Institutional Development:
Learning by Doing and Sharing

Approaches and tools for supporting institutional development

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1.   Introduction

How can we enhance learning among development practitioners and encourage them to share their experiences with institutional development (ID)? And how can we ensure we remain practical, given that ID has already been the subject of a great deal of conceptual thinking? These are two of the main questions addressed by this joint project between the DSI/AI (Poverty Policy and Institutional Development Division at the Dutch Foreign Ministry) and the ECDPM (the European Centre for Development Policy Management, based in Maastricht, the Netherlands). Our aim is to bring together people who are active in ID in the North and South by identifying and sharing practical experiences, useful approaches and tools.

1.1. Background

Those taking part in the Scheveningen seminar organised by the ECDPM and DSI/AI in 2002 recognised that ID is first and foremost about improving the performance of development-related institutions, in both the South (a process oriented approach focussed on organisational and institutional change) and the North (requiring a fundamental change in the way donors operate as development partners). As a follow-up to the seminar, we produced and distributed a tentative short-list of consultants with a track record in ID and practical experience with participatory methodologies, plus an inventory of established approaches and tools. The initial response to the inventory was critical, leading us to conclude that we needed to focus more on experiences, stories and approaches instead of simply on instruments and tools. After all, the latter might suggest that performance could be improved simply by using and blueprinting these instruments and tools, which is not the case.

1.2. What is it that we are presenting here?

In presenting certain tools and approaches, we do not wish to prescribe formats that can be used universally and blueprinted from one context to another. We are not trying to fit reality into preconceived schemes and we don't want to impose 'Northern'-based rationalities and tools on other cultures. On the contrary, we want to share practices and open up tools and approaches used in ID processes to learning and reflection. We started by gathering tools and approaches used mainly by Northern-based consultants. The challenge now is to connect and exchange their expertise with that of their colleagues in the South. An inventory of approaches and instruments *enriched by* experiences is a vital first step in stimulating learning and reflection. At the same time, we realise that this can never succeed if we do not take account of the facilitator's adage: 'be creative, adapt and modify', and if we do not accept that the most important tools are the ability to listen and build relationships and trust.

1.3. Contents

This booklet presents a number of experiences, practices and tools used in ID. The value of the tools lies not so much in their nature as in the way they are used. In other words, the key point is the attitude of the facilitator or consultant concerned. Whilst tools may play a role as incentives for further thinking or in helping to analyse material, they can never replace a good facilitator. This booklet seeks to give credit to the need for taking the right attitude to facilitation and process management. Each section ends with a number of references to material that readers can use for further reflection.

The booklet can be read as follows:

- The first section provides a brief definition of institutions, explains the importance of institutional development, and describes why ID implies a new way of doing business. It is not our intention to dive deep into a conceptual debate, which is why we have given a number of references for further reflection.

- The second section explains why a process approach is needed when working on ID, and examines its implications for consultants, facilitators and policy-makers. We also refer here to the importance of listening, and of building a relationship of trust when working with partners on ID.

- The third section briefly discusses the *essence* of creating ownership and sustainability among beneficiaries, i.e. facilitating the process of mutual learning among stakeholders and the facilitator.

- The fourth section presents a number of approaches or analytical systems (i.e. approaches consisting of a body of tools, which can be used for several purposes). Given that there are countless approaches and analytical systems, we have decided to restrict ourselves to those we came across during our search.

- The booklet finally concludes by sharing some of the tools we came across. These can be used for preparing and implementing projects involving institutional development and change. The next step is to invite contributions from colleagues from all over the world, in particular in the South.

We have classified the 20 tools into six different groups. The tools are not logically connected to any specific stage of the project cycle; most of them can be used in any stage. Instead, we have tried to categorise them in a way similar to that used by analytical systems such as IDOS (Framework for Institutional Development and Organisation Strengthening) and OOPP Objective-Oriented Project Planning (and hence cover most of the aspects of institutional processes), and at the same time to make clear that they can be used for a broader purpose.

(1) <u>Facilitation skills</u>: these are tools and skills that facilitators and consultants need in order to do a proper job.
(2) <u>Process tools</u>: these are tools that can open up a debate and help to establish the boundaries of a particular problem.
(3) <u>Stakeholder analysis tools</u>: these are intended to involve other stakeholders in the process.
(4) <u>Institutional analysis tools</u>: these help to analyse the problem in greater depth, both internally as well as externally to the system or organisation.
(5) <u>Internal organisation analysis tools</u>: these can be used to analyse interorganisational processes.
(6) <u>Strategy and planning tools</u>: these are used for analysing a situation, summarising its pros and cons, and producing strategies for the future.

The tools are not intended as blueprints. They are designed to trigger thinking and have to be adapted to the prevailing circumstances. Although most of them are straightforward, some become more effective as you gain experience in working with them. Many are no more than matrices, visualisations and in some cases simply questions that can help to reveal information and enable it to be shared with others. For some of the tools the help of a facilitator is necessary.

2. Institutional development: a new way of doing business

2.1. What is an institution?

Ever since this planet has been populated by humans, they have made arrangements for governing their lives. These arrangements are often referred to as 'institutions'. They may be formal arrangements, such as legal systems and property rights, or informal arrangements, like moral standards. In some cases, they take the form of implicit world views or mental maps, i.e. cognitive frameworks for looking at the world around you. These arrangements or institutions operate at different levels, ranging from an international level (such as trade arrangements) to community and individual levels (for instance, the values that determine the way in which people interact with each other).

According to North's famous definition, institutions are 'humanly devised constraints that shape human interaction'. They are the 'rules of the game' in a society, the rules that facilitate human interaction and societal life. Consequently, institutional development may be seen as the processes by which institutions evolve and perish, i.e. ongoing endogenous and autonomous processes in society.

The important questions that donors need to ask themselves is whether it is possible to support or even accelerate these processes (in a pro-poor direction), without undermining their endogenous character, local ownership and the responsibility of the stakeholders involved? And, can donors and agencies facilitate such processes?

2.2. Why does institutional development matter?

The emphasis on institutional development within development cooperation is far from new. Institutional issues have always figured prominently on the development agenda and considerable resources have been invested in them. In theory, development cooperation has always been about institutional development. What is new is that institutions are now widely considered to be central to sustainable development and poverty reduction. During the 1990s, institutional arrangements were generally believed to constrain the impact, effectiveness and efficiency of development aid. Good governance, political dialogue, fair trade and ownership all depend on the presence of adequate and locally owned institutional frameworks, both formal and informal. Moreover, the recent debate on institutional development could also reflect a fundamental dissatisfaction with the approaches that dominated development assistance during the period from the 1950s to the mid-1990s, now we know that real ownership is crucial to sustainability. One could say that the debate on institutional development signals a recognition that the process of development cooperation needs to be turned upside down (see Schacter: 2000, and Box 1).

Box 1: Basic premises for mainstreaming institutional development

- *Accept that institutional development calls for a new way of 'doing business'*. The process of development assistance needs to be turned upside down. A donor-driven process must become client-driven. A process obsessed by inputs must instead concern itself primarily with results on the ground.
- *Adopt a comprehensive and coherent implementation strategy*. Institutional development is above all an exercise in social transformation and therefore needs 'systemic' support. This means taking account of the political, economic and cultural factors that may effect institutional performance.
- *Change donor culture and working methods*. Embarking on a mainstreaming process

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requires profound changes in the corporate culture of donor agencies, i.e. in the formal and informal rules and systems that determine how aid is delivered, managed, monitored and evaluated.

- *Mainstreaming won't work without high-level political support*. Success is also likely to depend on the extent to which all actors and stakeholders concerned (both at headquarters and in the field) can be mobilised and involved in the mainstreaming exercise.

Source: Bossuyt (2001)

Virtually all external agencies now recognise the limits of donor-driven forms of cooperation and are reformulating their cooperation policies accordingly. Greater emphasis is being placed on principles such as 'ownership', 'participation', 'decentralisation', 'process approaches' and 'budgetary support'. However, still there is a gap between the language of the new development agenda and the control-oriented style of operation displayed by many donor agencies (see Bossuyt: 2001).

Box 2: 'Challenging Institutions'
Gerrit Holtland (Consultancy & Training for Rural Transformation)

Gerrit Holtland feels that the core ID problem is the unresponsiveness of many institutions to the needs of the poor. Improving this is a long-term process, requiring the empowerment of the poor, open communication between all actors and better organisational performance. In this process, institutional development is much more successful when institutions are *challenged* from the outside (that is, by citizens) than when projects (often carried out by foreigners) try to change them from the inside. The possibility of earning additional income is often the best incentive for people to challenge ineffective institutions, as this puts economic issues on the agenda as well. Holtland's views were confirmed by his experience in Kyrgyzstan, where he facilitated a cooperative of 200 farmers that was highly successful in growing high-quality seed potatoes. The government of Kyrgyzstan quickly recognised the cooperative as a seed farm and allowed it to certify seeds. Other projects which tried to attain the same objective by improving government seed institutions from the inside all failed.

Institutional development is a complex, messy, risky and experimental area, with tangible results emerging only over a long period of time. It therefore calls for an approach with a long-term perspective, paying full attention to the endogenous dynamics, energies and stakeholders involved in change processes. Development agencies will have to rectify some of their 'old habits'. If they do not, they may quickly lose their capacity to generate genuine value, based on adaptability and responsiveness.

Box 3: Some crucial aspects of institutional development

- Institutional development is not a separate activity. It is an endogenous process that is about raising people's awareness of the processes they are involved in.
- Institutional development is not specific to the South. On the contrary, it logically connects the South and the North when they are working in partnerships.
- Problematising your own role is always part of the exercise. If you are brought in from the outside, the way you define the problem in question will inevitably differ from the definition arrived at by those already involved.
- Institutional processes are cyclical. Each process is dynamic and constantly changing. Analysis needs to be ongoing.
- It is better to try and 'challenge' institutions instead of seeking to 'change' them, as the

> latter is too ambitious a goal.

2.3. References

- Bossuyt, Jean (2001). *Mainstreaming Institutional Development: why is it important and how can it be done?* European Centre for Development Policy Management (ECDPM). See website ECDPM: http://www.ecdpm.org/

This paper argues that institutional development must rely on support from and the participation of those operating at a high political level, as well as key actors and stakeholders.

- Schacter, Mark (2000). *Capacity Building: a new way of doing business for development assistance organisations.* Policy brief no. 6, Institute on Governance, Ottawa, Canada.

- DFID (2003). *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID.* Department for International Development, United Kingdom.

These guidelines draw from the DFID's wide experience with institutional change, and seek to inform and enrich the support that the DFID can provide. They are complemented by a sourcebook with information on techniques and tools.

- http://www.grc-exchange.org/g_themes/cc_institutionaldevelopment.html

This website discusses the concept of institutional development and outlines some of the key tools used by those involved in institutional development.

- http://www.acdi-cida.gc.ca/cd

This CIDA website provides a focus and forum for those looking for ideas, definitions, lessons learned, approaches, resources or operational tools for capacity development.

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3. A process approach: the implications for facilitators

3.1. Complexity calls for a process approach

Working on ID means working with highly complex processes. These are processes of social transformation in society at large, requiring national and local ownership. They involve many different stakeholders, not all of whom work according to the same rules, and not all of whom are equally powerful or influential. ID often encounters fierce opposition, as changing the institutional rules also means changing power relations. Existing institutional rules are often creatures of the rich and powerful, and frequently discriminate against the poor (DFID: 2003). Also, the contexts and problem definitions are dynamic and change all the time, as society is also constantly changing. In such circumstances, there are no 'quick fixes'. A process approach recognises the emergent, social nature of institutions and their complexity. It recognises that *how* activities are performed is just as important as *what* they achieve.

3.2. What does a process approach involve?

The basic idea behind a process approach is that a valid and effective solution to complex problems can be found only if all relevant stakeholders are involved to a greater or lesser extent in the entire process, from problem definition right through to problem solution. According to De Bruijn, Ten Heuvelhof and In 't Veld (1998), there are six reasons for using a process approach in complex situations:

1. *Commitment*: in order for all relevant stakeholders to commit themselves to a chosen solution, it is important to involve them in the process of defining and solving the problem in question. Effective decision-making and implementation is not possible without commitment, as stakeholders who are not committed could block the process at a later stage.
2. *Reduction of insecurity*: where complex problems are involved, it is virtually impossible for one person to have access to all information. Different stakeholders will provide different perspectives.
3. *Enrichment of problem definition and planning*: following on from the previous argument, key stakeholders often have a variety of perspectives on a certain problem. The original definition of the problem can be enriched by bringing these different perspectives to bear on it.
4. *Dynamics*: institutional processes are processes of social transformation. This implies constantly changing contexts. A process approach captures change as it focuses just as much on the 'how' as on the 'what'.
5. *Transparency of decision-making:* a process approach makes the decision-making process open to all, as all relevant stakeholders are involved. They all know what stage the process has reached, which decisions have already been taken and which have not, etc.
6. *Depolitisation of decision-making:* institutional change processes often arouse fierce opposition, especially on the part of those who are in the centre of the current system. By focusing more on the process (i.e. uncovering potential routes towards change) than on the content (i.e. what actually has to change), a process approach can make the changes seem less frightening and encourage key stakeholders to join in.

Many years of experience with process approaches in multi-stakeholder and organisational settings have yielded a number of rules to guide their use in practice. Some of the more basic of these are outlined in Box 4. Of course, it is not always possible to integrate all these principles in a single approach, as every setting requires its own adapted rules of practice. However, as a rule of thumb, most of the principles mentioned below may be regarded as being critical success factors.

Box 4: Some common principles inherent to a process approach

- All relevant **stakeholders** should be involved in identifying the problem: a decision to exclude important parties may block the process at a later stage.
- There must be a **feeling of unease** or even a **sense of urgency** among most of the stakeholders. If parties are not convinced that something should be done, nothing will.
- The process must be **transparent**, **open** and **democratic**. It should be clear what the rules and procedures are and how and by whom decisions will be taken.
- The core values and central interests of the stakeholders must be protected. Process approaches are characterised by 'finding future values': every **viewpoint** proposed by the actors is **valid** and **legitimate**.
- Moreover, the process must generate options for improvement or **gains** and **triggers** for **cooperative behaviour**. It must be relevant to all stakeholders.

Sources: Checkland and Scholes (1991); De Bruijn, Ten Heuvelhof and In 't Veld (1998).

3.3. From teaching and saying to listening and facilitating

Taking on board a process approach has major implications for the way in which we undertake development cooperation. It involves a complete role change: from experts to facilitators, from advising on issues to facilitating reflective processes, from consulting to valuing local actors and local knowledge. In short, it is a transformation from an expert culture to a learning culture. The implications for the practice of consultation have been clearly explained by Edgar H. Schein (1999), an organisational development consultant. Drawing on over 40 years' experience, he has developed a general theory and methodology that he calls *process consultation*. His ideas can be applied to international development cooperation in general, and to the practice of institutional development in particular.

3.4. At the heart of process consultation is the need to build relationships

According to Schein, the essential element in process consultation is *relationship-building*. All too often, advisers and consultants forget about this and sell projects, products, diagnoses, approaches, tools and instruments, all which cost a lot of money, but don't necessarily fit the context. In other words, they throw money and projects at problems. What is lacking in many cases is the formation of a relationship, making it possible for clients to define their own problems and to take their own decisions. Process consultation is about forming a relationship with a client that allows the latter to perceive, understand and act on the events that occur in his or her environment in order to improve the situation as defined by him or her. This makes perfect sense in the context of working on institutional development because it operationalises the key concept of ownership. After all, the basic assumption is that:

a. a facilitator can only help a 'human system' to help itself, and
b. a facilitator never knows enough about an (organisation's) specific situation and culture to be able to make recommendations on what the members (of that organisation) should do to solve their problems.

The ultimate function of a facilitator is to teach others how to diagnose and constructively intervene, so that clients are better able to continue improving the organisation, sector or situation on their own. Schein translated this attitude of building helping relationships into a process-consulting model. He then used this model to formulate ten principles (see Box 5), which facilitators and consultants can use as a diagnostic tool. These principles can serve as

milestones to encourage us to reflect on how we experience the processes of institutional change and development.

Box 5: Ten basic principles of process consultation

1. **Always try to be helpful** – if you don't have the intention of being helpful and working at it, you are unlikely to be successful in creating a helping relationship.
2. **Always stay in touch with the current reality** - you cannot be helpful if you don't know what is going on within yourself and within the client's situation. Every contact should provide information to both the client and the facilitator about the here-and-now state of the client's situation and the relationship between the facilitator and the client.
3. **Assess your ignorance** – you have to distinguish between what you actually know, what you assume you know and what you truly do not know.
4. **Everything you do is an intervention** – every interaction has consequences both for the client and for you as facilitator.
5. **The client owns the problem and the solution** – as facilitator it is not your job to take the client's problems onto your own shoulders. Only the client has to live with the consequences of the problem and the solution.
6. **Go with the flow** – a facilitator must respect as much as possible the 'natural flow' of a client's reality and not impose his/her sense of flow in an unknown situation.
7. **Timing is crucial** – the introduction of a facilitators perspective, the asking of a clarifying question, the suggestion of alternatives, has to be timed to those moments when the client's attention is available.
8. **Be constructively opportunistic with confrontational interventions** - in listening for moments of openness of the client, look for areas in which one can build on the client's strengths and positive motivations.
9. **Learn from errors** – every facilitator will say and do things that produce unexpected and undesirable reactions in the client. You have to learn from them and at all cost avoid defensiveness, shame or guilt.
10. **When in doubt, share the problem** – there will be times in the relationship when you don't know what to do next. In situations like this, the most helpful step to take is to share the 'problem' with the client.

Source: Schein (1999).

3.5. References

Change processes and processes of institutional development are about people. A lot of what has been written and said about these processes, however, revolves around methods, tools and instruments. These can be useful, but only if used in the right approach (i.e. a process approach, which emphasises the involvement of all relevant stakeholders) and at the right time. The references mentioned below explicitly address the 'how' of change processes.

- Schein, Edgar H. (1999). *Process Consultation Revisited: building the helping relationship.* Pearson Education / Addison – Wesley.

This book by Edgar Schein emphasises the **process** of consultation, as the interaction between the client and the consultant is much more important than what is actually achieved.
Its focus is primarily on the 'how', i.e. the processes that take place when someone advises somebody else. It stresses the importance of the 'psychological contract' between the consultant and the client, and sets out basic principles of communication and feedback. According to Schein, building a relationship is central to every effective effort 'to help' someone else.

- Bruijn, J.A. de, E.F. ten Heuvelhof and R. in 't Veld (1998). *Procesmanagement: over procesontwerp en besluitvorming; Bedrijfskundige signalementen*. Academic Services.

This book also emphasises the importance of the process during change, especially in complex and dynamic contexts where perceptions tend to differ. Such change processes will only succeed if all stakeholders are involved in the decision-making process. The book focuses on the role of the process manager and provides plenty of information on relevant 'process' principles.

- http://facilitation.start4all.com/

Starter page for facilitation (i.e. books, trainers, articles, resource sites, etc.)

- http://www.managementboek.nl/

To remain up to date with new (change) management developments, you might be interested in subscribing to *Manager & Literature,* a Dutch-language journal that is published ten times a year and contains up-to-date information on new (change) management publications and books.

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4.   Facilitating learning

4.1. Knowledge management

Today's management literature places a great deal of emphasis on knowledge management (for instance, by Senge's Fifth Discipline, and the famous book written by Nonaka and Takeuchi (1998), entitled *The Knowledge-Creating Company*). Knowledge management is about creating an environment that encourages learning at three different levels: within organisations, within teams, and at a personal level. The same ideas are reflected in mainstream development thinking. Facilitating processes of institutional development is about helping stakeholders to assume ownership of institutional processes and so to secure long-term sustainability. It therefore recognises the need to emphasise (national) ownership, facilitation and stakeholder participation. In such an environment, effective communication and learning have become more and more important (Engel: 2003). Only those who learn are able to improve their performance and to adapt to changing settings. According to Weggeman (mentioned by Bijl: 2001), 'learning' involves strengthening the individual capacity to perform tasks, which can be defined as 'knowledge'.

Facilitating ID processes is thus about facilitating collective and mutual (mutual because both the facilitator and the stakeholders learn) social learning: helping to create the conditions in which individuals understand and share the same kind of development objectives (or at least feel committed to the objectives), so that they can and will learn to improve their performance and hence attain more of their objectives.

Involving all relevant stakeholders in a process of learning for institutional development is a time-consuming task. It takes time to build relationships and trust. Efforts have to be made to externalise and open up the various stakeholders' mental models (i.e. their perspectives on reality) in order to encourage an open debate. The models may converge in a common sense of direction, a shared vision of a desired future, or at least in a certain commitment to a predetermined strategy. Such collective learning processes can only take place in a stimulating setting that facilitates learning, *inter alia* by giving and receiving formal and informal feedback on a permanent basis (Bijl: 2001).

Box 6: Listening as the main tool
Tony Land

Tony Land works as a consultant in the fields of project and strategy proposal preparation, evaluation, process facilitation and moderation, and applied research and analysis. He believes that you should always try and ensure that whatever ideas and proposals you come up with are based on the views of stakeholders. This means encouraging clients to think through ideas themselves rather than acting as an 'expert' who does things for them. *Listening* is probably the main tool here, while the main skill required is the ability to draw out issues, to mediate between different lines of thought, and to come up with an acceptable solution, making sure throughout the process that you don't leave the client behind. Even in more clearly defined organisational development work, where consultants take an organisation or group of organisations through a strategic change process, and 'tools' are more likely to be used, the real skills are trust-building, identifying appropriate intervention moments, working out ways to find win-win solutions, building on internal momentum and change agents. This is especially significant in the more politically charged environment of the public sector, where there are as many losers as there are winners in relation to reform processes.

4.2. Monitoring & evaluation as the motor of learning

In a learning-oriented climate, monitoring and evaluation are at the centre of all efforts, as together they constitute the 'motor of learning'. Evaluation and monitoring can provide input for learning and adaptive management, which is a management style based on flexible regulations, continuous probing, observation and the adaptation of policy and programming frameworks (for a discussion of this point, see Engel: 2003).

Indicator choice and the design of monitoring and evaluation procedures should of course all be matters of mutual understanding and agreement. They should be owned by the stakeholders, just as the latter own the objectives and the intermediate results. The constant monitoring of indicators devised by the stakeholders themselves is a prerequisite for permanent learning. Monitoring is about taking a critical look at the processes you are involved in, so as to constantly deepen, clarify and structure information (i.e. ideas, facts and impressions), to understand interconnections and identify core elements. The overriding aim in all this is to arrive at conclusions that can lead to learning, based on a new understanding of constantly changing circumstances (Guijt and Braden: 1999).

Box 7 – Involving stakeholders in the MGFRP
Ellen van Reesch, RNE Kerala

Ellen van Reesch (Embassy staff member in Kerala, India) has been involved in the preparation and implementation of the Modernisation Government and Financial Reform Program (MGFRP). The drafting of this MPG as well as its implementation faces a lot of institutional challenges. Ellen started in 2001 with searching for an answer (and expertise) to the question "how to mainstream poverty in a macro-level reform program?". However, during the process, the initial question was gradually changed to "how to contribute to a process in which poverty aspects are brought in by the local stakeholders themselves?"

The Modernisation Government Program in Kerala was led by some very committed and reform-minded secretaries, which Ellen already met when discussing other, bilateral programs. She knew that they were in close contact with different groups in society. Ellen put a lot of effort in networking and forming alliances with these secretaries and social development and governance staff within the Government of Kerala (GoK) and the Asian Development Bank (ADB). Their stake was to put poverty impact and broad participation upfront and to maximise the involvement of line ministries. Major opponents of this approach proved to be mainly public finance and juridical staff within the GoK and ADB. Nowadays, broad participation is part of the program set-up and is appreciated and supported by the stakeholders in Kerala.

Networking and involving different stakeholders is a key asset to promote institutional change. Institutional reform processes, according to Ellen, ask for people who look beyond technical and/or sectoral boundaries and have an open eye for the process itself, including the interaction and power play between different stakeholders.

4.3. Conclusion

We believe that the approaches and tools we have chosen to present here can all be used in the 'conceptual' framework presented here (as they can also be used in other, more rigid frameworks). The tools can be used in processes of learning, in which key stakeholders retain ownership in order to attain certain objectives. The important thing is not the tools themselves. These are intended to stimulate discussion and to help with the participatory analysis of

processes (within an organisation, a system, etc.). By describing a number of tools and experiences, we hope to create a practical approach to institutional development, and we also hope that the tools, approaches and experiences presented here will help all practitioners to share more of their own experiences.

4.4. References

- Weggeman, M. (1997). *Kennismanagement.* Scriptum: Schiedam.

Knowledge management is a topical management issue. 'Only those who learn and learn fast can improve their performance and adapt to constantly changing contexts.' Weggeman focuses on how to manage knowledge and knowledge-intensive organisations. His book is the Dutch equivalent of Nonaka and Takeuchi's *The Knowledge-Creating Company*.

- Engel, P.G.H., C. Carlsson and A. van Zee (2003). *Internalising Evaluation Results Through Learning: complementary perspectives, dilemmas and some lessons learned.* ECDPM, available at http://www.ecdpm.org/.

Evaluations are starting to be perceived more and more as learning opportunities. This paper discusses how we can improve the internalisation of evaluation results at different levels, the dilemmas we face in doing so, and what we have learned so far.

- Guijt, I. and J. Woodhill (2002). *IFAD Guide: a guide to project M&E,* IFAD. http://www.ifad.org/evaluation/guide/

A practical resource kit for project managers and staff responsible for monitoring and evaluation (M&E). The guide offers detailed advice on how to set up and implement an M&E system.

- Bijl, Jaap (2001). *Strengthening Local Capacity for Gender Equitable and Sustainable Poverty Eradication: the role of technical assistance.* Saint Louis: SNV-Benin. Available from the author.

A paper written as a contribution to the debate on the role of technical assistance. The author makes a case for a mutual, learning-by-doing facilitative approach to capacity strengthening with shared measurable results and common monitoring at its core**.**

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5. Approaches used in facilitating institutional change processes

Over the years, various approaches, both participatory and otherwise, have been developed to facilitate, or support, locally-owned organisational and/or institutional development processes. Each of the approaches mentioned below – and the list does not claim to be even remotely complete – has its own instruments and analytical tools for helping to focus multi-stakeholder processes. Although each concentrates on a specific ID issue, there are also considerable overlaps between them. There are of course many other approaches which are not discussed here, and we are eager to include these. For the time being, however, we have decided to present in brief some of the approaches and tools we came across during our research.

5.1. Approaches and analytical systems

(a) IDOS: Framework for Institutional Development and Organisation Strengthening

What is it?

Every IDOS intervention has two components: an analysis of the institutional environment and an analysis of the client's internal organisation, synthesised in a plan to enhance the organisation's or network's ability to perform development activities. The IDOS framework consists of a flexible set of tools that can be used in institutional analyses. The Dutch Ministry of Foreign Affairs has used the IDOS framework to undertake sector analyses when introducing sector approaches.

Reference

- MDF (2001). *Course on Institutional Development and Organisational Strengthening.* Ede, the Netherlands. For more information: mdf@mdf.nl.

Box 7: Public sector reform in Mozambique
Jan Willem le Grand, RNE Maputo

The government of Mozambique approved and launched the Global Strategy for Public Sector Reform in 2001. The general objective of the reform is to improve the delivery of services to citizens and to establish an enabling environment for the development of the private sector. In the context of the reform, most public-sector institutions in Mozambique are the subjects of an analysis very similar to IDOS. The ministries involved (22) have taken the lead, and they are supported by the Technical Unit for Public Sector Reform (UTRESP) and by local and expatriate consultants. The Dutch embassy is not involved in the analysis itself. Its role is to comment on the outcomes of the analysis and their implications for public-sector reform. The analysis consists of three main steps:

- ♦ a mapping exercise (i.e. what are the actors and institutions in the public sector, and what are their respective roles?);
- ♦ a functional analysis (i.e. what are the goals of the various actors and institutions, and what should be their future goals or policies in the context of public-sector reform?);
- ♦ a plan for implementing the proposed reforms.

As you can see, the analysis goes well beyond the identification of actors, functions, issues, findings and conclusions. It also includes various post-analysis phases, i.e. future goals and implementation plans. For the time being, only a few ministries have presented their reports on functional analysis. The Dutch embassy has identified three weaknesses in the institutional and

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> organisation analysis:
>
> ♦ Difficult and sensitive political questions concerning the functioning of the public sector have been avoided to date.
> ♦ The analysis is generally rather top-down, dominated by (expatriate) consultants and consultancy firms and lacking in local ownership.
> ♦ There are many processes at work (i.e. different interests of the ministries involved; different agendas such as a focus on public-sector reform, public finance management reform and decentralisation issues), which means that the coherence and sequencing of reforms is both vital and relatively complex.

(b) IPOD: Interactive Policy and Organisation Development

What is it?

IPOD is an interactive methodology developed by a number of consultants working for STOAS. IPOD can help a policy-making body or organisation to improve its effectiveness by undertaking a comprehensive analysis of external and internal factors and actors. The focus is on the interaction between the implementing organisation and its setting. IPOD consists of a flexible set of tools, and seeks to foster collaborative decision-making by bringing donor agencies and key stakeholders together.

Reference

- Beijer, Wim and Gerrit Holtland (2001). *Interactive Policy and Organisation Development.* Paper presented at the 15th ESEE meeting in Wageningen, the Netherlands. For further information, e-mail info@stoas.nl.

(c) OOPP: Objective-Oriented Project Planning

What is it?

The basic objective of OOPP is to improve the planning process by performing an in-depth analysis of the relevant actors, as well as the problems, their causes and their effects. It suggests a clear link between this analysis and the proposed project intervention. OOPP has often been used as (donor) planning instruments, reflecting a donor logic. However, they can also be used in participatory planning exercises, where ownership lies with the 'beneficiaries'.

Reference

- GTZ has published several articles and manuals on OOPP. These include *Project Cycle Management (PCM) and Objective-Oriented Project Planning Guidelines* (1996). GTZ, Eschborn: Germany. For further information, see http://www.gtz.de/. For information on a Dutch facilitator working with OOPP, see http://www.demonchy.nl/ or e-mail partners@demonchy.nl.

(d) RAAKS: Rapid Appraisal of Agricultural Knowledge Systems

What is it?

RAAKS is an action-oriented research methodology that helps stakeholders learn together, enhancing communication and information exchange in support of innovation. RAAKS seeks to give ownership of change processes to local stakeholders. It helps stakeholders to gain a better understanding of their performance as innovators and includes windows and tools for facilitating change processes.

References

- Engel, P.G.H. and M.L. Salomon (1997). *Facilitating Innovation for Development: a RAAKS resource box.* Royal Tropical Institute, CTA and STOAS: Amsterdam. For further information, contact STOAS at info@stoas.nl or Paul Engel at info@ecdpm.org.

PRA: Participatory Rapid Appraisal

What is it?

PRA is a series of methods and tools that can be used to empower local people by encouraging them to share, enhance and analyse their knowledge of life and conditions and to plan, act, monitor and evaluate on the basis of this analysis. By combining the information obtained from all the tools, a clear picture can be painted of the daily lives of the people in question. This can trigger a discussion of their main problems. PRA has often been misused as a tool for extracting information from local people, whilst bureaucrats have remained responsible for decision-making and strategic planning.

References

- The PRA methodology was developed by the Institute for Development Studies at the University of Sussex, United Kingdom. For further information, see http://www.ids.ac.uk/ids. Another important player in the field of participatory approaches is the International Institute for Environment and Development (IIED), which publishes the PLA Notes describing a large number of studies and ideas about PLA.

MSP: Multi-stakeholder Processes

What is it?

Multi-stakeholder processes and social learning are about setting up and facilitating long-term processes that bring different groups into constructive engagement, dialogue and decision-making. MSP seeks to bring together all key stakeholders involved in a particular problem, and to start learning and sharing experiences. Various tools and methods can be used in such processes.

References

- Further information on multi-stakeholder processes can be found on the IAC website: http://www.iac.wur.nl/msp.

Other approaches:

5.2. Toolbooks and other relevant documents

A large number of websites and even more books provide information on approaches for facilitating and supporting participatory institutional development processes. This section gives references and links to books and websites which can help to trigger creativity and practical thinking. Most of them discuss approaches and instruments, and have been used as background material for this booklet. Although some have very specific focuses, most of the material can be used as a source of inspiration on institutional development.

- Andreassen, M.D. and B.H. Mikkelsen (2003). *Bibliography on Participation and Participatory Methods in Development Work and Research.* IIS Working Paper 03.7. Copenhagen. See: http://www.cdr.dk/working_papers/wp-03-3.PDF

This annotated bibliography contains an extensive list of literature and web references and is intended as a guide to recent publications and websites relating to participation and participatory methods. The bibliography is divided into three parts. Part 1 presents a selection of publications on participatory approaches that are primarily found in essential periodicals and books. Part 2 presents literature that is available on the Internet. Part 3 lists websites where relevant literature and publications can be found and in many cases downloaded.

- Chambers, Robert (2002). *A Sourcebook of 21 Sets of Ideas and Activities.* London: Earthscan Publications.

This sourcebook is written for anyone working in the field of participatory learning and change. It provides 21 sets of ideas, activities and tips on a range of subjects including getting started, forming groups, dealing with dominant group members, evaluation and monitoring. It is written in a self-critical style by an author who regularly quotes from his own experience, thus making the book a pleasure to read.

- CIDA (2000). *Capacity Development Tool Kit*. Political and Social Policies Division, Policy Branch. Also available on the Internet: http://www.acdi-cida.gc.ca/cd.

The Capacity Development Tool Kit was developed in response to needs expressed by CIDA officers for strategies and tools to help them operationalise capacity development (CD). Addressing a wide range of CD issues in a systematic manner, the material operates at several different levels, including the micro (i.e. the capacities of individuals), meso (i.e. organisations and networks) and macro levels (i.e. overarching institutional issues conditioning the environment for capacity development and utilisation).

- DFID (2002); *Tools for Development: a handbook for those engaged in development activity*, version 15; available on Internet: http://www.dfid.gov.uk/FOI/tools/index.htm

A useful handbook containing tools for development (stakeholder analysis, problem and situational analysis, visioning, risk management, influencing and negotiating) which can be applied to any developmental activity or intervention.

- DFID Sourcebook (2003). *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID* and *Conducting Institutional Appraisal and Development Sourcebook.* The most recent edition is also available on the Internet: http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf

The purpose of these DFID guidelines is to help the reader identify any institutional problems that inhibit organisational improvements, and to work out how to make the necessary changes. Although the guidelines are based on DFID experiences and have been written in a DFID context, they are nevertheless of interest to anyone involved in institutional development. The guidelines are complemented by a sourcebook containing various tools.

- Engel, P.G.H. and M.L. Salomon (1997). *Facilitating innovation for development. A RAAKS resource box.* Royal Tropical Institute: Amsterdam.

This resource box lays the foundations for the RAAKS methodology, which seeks to enhance the effectiveness of innovation processes. Beside an extensive theoretical explanation of RAAKS, it contains a set of 'windows', which serve as guides for 'opening up' new perspectives on innovation, and tools for gathering, organising and interpreting information in a participatory manner.

- FAO Participation website: http://www.fao.org/Participation

This website, operated by the FAO's Informal Working Group on Participatory Approaches and Methods, consists of a great deal of detailed information on participatory tools, methods and approaches. This is presented in the form of one-page overviews(i.e. description, source, purpose and applications, project phase, project level, references and links to further information). It also contains links to many other relevant sites, as well as descriptions of lessons learned from practical experience with the tools presented on the website. The website has a user-friendly interface, with handy icons and links. It is one of the best websites on tools, methods and approaches to participation.

- Gubbels, P. and C. Koss (2000). *From the Roots Up: strengthening organisational capacity through guided self-assessment*. World Neighbors Field Guide 2 Capacity Building. Oklahoma: World Neighbors.

This guide provides organisations with tools for strengthening their capacity by regularly reflecting on their performance, diagnosing their internal strengths and weaknesses, identifying priority capacity areas in need of strengthening, and designing action plans for improving their effectiveness and long-term viability.

- Nauheimer, Holger. *Change Management Toolbook.* http://www.change-management-toolbook.com/

The Change Management Toolbook offers a broad range of methods and strategies for use during different stages of personal and organisational development. The site is geared mainly to organisations and is inspired by the 'learning organisations' philosophy developed by Peter Senge. It also contains references to books on organisational development.

- PLA Notes. IIED. See also http://www.iied.org/sarl/pla_notes/index.html

The PLA Notes are published by the International Institute for Environment and Development. The notes focus on participatory learning and action approaches and methods. The Notes reflect on the use of and the background to participatory tools and approaches and review a wide range of practical cases. Issues 1-40 are available free of charge from the IIED's website.

- Pretty, J.N., I. Guijt, J. Thompson, and I. Scoones (1995). *Participatory Learning and Action: a trainer's guide.* IIED: London.

This rich guide explains the principles of adult learning and summarises the theory behind participatory learning and action. It focuses on facilitators' skills and makes suggestions for running workshops. It includes 101 tools and exercises that facilitators can use during workshops.

- PSO Knowledge Centre. http://www.pso.nl/

The PSO website is based on the PSO's Knowledge Centre, which aims to improve the quality of capacity-building support provided to NGOs in developing countries. It facilitates discussion and the sharing of knowledge and experiences. It provides a great deal of information on capacity building, as well as links to resource centres, websites, upcoming events, courses, etc.

- Senge, P., R. Boss, B. Smith, C. Roberts and A. Kleiner (1995). *The Fifth Discipline Fieldbook: strategies and tools for building a learning organisation*. London, Nicholas Brealy Publishing. See also: http://www.fieldbook.com/.

Senge's best-seller *The Fifth Discipline* was an enormous success. This was the book in which he introduced the theory of learning organisations: a group of people who continually enhance their ability to create what they want to create. Senge believes that five disciplines are crucial to learning organisations: systems thinking, personal mastery, mental models, building a shared vision, and team learning. The fieldbook explains how to create an organisation of learners. It describes a wide variety of experiments, research studies and inventions performed by all sorts of people in becoming better 'learners'.

- SNV Reference Guides. http://www.snvworld.org/LocalGovernance

The SNV distributes information on CD-ROMs for people working in remote areas without proper access to the Internet, and currently has 15 reference guides in stock. Each guide contains a wide variety of information such as literature, papers, documentation, readers, case studies and tools, as well as a list of research institutes and, of course, plenty of useful links to websites for those who do not have access to the Internet. The guides generally focus on a specific topic. One of the guides, for example, is on 'local governance processes' and provides background information and tools for use in institutional development processes.

- SNV (2002). *Methodologies for the Analysis and Planning of Rural Development.* Compiled by Gerrit Holtland, STOAS, 2002.

Another guide which can be ordered from the SNV is on methodologies for analysing and planning rural development. The guide provides background information (i.e. a list of resource centres, case studies and explanations) on nine different analytical methodologies: structured surveys, area resource analysis and spatial analysis, strategic environmental analysis, objective-oriented project planning, rapid rural appraisal and participatory rapid appraisal (PRA), participatory technology development (PTD), rapid appraisal of agricultural knowledge systems (RAAKS), gender assessment studies, and participatory action research.

- Participation Tool Kit. http://www.toolkitparticipation.com/

A tool kit on the Internet containing information on tools for promoting citizens' participation in local governance. Over one hundred cases are described and analysed. The site also contains articles and links for further reference. As the website is intended to be interactive, it is under more or less continual construction.

- Veneklasen, L. and V. Miller (2002). *A Weave of Power, People & Politics: the action guide for advocacy and citizens participation*. Oklahoma: World Neighbors.

This WN guide seeks to enable activists, trainers and others involved in development and democracy to promote citizens' participation and democratise decision-making. It provides concepts, tools and step-by-step processes aimed at promoting citizens' participation.

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development; a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD). Also available on the Internet: http://www.ifad.org/evaluation/guide/.

The IFAD Guide for Project M&E is about using monitoring and evaluation to improve the impact of (IFAD-supported) projects. The focus is on a learning approach. The object is to create an M&E system that helps primary stakeholders, implementing partners and project staff to learn together in order to improve their development interventions on a continual basis. The guide has proved invaluable in relation to those aspects

of institutional development that are based on a learning approach, i.e. involving stakeholders and learning from experiences. The guide also contains an annex entitled 'Methods for Monitoring and Evaluation', which contains detailed information on more than 25 tools and methods.

- World Bank participation website. http://www.worldbank.org/participation/

The World Bank participation website provides background information on the process of participation (i.e. tools, methods, references to other books and resources).

Other references:

Tools

Defining the objective of the diagnosis, a ToR for institutional analysis

Purpose:

This tool can be used to make an initial definition of the problem and to state the objectives of the policy, programme or diagnosis to be carried out. It can be useful in drafting Terms of Reference: it helps in obtaining an idea of the processes to be analysed and the relevant actors.

Steps:

Different sets of questions from different perspectives can be used to obtain an initial idea of the problems at stake. The questions can help in reflecting on what is going on and what approaches and instruments could perhaps be used to analyse the situation. The first set of questions are so-called 'early questions' for identifying opportunities and limitations for institutional and organisational development. The second set of questions relate to various aspects that arise during institutional change processes.

A.   Early questions

(1) Is there an expressed need for institutional change? Expressed by whom? And are they in a position to question institutions in their society? These questions address 'voices for institutional change': where do they come from?

(2) What threats/opportunities do stakeholders see, in relation to current institutional and organisational arrangements? Are they free to express their opinions on these? These questions address stakeholders' perceptions of the chances and limitations the current institutional arrangements imply for the development of their societies.

(3) Who will be the relevant stakeholders in institutional/organisational development plans (including civil society and community stakeholders)? Will their views on key issues differ greatly? These questions probe the consensus and mutual recognition of different points of view among stakeholders.

(4) What/who are the relevant drivers/incentives for change and/or inertia in the situation as it is now? Who has the power to influence these drivers/incentives? These questions try to identify incentives and/or blockages that affect the current situation and potential key actors in promoting institutional change.

(5) What external circumstances and factors play a role? To what extent can these circumstances be influenced, and by whom? These questions draw attention to external factors affecting institutional change, and the extent to which they can be addressed by the stakeholders themselves.

(6) How urgently do stakeholders feel they are affected by the current situation? A sense of urgency may reflect the motivation of stakeholders to act.

B.   Approaching ID processes

(1) Are the key institutional/organisational problems clear to all stakeholders or are there different opinions on what these key problems are?

(2) Are the problems related to intra-organisational relationships? In what way? (e.g. to the mandate, strategy or structure of the organisation, a lack of leadership or support from the leadership, a lack of capacity and/or resources to fulfil the mandate, a clash of cultures, attitudes or values within the organisation)

(3) Are the problems related to inter-organisational (between organisations, stakeholders) relationships? (e.g. are all relevant stakeholders involved, are there diverging interests between various governmental/non-governmental institutions and/or other stakeholders, do stakeholders have different perceptions, is there a lack of communication between stakeholders, or a lack of capacity and/or resources?)

(4) Are the problems related to external factors? (e.g. political, sociocultural, human development, economic constraints or constraints in the legislative framework)

Resources:

The DFID Sourcebook also provides a structured framework for asking questions, analysing results and identifying critical institutional issues.

- DFID Sourcebook (2003). *Conducting Institutional and Organisational Appraisal and Development; Guidelines for DFID* and *Conducting Institutional Appraisal and Development Sourcebook.* The most recent edition is also available on the Internet: http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf

The purpose of the DFID guidelines is to help the reader identify any institutional problems that inhibit organisational improvements, and to work out how to make the necessary changes. Although the guidelines are based on DFID experiences and have been written in a DFID context, they are nevertheless of interest to anyone involved in institutional development. The guidelines are complemented by a sourcebook containing various tools.

Analyse yourself as facilitator, disempower yourself, empower groups and individuals

Purpose:

Facilitators often tend to dominate and lead. Most of them are natural extroverts (or have made themselves so) and like talking to groups. They lecture, or they facipulate (a hybrid offspring of facilitate and manipulate). Facilitating others' analyses, however, means handing over the stick, being disempowered, leading by withdrawing. It can mean what Latin Americans call 'suffering the silence', waiting while others think before talking and acting, controlling the sense of obligation to fill silence with speech.

Steps:

(1) Disempower yourself as facilitator. To do this, you can:
- decentre – move away from the spatial focus of authority;
- sit down, instead of standing while others sit;
- keep quiet;
- initiate self-organising processes;
- hand over to a participant (e.g. to chair a feedback session);
- refer questions back to groups;
- ask for contributions from others;
- start individual reflection in buzz groups;
- go away.

(2) Empower individuals: start by asking each person to reflect and make notes or lists for themselves while they are discussing with others. This starts everyone thinking and makes them realise that they already know something about the subject. The notes and lists give each person something to share. This leads to group discussions which are more democratic because each person has a note of things to say.

(3) Empower groups: give tasks to groups. There are many sorts and sizes of groups. Much of the best analysis seems to take place in small groups of three to five members.

Tips:

(1) Insist on silence during individual reflection and taking notes.

(2) In groups: use maps and diagrams. This can generate group-visual synergy: motivation increases, and enthusiastic activity takes off in thinking, remembering, showing and cross-checking.

(3) When some know more about a topic than others, ask them to pair off or form small groups. Those who know more can share their knowledge with those who know less.

Resources:

The text for this tool is based on:

- FAO Participation website: http://www.fao.org/Participation

This website, operated by the FAO's Informal Working Group on Participatory Approaches and Methods, contains a great deal of detailed information on participatory tools, methods and approaches. This is

presented in the form of one-page overviews (description, source, purpose and applications, project phase, project level, references and links to further information). It also contains links to many other relevant sites, and descriptions of lessons learned from practical experience with the tools presented on the website. The website has a user-friendly interface, with handy icons and links. It is one of the best websites on tools, methods and approaches to participation.

Original ideas:

- Chambers, Robert (2002). *A Sourcebook of 21 Sets of Ideas and Activities.* London: Earthscan Publications.

This sourcebook is written for anyone working in the field of participatory learning and change. It provides 21 sets of ideas, activities and tips on a range of subjects including getting started, forming groups, dealing with dominant group members, evaluation and monitoring. It is written in a self-critical style by an author who regularly quotes from his own experience, making the book a pleasure to read.

- http://www.ids.ac.uk/ids/particip/

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Symmetry test

Purpose:

The differences between the two parties involved in international development cooperation (donors and beneficiaries) are real. The difference in power and in financial and material resources must not be allowed to lead to paternalistic behaviour on the part of the consultant/facilitator, or to dependency behaviour on the part of the local client. Symmetry is essential for dialogue. This simple symmetry test can show how symmetrical your approach is.

Steps:

Take a recent progress report or other project paper describing your organisation's work in the field of capacity strengthening or institutional development, and your local client's progress. Call it up in a word processing program. Use the search and replace function to replace all references to your own organisation with the client organisation's name, and vice versa. You can do this by:

   (1) replacing your own organisation's name with a unique character set, such as <&>;
   (2) replacing the client organisation's name with your organisation's name;
   (3) replacing the <&> with the client organisation's name.

Now reread your report or ask a colleague to read it. If this makes you or your colleague feel that the report shows a lack of respect towards your organisation, there is a lack of symmetry that has to be solved. If you don't feel there is a lack of respect, there is no problem. You have passed the test.

Resources:

The text for this tool is based on:

• Bijl, Jaap (2001); *Strengthening Local Capacity for Gender Equitable and Sustainable Poverty Eradication; the role of technical assistance*, SNV-Benin, Saint Louis.

A paper written as a contribution to the debate on the role of technical assistance. It makes a case for a mutual learning-by-doing facilitative approach to capacity strengthening with shared measurable results and common monitoring at its core.

The original idea came from:

• Winch, Peter (1964); *Understanding a Primitive Society*, American Philosophical Quarterly, vol.1, no.4.

Semi-structured interviewing

Purpose:

Semi-structured interviewing is a strategy for getting people to talk about what they know. Usually the context is a one-to-one meeting, whereby the interviewer uses a series of questions to trigger the conversation. Semi-structured interviews are critical for developing an in-depth understanding of qualitative issues in particular. As the interviews are open-ended (although guided by checklists), they are helpful in assessing, for example, unintended impacts (positive and negative), opinions about the relevance and quality of services and products, etc.

Background:

The following types of interviewing can be distinguished:

• Informal interviewing: the interviewer doesn't control the conversation, although he may try to steer it towards topics which interest him. The interviewer doesn't take notes during the conversation. Often informal interviewing goes together with participant observation. Notes are made afterwards.
• Unstructured and semi-structured interviewing: both the interviewee and the interviewer know that an interview is taking place. The interviewer has a list of topics and questions in his mind or written down. However, he tries to encourage interviewees to open up and express themselves in their own terms.
• Structured interviewing: in general, structured interviews are based on questionnaires. The advantage of this type of interviewing is that the interviewer is able to control the conversation. The output can then be compared with other interviews.

Interviewing has a lot to do with being able to communicate effectively with others (listening, asking the right questions, making good notes). Good interviewing (see also **listening**) is difficult and needs a lot of practice.

Steps:

(1)   To prepare an interview, you should devote attention to the following:

• Define the purpose of the interview and the information you need. Make a checklist of topics and questions you want to talk about.
• Define who you are going to interview and prepare yourself. In general don't take more than 1½ hours of the interviewee's time. Identify potentially politically or culturally sensitive or controversial questions beforehand. Semi-structured interviews are best conducted by two people. One performing the interview, the other taking detailed notes.
• Pre-test the interview questions to ensure that they are appropriate and that the answers provide useful data.

(2)   Before an interview starts, you should tell the interviewee the following (except in the cases of informal interviews):

• Take the time to greet the interviewee correctly (in line with his norms and culture)!
• Explain who you are, what the analysis you are working on is about, what you are going to do with the information and how you are going to use it.
• If necessary (e.g. in cases where the topic is sensitive) assure the interviewee of anonymity. Do not use a tape recorder, but make notes. It might also be helpful to finish the formal interview earlier and talk more informally for a while (and therefore make notes afterwards).

- Explain that you want to know what **the interviewee** thinks. In some situations, the interviewee might think it is better to tell the interviewer what he wants to hear. Be prepared for these situations.
- Explain why it is important that you have the interviewee's cooperation: for example because you want to obtain a representative sample or because you consider him a key informant on certain topics.
- If you intend to take notes or record the interview, ask the interviewee's permission. Do not, however, make the interview unnecessarily formal by asking permission if it is not necessary.
- Encourage the interviewee to interrupt you if he doesn't understand the question.

(3)   You can use several techniques to allow the interviewee to talk (see 'active listening'):

- By repeating what the interviewee has already told you, you might obtain additional information.
- By probing, you can encourage interviewees to tell you more:
  - make affirmative noises: 'hmm', 'yes'.
  - repeat the last thing the interviewee has said.
  - keep quiet (for example, make a note in your notebook): this often encourages the interviewee to offer further information.

(4)   Lastly: analyse the information you obtained from the interviewee.

Time:

In general: do not take more than 1½ hours of your interviewee's time. It is often enough to obtain useful information, and if it takes longer, the interviewee might get irritated.

Environment:

It is best to hold the interview in a quiet environment.

Resources:

A lot has been said and written about interviewing. An old but still very useful book is:

- Spradley, James P. (1979); *The Ethnographic Interview*; New York.

This book gives many useful and practical suggestions on conducting qualitative research, in particular with regard to interviewing.

See also the description of semi-structured interviewing in:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD). Also available on the Internet: http://www.ifad.org/evaluation/guide/.

The IFAD Guide for Project M&E is about using monitoring and evaluation to improve the impact of IFAD-supported projects. The focus is on a learning approach. The object is to create an M&E system that helps primary stakeholders, implementing partners and project staff to learn together in order to continually improve their development interventions. The guide has proved invaluable in relation to those aspects of institutional development that are based on a learning approach, i.e. involving stakeholders and learning from experiences. It also contains an annex entitled 'Methods for Monitoring and Evaluation', which contains detailed information on more than 25 tools and methods.

Listening

'If we were supposed to talk more than we listen, we would have two mouths and one ear.'
Mark Twain

<u>Purpose</u>:

Much is written about the 'art of listening'. Listening is the most difficult and also the most neglected element of communication. It is said that on average, of all our communication activities, 10% is spent writing, 15% reading, 30% talking and 45% listening. Listening is actively receiving all sorts of signals. It is about concentrating on what is actually being said. It is not passive hearing: it is an activity.

<u>Steps</u>:

Two important elements can be distinguished when having a conversation and when listening: non-verbal and verbal expression. Both are important. It is important for the two to be in balance: if you ask good questions during an interview, but keep looking at your watch, the message to the interviewee will be clear: 'He doesn't actually have time to listen to me, so I had better be quick'.

(1) Non-verbal expression:

- *Facial expression*: Look interested. Smile. Frown if you don't understand something. Too much frowning however may give the other person the feeling that you don't agree, which might make him unsure.
- *Eye contact*: encourage the interviewee by establishing eye contact now and then. However, don't stare. That might make the interviewee feel uncomfortable.
- *Body language*: how are you sitting/standing? Be calm, be aware of not making too many gestures, be open to the interviewee (for example, don't cross your arms).
- *Affirmative gestures*: nod your head affirmatively, and sometimes use hand gestures to confirm this.

(2) Verbal listening comprises four steps, which continue throughout a discussion/interview:

- Concentrate on what the other person is saying and try to subordinate your own thoughts in order to listen. Look at the other person and see if what they are saying is supported by their facial expressions, gestures, etc.
- Recapitulate and summarise what the other person has been saying. Do not wait too long to do this, even if the other person shows no intention of stopping speaking. Try to find a moment to interrupt him ('Sorry to interrupt you, but ……').
- Check whether the summary correctly states what has been said: 'If I understand you correctly, you mean that…….' An affirmative answer (yes) is a joint agreement to go on with the discussion. If the answer is no, you should try to make a new summary, perhaps asking the speaker for more information. When it appears that you have both understood one another, the discussion can proceed.
- Organise the information and continue the discussion. One of the parties resumes the discussion. This may be the next question in an interview, the following point in a discussion, or picking up the structure of the discussion.

<u>Resources</u>:

The text of this tool is inspired by:

- MDF Syllabus (2001); *Course on Institutional Development and Organisational Strengthening (ID/OS)*;

MDF organises ISOA and Advisory Skill Courses which are well known to DGIS staff. The book provides background information used during a course. MDF's mission is to enhance the management capacities of professionals and organisations in the development sector.

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- http://www.listen.org/

Website of the International Listening Organisation which promotes the study, development and teaching of listening and the practice of effective listening skills and techniques.

Examples:

Brainstorming

Purpose:

This tool, with which almost all of us are familiar, can be used to gather many ideas quickly from a group of people by letting them freely express their creative and critical thoughts. It can often be used as a first step in a discussion that is then followed by other methods. In principle, brainstorming can be done individually or in a group. The latter is, however, preferable. In a group, when individual creativity gets stuck, others can carry it further.

Steps:

(1) Define the problem you want to solve clearly and ask the group to think of as many ideas as they can about the topic in question. You can give them several minutes for this.

(2) Encourage an enthusiastic, uncritical attitude among the members of the group. Try to get everyone to contribute and develop ideas. Let people have fun brainstorming. Welcome creativity by encouraging people to come up with as many ideas as possible: from solidly practical ones to wildly impractical ones. The ideas can be captured using other techniques, such as mindmapping or using symbols.

(3) Ensure that no-one criticises or evaluates ideas during the session. Criticism introduces an element of risk for group members when putting forward an idea. This stifles creativity and cripples the free running nature of a good brainstorming session.

(4) Once all the ideas have been noted somewhere visible to everyone (for example on a flip chart or chalkboard), they can be analysed.

(5) The emerging issues, topics and questions can later be grouped, sorted and prioritised.

Tips:

(1) To avoid the problem of domination by certain participants, you can distribute cards to all individuals on which they brainstorm their thoughts or ask them to brainstorm in sub-groups.

(2) Ensure that no train of thought is followed for too long. The session is only meant to extract ideas that can be discussed in detail later.

(3) Set a rule at the beginning that all judgements made during the brainstorming session will be ruled out until a later discussion.

Time:

From five minutes up to half an hour.

Equipment:

Flip charts, markers and small cards for participants to write their thoughts on.

Environment:

A good meeting room: enough space, quiet.

Resources:

The text for this tool is mainly based on:

- http://www.mindtools.com

The mindtool website focuses on creative thinking and problem-solving and on management skills. It provides tools which help you to understand difficult problems, develop creative solutions to them and evaluate the quality of these solutions. There are also a large number of management-related links.

and:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); also available on the Internet: http://www.ifad.org/evaluation/guide/.

Open Space Technology

Purpose:

Open Space Technology is a tool which enables a large group of different stakeholders (from 10-500 people) to discuss and work on burning and complex issues. It draws on participants' interests, knowledge and experience to explore ideas and insights without the constraints of conventional formats. An example in the context of development cooperation might be a discussion on mainstreaming water in poverty policy.

Background:

The process of Open Space is based on a set of four principles and one law (the law of two feet):

(1) Whoever comes are the right people

Open Space works with those who are interested and ready to commit themselves. Only those who are present can contribute. Although the invitation list might be limited, an Open Space conference is principally open to everybody; often, outsiders bring in fresh and independent views that can cause a quantum leap in the process.

(2) Whatever happens is the only thing that could have happened

This principle provides a basis for the sustainable involvement of stakeholders. The issues discussed are those which people feel passionate about and wish to engage themselves in, not less, not more. In Open Space, everything that happens has a meaning. By contrast, issues that have been identified before the conference might not be considered. Open Space creates transparency and facilitates identification of those areas that bear the highest probability of implementation.

(3) Whenever it starts is the right time

(4) When it's over, it's over (When it's not over, it's not over)

These principles describe an obvious and well-known fact: it is not possible to force processes. If people are committed to make a change, they will take the process in hand. Although time and place are predefined in an Open Space event, clocks play a minor role in setting the pace. Participants themselves decide how much time is needed to work on an issue – ten minutes, two hours, one day – or not at all.

The law of two feet means that whenever a participant feels that he is neither contributing nor learning, he is encouraged to move to another place/discussion of interest. This creates a process of cross-fertilisation between the different groups. The organisers of the Open Space must take care that the lay-out of the conference does not allow status differences ('no ranks, no titles'), to ensure optimal creativity.

Steps:

(1) In the first hour of the meeting, the participants sit in a large circle (or double circle). The facilitator explains the principles of Open Space Technology as described above.

(2) An Open Space event is predefined by a question which is to be discussed during the (one to three-day) meeting. The question has been selected by the organisers. It should

          address a burning (and contentious) issue and ensure a high diversity of opinions. In the case of development cooperation, this could be water, decentralisation, etc.

(3) The facilitator invites the participants – still sitting in a circle – to come up with issues of concern related to the question to be discussed. When someone comes up with an issue they write it on a large piece of paper and announce it to the group. These people are 'conveners'.

(4) After selecting one of the many pre-established times and places, the convener hangs the paper on the wall. This process continues until there are no more agenda items.

(5) The participants then look at the many sessions on the wall and note the time and place of those they want to be involved in.

(6) Each group chooses a recorder (if he goes off to join another group, they appoint a new one, who continues where the other left off). At the end of the sessions, all the reports are gathered together and incorporated into one document at the end of the meeting.

(7) At the end of the meeting, the group comes together again in a circle and each gives a short presentation of its workshop session. People are invited to share comments and insights. If possible, action plans are linked to the issues that have arisen.

<u>Time:</u>

One to three-day meetings.

<u>Environment:</u>

A meeting place with corners and areas to gather in small groups.

<u>Resources:</u>

There is a lot of background material available for further reading, as Open Space Technology seems to be a new buzzword for management gurus and consultants. You can find more information on how to work with Open Space from the following (very popular) references:

- http://openspaceworld.com
Website of Harrison Owen, the founder of the Open Space Technology. See his publication: Owen, Harrison (1997); *Open Space Technology: a user's guide*.

Much of the text of this tool is based on:
- http://www.chriscorrigan.com/openspace/ who also gives some cases of Open Space Technology.

- Nauheimer, Holger. *Change Management Toolbook.* http://www.change-management-toolbook.com/

The Change Management Toolbook offers a broad range of methods and strategies for use during different stages of personal and organisational development. The site is geared mainly to organisations and is inspired by the 'learning organisations' philosophy developed by Peter Senge. It also contains references to books on organisational development.

An introductory website on **multi-stakeholder processes** and with reference to Open Space Technology can be found at:

- http://www.iac.wur.nl/msp

IAC – International Agricultural Centre
Lawickse Allee 11
6701 AN Wageningen
P.O. Box 88
Phone: +31 (0) 317 495495
Fax: +31 (0) 317 495395
http://www.iac.wur.nl/
Info: info.iac@wur.nl

Another relevant website with lots of information on how to organise multi-stakeholder processes can be found at:

- http://www.earthsummit2002.org/msp/

Examples (of, for example, Open Space Technology in relation to development issues):

Visioning or realising dreams

Purpose

To have a focused discussion around people's dreams or shared visions for the future of a project or other activity. This tool helps people to think in terms of a longer-term vision, instead of focusing on daily problems. It helps to open up their minds to other ways of overcoming problems and prevents them from slipping into standard ways of solving immediate problems, rather than imagining a new path they themselves can create to realise an envisaged future.

Steps:

(1) Start by asking people to describe how they would like things to be in the future. The meetings can be held at an individual, household, interest group, community or organisation level. The time in the future for which dreams are to be discussed will need to be clarified beforehand but a period of two to five years is long enough for dreams to be more than simply dealing with the immediacy of survival and yet short enough to remain realistic. The longer the time-frame chosen, the more it will become dreamlike or a kind of wish list.

(2) The dreams can be written down or represented by a symbol. In the discussion, they can be specified, with clear time-frames for achievement.

(3) Once articulated and discussed, the dreams can become indicators that are monitored as they are being realised, are changing or are becoming ever more elusive.

(4) The discussion is repeated every 6 to 12 months, or however often those involved think changes are likely to have occurred. The progression or regression in the development of the dreams/indicators needs to be properly recorded in symbols or words in these discussions. Discussions can also include a comparison of current dreams with those expressed during a prior monitoring event. It is also essential to discuss why these changes occurred and to what extent they were caused by the project activities or by other, external factors.

Tips:

(1) It must be clear beforehand why this tool is being used: do you ultimately want to create a consensus-based vision, or do you want to open up discussion? This might have consequences for how you, as facilitator, organise the discussion after the presentations.

(2) Adopt a proper time-frame, which people can imagine. Otherwise visions may be too idealistic.

(3) Sometimes, you have to be forceful when introducing a session like this. Often people don't see the point in spending time on such an exercise. Here it is important to emphasise the importance of a discussion of this type.

Time:

60-90 minutes, depending how many participants there are.

Equipment:

Flip charts and markers.

Environment:

A good meeting place (enough space and no disruptive noises).

Examples:

Box 8 - Irene Guijt – Visioning

There are several ways of using a visioning exercise. It is a method which helps people to see possibilities rather than immediate problems. In doing so, it opens up their minds to other ways of overcoming problems. As facilitator, it is important that you have the aim of the exercise in mind beforehand. Do you want to find convergence between the different visions that may emerge from different people/groups, or do you want to use the exercise just to start a discussion? It is always important for the one who is facilitating the workshop to write down as much as possible, so it can be analysed in more detail afterwards. In addition, a facilitator sometimes needs to be resolute when explaining the exercise, as some people can be quite sceptical about the idea of, for example, taking a walk to find a symbol representing your vision.

Visioning on an AIDS organisation
During a strategic review of the board of an organisation working on AIDS, the facilitator asked the participants to make a list and to define the most important stakeholders related to the organisation. After this, the board was divided up into several small groups. Each group got the assignment to play the role of one of the stakeholders and to imagine a situation five years later. They then had to mention the three most important things the organisation had worked out for them. They got a few minutes time to explain these at a fictitious conference. In that way five or six different perspectives on the organisation were found, which were very helpful to the board as a reflection on their own organisation.

Visioning on gender equity
Another way to use the concept of visioning: ask people to bring something with them which is related to the topic of discussion. This method was used during a seminar on gender equity in Switzerland. The participants were asked to take a walk and come back with something which was related to their feelings on the subject of gender equity. The idea was that, because it is often so difficult to establish real opinions on this subject, the symbols might reveal more. After the participants came back, each of them got a few minutes time to explain their symbol. One participant, for example, came back with a stone, because he found gender equity a little 'hard to swallow'. Although this exercise was time-consuming, it opened the eyes of each person involved to the real diversity surrounding this topic.

Resources:

The text of this tool taken from:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); Also available on the Internet: http://www.ifad.org/evaluation/guide/.

Another useful resourcebook might be:

- Senge, P., R. Boss, B. Smith, C. Roberts and A. Kleiner (1995). *The Fifth Discipline Fieldbook: strategies and tools for building a learning organisation*. London, Nicholas Brealy Publishing. See also: http://www.fieldbook.com/.

Senge's best-seller *The Fifth Discipline* was an enormous success. This was the book in which he introduced the theory of learning organisations: a group of people who continually enhance their ability to create what they want to create. Senge believes that five disciplines are crucial to learning organisations: systems thinking, personal mastery, mental models, building a shared vision and team learning. The fieldbook explains how to create an organisation of learners. It describes a wide variety of experiments, research studies and inventions performed by all sorts of people in becoming better 'learners'.

Tracing diversity in driving forces, motives and intentions

Purpose:

Different actors within a programme or sector will strive for different kinds of development. They have their own views and visions on what has to be achieved, among which actors and in what way. It is therefore important to explore the different and perhaps even conflicting '*missions*' of the actors involved. This tool will help to give a first assessment of the driving forces and actors behind the different missions.

Steps:

(1) The exercise can be done on the basis of available information (annual reports, articles) and interviews with key stakeholders. But a discussion in the form of focus groups, for example, is also possible.

Box 9 – Questions to trigger a discussion:
- What do the relevant stakeholders see as their objectives?
- How do each of the stakeholders perceive their contribution to the programme?
- Who are the real beneficiaries of each of the objectives?
- What activities are being/will be developed or implemented as a result of each of the objectives?
- Which stakeholders are crucial to implementing each objective?
- Is there a shared objective?

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(2) Identify each other's objectives.

(3) Understand the different elements in each other's objectives. Make those elements that don't seem to fit in with any of the other stakeholders' objectives explicit.

(4) Ask each stakeholder to perform the same exercise from their own point of view.

(5) Discuss the elements that don't seem to fit or which are not common with other people's sets of objectives, and agree on which ones to drop and which ones to include in a shared objective. You will end up with a set of mutually understood objectives that share the same set of elements.

(6) During the programme, a clearer picture of shared or conflicting objectives will be developed, which may stimulate or hamper the process.

Tips:

(1) As already made clear in relation to focus group discussions, facilitation requires considerable skills. This exercise is best facilitated in pairs – one person to facilitate the discussion and the other to take notes.

(2) Another very important principle, which must be made clear from the very beginning, is that every viewpoint brought up by stakeholders is valid. All their perspectives are legitimate.

Equipment:

Markers and flip charts can be used to make differences in objectives visible to everyone.

Environment:

A good meeting place, where discussion can take place without interruption.

Resources:

This tool is based on the following resources:

- Engel, P.G.H. and M.L. Salomon (1997). *Facilitating Innovation for Development: a RAAKS resource box.* Royal Tropical Institute: Amsterdam.

This resource box lays the foundations for the RAAKS methodology, which seeks to enhance the effectiveness of innovation processes. Beside an extensive theoretical explanation of RAAKS, it contains a set of 'windows', which serve as guides for 'opening up' new perspectives on innovation, and tools for gathering, organising and interpreting information in a participatory manner.

- Bijl, Jaap (2001); *Strengthening Local Capacity for Gender Equitable and Sustainable Poverty Eradication: the role of technical assistance*, SNV-Benin, Saint Louis.

Examples:

Actor identification exercise

Purpose:

The actor identification exercise is a matrix which can be of help in listing all relevant stakeholders, a diagnosis of their importance and the arguments to support this diagnosis. As a matrix it can be easily drawn on a flip chart or overhead sheet. An actor identification exercise is part of a stakeholder analysis.

Steps:

(1) Start a brainstorming session to generate a list of relevant stakeholders and actors to be involved in the institutional process. These might be individuals or organisations. After making a list of ideas, discuss which of the stakeholders listed are truly relevant and which are considered to be key stakeholders. The reasons for choosing the key stakeholders should be written on the sheet, as well as why they are important.

(2) Some relevant questions to support brainstorming:
- Which stakeholders will play a role in the sector or programme you are working on? Have all primary, secondary and external stakeholders been listed? Try to be as specific as possible.
- Have all potential supporters and opponents of the project been identified?
- Has gender analysis been used to identify different types of female stakeholders (at both primary and secondary level)?
- Have the interests of vulnerable groups (especially the poor) been identified?
- Who else could make an important contribution? Why and how?
- What do the various actors contribute?
- Which actors can be seen as key actors? Why?
- Are there any new primary or secondary stakeholders that are likely to emerge as a result of the project?

(3) Draw a matrix

An actor identification sheet can be used to record results:

System actors	Do you see this person/organisation as a key actor? (yes/no)	Why or why not?
1.		
2.		
3.		
n.		

Equipment:

Markers and flip charts.

Environment:

A good meeting room

Resources:

This tool is based on:

- Engel, P.G.H. and M.L. Salomon (1997); *Facilitating Innovation for Development: a RAAKS resource box*; Royal Tropical Institute: Amsterdam.

and:
- ODA, Overseas Development Administration (1995); *Guidance Note on How to do Stakeholder Analysis of Aid Projects and Programmes*; ODA: London. Available on the Internet at: http://www.euforic.org/gb/stake1.htm.

Box 10 - Actor analysis in Albania
Gerrit Holtland

The objective of this tool was to understand the role of the other actors in the system (what are their key qualities and approaches?) and their relation to organisation X. Visits were planned to 16 different organisations, in two groups. First a general communication strategy was agreed upon. In the interview, the emphasis was placed on several elements:

- time to greet each other and settle down;
- a clear introduction to explain the purpose of the visit and what the organisation was going to *do* with the information;
- focus on non-verbal aspects (the right seating arrangements, looking people in the eyes, active listening);
- how to prevent the dialogue from ending up as an 'interrogation'. This meant starting with open questions which invite the others to take the lead and explain what is relevant to them. After that, probing questions could be used to discover more details, and for possible cooperation between organisation X and the other organisations.

After the interviews, the visits were discussed in the whole group (consisting of some 10 people, most of them staff of the organisation). The main conclusions of the visits were clustered in four groups: the key quality of each organisation, their approaches, possibilities for cooperation and competition between the organisations and X, on the basis of which further conclusions for developing a long-term proposal could be drawn.

More examples:

Stakeholder analysis

Purpose:

Stakeholder analysis is a systematic way of identifying a programme's key stakeholders, assessing their interests and how these interests affect the risk level and viability of the programme. The general recognition of the key role played by stakeholders has made this a vital tool for policy managers.

Steps:

(1) Clarify the main purpose of the stakeholder analysis and the higher objective of the programme concerned. Agree on the criteria for assessing the stakeholders. List the criteria you will use to prioritise who is to be involved. Criteria for inviting stakeholders could include: because they are supposed to benefit from the project; their formal role in the project; because they provide skills and/or information essential to the process; because they fund the process; because they have legal rights in the project area; because they are primary residents in the project area; etc.

(2) List all the people, organisations and parties you can think of that might fit your criteria. These are the stakeholders. Various methods can be used to identify stakeholders, such as brainstorming, interviews with key informants or focus groups. Cross-check the initial list by asking key people to look at it critically. Stakeholders can be classified in groups. For example: primary stakeholders, who will be the intended beneficiaries of a targeted programme; secondary stakeholders are the intermediaries in the process of delivering aid to primary stakeholders; and external stakeholders include those who are not directly involved, but who are interested in the outcome of the project.

(3) Stakeholder analysis is an iterative method, something that may be undertaken early in the planning stages of a programme and repeated or checked at later stages, usually as other stakeholders are added.

(4) Classify the stakeholders on the basis of the criteria. To do this, you will need to make a stakeholder matrix with the stakeholders along the y-axis and the criteria you have set along the x-axis. Prioritise which stakeholders to involve on the basis of the importance of stakeholders to the programme objectives and the influence/power the stakeholders have on the direction and outcomes of the programme in relation to their own interests.

(5) Reach agreement on how best to involve people. This can be done by asking the different people/groups themselves the best way they think they can be involved.

Tips:

(1) Selecting whom to involve in the analysis must be done together with others in order to reduce the risk of a biased selection. This is a process that continually evolves and must be repeated throughout the life of the project, in order to be sure that new, potentially important stakeholders are not missed.

(2) The other exercises mentioned in this booklet (actor identification) can of course be used in combination with this exercise.

Time:

This tool can take some time: three hours.

Equipment:

Markers and flip charts.

Environment:

A good meeting place.

Example:

Stakeholder analysis in Ghana

Actor	Interest	Influence Extent	Influence Direction
Public Sector Management			
Senior Minister MoF+EP	Leading role for reforms Interest in efficiency	++ +	Up ~
Local Government and Rural Development	Implementation policies	-	Down
WB/DFID	Fiduciary risk	++	up
Research and advocacy organisations	Research/advocacy	-	~
Environment and science	Profiling	+/-	~
Ghana Inst. of Management and Public Administration (GIMPA)	Research/training	+	Up
Institute of Local Government Studies (ILGS)	Research/training	+	Up
District Assembly Common Funds (DACF)	Bureaucratic	-	Down
Districts	Service delivery/empowerment	-	~
Constitutional bodies	Watch democratic state of law	+	Up
KPMG	Commercial interest	++	Up
PWC	Commercial interest	++	Up

Resources:

This tool is based on the following reference:

- ODA, Overseas Development Administration (1995); *Guidance Note on How to do Stakeholder Analysis of Aid Projects and Programmes*; ODA: London. Available on the Internet: http://www.euforic.org/gb/stake1.htm.

A lot has been written about the importance of stakeholder analysis. The following references might be most helpful:

- World Bank (2002); *World Bank Participation Sourcebook*. World Bank: Washington. Available on the Internet: http://www.worldbank.org/wbi/sourcebook/sbhome.htm.

- DFID (2002); *Tools for Development: a handbook for those engaged in development activity*, version 15; available on the Internet: http://www.dfid.gov.uk/FOI/tools/index.htm

A useful handbook containing tools for development (stakeholder analysis, problem and situational analysis, visioning, risk management, influencing and negotiating) which can be applied to any developmental activity or intervention.

More examples:

Environmental scan

Purpose:

An environmental scan is a visualisation tool that provides an overview of the external factors (positive and negative) that are important to the organisation (or sector) and indicates whether the organisation can influence them or not. An environmental scan can be made on an individual basis, or in a group (up to 20 people) on a participatory basis.

Steps:

(1) Explain the model and formulate the question that you want to answer with the help of the environmental scan. Also define the field of analysis.

(2) List all external factors influencing the field of analysis. This can be done, for example, in a brainstorming session, where you do not discuss whether all points people put forward are correct and relevant (see brainstorming).

(3) Assess the impact of the factors, writing positive factors (opportunities) on white cards and negative factors (threats) on red cards. In the case of uncertainty or disagreement, you could make duplicate cards: judge the factor both positive and negative, or leave it neutral. You can also split the factor into its positive and negative aspects.

(4) For each factor, indicate the level of control you have over it. You could, for example, rank them as follows: (1) a factor which cannot be influenced directly, (2) you have no control over the factor, but you can influence it and (3) a factor which can be influenced directly.

(5) Categorise the factors according to a relevant classification. In general, environmental scans are categorised into: policy/regulation (on top), supply/resource base/input (to the left), demand/output (to the right) and competition/collaboration (at the bottom).

(6) The factors can be placed in a matrix with the positive/negative factors in columns and the classification in rows. Or they can be placed in a diagram consisting of an 'influence square': factors that you can influence are placed inside the square; others are placed outside the square. The further they are away, the less you can influence them.

(7) Analyse the scan and draw conclusions.

Tips:

(1) You can make a second, complementary environmental scan of the same situation by assessing the influence factors have over you (rather than you over them). In that case you do not draw the 'influence square', but simply place factors with the largest impact on your performance nearest to the centre, and factors that influence you less, further away.

(2) The exercise can be a good basis for identifying opportunities and threats to be used in a SWOT analysis.

(3) It can be a good exercise to get used to the environmental scan by making one on an individual basis before explaining it to a group.

Example:

Box 11 - Environmental scan
Gerrit Holtland

In 2001 Gerrit Holtland implemented a mission for organisation X with the aim of facilitating an assessment of whether the organisation should develop a proposal for a long-term plan for agricultural development in Albania, and if so how they could develop the proposal. The following example shows how an environmental scan can be used in the analysis.

A matrix was used to obtain a picture of the external factors influencing the possibility of starting a successful project on agricultural development. An environmental scan was therefore carried out, with a brainstorming session for the staff to this end of the organisation, facilitated by the consultant.

First, all external factors influencing the possibility of creating a viable project were listed (good climate, main roads are reasonable, emigration, lack of mechanisation, lack of an organised market etc.). After that, the positive factors were written on white cards (emigration, because it allows bigger farms), and the negative factors on red cards (emigration, because it reduces interest in agriculture).

The level of control which the organisation had over each factor was indicated (1 = cannot be influenced by the organisation directly (e.g. emigration); 3 = can be influenced directly (high demand for information on inputs and markets); and 2 = intermediate). Furthermore, the factors were classified into four categories: policy, competition, supply and demand. Finally, conclusions were drawn on the basis of the classification and the indication.

Time:

A group session will take around 1½-2 hours.

Equipment:

Flip charts and markers.

Environment:

A good meeting place.

Resources:

The text for this tool was based on:

- SNV Reference Guides - http://www.snvworld.org/LocalGovernance

SNV has made a lot of information available through CD-ROMs for people working in remote areas without proper access to the Internet. At the moment 15 'reference guides' can be ordered. Each guide contains a wide variety of information such as literature, papers, documentation, readers, cases, tools and instruments, an overview of knowledge institutions and of course a lot of useful links to websites for those who have access to the Internet. The guides generally focus on a specific topic/issue. An example is the guide on local governance processes, which provides background information and tools relevant to institutional development processes.

and on:

- MDF Syllabus (2001); *Course on Institutional Development and Organisational Strengthening (ID/OS)*;

MDF organises ISOA and Advisory Skill Courses which are well known to DGIS staff. The book provides background information used during a course. MDF's mission is to enhance the management capacities of professionals and organisations in the development sector.

<u>More examples</u>:

Institutiogramme

Purpose:

An institutiogramme visualises the relations between actors active in a certain field of analysis. It serves to analyse the environment and specifically the relations between the actors involved in that environment. It also helps to identify relations to improve, reconsider or establish.

Steps:

An institutiogramme can be made individually, but is preferably made within a group of stakeholders.

(1) Define the basic question behind making the institutiogramme.

(2) Define the field of analysis (which sector, geographical area, etc. are you talking about?).

(3) Identify the actors to be included (organisations, at which level of analysis?).

(4) Define the type of relations to be looked at (hierarchical lines, communication, cooperation, operational (who provides inputs to whom?), financial (who pays whom?)).

(5) Draw a map indicating the actors involved, using different types of lines for different types of relations.

(6) Indicate the intensity of the relations (frequency and importance).

(7) Identify the adequacy of the relations (are they of sufficient quantity and acceptable quality?).

(8) Analyse the institutiogramme (use the picture and your knowledge of the various actors involved to analyse the network in terms of opportunities and threats in relation to the services offered): observations and conclusions.

Tips:

(1) The tool itself does not guarantee that all relevant actors and relations are depicted. So use, for example, a brainstorming session or an actor analysis tool to obtain an oversight of all important and relevant stakeholders.

Time:

60-90 minutes.

Equipment:

Markers and flip charts.

Environment:

A good meeting place.

Resources:

This tool is based on:

- SNV Reference Guides. http://www.snvworld.org/LocalGovernance

The SNV distributes information on CD-ROMs for people working in remote areas without proper access to the Internet, and currently has 15 reference guides in stock. Each guide contains a wide variety of information such as literature, papers, documentation, readers, case studies and tools, as well as a list of research institutes and, of course, plenty of useful links to websites for those who do have access to the Internet. The guides generally focus on a specific topic. One of the guides, for example, is on local governance processes and provides background information and tools for use in institutional development processes.

Examples:

Prime mover septagram

Purpose:

Actors influence interactions within a programme or sector in different ways. Some may exert more influence than others, so that often coalitions develop around these 'prime movers'. This tool helps to visualise who the prime movers are (those who are the leaders and have the most influence on what happens within the sector or programme), as seen by the different subgroups and stakeholders involved.

Steps:

(1) The facilitator asks each stakeholder involved in a programme or sector how much influence they think each different type of actor exerts upon the functioning of the overall programme/sector. This can be done through interviews or, for example, in focus groups.

(2) The discussion can be made visible by asking the informant to fill in a blank 'septagram sheet' (which of course can also be an octogram or a sextogram) consisting of a circle and one line for each (type of) actor. Each type of actor is assigned a line. The group of individuals being questioned is asked about each actor separately (the discussion about which actors to involve in the septagram can be conducted through, for example, a brainstorming session before the exercise is carried out).

(3) The interviewee may then place a sticker on the line representing an actor. The stronger (the more 'controlling') the influence of this type of actor, the further away from the centre the sticker is placed. The weaker (the more 'following') the influence, the closer it is placed to the centre. There may be more than one 'prime mover' in the centre.

(4) Finally, the septagrams can be compared: actors may have similar or very different perceptions (as shown in their drawings), which can have major implications for the programme. The facilitator can then work to put together a single picture that applies to the sector as a whole. This summary of all information can be a good starter for a workshop.

Tips:

(1) An interview is a good way of discussing and understanding the perceptions of the person being interviewed. They may also feel more free to assess the real power balance in a sector, than if the discussion takes place within a group.

Example:

Prime mover septagram: Kaibichbich sub-location
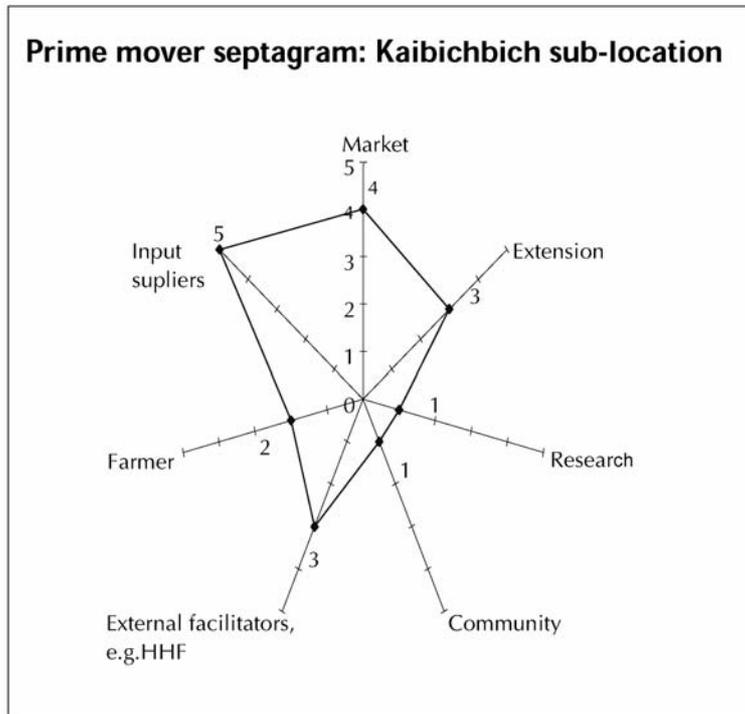
[Source: David Rees, Martha Momanyi, Joseph Wekundah, Felister Ndungu, Jacob Odondi, A. O. Oyure, Dymphina Andima, Marion Kamau, Jessica Ndubi, Francis Musembi, Lucy Mwaura and Rita Joldersma (2000); *Agricultural Knowledge and Information Systems in Kenya: implications for technology dissemination and development;* ODI: Agren network paper 107; [http://www.odi.org.uk/agren/papers/agrenpaper_107.pdf]

Equipment:

A flip chart, markers and stickers.

Environment:

A good meeting place.

Resources:

The text of this tool is based on:

• Engel, P.G.H. and M.L. Salomon (1997); *Facilitating Innovation for Development; a RAAKS resource box*; Royal Tropical Institute: Amsterdam.

7-S model

Purpose:

The 7-S model can be used to trigger discussions in a group to analyse internal issues within an organisation. It consists of seven key interdependent variables that need to be taken into account in organisational design. They focus on both the 'hardware' of an organisation – the strategy, structure and systems – and on the 'software' – its management style, staff, skills and shared values (i.e. culture).

Background:

The 7-S model can be used as a basis for discussion of organisational design with relevant key stakeholders in the organisation. Special attention must be given to the relationships between the seven variables. Different techniques and tools can be used to organise a discussion.
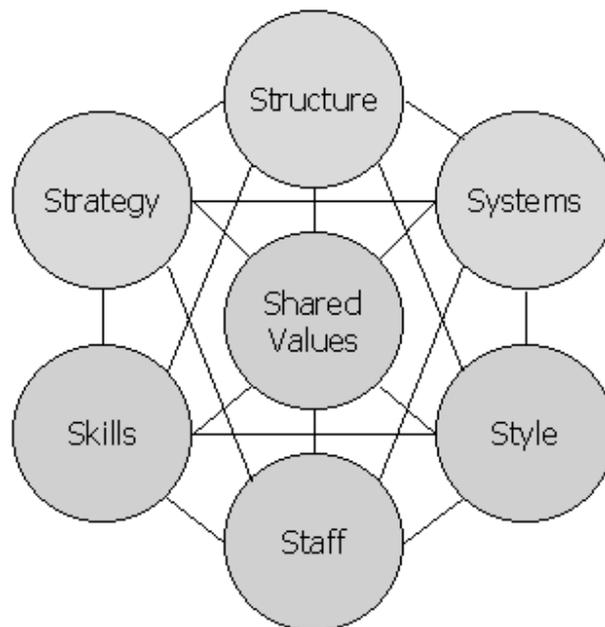
Description of the 7 S's:

(1) 'Shared values'
   The central guiding concepts of an organisation; the fundamental ideas around which an organisation is built.
(2) 'Strategy'
   These are the actions an organisation plans to carry out; the concrete aims which are often laid down in a mission statement.

(3) 'Structure'
   The way the organisation itself is organised, often laid down in an organigram.
(4) 'System'
   The formal and informal procedures that support the strategy and structure.
(5) 'Style'
   The management style; how do managers make decisions, how do they spend their time? What do they focus their attention on?
(6) 'Staff'
   The processes used to develop managers; socialisation processes; ways of introducing young recruits to the organisation.
(7) 'Skills'
   What is the organisation best at?

Steps:

(1) Use the 7-S framework as a basis for discussion of organisational design with key stakeholders in the organisation and relevant experts. Special attention should be paid to the relationships between the seven variables.

(2) Gather data on each of the areas, based on desk research and interviews with key stakeholders throughout the organisation.

(3) Summarise findings in a report for senior staff. This report can then be used as a basis for identifying which boxes relate to which executives and managers, and can be useful in helping them understand the complex performance and change issues they are trying to manage.

(4) Key questions to include are summarised in the table below.

Area	Examples of Key Questions
Strategy	Clarity of vision and goals that guide the organisation. Extent to which they are shared amongst planners. Level of participation in their formulation.
Structure	Organisation of functions. Definition of roles and responsibilities. Mechanisms for participation of key stakeholders – staff, other ministries and civil society.
Systems	Effectiveness of the human, financial and technology systems that support objectives. Nature of incentives within HR and budgeting policies and procedures.
Staff	Effectiveness of staff utilisation. Adequacy of staff resources. Level of staff motivation. Factors that would increase job satisfaction.
Skills	Nature of task requirements and individual skills/knowledge needed for task effectiveness. Adequacy of the task-skills match. Opportunities for training/knowledge sharing.
Style	Leadership style of ministers/senior civil servants and relationship with staff. Extent to which there is a supportive environment for staff. Level of communication.
Shared Values	Nature of the overt and covert rules, values, customs and principles that guide organisational behaviour. Extent to which core professional values are internalised.

(5) One of the key weaknesses of the 7-S framework is its failure to look at the external environment. In practice, there are a number of external issues that need to be considered during the design phase, including for example:

    a. Supportive legislative structures: do new laws need to be introduced to enable agency formation?
    b. Wider policy context: how does the institutional reform being implemented fit with other reforms in progress?
    c. Other aspects of the wider institutional context: for example how do informal institutions in a society impact on the organisation's culture and design?

Time:

Depends on how the exercise is carried out: with discussions in focus groups or through interviews.

Equipment:

A well prepared paper with questions to focus on.

Environment:

A good meeting place.

References:

This tool is based on:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID* and *Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet: http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf

and on:

- http://www.change-management.net/7smodel.htm

For more relevant questions, take a look at this reference. Some background on the 7S tool is given, while many questions to inspire discussion are provided.

Original idea is described in:

- Peters, T., Waterman, R. (1982); *'In Search of Excellence'*, New York, London: Harper & Row.

Examples of use in a development context:

The Mintzberg model

Purpose:

The Mintzberg model can be used to reflect on the internal balance of an organisation. According to Mintzberg an organisation is divided into five basic parts, five different kinds of functions that are carried out within an organisation (the operating core, the strategic apex, middle line management, support staff and technostructure).

Background:

The question behind the Mintzberg model is whether enough attention is devoted within the organisation to the different basic functions compared with external and internal characteristics.

The basic parts can be defined as follows:

(1) The operational core: this is the staff involved in the primary process (the transformation of inputs into outputs).
(2) The strategic apex: staff charged with ensuring that the organisation serves its mission by formulating and controlling relevant strategies.
(3) Middle line management: staff involved in joining the strategic apex to the operational core by channelling information and coordinating activities.
(4) Support staff: staff not directly involved in the primary process, but providing operational support.
(5) Technostructure: staff involved in the maintenance and development of the efficiency and effectiveness of primary and support processes, including the development, standardisation, monitoring and evaluation of activities.

Of course, one person may carry out activities in more than one basic part.
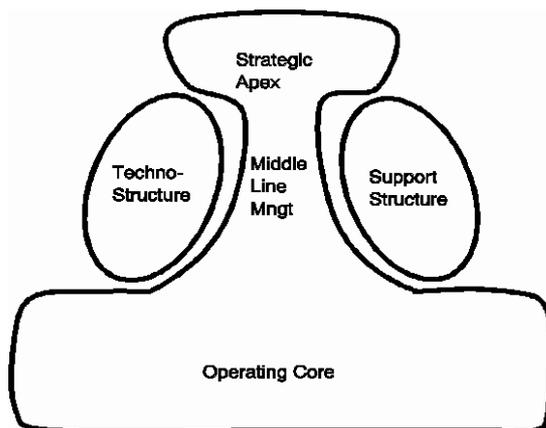
[Source: SNV (2001); Local Governance Processes: a reference guide, available on the Internet: http://www.snvworld.org/localGovernance/]

Steps:

(1) Identify the primary process activities (= all major activities going on in the organisation). For more detailed analysis this can be done with the help of, for example, a process flow chart or a task analysis sheet.

(2) Indicate the number of staff involved in the different parts of the organisation.

(3) Draw a chart: the sizes of the basic parts depend on the number of people involved: the more people working as support staff, the larger that part.

(4) Analyse the chart with the stakeholders: what imbalances are there? Where does the organisation put too much emphasis, and where too little? Are all the activities in the basic parts efficient or is it more efficient to contract them from outside? Do internal characteristics justify imbalances? Do external circumstances justify imbalances?

One problem with the Mintzberg model is that it is not clear what the perfect picture looks like. It differs from situation to situation and depends very much on the development stage of the organisation. Therefore, the picture has to be interpreted and discussed by the stakeholders, who can use it as a way to trigger reflection. The model can be used individually, but it is preferable to use it with a group of stakeholders.

Time:

For group sessions this exercise will take two hours.

Equipment:

Markers and flip charts.

Environment:

A good meeting place.

Resources:

This exercise can be found at::

- SNV Reference Guides - http://www.snvworld.org/LocalGovernance

For more information, see:
- MDF Syllabus (2001); *Course on Institutional Development and Organisational Strengthening (ID/OS)*

The original idea is from:

- Mintzberg, H. (1989); *Mintzberg on Management: inside our strange world of organisations*; The Free Press: New York.

Flow chart

Purpose:

A flow chart is a visual instrument that helps to describe and analyse the various systems (e.g. delivery of services, decision-making, accounting and monitoring) and work procedures within an organisation. A flow chart for example provides an overview of who-does-what in a work process, and in what sequence these activities take place. The advantage of such a visual presentation is that many different relations between the actors and the activities can be shown graphically. The process flow chart helps to design new procedures and analyse bottlenecks in existing procedures. It is very useful in helping participants to understand the interrelation between work activities and to realise how the work of one actor influences the others.

Steps:

(1) Start by establishing the starting and end point of a process. The starting point may be a problem for one of the parties involved. The end point is usually a positive situation, in which the problem has been solved. For example, in the case of the Tribunal Administrativo, the end point of Financial Auditing was defined as 'Legality of the financial performance established'. The starting point could therefore be defined as 'Legality of financial performance not known'.

(2) To establish the sequence you can either work 'forwards' from the starting point, or 'backwards' from the end point, by formulating activities that are done to get from begin to end.

(3) Identify who is responsible for each step.

(4) Identify the major decision points and who actually takes the decision.

(5) Connect the activities with arrows. Visualise the logic from left to right whenever possible.

(6) Identify possible problems/bottlenecks with reference to specific elements in the organisation, loopholes, schedules or the quantity of work.

Tips:

(1) Start with a verb when formulating activities. This provides a more precise description than using the '~ing' form of the verb.

(2) A rule of thumb is: one actor per activity. If more actors are involved, it may be useful to distinguish between activities in order to find out who does what: separate the activity into smaller ones.

(3) When formulating the activities, ensure that they are of the same order of magnitude. If one activity is: 'Wash the car' it is logical that the next activity could be 'Drive the car home' and not: 'Open the door of the car', 'Sit behind the wheel', 'Start the engine' etc. Don't mix up different levels of abstraction.

(4) In a participatory approach there is a danger that participants mix up the present and desired situation.

The Tribunal Administrativo of Mozambique
Charles de Monchy

The Tribunal Administrativo of Mozambique is implementing a long-term institutional capacity building project with the Swedish National Audit Office as implementing organisation. The aim of this cooperative project is to enable the Tribunal Administrativo to fulfil its role as Supreme Audit Institution. The project is focusing on four different areas: the General State Account, Financial Auditing, Contract Auditing and Information Technology. For each of these four areas, specialised teams were created to draw up working procedures and develop the required competencies. Finally these teams had to develop into operational units, characterised by professionalism and increasing outputs. Hence it is essential that management structures and capacities develop accordingly. Therefore in May 2003 a workshop was held to ensure that the procedures and methods introduced for audits were adapted to and supported by a 'rational' structure for work organisation and management. The approach of the workshop was to review the procedures and discuss the distribution of responsibilities directly with the actors involved. The roles of the different actors and functions had to be defined and the relationship between them clarified.

In two sessions of three hours each, the specialised teams were asked to make a description of their work processes and discuss the way in which the work in the audit process is organised. It then became clear who does what in the chain of events of an audit.
For this the flow chart technique was used. A flow chart provides an overview of who-does-what in a work process, and in what sequence these activities take place. The advantage of such a visual presentation is that many different relations between the actors and the activities can be shown graphically. In the case of the Tribunal Administrativo, the groups made a first approximation of the procedures and functions. The final versions were made with the participation of all relevant actors. This is important so that, for example, the activities of support functions are not forgotten.

Time:

One to three hours.

Equipment:

You can use symbols (for example, coloured cards) to depict the various elements of the flow chart. You can also use flip charts and coloured markers.

Environment:

A good meeting place.

Resources:

This description is based on a project report by:

• Monchy, Charles de (2003); *Development of Professional Procedures for the Tribunal Administrativo: report of an LFA teambuilding exercise*; Maputo.

For further information on process flow charts see:

• SNV Reference Guides - http://www.snvworld.org/LocalGovernance

Task analysis sheet

Purpose:

A visualisation tool which helps the facilitator and the stakeholders to identify the tasks carried out within an organisation or sector.

Box 11 - The functional matrix
Charles de Monchy

The 'functional matrix' gives an overview of the role that each professional plays in the work process, or the role each actor has in the overall system. During the Tribunal Administrativo workshop (see flow chart) the functional matrix was used because it enabled explicit agreements to be made about the roles of the professionals, which often remained implicit. In this case the functional matrix was built up as follows:

- The activities undertaken by the professional. If a flow chart has been made, these can be copied directly from it.
- The responsibility in the work process is described by the aspect of the quality of the work that each level is responsible for.
- The mandate can be translated as the delegated authority to manage the professional working environment.
- Every management level needs information from other levels in order to fulfil the responsibility and execute the mandate.
- Finally, it is possible that professionals need special support in other areas to ensure that they can deliver according to expectations.

This tool helped to build a coherent management structure. For example, it allows 'horizontal logic', which requires a balance between responsibility and mandate, to be tested. Each responsibility requires a mandate, and each mandate brings a responsibility along with it. For example, if auditors are to be held responsible for their individual efficiency, they should have some control over the means of work.

Steps:

(1) During interviews the facilitator writes down the tasks that actors say they carry out.

(2) At the end of the interviews, these tasks are summarised in a matrix. The procedure is to list tasks on the x-axis, and the actors who perform these tasks on the y-axis. The tasks carried out by particular actors can then be plotted. The resulting matrix produces information about gaps and overlap among essential tasks various actors say they carry out.

(3) After the matrix has been filled in, it can be used in discussion with the stakeholders about which additional tasks will be needed to make the system function better. It can also be used to sum up information, or to check whether various actors can identify tasks that have been missed.

Equipment:

If it is used for discussions, you need a flip chart to fill out the matrix.

Environment:

A good meeting place.

Resources:

The text for this tool is based on:

- Engel, P.G.H. and M.L. Salomon (1997); *Facilitating Innovation for Development; a RAAKS resource box*; Royal Tropical Institute: Amsterdam.

More examples:

Force field analysis

Purpose:

Force field analysis is a tool which can be used to analyse forces for and against change or in a specific situation. In force field analysis, change is characterised as a state of imbalance between driving forces (e.g. new personnel, changing markets, new technology) and restraining forces (e.g. individuals' fear of failure, organisational inertia). Force field analysis can be used in many forms. Usually a table is drawn up separating driving (on the left side of the table) from restraining forces (on the right side of the table).

Steps:

(1) Define the problem or situation you are going to reflect on and draw a table which represents the situation under discussion vertically and two horizontal columns representing positive and negative features and forces influencing the situation. Be aware that group members must have sufficient information to start an analysis.

(2) List the driving forces which support change and the restraining forces which will act against it, using the column you have drawn. Be specific when listing the forces (what, who, where, when, how many, etc.) and indicate what effect each force is likely to have on achieving your objective.

(3) Analyse the driving and restraining forces and identify which are most important: these are the ones that will have a significant effect on whether or not you can achieve your objective. Circle all the important forces on the list.

(4) Identify and discuss ways in which you can increase and strengthen driving forces and ways in which you can reduce and minimise restraining forces.

(5) Assess the situation: do the driving forces really outweigh the restraining forces? If necessary, rate each force or feature according to its priority, for example on a 1-10 scale, where 1 indicates a very weak influence and 10 a very strong influence.

Time:

Depending on the discussion form: one hour or more.

Equipment:

Flip charts and markers.

Environment:

A good meeting place.

Resources:

This tool is based on:

- Carmen, K. and K. Keith (1994); *Community Consultation Techniques: purposes, processes, pitfalls*; Department of Primary Industries, Queensland.

Original source:

- Lewin, K. (1951); *Field Theory in Social Science*, Harper & Row, New York.

Example:

<table>
<tr><td>

Support for Women's Groups in North Kivu: the IFAD/BSF-JP project
by Dieuwke Klaver, IAC

Context
The IFAD project started in July 1997 and finished in December 2002. Its primary objective was to reduce rural poverty by increasing household incomes, reducing environmental degradation and increasing women's bargaining power. The energy saving technique (ENGY) component proved to be successful. Women were trained in the construction of woodstoves. Using these stoves saves time used for wood collection and cooking. However, during an evaluation workshop it became clear that the project had not identified some important informal rules in the society: building a kitchen when you are not the owner of the housing plot is impossible (as this would suggest giving the women owner rights), while building houses, schools and kitchens is a male task and responsibility. That means that female-headed households would have to contract men and pay them for the construction of a kitchen.

The following force field analysis was used during a multi-stakeholder final evaluation workshop on the IFAD project. It was used during a focus group discussion with representatives of the final beneficiaries and, in another focus group discussion, with the community development workers:

(1) Identify together – either in the focus group discussion or beforehand in a plenary session with all the stakeholders – the poorest of the poor (or in general, the final beneficiaries in terms of class, ethnic group, gender etc.)
(2) Make a table which represents all the project or programme components vertically and two columns for features/elements of both the livelihoods of the intended beneficiaries and the project components that positively or negatively influence their participation, access and use of project services or activities.
(3) Ask the participants to fill in this table, based on their discussions.
(4) If necessary, use a ranking tool to prioritise the most negative features or most positive features for participation.

</td></tr>
</table>

Force field analysis of "Support for Women's Groups in North Kivu: the IFAD/BSF-JP project"

	What features in the livelihoods of the intended beneficiaries and in the project components positively or negatively influence participation in the project activities?	
Project components	*Positive features*	*Negative features*
Community development fund through female grassroots organisations	• The poorest can become a member of the grassroots organisation by paying membership in kind instead of in cash • The poorest contribute by providing labour during community activities	• The poorest cannot pay the membership fees • Because they have an inferiority complex, they will not unite • The individual benefits of this project activity are not immediate. • Some poor people are

		lazy.
Introduction of energy-saving technologies at household level	• By building permanent woodstoves for other households the poorest can earn an income • Use of local materials for woodstove construction *(this is a feature of the project activity or service)*	• They do not have money to invest in a mobile stove • They cannot construct a permanent woodstove because they rent the housing plot, so are not allowed to build a rain-protected kitchen • Female-headed households do not have a male labour force to build a rain-protected kitchen • Distance for finding construction materials is too great *(this is a feature of the project activity or service)*
Introduction of agro-forestry through tree nurseries	• Use of local materials *(this is a feature of the project activity or service)* • The poorest are interested in trees that give quick results (fruit)	• They do not have ownership rights on a piece of land • They do not have the equipment to set up a nursery • The poorest do not participate in the grassroots organisations assisted by the project.

More examples:

Problem and objective trees

<u>Purpose</u>:

A tool which identifies a core problem and its effects/ends and root causes/means. The tools are often used in the preparation phase of a logical framework.

<u>Steps</u>:

(1) Start with a brainstorming session on all major problems within the framework of the situation analysis. Together with the group, choose a starter problem.

(2) Draw a tree and write the starter problem on the trunk. If you want to look at more than one problem, then you will need to draw one tree per problem.

(3) Encourage people to brainstorm on the causes of the starter problem. To ensure that a few people do not dominate, give each person three to five blank cards and ask everyone to write down one idea per card.

(4) To focus on the root causes of the problem, discuss the factors that possibly contribute to it. Write them on the roots of the tree.

(5) Write down each root cause on the roots.

(6) Follow the same procedure to determine the effects/impact of the problem and write the primary effects on the branches of the tree.

(7) Follow this exercise with an 'objectives tree' to identify what actions are needed to tackle the causes of the problems expressed in the problem tree.

<u>Equipment</u>:

Markers and flip charts.

<u>Environment</u>:

A good meeting place.

<u>Resources</u>:

You can find more on problem and objective trees at:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); also available on the Internet: http://www.ifad.org/evaluation/guide/.

And also:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID* and *Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet: http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf

Example:

Figure 2   Problem tree structure
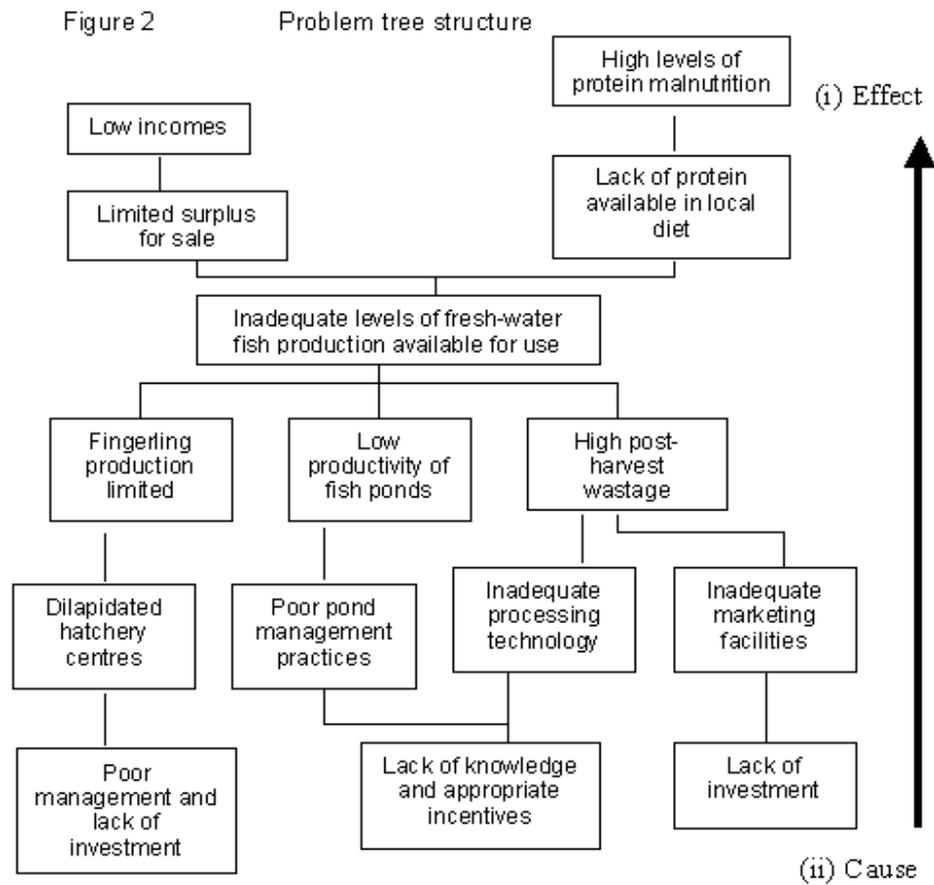
[Source: AusAid; *Managing Projects through the Activity Cycle,* a guide for AusAid staff, contractors and others involved in aid delivery, available on the Internet: http://www.ausaid.gov.au/ausguide/ausguidelines/index.cfm]

More examples:

SWOT analysis: Strengths, Weaknesses, Opportunities and Threats

Purpose:

A SWOT analysis is a tool (a matrix) to identify Strengths, Weaknesses, Opportunities and Threats in relation to an organisation or a particular reform option. It provides a clear basis on which to develop a picture of the changes needed to build on strengths, minimise weaknesses, take advantage of opportunities and deal with threats.

Steps:

A SWOT analysis can be conducted in several ways, e.g. as a brainstorming session in a small group or a workshop setting. Or you can gather initial insights from interviews and relevant documents. If a workshop setting is chosen, you can follow these steps:

(1) Referring to the definitions below, the group defines, discusses and records as many factors as possible for each element. Strengths and weaknesses refer to internal aspects of the group, project site or activity. Opportunities and threats can be looked at in terms of internal or external factors affecting them.

Strengths: aspects of a programme or organisation which are working well.
Weaknesses: aspects of a programme or organisation which are not working well.
Opportunities: possible ways of overcoming weaknesses and building on strengths.
Threats: aspects that constrain or threaten opportunities for change.

(2) Alternatively, different sub-groups, for example during a workshop or in a community, can undertake a SWOT on their own. Comparing the different SWOTs can lead to a good discussion about differences and similarities in experiences and possibilities.

(3) Organise the insights in the format as shown in the example.

(4) Based on this matrix, discussion can take place and strategies can be developed.

Equipment

Markers and flip charts.

Environment**:**

A good meeting place.

Example:

Donor harmonisation in Ghana
Hinke Nauta

The Netherlands Embassy in Ghana made the following SWOT analysis with respect to their strategic objective in Ghana: a structured network of sector dialogues in which the Ministry of Finance is responsible for system management.

Strengths
- Good cooperation with other donors
- Good relationship with WB and IMF
- Good contacts with Ministry of Finance

Weaknesses
- NGOs not interested/not involved

Opportunities
- Promote cooperation among donors
- Strengthen accountability
- Preferential cooperation (lead donors, silent partnerships, notional earmarking etc.)

Threats
- Donors 'ganging up'
- Good governance approach implies slower pace
- Financial reliability
- Political situation (elections forthcoming)

References:

The text of this tool is based upon:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development; guidelines for DFID* and *Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet: http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf

And also on:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development; a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); Also available on the Internet: http://www.ifad.org/evaluation/guide/.

More examples:

Own tools and experiences

Here, you are invited to fill in your own tools and experiences and of course to share them with a wider group.