project which aims to (a) improve the livelihoods of about one million poor farmers, through sustainable development of farming systems and creation of off-farm employment opportunities, and (b) replicate project approaches in government and other development organisations. It is being implemented by an NGO, the Gramin Vikas Trust, established by a semi-government organisation. The project area is 300 miles west of Calcutta. DFID finances about 90 percent of the project costs.

The Mid-Term Review of the project was undertaken in December 1999, in the fifth year of the project. Key characteristics of the review were as follows:

Plan well ahead

Planning of the Mid-Term Review (MTR) started at the preceding annual review mission (ARM), which took the form of a two day workshop in New Delhi in January 1999. Key issues for the MTR were discussed at the ARM and it was agreed to commission an assessment by a group of independent consultants and undertake some supporting consultancy studies (e.g., on the impact of different kinds of scheme on equity). The dates of the MTR were set so that key participants would be available.

Commission an independent assessment

A five-person team of independent consultants was commissioned to undertake an assessment of project progress. The team comprised specialists in institutions, economics, social development, gender and farming systems. Three of the team (including the team leader) were Indians; two were British. Only one team member was a woman. All had relevant, recent experience of participatory rural livelihoods projects. The team was contracted by the Centre for Development Studies, University of Wales, on behalf of DFID.

The TOR for the study were to:

- ¥ undertake an integrated and inter-disciplinary review of the achievements of the project;
- ¥ assess the likelihood that project outputs will be realised and that these will lead to the achievement of the project purpose;
- ¥ assess the sustainability and replicability of project approaches and recommend how these could be strengthened in the remaining part of the project;
- ¥ identify any strategic shifts in project approach needed for the project to achieve its objective of poverty reduction, including assessing whether the project should take on a broader sustainable rural livelihoods approach.

The study took three weeks. Extensive discussions were held with primary stakeholders, including village activists (jankars) and made use of impact assessment data collected by the project. Primary data collection was not necessary.

The 100 page report of team was circulated in early October, two months before the start of the MTR.

Use a multi-disciplinary team

The MTR was undertaken by a multi-disciplinary team led by the Deputy Chief NR Adviser, DFID and comprised DFID natural resources, social development, governance, economics and enterprise advisers; the DFID project adviser; a senior official from the Government of India and the Chief Executive Officer of GVT. Only one member of the team was a woman. Most of the team were Indians.

The Project Adviser, who is responsible for co-ordinating DFID support to the project, made a number of routine visits in the months before the review, which made it possible to clarify the aims of the MTR and ensure preparations were in hand.

The mission lasted a total of 7 days.

Involve all key stakeholders

Every effort was made to involve key stakeholders in the process of the review. The independent assessment team held extensive discussions with poor women and men farmers, village activists, government officials, other NGOs, project staff and staff from GVT in Delhi. The team was briefed and debriefed by DFID at its Delhi office.

During the December mission, shorter discussions were held with each of the stakeholder groups. Because of the geographical spread of the project (most villages are 4-8 hours, in different directions, from the project HQ) and language difficulties, it was not possible to bring activists from different villages together, through efforts were made to interview them in the field.

A Stakeholder Analysis could usefully have been undertaken, but was not.

Formulate TOR and identify strategic issues jointly with other key stakeholders

The terms of reference for the independent assessment (called the Mid-Term Evaluation) and the MTR were drafted by the Team Leader, after discussion with DFID colleagues, and in close consultation with the Project manager and GVT.

Project reports should be distributed in advance and a brief presentation of keys issues made at the start of the mission

The project s report was drafted and circulated only one week before the Mission. The project team were supported by consultants from the CDS, Swansea team. It took the views of the independent assessment into account.

Involve project staff in a review of the logical framework

The project s report included a report against the logical framework, at activity and output levels. Different members of the team took different outputs and reviewed progress against each with project counterparts. The mission reviewed performance at the purpose and goal levels, with the project s core team and agreed changes to the logframe. These were recorded in an annex to the MTR report and referred for approval in DFID.

Field visits and workshops to discuss with primary stakeholders

The MTR mission split into two groups. One group visited villages for discussion with poor women and men farmers and village activists (jankars) and government officials over 2-3 days in Orissa state; the other in West Bengal. Each group spent two days visiting villages. Efforts were made to visit villages in smaller groups, to discuss with men and women of different well-being groups, and to hold discussions in large and small groups. The groups also tried to see the varied types of interventions supported by the project (e.g., soil and water conservation, joint forest management) and the perceptions of communities about costs and sustainability of each.

Workshops with project staff and key stakeholders to review findings, arrive at conclusions, and decide on future strategy

The two groups joined at the project HQ in Ranchi, Bihar for 4 days of discussions and workshops with project staff and other stakeholders. Discussions were held between individual advisers and their counterparts on the project team; in small groups on key issues (e.g., savings and credit, subsidies); and in plenary workshops with the project team. Both government and GVT representatives made valuable contributions to the discussion of strategic directions for the project.

The draft of the mission report was produced in Ranchi and key findings and recommendations of the mission were discussed in detail with the project team and agreed. The report includes a total of 20 recommendations and looked in detail at a number of key issues, including: sustainability; replicability and scaling up; working strategically with government and other agencies; monitoring and evaluation, and project management issues.

Key recommendations included the need to:

- ¥ Develop strategies for gradually and equitably withdrawing direct project support to villages.
- ¥ Refine and implement the project s micro-finance and income generation strategy.
- ¥ Develop a strategy for working with government in a more strategic way.

Review the effectiveness of the review with partners

The Project Adviser discussed the process of the review with GVT management and the project core team two months later. They considered that the review had been very useful in focusing on important issues and providing clear directions for the final 3-4 years of the project; and that the process of the review was effective.

Copies of the review are available from Evaluation Department.

The mission should start with a presentation of key issues in the report, which should be chaired by a senior representative of a partner (e.g., the chief executive or managing trustee of a partner organisation; the secretary of the relevant ministry). At the same meeting, the TOR for the mission should be reviewed and finalised, and the work programme agreed.

Involve staff in reviewing the logframe

During the review, a joint assessment should be made with staff and key stakeholders of progress against the logframe in delivering outputs, and achieving the purpose and goal. Progress should be scored, reasons for success and failure identified, action points identified, and a decision taken on whether any changes in the logframe are needed, including the assumptions. If changes need to be made to the logframe, ensure that these are agreed with partners and later approved by the donor at the appropriate level.

Field visits and workshops to discuss with primary stakeholders

The independent assessment team will have undertaken extensive discussions with primary and other key stakeholders. The strategic review should test their conclusions through a small number of carefully planned participatory discussions with primary stakeholders, in the field and in workshops, and with others. Field visits are important but should generally be kept relatively short in strategic reviews, to allow sufficient time to discuss strategic issues with partners.

Every effort should be made to involve primary stakeholders in the process of the review and to include representatives (e.g., managers of groups, village activists) in workshops, including that to review progress against the logical framework.

Workshops with staff and key stakeholders to review findings, arrive at conclusions, and decide on future strategy

It is very important that workshops are organised with the staff and key stakeholders to review findings, arrive at conclusions and decide on future strategy. It is critically important that:

- Sufficient time is allowed to ensure that there is consensus on the conclusions and recommendations of the review;
- Recommendations are kept to the minimum, are prioritised and follow-up actions are agreed.

Strategic Reviews are often less effective than they might be because insufficient time is allowed, at the end, to review the conclusions of the mission with local partners, reach consensus on key findings and agree on priority recommendations. It is essential that the review team reaches agreement with team members on all key issues and on the wording of recommendations and key comments before leaving. The report of the mission should not come as a surprise!

The draft report of the mission should be completed as soon as possible and revised after comments from the team and any other stakeholders it was agreed to circulate.

Review the effectiveness of the review with partners

It is important a month or two after the review has been completed to review, jointly with partners, how effective it was, and to learn lessons to use in designing future reviews.

12.8 Participatory Monitoring and Evaluation (PME)

DFID s approach to reviews is participatory, recognising it has much to learn from participatory approaches to monitoring and evaluation developed in other organisations.

An overview of participatory monitoring and evaluation is given at Box 7. Generic participatory management techniques are discussed in Chapter 7.

Feuerstein (1986) and Pretty (1994) (see Annex 3) distinguish between various kinds of evaluation based on the degree to which local evaluation stakeholders influence decisions about evaluation processes and the degree to which evaluation activities build local capacity for learning and collective action. For example, Feuerstein sees four major approaches to evaluation:

- Studying the specimens : community has limited, passive role;
- Refusing to share results : community receives selected information/feedback;
- Locking up the expertise : guided participatory evaluation
- Partnership in development : building capacity to do PME.

These frameworks help us to place PME activities along a spectrum of participatory decision-making and they help

Box 7: Participatory Monitoring and Evaluation Systems

Improving programme performance while building capacity of partner institutions

> Most of the time the outside experts fly in and out without taking the time to listen to the people. In this evaluation they really listened to us and respected our opinions we all worked together to make the project stronger.
>
> *Local participant, Honduras forestry project evaluation*

Participatory Monitoring and Evaluation (PME) offers DFID a range of opportunities for improving programme performance and enhancing the management capacity of its development partners. While many agencies can evaluate programmes using outside expert approaches, few have the know-how and skills to employ PME approaches. DFID is exploring these issues and is making some exciting headway. PME approaches encompass a wide and expanding range of philosophies, tools and methodologies. Some of the most exciting work in PME has to do with the blending and sequencing of PME methods to fit a particular project context. With DFID s use of Logframe/PCM there is great opportunity to strengthen programmes by integrating PME methods more fully into PCM.

This note has four aims. First, it outlines the rationale for PME and distinguishes between participatory and conventional evaluation approaches. Second, it provides some practical guidance on how to design and implement practical PME systems. Third, it offers some practical tips on conducting participatory project evaluations and reviews. The section concludes with several examples of PME and a PME checklist.

Rationale for PME and distinction from conventional approaches

PME is widely recognised for its potential to:

- ¥ Build partnerships and sense of local ownership over projects
- ¥ Build consensus among project staff and partners about project goals/objectives
- ¥ Enhance local learning, management capacity and skills
- ¥ Provide timely, reliable, and valid information for management decision-making
- ¥ Increase cost-effectiveness of M&E information
- ¥ Empower local people to make their own decisions about the future

At the same time PME is not a single philosophy, approach or methodology. Rather, it is a broad constellation of approaches and methods, meaning different things to different people at different points in time, and it is highly context specific. Several practitioners have distinguished between conventional and participatory M&E and the various types of PME. Narayan (1993) offers a useful summary of the differences between conventional and participatory evaluation approaches (below):

Conventional Evaluation	Participatory Evaluation
Why Accountability, usually summary judgements about the project to determine if funding continues	To empower local people to initiate, control and take corrective action
Who External experts	Community members, project staff, facilitator
What Predetermined indicators of success, principally cost and production output; assesses project impact	People identify their own indicators of success
How Focus on scientific objectivity distancing of evaluators from other participants; uniform complex procedures; delayed limited access to results	Self-evaluation; simple methods adapted to local culture; open immediate sharing of results through local involvement in evaluation processes
When Midterm and completion Sometimes ex-post	Any assessment for programme improvement; merging of monitoring and evaluation, hence frequent small evaluations.

us to see how and where we can deepen and expand participation in our PME work.

12.9 Designing PME systems

A good place to start with PME is to design PME systems for new tasks. This is especially true for activities or interventions that have a philosophy of participatory management and partnership with local stakeholders. Designing PME systems during the **Inception** stage will increase the likelihood that PME is not an afterthought, that PME is fully integrated and that important PME benefits, such as mutual learning and shared decision-making, are realised throughout the life span of the activity.

Drawing on experience from many different programmes and agencies, a flexible and practical framework for designing PME systems is recommended (See, for example, Larson, P. and Svendsen, D. (1997) in Annex 3). A PME facilitator can work with stakeholders during Inception to develop the PME plan and to provide training and capacity building support needed to get the system up and running.

The approach has four key elements:

1. A collaborative team approach

A group made up from donor and partner organisation staff have shared responsibility for PME, not just one person. The responsibilities of each team member are spelled out in the M&E plan.

2. The PME worksheet

The centrepiece of the approach is a PME Planning Worksheet (Box 8) derived from the logframe used to assist the team to identify and organise the key information needed in the M&E plan. The logframe helps stakeholders generate consensus on project objectives and especially higher level results.

The PME facilitator works with stakeholders to elicit the logframe (or at a minimum the hierarchy of objectives/logic model) and to define indicators that are practical and important to the stakeholders. In several PME workshops and planning meetings the facilitator helps the team to think carefully about the details of who will participate in each stage of PME, how information will be used to improve the activity and how lessons will be shared. Decisions are reached by consensus and recorded on the planning worksheet using a large, wall-sized format to focus peoples attention.

A key aspect of this approach is the identification of PME training needs, development of a detailed PME training plan and follow through with appropriate PME training and capacity building activities.

3. Annual self-assessments

Self-assessments using a participatory workshop and data gathered through the participatory monitoring system are useful on an annual basis. These provide a chance for reflecting on work being undertaken and gaining insights on what aspects have worked well, what aspects have not worked well, and why.

Self-assessments are conducted by donor staff and partners and may or may not involve outside resource people. These workshops can be done in a 1-5 day format depending on the size and complexity of the task. The result of these sessions is a set of action plans for improving performance. Performance Improvement Planning (see Box 13), is one methodology for this kind of assessment.

4. A written PME plan

Teams should develop a brief, written PME plan through a series of planning meetings of which all participants are aware and agree on what will take place. Ideally, these meetings should take place during the start-up phase, once major stakeholders and staff are in place. The plan describes how the activities in the PME worksheet will be carried out. It should include the following items:

¥ Description of the approach to PME and the process used to develop the worksheet;

Box 8: PME Planning Worksheet

Project Objectives (Goal, Purpose, Outputs)	Indicators	Data Collection						Data Analysis and Use			
		Source of information	Baseline data needed	Who is involved	Tools and methods	How often needed	Added Information	How often	Who is involved	How information is to be used	Who gets information

- ¥ Description of the key users of PME information and their specific information needs;
- ¥ List of PME team members and their responsibilities;
- ¥ PME training plan;
- ¥Annual implementation schedule;
- ¥ Schedule of project reports, assessments and evaluations;
- ¥ Logframe;
- ¥ Budget for PME activities.

Conducting Participatory Evaluations and Project Reviews

Although PME systems will not be practical for many tasks, PME will be. If PME systems are in place then participatory evaluations will be a natural extension. Participatory evaluations can offer many of the benefits of PME systems, however, if taken as one time only events, they will do little to build a sustained capacity for local learning and collaborative action. Therefore, decisions about where PME should be introduced should be taken carefully, where it has the greatest potential to succeed with adequate resourcing and political commitment. The following offers several tips for more effective PME.

1. Determine whether PME is appropriate

Knowing the rationale for PME, the conditions necessary for PME, and the differences between conventional and participatory M&E, you are better able to assess whether PME is appropriate for your programme and whether you are ready to support it with adequate financial and human resources and political commitment. Remember that good PME work requires a commitment to empowering local people, relinquishing some control, using simple data collection methods and immediate sharing of results with all key stakeholders. Moreover, PME requires a special set of attitudes on the part of leadership and a supportive organisational environment. If these factors are not present it might be best to reduce your expectations for PME or to devote scarce resources to PME with other projects. Box 9 identifies some necessary preconditions.

2. Begin with Stakeholder Analysis

Begin planning for participatory evaluations with a stakeholder analysis to understand the key evaluation stakeholders, their interests and specific information needs (Box 10).

The information gained through the analysis and ensuing discussions will help you to negotiate the focus of the evaluation. Following this the Terms of Reference for PME can be negotiated with the key stakeholders or developed by partners with donor input. Since there are always an overwhelming number of issues/questions for evaluation, focusing evaluation questions is often the most challenging part of the process.

One way to deal with this is to work with stakeholders to envision how they would use evaluation information if they had it and what decisions they would make. If a scenario for use cannot be identified then it is probably not worthwhile spending time on that issue. A second way to focus is to tie evaluation questions to the project Goal, Purpose and Outputs.

3. Become (or recruit) an evaluation facilitator

In PME evaluators play a facilitation role and assist stakeholders to participate in each stage of the evaluation process — from designing the evaluation and focusing evaluation questions, to data collection and analysis to developing recommendations and implementing actions

Box 9: Conditions necessary for PME

Participatory M&E is much easier to establish in a project that is already using a participatory approach. To develop an effective PME system the following are usually necessary:

- ¥ Shared understanding among project partners of the project objectives and approach.
- ¥An attitude of partnership characterised by mutual respect between the project staff and community.
- ¥ Commitment to use a participatory approach in all phases of M&E; patience and flexibility and willingness to allocate resources to the process.
- ¥ Participatory project management and decision-making to help ensure that the input from all participants into the M&E process will be taken seriously.

Source: WWF 1997

Box 10: Evaluation Stakeholders Interests and Needs

Evaluation Stakeholders	Interests in Evaluation	Specific Information Needs

for project improvement. This is in stark contrast to the traditional role of the outside expert.

Outside experts may be members of the team but they need to work closely with the evaluation facilitator and local stakeholders to negotiate and carry out each stage of the evaluation. The approach requires that the experts enter into a heavy listening and learning mode and that they become sensitive to working with local people and entering into local realities.

4. Use variations of the logframe approach where appropriate

Related to the above is the ability of facilitators to help stakeholders to select and use simple, participatory data collection tools and methods. With the results-orientation of the logframe, donors have an evaluation tool that can be used in many different settings and combined with various less formal methods to make it more accessible to local groups.

Please note, however: if stakeholder groups are illiterate, explicit use of the logframe is inappropriate, since it puts groups at a disadvantage.

When working with literate stakeholders groups in Output-to-Purpose Reviews the logframe can be applied using a wall-sized visually-oriented format to clarify project objectives, review performance and agree on actions to improve it. This can be accomplished in a several day workshop with the right mix of primary and secondary stakeholders. Performance Improve Planning (PIP), described in Box 13, is a step-by-step approach for just this purpose.

In all Output-to-Purpose Review work it is important for you and other stakeholders in the evaluation process to keep your heads above the logframe and to look for unintended impacts, both positive and negative.

5. Less extractive, less formal approaches are better

In all PME work less extractive approaches are better since they focus on generation of information for immediate decision-making and action by the groups who will take the action.

In other words, information is not removed from the communities or taken away by the experts; rather it is generated and owned by the communities and with this there is greater commitment to action and greater local learning. In these situations a whole range of less formal methods are more appropriate — for example community meetings and group discussions, drama, story telling, before and after photos and drawings, community mapping, wealth rankings, etc.

The attitudes and set of methods related to participatory rural appraisal (PRA) and Participatory Learning and Action (PLA) are useful here.

6. Your personal attitudes count

Finally, if you challenge yourself to become a evaluation facilitator you will need to develop attitudes of respect for local knowledge and learning. You will need to expand your personal repertoire of facilitation skills and skills in using simple, participatory evaluation tools and methods. And you will need to be willing to take some risks and make some mistakes along the way, just as PME does as a system (see Box 11).

12.10 Three Examples of PME

As you read the three examples in Boxes 12 to 14, consider where each fits within Feuerstein s typology for community evaluation in 12.8 above.

Box 11: Start, Stumble, Self-Correct, Share

PME is one of a family of approaches for reversing centralisation, standardisation, and top-down development. PME enables and empowers the poor to do more of their own analysis, to take control of their lives and resources and to improve their well being as they define it.

The core of good PME is our own behaviour and attitudes. It involves:

¥ being self-aware and self-critical

¥ embracing error

¥ handing over the stick

¥ sitting, listening and learning

¥ improvising, inventing and adapting

¥ using your own best judgement at all times

So we can ask who lectures, who holds the stick, whose finger wags? Whose knowledge, analysis and priorities count? Ours? Theirs?, as we assume them to be? Or theirs and they freely express them? Good PME is empowering, not extractive. Good PME makes mistakes, learns from them and so is self-improving.

Good PME spreads and improves on its own.

Source: Adapted from Robert Chambers on PRA and applied to PME, 1992

12.11 Conclusion

PME is a range of approaches, methods and techniques you can use to increase programme performance, ensure accountability, build local management capacity and foster an environment of partnership and collaborative learning.

The best place to start with PME is to design it into new work. PME works best in an environment of participatory management and shared decision-making. Leadership attitudes of respect for local knowledge and partnership with local agencies are critical to the success of PME.

Not all activities or interventions are ready or appropriate for PME. Rather, PME activities should be chosen carefully and then supporting agencies should fully commit the time, resources and leadership needed to ensure that PME activities succeed.

Box 12: Collaborative Project Review in Honduras

DFID recently conducted a participatory review of a community forestry project in Honduras. Social Impact worked with the agency and local stakeholders to design and facilitate a series of mini-workshops and group discussions involving *campesinos* and local groups in the evaluation process. Through the process, participants analysed project strengths and weaknesses and developed action plans to improve project performance.

The action plans remained with the group and were mirrored in the evaluation report needed for headquarters. Although a logframe was available, it was not used explicitly in discussions with *campesinos,* rather it helped to frame important evaluation questions/issues in the review, especially those dealing with project effectiveness.

The effectiveness of the evaluation process was demonstrated by project participants expressing that they felt empowered by the process and by the fact that they immediately began to make changes to improve the project and to build institutional linkages needed to strengthen it.

Source: Social Impact

Box 13: Performance Improvement Planning in Sri Lanka

DFID conducted a mid-term review of its Relief Project for persons displaced by Sri Lanka s civil war. The approach that was used was called Performance Improvement Planning (PIP), a participatory review method based on the logframe approach. A four-day workshop was held to help 30 participants from local and international NGOs and DFID in assessing the project and developing action plans to improve its performance.

Using a wall-sized visual depiction of the logframe, workshop participants first analysed each of the activity s main elements: Goal, Purpose, Outputs and Assumptions. Second, they clarified the activity s objectives and measurable indicators. Some objectives and indicators were no longer relevant and were removed. Third, in group discussions participants identified performance gaps that were preventing the attainment of planned levels of performance. Fourth, they developed strategies for improving performance. Fifth, they developed action plans, with clear roles and responsibilities, to support each of the strategies.

The PIP process succeeded in refocusing the activity s objectives, building partnerships among the implementing agencies, and leading partners to implement action plans to get the Relief Project back on track. These techniques were adopted by the NGOs and, within a few months, were adapted into local languages and applied in the local communities. Communities used the process to improve grassroots level and activities of every kind.

Source: Social Impact

Box 14: Participatory Evaluation in St Vincent and the Grenadines

A community sanitation project in Rose Place, St Vincent and the Grenadines, used photography and simple written commentary from community members to monitor and evaluate project progress.

Throughout the project photos were taken at different stages and a cheap scrap book made into a photo album to tell the story of the project in chronological order. Photos were stuck in by community members, and children and adults wrote comments to explain what was happening in Rose Place.

In many cases there are before and after photos for comparison. Some show the problem, others the solution. The visual difference has a strong impact and has generated a lot of comments.

Newspaper articles, radio announcements (which community members helped write), as well as their goals and feedback have also gone into the book, giving a good overview of everything that has been taking place.

The scrapbook has generated a lot of interest because it is attractive, tangible, very immediate and accessible, and it is the community s.

Source: DFID, Participatory Monitoring and Evaluation Guidelines, Dissemination Note No.1, SDD 1997

Box 15: Checklist for designing a PME system

☐ 1. Will it be sustainable once the project has ended?

☐ 2. Do the people responsible for PME have all the necessary skills?

☐ 3. Can the system be incorporated into the structure of collaborating agencies?

☐ 4. Is the system based on a clear understanding of project objectives?

☐ 5. Is it based on a clear understanding of the information needs of key stakeholders?

☐ 6. Is the system based on indicators defined by program participants?

☐ 7. Does the system involve the participation of all key stakeholders in every stage of the PME cycle - planning, data collection, analysis and use?

☐ 8. Do data collection tools fit the skills of the collectors?

☐ 9. Is it cost-effective?

☐ 10. Is the amount of data collection manageable and conducive to timely analysis and use of the results?

☐ 11. Is the system documented so everyone knows what it contains?

☐ 12. Is there a plan for testing and adjusting the system?

☐ 13. Have annual self-assessments been planned?

☐ 14. Have impact evaluations been scheduled?

☐ 15. Others?

Source: Adapted from WWF (1997)

Annex 1: Facilitating workshops and courses

A1.1 Introduction

This Handbook is not written as a complete guide to conducting a workshop and/or course. We have, however, given some simple guidelines on conducting programme and project management workshops/courses.

A1.2 Workshop / course design

Any workshop/course designed to introduce or update participants in programme or project management skills needs to be carefully planned.

It is also important that to enable participants to be able communicate in a reflexive way. This is of great importance as it is anticipated that the participants will transfer their values and attitudes to any trainees they may have in the future. These may well include other programme and project partners and key stakeholders.

The ultimate aim is that activity staff will really listen to all key stakeholders, valuing and respecting their experiences and realising that they can also learn from them. Any trainers or facilitators need to establish a dialogue in order to communicate more effectively in an atmosphere of mutual trust that builds confidence and encourages self-reliance.

It is important that you bear these in mind throughout the workshop/course and that your approach to the participants is always consistent with this philosophy and style.

At the beginning of the workshop/course you may find that participants are a little insecure with the training and facilitation methods we have advocated here. Participants may well arrive with expectations that the workshop/course will be lecture based and that they will go away with a set of dictated notes to help them in their jobs. Because of this some participants may experience some disorientation at the start of the workshop/course; you may receive complaints, you may be challenged or some participants may be reluctant to participate. It is important that you remain supportive and patient at this time and ensure that you fully explain the reasons for you approach.

Many trainees will be used to training in a didactic manner. Throughout the workshop /course they may well undergo a significant change in attitude and approach. The initial disorientation is the first stage in the process of change. It is important that you allow it to happen and remain confident that as the workshop/course progresses participants will move through this phase when they begin to develop a deeper understanding of their potential role in managing development activities.

Role modelling

As a facilitator you should remain aware that you are role modelling attitudes and approaches to adult learning. You are also modelling participatory methods that are consistent with the both the practice and theory of people s participation in project and programme management. It is important to draw this to the attention of participants during the workshop/course in order to maximise their learning.

Group facilitation

Please remember that if done correctly, facilitating learning in a participatory way is hard work. The room and resources must be well prepared in advance of each session. After setting activities you should not disappear or get on with another task, you should move from group to group sitting in on a chair that you have strategically placed within each group, or walk around the room picking up how the activity is proceeding. On the basis of this you may decide to stop or change the activity if it appears to be going off track, or lengthen the time allowed if valuable learning is still continuing.

Timing

It is important that you give clear guidance on the timing of activities. Set a time limit, tell participants what it is before they start and stick to it unless you have made the judgement as above. If you do decide to lengthen or

shorten activities inform participants of the reasons. It is especially important to keep feedback sessions crisp to prevent participants losing interest.

It is also important to ensure that sessions start and finish on time. If you do this you will find that the participants will not become slack about arriving on time.

Philosophy

Ideally, any workshop or course should be underpinned by principles important in both participatory training and participatory management. These principles are:

- ¥Adults are independent beings, capable of self-direction and of taking responsibility for their own learning;
- ¥ Intrinsic motivation is the most valuable learning drive;
- ¥The uniqueness of each individual should be valued;
- ¥The past experiences and understanding of individuals should be valued;
- ¥All individuals are equal;
- ¥ Individuals have a natural potential for learning and personal growth (Rogers, 1969: see Annex 3);
- ¥ When an individual s potential is released it will be positive, constructive, social, forward moving and creative (Gordon, 1983: see Annex 3);
- ¥ Learning about a subject can not be divorced from learning about the self: whenever any learning occurs, there is a change in the learner s view of themselves;
- ¥ Learning is most pervasive and lasting when it involves the whole person — feelings as well as intellect (Rogers, 1969: see Annex 3).

Style

Likewise in your tutoring on a workshop/course the following approach should be adopted:

- ¥To see yourselves as facilitators of learning;
- ¥To model the processes, behaviour and way of being which we seek to transfer to others and which are consistent with the practice/theories of participation and communication on which the workshop/course is based;
- ¥To draw attention to these processes in order to maximise learning;
- ¥To offer a climate in which participants can develop trust and feel accepted, valued and sufficiently confident to take responsibility for their own learning.

A1.3 Planning the workshop / course

Timing

The decision on timing will be influenced by a variety of factors. The key point is to plan the workshop/course well in advance.

Tutors

If you can have two workshop tutors this will be very helpful, one of whom can take on the responsibility of Workshop/Course Co-ordinator. The workshop/course may be intensive and its success will depend heavily upon good organisation and a clear definition of responsibilities.

Two months before...

1. Initial meeting of tutors

The Workshop/Course Co-ordinator, and your colleagues should meet to consider the characteristics of the participants who will attend the course.

2. The programme

You will need to draw up the learning objectives of the workshop/course, with the assistance of the handbook, based on the target group s characteristics. Remember to bear in mind the philosophy and style of the course. Prepare a draft timetable and discuss who will take the lead in each session so that each of you can begin your individual planning.

The workshop/course will need to place in the a Training Room. It is important that the room has tables or desks that can be moved around. When working in small groups you may like to encourage participants to work another room or outside.

Opening and closing

You may want want a senior official to open the workshop/course and to perhaps present certificates at the end. This person should be contacted as soon as possible and a confirmatory letter sent. Include the following in your letter:

- ¥ Description of the target group;
- ¥ Learning objectives of the workshop/course;
- ¥The draft timetable;
- ¥The specific topics you wish the speaker to cover.

Certificates

If certificates are to be awarded and there are no standard forms available, the design of the certificate must be agreed and the printing organised.

Handouts

This is about the right time for you to begin producing any handouts that you may wish to have typed and duplicated ready for distribution during the workshop/course.

Joining instructions for participants

The authorities concerned should now be in a position to provide the Workshop/Course Co-ordinator with the names and addresses of the 20 course participants. A letter should be sent to each one giving the dates of the workshop/course, its venue and a summary of its main objectives. In the same letter they should be informed about the accommodation arrangements.

One month before...

Check

☐ That the joining instructions have been circulated to participants.

☐ That accommodation, catering and transport have been arranged.

☐ That funding has been allocated for the workshop/course.

☐ That the equipment and materials are prepared.

One week before

You will have travelled to the training centre to make the final planning for the workshop/course. During this week check on:

☐ Handouts and stationery

☐ Certificates

☐ Accommodation, catering, meal and break times

☐ Time tabling

☐ Officials to open and close the course

☐ Training room and resources

Box 1: Checklist of equipment and material required

☐ Stationery for participants

☐ Name cards

☐ Name badges

☐ File covers or wallet files

☐ A4 lined paper

☐ Pencils

☐ Ball-point pens

☐ Erasers

☐ Rulers

☐ Field notebooks

☐ Stationery and equipment for Trainers

☐ Post-Its or cards

☐ Chalk

☐ Chalkboard

☐ OHP pens

☐ OHT sheets

☐ OHP

☐ OHP screen, plain wall or sheet

☐ 35mm Slide Projector (if required)

☐ Slide packs (if required)

☐ Video Player (if required)

☐ TV (if required)

☐ Chart paper

☐ Flipcharts for each group

☐ Chart pens

☐ Drawing pins

☐ Blu-tack

☐ Certificates

☐ Waste-paper bins

Annex 2: Facilitation skills

A2.1 Introduction

While most programme managers recognise the benefits of participation, many lack the practical skills to effectively involve diverse stakeholders in planning and managing development programs. Most excellent facilitators are not naturals at what they do — rather, they work hard to develop the knowledge, attitudes, and skills needed to harness the power of groups. These people help diverse groups and local people to learn from their collective experience, take joint action, and develop their own facilitation skills.

This note offers a brief overview of facilitation including its benefits, core values, basic concepts, guidance on when and where it is needed, and practical tips for using facilitation to increase participation and to strengthen each stage of the Activity Cycle (see Chapter 1).

A2.2 The benefits of strong facilitation skills

- ¥ Increased ability to manage diverse groups at each stage of the Activity Cycle;
- ¥ Improved skills for managing conflict;
- ¥ Better utilisation of local knowledge, resources, and capacities;
- ¥ Enhanced collaboration, co-ordination and understanding amongst project stakeholders;
- ¥ More committed and timely group action;
- ¥ Increased management capacity of partners;
- ¥ More effective meetings and workshops.

A2.3 What is facilitation?

In broad terms, facilitation is the process of making something easier or less difficult. In development activity, facilitation is used in the context of group meetings or workshops in which a basically neutral person with no decision-making authority helps the group to be more efficient and effective when planning, implementing, and monitoring and evaluating meetings and workshops. As this handbook indicates, these meetings and workshops can take place at each stage of the Activity Cycle using various tools and methods. Underlying effective use of each of these methods are effective facilitation skills.

Our philosophy heavily emphasises using facilitation skills to further group members understanding of self and each other; planning processes; problem solving and decision-making skills; and co-operative and collaborative processes.

Box 1: Core Values

Schwarz (1994) modifies Argyris and Schoen (1974) to develop a set of core values which should guide facilitation. These guidelines are valid ones to follow when undertaking development activity.

Core Value	Description
Valid information	People share all relevant information.
	People share information so that others understand it.
	People continually seek new information to determine whether previous decisions should be changed.
Free and informed choice	
	People define their own objectives and methods for achieving them.
	People are not coerced or manipulated.
	People base their choices on valid information.
Internal commitment to the choice	
	People feel personally responsible for their decisions.
	People find their choices intrinsically compelling or satisfying.

Useful Guidance

Rogers (1969: see Annex 3), a pioneer in learner-centred approaches to education, offers many sound ideas for effective facilitation. Although much has been researched and written since Carl Rogers developed his ideas, his guidelines (with slight modifications) are still relevant and timely:

1. A main role of the facilitator is setting the initial mood or climate of the group.
2. The facilitator helps to elicit and clarify the purposes of the individuals in the group as well as the more general purposes of the group.
3. She or he relies upon the desire of each participant to implement those purposes that have meaning for her or him, as the motivational force behind significant learning.
4. He or she organises and make accessible a wide range or resources for learning.
5. The facilitator is a flexible resource to be utilised by the group.
6. He or she accepts both the intellectual content and the emotionalised attitudes and tries to balance his/her emphasis or these aspects with the group s corresponding emphasis.
7. The facilitator may share opinions with the group, once the acceptable climate has been established, but he or she must do so in ways which do not demand nor impose but represent simply a personal sharing which group members may take or leave.
8. Throughout the group experience, the facilitator remains alert to expressions that indicate deep or strong feelings.
9. In his or her functioning as a facilitator of learning, the facilitator recognises and accepts his or her own limitations.

Practical Tips

A facilitator is neither a content expert nor a lecturer. A facilitator helps participants to interact with each other, gain new information, and build upon their experience. The facilitator guides a process which will help participants to reach their stated goals and objectives within the time allotted. The facilitator s key role is to help the group experience and learn together. If you are working with participants who may not understand the role of a facilitator, explain this to them.

A good facilitator:

- ¥ Keeps the group focused on task **and** process;
- ¥ Remains as objective as possible;
- ¥ Is an informed guide helping the group to chart its course and accomplish its goals;
- ¥ Listens more than talks;
- ¥Adopts to various learning styles;
- ¥ Encourages everyone to participate while remembering that individuals participate in different ways. Some may talk only in small groups, but they are still participating. Others may wish to talk constantly and may be contributing little;
- ¥ Protects members of the group from attack by others;
- ¥ Is gender and culturally sensitive;
- ¥ Energises a group or slows it down, as needed;
- ¥ Recaps, occasionally, what has happened in the workshop and helps group to make connections between the sessions.

YOU will become a good facilitator if you follow the above hints and also:

- ¥ Be alert to signs of confusion (puzzled or frustrated looks, people asking neighbours questions, resistance, etc.);
- ¥ Don t do the group s work. Learning is more effective and lasting if the individuals and small groups discover on their own (learning by doing);
- ¥ Circulate, but don t become a permanent part of any one group because you may too easily influence the group;
- ¥ Spend sufficient time with each group during small group work to be certain they have grasped the tasks and concepts supporting it;
- ¥ Review portions of the small group tasks which are causing confusion if several individuals or groups are having difficulty;
- ¥Ask frequently if there are questions. Sometimes the training activity specifically suggests asking if there are questions, but you should ask even if the activity does not specify doing so;
- ¥ When you DO ask a question, allow group members time to think before answering. Slowly count to 10. This may seem like a long time and silence may feel uncomfortable, but allowing participants time to think is essential if you want thoughtful answers;
- ¥ Don t feel that you must be an expert. Remind the group and yourself that you are a facilitator. Remind them (and perhaps yourself) of THEIR expertise and experience. Ask other participants for their ideas on a question. Don t feel you should answer everything — you shouldn t!
- ¥ Be flexible. Keep the times of your sessions and depth and breadth of content somewhat flexible. Changing something doesn t mean you planned poorly, but probably means you are listening, watching, and adjusting your plans to fit the situation;
- ¥Take at least two 15-20 minute breaks — one in the afternoon and one in the morning. Suggest short stretch breaks as needed;
- ¥ Finally, RELAX!

A2.4 When and why is it needed?

Rich, effective, growthful dialogue within groups cannot be forced but it can be encouraged and nurtured. This is a main part of a facilitator s role.

Through careful planning, designing effective and proven processes, observing and making skilled interventions, a good facilitator can make the difference between slow, boring, or hostile meetings and workshops and more effective ones in which group members actively contribute, feel ownership, and ultimately apply their understanding and learning in their work.

The following are just a few ways facilitators can improve this process.

Encouraging dialogue

Senge (1990: see Annex 3) writes of the importance of dialogue for team learning within the learning organisation. Facilitation is essential to this process. Senge suggests that through dialogue, the group benefits from a larger intelligence. Senge identifies three basic conditions for dialogue:

1. All participants must suspend their assumptions, literally to hold them as if suspended before us ;
2. All participants must regard one another as colleagues;
3. There must be a facilitator who holds the context of dialogue.

Without a facilitator to guide the dialogue, meeting or workshop participants tend to revert to old habits and the dialogue quickly digresses to discussion or debate.

Guiding the group s process

If a facilitator s main purpose is guiding the group s process, they are often called a process facilitator. Senge points out that the facilitator walks a fine line between guiding the process and drawing too much attention to herself/himself and taking away from group members ownership and responsibility for the group. The facilitator can also guide the process by asking critical, open-ended questions. For example, if someone makes a statement, the facilitator may say, In what other ways could we explain this? or Does anyone else have another perspective?

Mirroring the group s process

Groups often become so engrossed in what they are doing that they lose sight of what is happening in the group. The facilitator is in the excellent position of standing back and reflecting back to the group what he or she can see happening. This function is especially important during times of crisis. The facilitator can express his observation and then guide the group in taking its own actions to return to the course. For example, if lots of ideas are flying around he may point out that several people seem to be saying the same thing, yet appear to be disagreeing with each other. In this case he/she is not saying what the group should do, but merely making an observation.

Increasing participation and inclusion

An important function of the facilitator is to regulate the group s dialogue and discussion. The facilitator helps to balance contributions made within groups. He or she can do this through group process intervention skills as well as changing methods within the group context, such as using more small group discussions.

Basic and developmental facilitation: problem-solving and skill development

Schwarz (1994: see Annex 3) makes the distinction between basic and developmental facilitation.

In basic facilitation, a facilitator works with a group at a specific time to solve a specific process. In developmental facilitation, a facilitator consciously works with the group to improve its processes. They may also solve a particular problem, but more importantly, they have improved the way they work together so that they will be better able to solve other problems in the future.

In basic facilitation, the facilitator shoulders more of the responsibility for the group s success, while with developmental facilitation the responsibility is shared.

The developmental approach to facilitation emphasises capacity building for long-term improvements in groups efficiency and effectiveness. Although the approach is more in line with development philosophy it requires more time to facilitate groups using this approach.

A2.5 What s the difference between training and facilitation?

Many times the terms facilitator and trainer seem to mean the same thing, but they are, in fact, different. One may be a trainer but not a facilitator. Likewise one may be able to facilitate a group s process but does not have training skills. Social Impact offers a training process to teach facilitation skills and it also models facilitation skills in the process it advocates.

Box 2: Facilitation skills for improved HIV/AIDS work in Zambia

While working in Zambia, an international NGO and a bilateral donor recognised the need for Facilitation Skills training for local groups at the District level; in particular, these groups wanted HIV/AIDS programming that was more in tune to local realities, especially limited technical capacities and resources. At the same time, there was great potential for building on the work of existing community groups, churches, district health personnel, traditional healers, and the military in the fight against HIV/AIDS.

Consultants worked with these groups to better understand their training/facilitation needs. The assessment underscored the need for frontline HIV/AIDS workers to improve their group work and training skills in order to have greater impact in the communities. The consultants designed and facilitated a four-day facilitation skills workshop to respond to these needs. Several months later, they returned to deliver an advanced facilitation workshop for many of the same participants.

As a result of the facilitation skills training, participants reported being more confident and effective in mobilising groups in local HIV/AIDS activities, such as AIDS education, training and community meetings. Many participants had taken on new leadership roles. HIV/AIDS groups who had formerly been suspicious of one another now collaborated more closely.

Source: Social Impact

Renner (1983) suggests that all instructors are not natural facilitators. He says to be an effective facilitator an instructor ought to possess certain basic skills:

¥Adequate expertise in the subject area;

¥ Some general knowledge of learning theory, and technical (instructional) skills to present the material so that it can be learned;

¥A well-developed repertoire of interpersonal skills through which he can establish, maintain, and develop effective relationships and an atmosphere conducive to learning .

A2.6 Summary

Effective facilitation encompasses a broad range of knowledge, attitudes and skills in working with diverse groups in development settings. These skills provide the basis for more effective interventions to strengthen each stage of the Activity Cycle.

Good facilitation work builds ownership and commitment to results and increases the likelihood that activities will respond to participants actual needs. A donor can use facilitation skills to build its own capacity in development activity management and also to build the managerial capacities of its development partners.

Choosing to follow a participatory process in development activities determines the context and reflects the values within which these activities proceed. If participation is important to a donor, it is important to model it throughout the life of an activity. Although facilitation skills are not especially easy to learn, they are learnable. Commitment to learning and practice takes development managers far in successfully applying these new skills!

A2.7 An evaluation form for practising facilitators

Excellent ways to practice facilitation skills are through training, co-facilitation and practice in small group and team settings. The following evaluation form can be used by facilitators to get structured feedback from their interventions. The form can also be adapted for teams who want to evaluate the whole team s ability to facilitate its team meetings (team managed facilitation). Like other instruments of this kind, the form should be used in a positive way, to build dialogue around opportunities to improve facilitation.

Box 3: Evaluation Form for Facilitators

		5 = Fully agree				1 = Do not agree at all
The designated facilitator helped us to:						
1.	All participate in the discussion.	5	4	3	2	1
2.	Promote mutual learning and understanding.	5	4	3	2	1
3.	Foster inclusive solutions.	5	4	3	2	1
4.	Use our time effectively.	5	4	3	2	1
5.	Make good use of the information available to us.	5	4	3	2	1
6.	Establish common objectives for the meeting.	5	4	3	2	1
7.	Adhere to our meeting norms.	5	4	3	2	1
8.	Remain clear about our tasks.	5	4	3	2	1
9.	Clarify steps we would follow in performing our tasks.	5	4	3	2	1
10.	Stay conscious of the processes that we were trying to use.	5	4	3	2	1
11.	Get back on track when we were confused.	5	4	3	2	1
12.	Keep our inputs relevant.	5	4	3	2	1
13.	Keep our inputs clear.	5	4	3	2	1
14.	Communicate respectfully with one another.	5	4	3	2	1
15.	Develop sufficient information about all topics discussed.	5	4	3	2	1
16.	Explore alternatives fully before making decisions.	5	4	3	2	1
17.	Encourage differences in opinion.	5	4	3	2	1
18.	Manage conflict.	5	4	3	2	1
The designated facilitator:						
19.	Listened actively.	5	4	3	2	1
20.	Summarised and synthesised key points.	5	4	3	2	1
21.	Asked open-ended questions.	5	4	3	2	1
22.	Reserved judgement and kept an open mind.	5	4	3	2	1
23.	Encouraged people to take responsibility for their own actions.	5	4	3	2	1

Source: Adapted from Kinlaw (1993)

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Annex 4: Training and management resources

Centre for Development Studies (CDS)

Based in Swansea at the University of Wales, CDS offers occasional courses on the use of logframes.

Telephone: + 44 1792 295332
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The Centre for International Development and Training (CIDT)

CIDT at the University of Wolverhampton offers tailor-made courses plus regular two- and three-day courses on the use of logframes and Activity Cycle Management. Also offers facilitation of logframe workshops.

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Social Impact

Social Impact is a values-based firm dedicated to increasing development effectiveness through practical approaches to programme monitoring and evaluation.

Social Impact provides training, consulting and group facilitation in these areas:

- ¥Activity design using logframes and Activity Cycle Management;
- ¥ Participatory Learning and Action / Rural Appraisal;
- ¥Activity launch and implementation;
- ¥ Output-to-Purpose and strategic reviews; impact evaluation;
- ¥ Monitoring and evaluation systems;
- ¥Team building and team start-up;
- ¥ Planning and managing partnerships;
- ¥ Institutional assessment and development;
- ¥ Strategic planning;
- ¥ Large group facilitation.

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