Intermediate Level
Handbook

handbook

SEAGA
Socio-Economic and Gender Analysis Programme

Food and Agriculture Organization
of the United Nations

1. INTRODUCTION

1.1. Handbook purpose

The purpose of the Intermediate Handbook is to support participatory development for those who play an intermediary role between government policy makers and individuals and households at the community level.

Intermediaries can be governmental or United Nations development institutions, organisations, or non-governmental organisations (NGOs), which contain groups of people, bound by some common purpose.

In some instances those who play an intermediary role may be part of a centralised government structure, but in other instances, they are part of a decentralised governmental structure, NGOs or belong to community-based organisation. Decentralisation of government responsibilities and resources is taking place in many parts of the world. The changing roles of various organisations and their ability to adapt to decentralisation are key to decentralisation work. Intermediaries are often responsible for linking communities to the policy-making process. They are therefore in a position to help develop processes that involve local people in making decisions about the kind of change they want in their communities and the allocation of resources to achieve that change.

In essence, the <u>SEAGA Intermediate Handbook</u> is written for development planners in all types of public and private sector groups, from government ministries to community groups. It is also designed to assist small and medium size organisations such as community based groups. Some small government offices or ministries may also find the ideas useful.

The analysis concepts and tools included in the Handbook focus on planning and implementing participatory change that takes into account differences in gender roles and relationships and other socio-economic characteristics of various stakeholder groups. The Handbook encourages practical application of the SEAGA concepts and tools.

This Handbook includes concepts, guidelines, tools, and examples from organisational planning and process models that are widely used around the world. Other tools have been developed specifically for the SEAGA Handbook.

The concepts, guidelines and tools in this Handbook provide a means of examining and improving processes within organisations so that final goals or outcomes are more representative of the needs of various stakeholder groups and are more efficiently and effectively realised. In other words, the Handbook is designed to help an organisation systematically assess its performance looking at ways to continue improve its programmes and include women and others who have been left out in the past.

In some instances the SEAGA Intermediate Handbook tools are a set of guidelines to structure thinking and analysis of a situation. In others, the tools are designed to help examine a process. Therefore, use of these tools can help groups plan and make decisions that are inclusive of gender and other socio-economic groups.

The tools in this Handbook are designed to build capacity to:

include socio-economic and gender considerations in planning, implementation and monitoring and evaluation in intermediaries,

bolster internal participatory processes within intermediaries, including within organisational processes, and

build more participatory methods for working with development partners and stakeholder groups.

1.2. Users and uses of this Handbook

1.2.1. Users

The Intermediate Handbook is designed for development planners located in development intermediary institutions. The materials are primarily structured for use by a planning, monitoring, and evaluation constituency.

Whenever possible, complementary tools or sections within the Handbook are cross-referenced and linked to each other.

1.2.2. Uses

Some of the sections in this Handbook are to stimulate thinking about a situation and focus on asking questions rather than providing answers. Some sections provide guidelines for process and others are specific tools for analysis.

The materials that are presented in the following sections of this Handbook are designed to help groups build capacity in three areas:

internal structures and processes of their organization or institution-thinking about what works well and what might work better.

working and planning more effectively with partners in development at all levels.

monitoring, evaluation and reporting to provide feedback about development work.

1.2.3. How to use the 'tools'

Users are strongly encouraged to make their own adaptations because every situation is different and creativity makes these ideas much more meaningful. When tools have more than one step, each step is outlined on a separate page to make them easy to copy and hand out sequentially in a planning or training situation. The first page of each tool provides the purpose of the tool, information about the process for using the tool and a list of materials needed. Remember that the tools are a starting point. Use them as it makes sense to you. Adapt, revise, and come up with new ways of using tools of your own.

2. IDEAS BEHIND THE SEAGA APPROACH

2.1. Introduction to the SEAGA approach

SEAGA stands for Socio-economic and Gender Analysis and is an approach to development that draw ideas and tools from a variety of development paradigms. The purpose is to make them pertinent to the work of development practitioners at all levels. The SEAGA Programme is organised through the FAO in Rome.
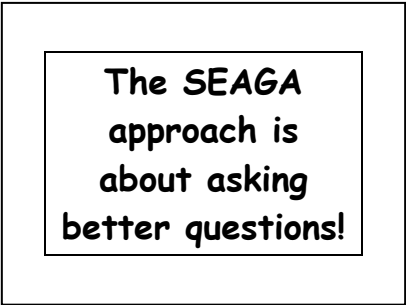
A socio-economic and gender analysis helps us understand how development policies and programmes are likely to affect the economic activities and socio-cultural relationships among different groups of people in local communities. Gender is specifically given the attention that it merits in socio-economic and cultural analyses because of the obvious fact that power imbalances between women and men exist and permeates through all levels of social strata in many parts of the world.

The approach builds on the women in development (WID) and gender analysis perspectives by focusing on gender roles, relationships, and responsibilities in socio-economic systems at all levels, from macro to field. It also attempts to link macro policy to intermediary organisations to household level decision-making.

'Systems theory' thinking, which recognises that in order to survive, socio-cultural and gender systems must constantly evolve and renew themselves in order to function more effectively in their environment, provides the basic structure for the concepts in the SEAGA approach. Socio-economic factors (economic, socio-cultural, institutional, political, environmental and demographic), and the linkages among them, are highlighted as they affect change at the field, intermediate and macro levels of society.

> **The SEAGA approach is about asking better questions!**

The SEAGA approach recognises that development is complicated. There are no simple answers. Therefore SEAGA is about asking better questions, not about giving ready-made answers.

SEAGA provides a collection of tools to help ask better questions. Such questions should improve a group's capacity to support efficient, equitable, and sustainable development. SEAGA is designed to improve our understanding of how men and women of all ages seek to meet basic survival needs and improve the quality of life for themselves and their families. Several key terms are used in the SEAGA materials. They are defined below.

Definitions in the SEAGA approach

Development—planned socio-cultural and economic change for the improvement of quality of living. For those working in 'development' the goal is to encourage change that is sustainable, equal, and efficient.

Sustainable—development that supports the security and regeneration of economic, natural, human, and socio-cultural resources.

Equality—development in which there are equal opportunities for women and men to participate and benefit.

Efficiency— achieving development objectives without wasting time and resources.

The above definitions are based on the following assumptions:

- Equality and efficiency are enhanced when men and women in all groups in a society have access to productive and reproductive resources and have opportunities to use those resources.

- Development based on an awareness of gender issues can result in policies, programmes, and projects that more equitably benefit all members of a community.

- Sustainable development requires the rational management of all assets: natural, human, financial, and physical. It involves the satisfaction of human needs over time, from generation to generation.

2.2. The guiding principles of the SEAGA approach

The SEAGA approach is based on three guiding principles. You will see these repeated and referred to throughout the Intermediate Handbook.

The guiding principles of the SEAGA approach

- Gender roles and relations are of key importance
- Disadvantaged people are a priority in development initiatives
- Participation of all stakeholders is essential for sustainable development

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2.2.1 Gender roles and relations

Gender roles and relations are key because of the overwhelming evidence that to be successful, development must address the needs and priorities of both women and men. We need to understand women' and men's' roles in different types of rural production units. Farmers, informal sector entrepreneurs, and wage labourers make their living in ways that are influenced by socio-economic relationships. As well as focusing on the different roles of women and men (gender roles), we must also examine the terms or relations under which men and women co-operate with each other and through institutions. All planning at all levels ought to be informed by some understanding of the broad set of relations through which production is organised and needs are met.

However, extensive research and experience show that across all socio-economic categories, women are disadvantaged vis-à-vis men. Apart from alleviating gender inequality, because women constitute half of the world population, development efforts that marginalize women are destined to fail. As a 1995 United Nations Report of the Secretary General stresses, "Research has shown that investing in women promotes growth and efficiency, reduces poverty, helps future generations and promotes development."[1]

2.2.2 Priority to the disadvantaged

The disadvantaged are a priority because the elimination of poverty is essential for achieving sustainable development and is the mandate of many development organisations. While women at any level are generally disadvantaged vis-à-vis men, other group attributes must be taken into account when identifying disadvantaged groups. These include age, education, race, ethnicity, income level or place of residence. Questions must be asked in order to avoid assumptions about socio-economic and gender issues in a given situation.

Poverty is a factor that strongly influences discrimination against disadvantaged groups resulting in their exclusion from the development process. These disadvantaged groups are amongst those most likely to lack resources to satisfy their basic needs such as food, water, health services, and housing.

2.2.3. Participatory approaches

Participation is essential because local people know most about their own situation and what is needed to improve their quality of life. Local capacity to analyse and plan should be promoted. Local involvement on the part of community members, male and female, enhances self-reliance and sustainability of development efforts.

Facilitating community participation can strengthen the capabilities of institutions and community-based groups to form partnerships. A basic assumption is that "working with" is more useful than "doing for."

Rather than using a traditional "top-down" planning perspective, the SEAGA approach considers disadvantaged people as participants or stakeholders in the development process. Experience shows that an understanding and appreciation of the "stake" of all other players at all levels are necessary if all development players are to work collaboratively towards development goals. Community groups, private and public organisations and institutions, international institutions and donor groups are all stakeholders in development at some point in time. At all levels, stakeholders have resources to invest in development. They will seek to invest those resources in a way that minimises risk and maximises benefits regardless of a policy, programme, or project.

Stakeholder analysis[2] and participation are therefore key elements of the SEAGA approach. Stakeholders' perceptions influence programme or project outcomes.

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[2] Please see page 12 for a definition of this approach

Development planning using the SEAGA approach implies a participatory, iterative process for planning in development.

2.3. Conducting a socio-economic and gender analysis

The process of conducting a socio-economic and gender analysis at the intermediate level includes: (1) examining the 'context' for development (2) identifying stakeholders and examining their interests and (3) examining resources and constraints of different stakeholders, including livelihoods. This process focuses on gender roles and relationships and the importance of incorporating gender issues in planning. Information from this process of analyses is used to inform and shape policy, programmes, and projects.

Process of conducting SEAGA

Examining the 'context' for development

Identifying stakeholders and examining their interests

Examining resources and constraints of different stakeholders

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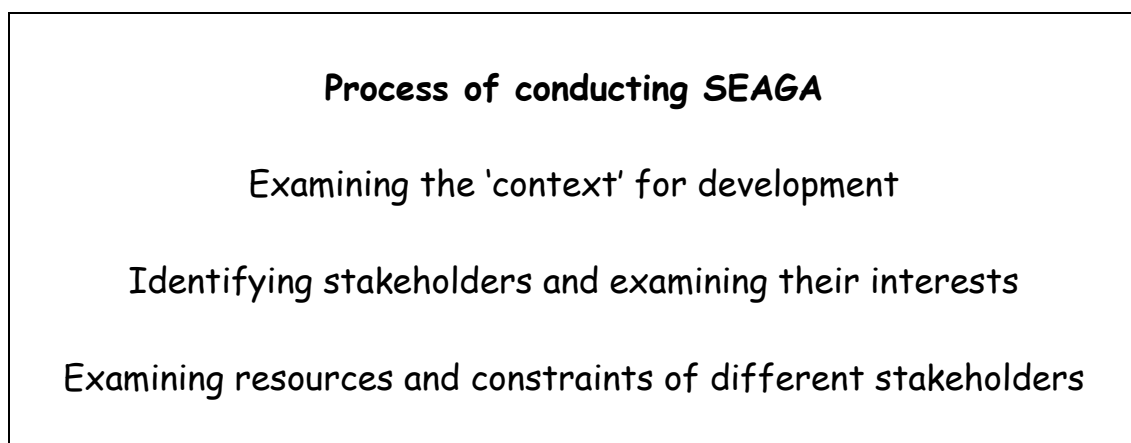
2.4 The development context

The Development Context is the overall environment in which development occurs, including the macro, intermediate and micro levels. Socio-economic and gender analysis takes a holistic perspective, dealing with the overall context for development as a system, but dividing the context for development into three different levels of systems. Such a perspective combines gender-sensitive analysis at the household and community (field) level, socio-economic and gender considerations at the institutional (intermediate) level, and socio-economic and gender issues at the policy level, including legal issues at the national and international (macro) level. The different levels of analysis and the key socio-economic factors that are analysed are illustrated in the lens below.

2.4.1. Socio-economic factors

Each of the six triangles shown inside the SEAGA lens contains the name of a socio-economic factor: socio-cultural; environmental; institutional; political; economic; and demographic factors that cut across the macro, intermediate and field levels of analysis. Each of these factors <u>affects</u> development issues at each level (macro, intermediate & field). None of these levels can work in isolation from the others and the socio-economic factors are also linked to each other. Just as an individual or a household does not make decisions about health, food, production, and education without consciously or subconsciously linking the affects of each decision to the other, development planning cannot ignore the connection among socio-cultural, economic, environmental, and other factors.
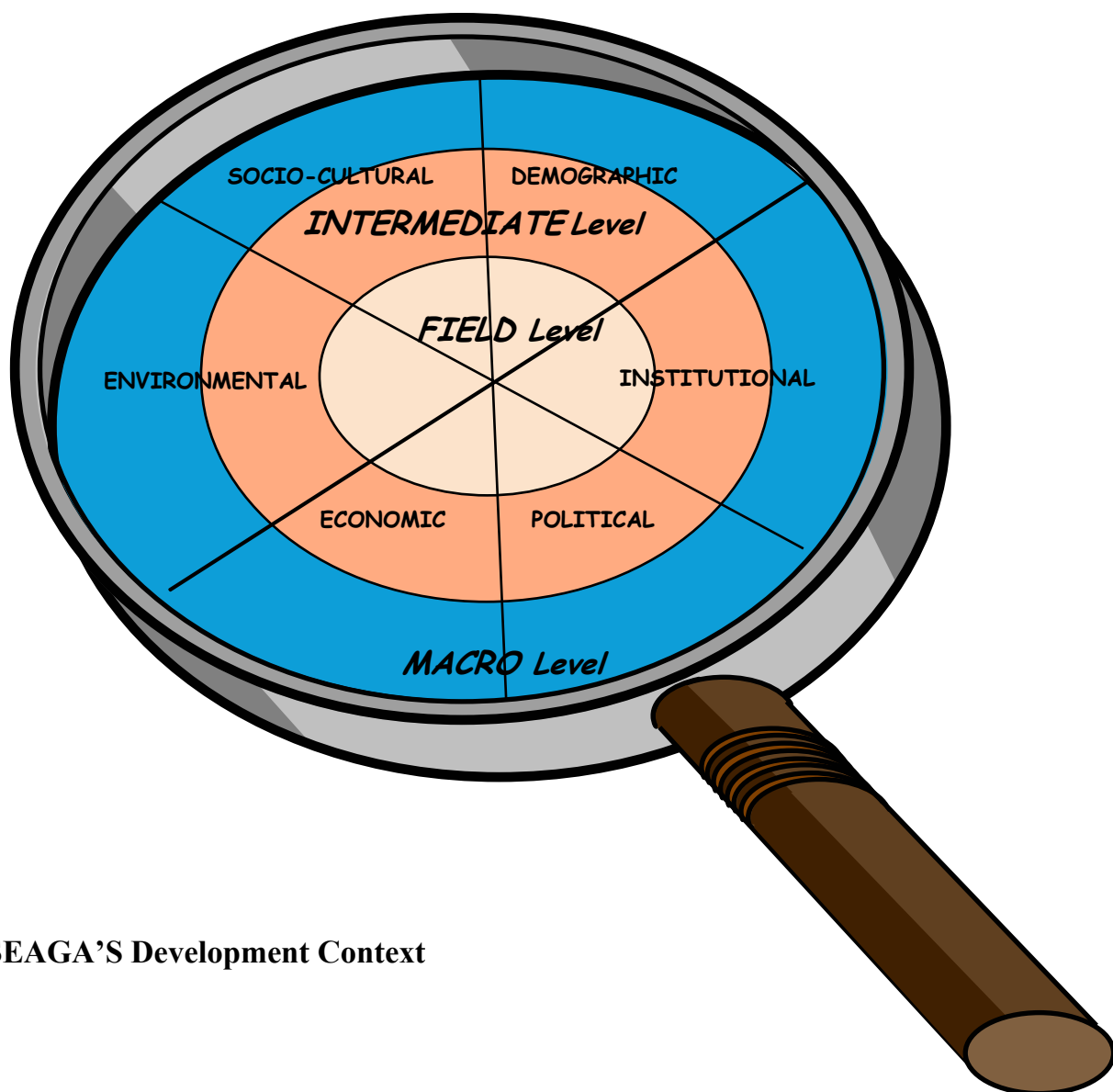
SEAGA'S Development Context

Constraints and opportunities for gender equality in the development process exist at various levels. In order to identify opportunities and prioritise steps toward change, we must obtain information about each level.

2.4.2. The importance of linkages

Another rich area for exploration is the linkages (or lack of them) between the three levels of the overall context for development. Changes in one level of system may cause or precipitate change in other levels. The overall process of change may be resisted because of certain factors.

For example, if the legal code (macro level) in a country prohibits women from inheriting property, changes in attitudes and behaviour at the community or household level (micro level) are not sufficient for daughters to begin to inherit. Conversely, in both Nepal and Uganda the legal code was changed recently to allow female children to inherit their father's property and for widows to bequeath property to their daughters. Traditional practices in some areas, however, keep people from adhering to these laws. For example, tribal councils in Uganda are often unwilling to support women in claiming their inheritances. Similarly, traditional practices continue to be the norm in many areas of Nepal.

The above example illustrates that changes are required at all levels. People's beliefs and attitudes may change because of changes in the legal code. At the same time, legal codes change partly because of changes in people's beliefs and attitudes, as well as changes in overall society and economic factors. The process is a dynamic one. In using SEAGA analysis, it is important to consider the macro, intermediate, and field levels — and to think about how the linkages between them influence a given situation.

An understanding of the socio-cultural and economic systems at each level (macro, intermediate and field) is necessary in order to:
- Clarify components of an equality problem related to gender, age, ethnicity, race or other socio-culturally-defined attributes
- Identify assumptions about the problem
- Test those assumptions against existing information
- Formulate planning objectives, if change is required
- Specify the change needed to achieve the objective(s)
- Examine opportunities for implementing change
- Identify specific constraints to change
- Identify resources necessary for change
- Outline specific steps for action, and assign responsibility.

SEAGA analysis at each level poses questions about each of the six factors and how they are linked to each other and to other levels. In some situations, socio-cultural and demographic issues may be the most critical to understanding a situation, e.g. with respect to HIV/Aids or migration issues. In others, the most critical factors may be economic and environmental e.g. land degradation, industrialisation, and pollution. The idea is that in a particular situation, we consider what the key factors are or what issues are important, and at which level of the overall context they are located.

A good way to analyse the overall development context is to have small groups of actors to identify a particular issue facing them, such as livestock disease, and then discuss the key socio-cultural, environmental, institutional, political, economic and demographic issues at each level.
 The first brainstorming questions are very simple:

What are people (men and women) happy about?
What are people (men and women) angry about?
What are people fearful about?
What are people sad about?
What are people hopeful about?

Answers to these questions can then be categorised into clusters that
Lead to discussion of the following

What are the field level issues?

What are the intermediate level issues?

What are the macro level issues?

How are they linked?

In some instances, beneficiary groups (see below) may not have the necessary power or internal structures and mechanisms to carry out planning and change related to a particular issue. If development institutions are to facilitate holistic planning and strengthen participatory approaches, they must have the necessary skills. Therefore, capacity building for staff in such institutions may be a necessary first element of some development programmes. Likewise, if community-based groups are to play an intermediary role, they also need planning and partnership building capability. Changes such as decentralisation and more emphasis on participatory methods have little chance of success if the groups involved do not have the ability to interact with their constituency.

During times of decreased government spending and economies, allocating resources for capacity building may be difficult. One of the consequences of a more participatory approach is a willingness to recognise that the returns from capacity building may be evident only in the long term.

The questions in the box below provide a starting point for looking at structures, mechanisms and institutions that function within or are linked to communities and assess their capacities.

SEAGA Intermediate level questions

- How do institutional structures and mechanisms such as policies and regulations control the costs and benefits of development?
- Are there gender-linked differences that effect the distribution of these costs and benefits?
- Which groups work most closely with community members?
- What are their ties to other levels, such as government and/or private sector groups?
- What are immediate needs for capacity building in order to facilitate a participatory approach to development?
- How does the community infrastructure support opportunities for economic development in a community?
- Are there gender-specific aspects related to infrastructure?

Several of the tools presented in this Handbook provide additional suggestions for analysing components of the overall context for development.

2.5. Stakeholder analysis

Stakeholders are all those who directly or indirectly stand to gain or lose given a particular development activity. Stakeholders can be individuals or groups of people.

Using a stakeholder approach to looking at your work requires an understanding and appreciation of the 'stake' of all players in achieving the objectives of the activity.

Stakeholder analysis begins with the question, "Who are the stakeholders?" Understanding who the stakeholders are means understanding who has resources and/or interests at stake in decisions about change.

2.5.1. Stakeholders at the field level

Specific attention to stakeholders helps identify groups like subsistence farmers, poorest of the poor, commercial farmers, landholders, landowners, and rural households. In each of these groups, gender-linked differences are striking. Female-headed households are often most likely to be the poorest households. Landowners are most likely to be males. There are often gender-linked constraints influencing the interests of commercial farmers.

Sometimes other groupings of stakeholders are more critical, such as military groups or those of a particular religious persuasion, or moneylender groups. A complete analysis of stakeholders also recognises the "stake" of governments, institutions, private sector groups, and donors. Recognising and involving stakeholders at all levels of socio-economic systems provides another opportunity to identify micro/intermediate/macro linkages.
Participatory exercises use a variety of tools to get information, to visualise, analyse and interpret data.

Participatory tools to identify stakeholders at field level:

Brainstorming
Ranking
Scoring
Matrices
Diagrams
Maps
Calendars
Analogies and Metaphors
Graphs and Charts
Direct observation and clarifying observations
Mini surveys
Semi structured Interviews

What follows is a short description of a few tools

Maps
Maps present a holistic picture of an area or organisation. They can be used to look at participation and distribution of resources and services. Maps can be used together with timelines, which show cyclical changes and sequences of progressive change. These can be classified into positive or negative stakeholders at various periods of the year.
Social maps, for women and men will show the gendered aspect of various stakeholders during different seasons of the year

Social maps are used to generate basic information necessary to conduct social analysis and measure the level of participation of various stakeholders. At intermediate level a simple flow chart could generate the same information. A social map can be used be used to triangulate and confirm information gathered through a brainstorm. Sometimes (more often than not) it is important to have women and men in separate groups to show what is important for women's and men's perceptions of resources and level of stakeholders' interest.

An example of Resource and Social map:

RESOURCE MAP FOR YAZINI UGE

KEY

Houses thatched c Grass

Dimba Fields
Grave-yard
small-roads

Cassava fields
Bore-hole

Natural vegetation

Blue-gum plantations

Gardens
bambo Land

River

Mosque

Banana plants

An example of a Timeline:

Organisational Time line					
1998	1999	2000	2001	2002	2003
Formation of organization		Differences between professional staff and volunteers	Professionalisation of the organisation		
Gained legal status	Small amounts of funding for a donor		Recruitment of substantive director		
Volunteers started work in villages	Hired professional staff	Organizational development assessment			
		Project work in the villages continues	Strategic planning		
			Gender policy development		

Weighting

Weighting is a tool that helps show the distribution of significance, importance, participation or responsibility among stakeholders. Participants are given a certain number of beans or maize grains or small stones that they can distribute among different elements. Weighting can also be used to prioritise elements.

Interviews and direct observation are additional methods for use to triangulate and clarify data given through other tools when identifying stakeholders (e.g. secondary data from documents and reports from relevant work).

2.5.2. Stakeholders at the macro level

In terms of stakeholders at the macro level, one of the strategic objectives emerging from the Beijing Platform for Action is the strengthening of governmental bodies and other national machinery's capacity to promote the advancement of women. Such changes at the national level should lead to changes in planning practices. However, there is competition within a government for scarce resources and if a Women's Ministry is created or strengthened, other ministries have a stake in that process. Working relationships among ministries will have to be strengthened through integrated planning to share scarce resources. For practical purposes to examine and relate to the macro level, precision assessment and negotiation skills are required.

2.5.3. Gender differences and stakeholders

As stakeholder groups are identified, it is important to think about possible gender differences within each group. For example, smallholder farmers might be identified as one group of stakeholders in a particular situation. In an area where up to 90 percent of farms are being managed by women, some of the interests and concerns of

those stakeholders might be related to the fact that they are women as much as that they are smallholder agriculturists. In a situation where the percentages of smallholder farmers were more equally divided between men and women, some of their interests and concerns might be similar, but other stakes might be different because of gender roles.

Yet another possibility would be where all women in a community would have certain common stakes, all smallholder agriculturists would have certain common stakes and members of a certain ethnic group would have certain common stakes. A female with a small farm and who belongs to that ethnic group has all three types of concerns at stake. In different situations, different stakeholder group attributes may be the most important. Groups of farmers who own land, whether male or female, go through a very different decision making process about what to invest in changing production practices than do farmers who have insecure land access.

It is often argued that the gender implications of macro policy result in a bias in favour of men in the delivery of services such as health, education, and training[3]. Taking education as an example, an extensive review of research on girls' education[4] reveals gender differences in classroom experience, curriculum materials and community attitudes about education. Macro level decision-making sets educational policy, which is operationalised at the intermediate level. Assumptions about gender must be identified at all levels as part of a process to improve girls' educational opportunities.

2.5.4. Involving stakeholders in planning

Once stakeholder groups are identified, the SEAGA approach focuses on how to involve them in a participatory process of needs identification and planning. People's participation is a methodology and a strategic goal of development; to improve people's understanding of the root causes of their problems. The goal is to improve standards of living and give constituents themselves a measure of control over the standards themselves.

Participation means much more than public information or informing people about decisions. It means two-way communication between interested parties. Stakeholder participation explicitly seeks to clarify and identify the interests at stake in decisions.

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[3] van Staveren, Irene, in cooperation with Diane Elson. Reader: Gender and macro development. Utrecht, University of Manchester, 1995
[4] O'Gara, Chloe and Nancy Kendall. "Beyond Enrollment: A handbook for improving girls' experiences in primary classrooms." ABEL2 Project funded by the United States Agency for International Development, 1996.

Participation starts when members of a community engage in the identification and description of problems. Their experience and knowledge are critical to resolving those problems. Participation is an ongoing process of mobilisation and organisation that can reshape the community itself. The process should continue through monitoring and evaluation phases of change.

While policies and institutions are meant to respond to everyone's needs, they may favour certain groups over others by restricting opportunities on the basis of socio-cultural attributes such as sex and age. The SEAGA approach applied at each level helps identify such restrictions thereby indicating modifications in political and institutional structures to respond to the needs of all stakeholder groups.

Involvement in planning builds people's stake in the process and increases their willingness to commit time and other resources to ensure success. A participatory decision-making process also develops capacity to approach issues from a problem-solving perspective and can expand alternatives in all areas of a person's life.

2.5.5. Example of stakeholder involvement in planning

An example of how stakeholder involvement makes a difference is illustrated by a project is the peri-urban areas of Kasserine, Tunisia

Stakeholders in a solid waste project in Kasserine, Tunisia

The peri-urban areas of Kasserine are primarily populated by recent migrants from rural areas. These people have brought with them a life-style from their rural homes.

One of the problems the municipal government identified was the fact that solid waste from food preparation was thrown out into the area directly surrounding homes. This practice attracted large numbers of disease-carrying flies and rodents. A programme was planned to send carts through the neighbourhoods to pick up the waste and haul it away. Before this started, however, a community-based group held several focus group meetings inviting groups of women.

Group meetings revealed that most of the households in the area raise small ruminants to supplement family nutrition and income. Food waste provides an important food supply for those animals. Faeces left by the animals that run free and eat the waste in the household area, were also seen as a big part of the problem. Animal waste, however, is an important source of fertiliser for household gardens.

When the women in the Tunisian community were asked how best to solve the problem, they requested assistance in building corrals in which animals could be kept and managed by a co-operative that they were anxious to form.

Building the corrals supported efforts of the co-operative. Community members now collect food waste on a regular basis to feed the animals and collect fertiliser from the corrals for garden use and for sale. Increased garden production allows women to earn income from the sale of garden vegetables and the municipality saves on waste collection costs.

Questions to ask of this case study in discussion or training
Who are the Stakeholders in this case study?
How were their concerns addressed?

2.6 Resource and constraints analysis

Understanding how individuals and groups allocate and use resources to manage risks, minimise constraints and maximise opportunities is a third component of socio-economic and gender analysis. Resource analysis asks questions about who has access to and control over resources such as land, labour, and capital. Constraints analysis asks questions which pinpoint obstacles to meeting needs and achieving goals. Constraints may be economic or socio-cultural in nature. They may also vary based on socio-cultural roles including rural-urban differences, age group, economic status, or gender.

2.6.1. Resources

Resources are tangible and intangible inputs used to produce goods and services. They can include assets. Access to and control over resources at the field level is one important focus, but resources must also be assessed at other levels. If planning is based on the premise that all stakeholders (and stakeholders include intermediaries and policy makers) will eventually invest, and risk, some of their resources in implementing change, it follows that all stakeholders have a right to expect some benefit from that change.

Policy has in the past been assumed to be 'gender-neutral' with an equal effect on both women and men. Moreover, resource analysis at the field level has tended to neglect economic and political forces that shape access. Analysis therefore fails to include the national level control over resources, which often works in the interests of the elite and against the interests of the poor and dispossessed.

The SEAGA approach takes into consideration access to, and control over resources, at all levels. The control of resources at one level may either create constraints at another or support desired change.

Some resources are controlled primarily at one level of a system e.g. budget allocations for extension workers' salaries. Other resources involve certain types of control at each, or most, levels, e.g. natural resource stocks such as water and wildlife, social resources such as networks. In both cases, the SEAGA approach structures questions about linkages between levels of systems and about competing demands for a resource.

Some generalisations can be made about the type of resources controlled by various stakeholder groups. For example, at the macro or national level, the state influences and directly controls financial and productive resources and services. Most national governments control at a minimum some key natural resources such as land, forests,

and coastal waters. They also control some basic services such as defence, police, and education.

Private and public institutions at the intermediate level also control access to productive and reproductive resources, through the delivery of services and regulatory powers accorded them by the state. Examples include supplies of credit, production equipment, and inputs for crops or livestock.

At the field level, communities have access to, and some control over infrastructure resources and may, through community decision-making processes, control access to the benefits from those resources. In addition, some service systems are controlled at the community level. In some instances, community-managed land or common property may be a community level resource.

2.6.2. Indigenous knowledge as a community resource

Indigenous or local knowledge systems are community resources. Local knowledge systems must be understood in terms of how they influence culture as well as local economies. Men and women often have very different skills and knowledge, which when combined creates a knowledge system specific to local conditions, needs, and priorities. Their socio-cultural roles and relationships are part of this knowledge system and its use, preservation and adaptation.

There are basically four aspects to gender differences in knowledge systems.[5]
1. Women and men have knowledge about different things.
2. Men and women have different knowledge about the same things.
3. Women and men may organise their knowledge in different ways.
4. Men and women may receive and transmit their knowledge by different means.

Local knowledge systems and gender considerations have too often been left out of the development planning process, particularly at the policy level. Effective policy and planning reforms are often constrained by this lack of understanding. Agriculture extensionists, agriculture officers, and other rural development agents tend to seek solutions through modern technologies, techniques, and knowledge. Therefore even when policy pays attention to indigenous knowledge systems, programmes and projects may fail because of intermediaries such as extensionists and officers.

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[5] Huisinga Norem, Rosalie, Rhonda Yoder and Yolanda Martin. "Indigenous Agricultural Knowledge and Gender Issues in Third World Agricultural Development," in Warren, et al. Indigenous Knowledge Systems: Implications for Agricultural and International Development. Studies in Technology and Social Change Series, No. 11, Iowa State University, 1993.

2.6.3. Constraints

Constraints are factors or forces that restrain or prevent change. Just as in the case of resources, constraints influence the situation of all stakeholders and should be considered at the macro, intermediate and micro levels. Constraints may be categorised as follows[6]:

- **economic conditions, such as the poverty level, income distribution, inflation rate, international trade relations, structural adjustment programmes and infrastructure development**

- **demographic conditions, such as the fertility rate, labor supply, number of new entrants into the labor force every year, internal and international migration patterns**

- **environmental conditions such as drought, pollution, depletion of non renewable natural resources**

- **prevalent norms and values, possible existence of various "subcultures", i.e. groups with beliefs which may differ from the main ideology**

- **political events at the international, national and local levels**

- **legislation and regulations defined by national development policies**

- **training and educational levels of the population and education and training facilities, and**

- **institutional arrangements such as the nature and extent of government institutions**

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[6] Adapted from Gender Issues in the World of Work, Gender Training Package, International Labour Office, Turin, Italy, 1994.

An example of a simple constraints analysis is shown in the following table. The table identifies common constraints to women's control over land as a resource.

LEVEL OF SYSTEM	SOCIO-CULTURAL	ECONOMIC AND POLITICAL
MACRO LEVEL	Modern land registration has undermined women's usufructuary rights	Women are limited to status of "legal minors", hence cannot independently own land
INTERMEDIATE LEVEL	Agri programmes bypass women farmers	Financial services bypass women
FIELD LEVEL	Women's access to community-controlled land is limited to certain uses, such as wood gathering for fuel Male household heads have control over land use Women may not pass land to their daughters through inheritance	Women have no say in decisions about the distribution of or access to land Access to land may be removed if cash crop production increases Restricted income opportunities make land purchase less of an option for women than for men

The basic questions for resource and constraints analysis are straightforward. Once stakeholders at all levels are identified in a particular circumstance, they can answer these questions. Just as gender concerns are important in the initial stakeholder identification, they are critical in questions about resources and constraints. Answers to the questions below tell us what a stakeholder group has at stake if a certain type of change is implemented.

What resources do stakeholders control? How?

Who has access to resources? How?

Will planned change affect the use of those resources? How?

What are the potential costs (financial and otherwise) to each stakeholder group?

What are the potential benefits to each stakeholder group disaggregated by gender?

What constraints to change exist for women and men at the macro, intermediate, and field levels?

What can be done to minimize those constraints?

2.6.4. Constraints to stakeholder participation

Resources and constraints should be analysed with the stakeholder groups using a participatory process. There are, however, constraints to the participatory process itself. The poor do not participate in development on an equal basis with the rich, nor do women participate on an equal basis with men. This is also true for dominated ethnic groups and for others whose exclusion in society is reproduced in development programmes or projects.

Therefore, when assessing constraints that stakeholders might face, the first question to ask is what constraints to participation exist. Examples are:

The reluctance in the mindsets of those that are powerful to share resouces is an important and difficult constraint to consider during assessment. The power differences between the roles of men and women,the haves and have nots need to be on the fore front at every level of stakeholder analysis.

Deeply ingrained feelings of distrust of outsiders such as government staff or project personnel, who in the past failed in their service delivery and did not uphold promises. The political conditions and power structures of the country and the community. These may vary from decentralized to highly centralized planned economies. Responses to a participatory approach may range from outright hostility to strong support.

Legislative obstacles that limit the rights of women and other socio-cultural groups to participate in political activities.

Administrative impediments that occur when highly centralized bureaucracies control decision-making, resource allocation and information. Participation can be impeded by complex procedures.

Conflicting 'stakes' among socio-cultural groups in a community can disrupt participation if not approached with care and sensitivity.

The limitations imposed by daily life, which may include the isolation and geographic location of the rural poor, low standards of living and heavy workloads, especially for women. Weak health conditions, low levels of education and a general lack of experience with organized activities.

This list of constraints to participation illustrates the importance of thinking about the different levels of systems. Some constraints originate at the macro level, others through intermediaries, and others still because of field level realities. Nevertheless, they all influence the lives of disadvantaged, women and men, who are striving to meet their needs.

2.7 Human needs

People have a wide range of needs. Certain needs are universal. The most basic needs have to do with survival and security. Once those are met, at least at a minimal level, it is possible for men and women to think about their other needs such as identity, autonomy, and self-actualisation. The ways of satisfying these needs are innumerable and vary from culture to culture and at different times in the same culture. It is important to distinguish between needs and satisfiers. The way women and men satisfy the fundamental human needs is in fact the basis of their culture. It can be argued that most cultures have given women the status of second-class members. Development being a process in which a community of people strives to make it possible for all its members to satisfy their fundamental human needs and enhance the quality of life has to deal with culture. Cultural change has to occur as a community

finds new ways of satisfying its needs. Thierry Verhelst defines culture as "the sum total of the original solutions that a group of human beings invent to adapt to their natural and social environment. Therefore culture includes every aspect of life's know-how, technical knowledge, customs of food and dress, religion, mentality, values, language, symbols, socio-political and economic behaviour, indigenous methods of taking decisions and exercising power, methods of production and economic relations."

More and more, the best programs are recognising that it is not enough to introduce development models that impose western values and practices. Participatory methods encourage development to draw on the values and energies within people's own culture as they seek to rebuilt communities and societies in which human needs are met without discriminating against women and other marginalised groups.

Wheel of Human needs[7]

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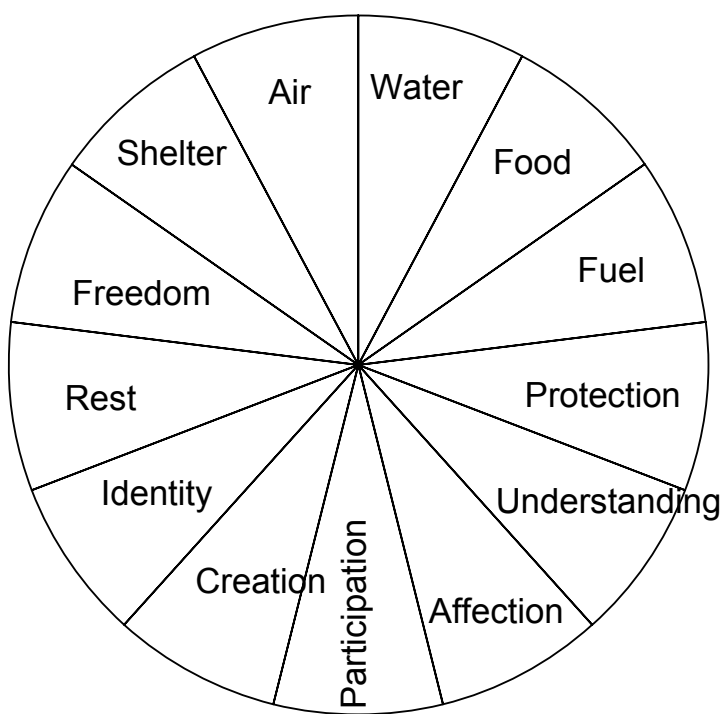
[7] Modified from Training for Transformation Book I Anne Hope and Sally Timmel Gweru: Mambo Press, 1996.

2.7.1 Practical and strategic needs

Moser[8] and others have discussed women's needs in terms of practical gender needs and strategic gender needs. Practical needs are immediate and material and relate to what people need to perform their current roles more easily. Some examples of actions that address women's practical needs include technologies that reduce their workload (fuel-efficient stoves), provision of clean water supply, credit, and access to financial services etc.

Strategic interests or needs are long-term, related to equalising gender-based disparities in wages, education, employment, and participation in decision-making bodies. Examples include issues around legal rights, empowerment, sharing of family responsibilities, supportive legislation, and overall involvement in policy-making. Addressing strategic interests may challenge the prevailing balance of power between men and women.

When working with stakeholders to meet their needs, it is important to keep in mind that survival or practical needs must be met first. When people prioritise their own needs, they start from the basis of what they have. If they have insufficient food, they will put that as their first priority.

Once basic needs are met, people can invest resources in responding to their needs for identity, autonomy, and self-actualisation. Differences based on gender or other attributes must also be taken into consideration. For example, many women all over the world are in situations that limit their autonomy. The elderly may lose status or respect in a community because of changing family set-ups. Minority ethnic groups or refugees may be marginalised in the decision-making process because of political situations. An understanding of 'needs' is critical to development planning and requires those involved in planning to have a sensitivity and understand of the types of needs different groups have.

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[8] Moser, Caroline. Gender Planning and Development: Theory, Practice and Training New York: Routledge, 1993.

3. THE 'CONTEXT' IN WHICH ORGANISATIONS FUNCTION

As discussed in the Introduction to this Handbook, the development context in which an organisation functions includes the macro, intermediate, and field levels, as well as socio-cultural, environmental, institutional, political, economic and demographic factors that affect outcomes of development interventions.

An analysis of the development context for any given organisation must include a gender-sensitive study and an examination of the linkages between different factors and linkages to the policy and field levels.

Organisations usually function at an intermediate level, serving as a link between the field and macro levels.

Stakeholders at all level (macro, intermediate and field) of the development context must be considered in all phases of planning, implementation and monitoring and evaluation. Key stakeholders at the intermediate level may include funding organisations, government, public institutions, private sector groups, non-government organisations, community groups, and/or individuals.
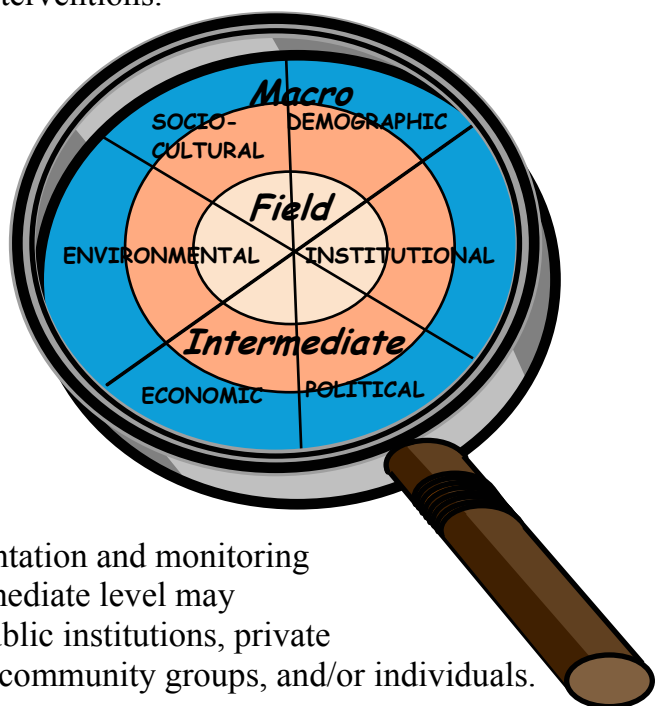
- An **organisation** is two or more individuals jointly acting toward a shared goal.
- **Institutions** are the distinct frameworks of rules for doing things, and organisations are the specific structural forms that institutions take.
- **A system** is a pattern or process with regularly related parts or elements.

Every organisation has internal as well as external stakeholders. Internal stakeholders are individuals or groups that work within an organisation. External stakeholders are groups or individuals outside an organisation who have a stake in an organisation's activities.

> **A useful way to think about organisations is to consider:**
>
> 1. The forces in the external development context of the organisation
> 2. The internal organisational capacity and resources
> 3. The organisations performance as perceived internally and by users of its product

3.1 Capacity of intermediaries/organisations

There are numerous frameworks that can be used to describe or assess the institutional capacity of development organisations. Fortunately, there is a great deal of similarity among these frameworks, which indicates an emerging consensus on attributes that make for effective and sustainable institutions.[9]

In October 1996, Southern NGOs involved in the World Bank NGO Working Group conducted consultations and surveys in different world regions, which identified the capacity building priorities of their groups. The information gathered contributed to the International Conference on NGO capacity building held in Brussels, May 1998. During the Brussels Conference, Southern NGOs arrived at a consensus on the following priorities for future capacity building:

Leadership development

Policy research and advocacy

Information access, use and dissemination

Building alliances, coalitions, networks, north-south partnerships and intersectoral partnerships

Financial sustainability

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[9] Among the references consulted related to Organizational Capacity are: (1) Lusthaus, Charles; Gary Anderson and Elaine Murphy. "Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners." IDC, 1995. (2) Huisinga-Norem, Rosalie and Jerry Van Sant. USAID/PVC's Support of PVO Capacity Building. April 2000. (3) International Working Group on Capacity Building (World Bank Sponsored International Conference on Capacity Building). A Synthesis of Consultation and Surveys on NGO Capacity Building. May 1998. Training for Transformation Book 1,2,3. Anne Hope and Sally Timmel: Gweru: Mambo Press, 1996.

Three categories of capacity building will be used in the discussion of organisational capacity on the following pages. Such categories are:

Capacity building related to forces in the external development context

Capacity building related to internal organizational capacity

Capacity building related to organizational performance

1. Forces in the external development context	2. Internal Organisational capacity and resources	3. Organisational performance
Socio-cultural Political/legal Economic Demographic Environmental Institutional and external stakeholders	Leadership Participation Human resources Other core resources Program management Process management Linkages and networks Sustainability	Program results Effective use of resources Networking and external relations Application of technical knowledge Progress toward mission

3.2 Forces in the external development context

External forces play a part in setting an organization's mission and designing programmes of any planning process. These forces are part of the larger system and will influence how well development efforts succeed and how results are interpreted. It is important that your organisation has the capacity to deal with constant and changing forces in the external environment and the ability to assess specifically those forces in the external context that influence what you do, how you do it and to whom your organisation is accountable.

3.3 Internal organisational capacity and resources

Organisational capacity is the people and systems that develop and implement strategies to pursue objectives in a sustainable way.[10] Given the rapid creation of new organisations such as NGOs and community-based organisations (CBOs) in many countries as a result of more open environments and the availability of increased donor funds, legitimacy and accountability considerations are gaining importance. Primarily the development of strong professional leadership is essential for continued enhancement of an organisation's overall capacity.

3.3.1 Internal capacity and resources for 'participation'

Participation has become a commonly used term in development work over the last decade. Participation and the use of participatory approaches are very closely linked with organisational capacity and resources.

Experience has taught that programmes and projects tended to be much less successful when 'beneficiaries[11]' were not included in planning and implementation. Practices such as rapid rural appraisal, focus groups, community-based planning, and participatory planning of project design emerged as important forces for participation. Such approaches now include participatory implementation, monitoring, and evaluation of programmes. In many areas of the world, community-based development plans are beginning to direct development efforts.

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[10] Adapted from Lusthaus, Charles; Gary Anderson and Elaine Murphy. "Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners." IDC, 1995.

[11] Indeed the term beneficiaries is no longer apt to describe participatory programmes and projects. Instead the terms partners is favoured.

3.3.2 How your organisation defines 'participation'?

'Participation' as a concept is however a contested subject. The World Bank Participation Sourcebook (1998) defines participation as, "… a rich concept that means different things to different people in different settings. For some, it is a matter or principle; for others, a practice and for still others, an end in itself." There is no one comprehensive definition that describes how participation works in development. The definition depends on the objectives of the development organisation and their capacity to implement participatory approaches. Each development organisation has to define for itself, what exactly they mean by 'participation'.

The typology given below illustrates some of the different perceptions about what participation means.[12]

Typology of Participation

Passive participation: People are told what is going to happen.

Participation by giving information: Questions asked by outsiders are answered.

Participation by consultation: People are consulted but have no part in decision-making.

Participation for material incentives: People provide resources such as labour in exchange for material incentives.

Functional participation: People participate in groups to meet predetermined objectives.

Interactive participation: Local people and outsiders participate in joint analysis, project design, implementation and monitoring and evaluation.

Self-mobilisation: People take initiative independently from external institutions.

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[12] Adapted from: Socio-cultural Impact (www.socio-culturalimpact.com). "Participatory Learning and Action: A Trainer's Guide. 1995.

AN EXAMPLE OF A TOOL FOR DISCUSSING PARTICIPATION[13].

This play or mime can be used to discuss approaches to development. It raises questions on doing development for people or doing development with people.

The play

This is a mime or a play without words. Two lines fairly wide apart are drawn on the floor or ground to represent the banks of a river. Strings can also be used if one does not want to write on the floor. Pieces of paper are used as stepping stones in the river and an island (a piece of newsprint is put in the middle of the river).

Two men /women come to the river and look for a place to cross. The current is very strong. A third woman/man comes along and sees their difficulty. S/He leads them up the river and shows them the stepping-stones. S/He encourages them to step on them but they both are afraid, so he agrees to take one on her/his back. By the time s/he gets to the middle of the river, the man/woman on his/her back seems very heavy and s/he becomes very tired, so s/he puts her/him on the little island.

The third woman/man goes back to fetch the second, who also wants to climb on her/his back. But the third woman/man refuses. Instead, s/he takes her/his hand and encourages to step on the same stones her/himself. Halfway across, the second woman/man starts to manage alone. They both cross the river. When they get to the other side of the river., they are both extremely pleased with themselves and they walk off together, completely forgetting about the first woman/man, sitting alone on the island. He tries to get their attention, but they do not notice his frantic gestures for help

FACILITATION GUIDING QUESTIONS for FOCUS GROUP DISCUSSION and PLENARY

What did you see happening in the play?
What different approaches were used to help the two people across?
What does each side of the river represent?
What could each person represent in real life?
Why are some people left in the middle of the river?
In what ways does development leave people especially women stranded?

Other questions can be used to steer the discussions towards reaching consensus on common understanding of participatory approach.

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[13] We are also Human Beings A Guide to Children's Rights in Zimbabwe, UNICEF/ACPDT, 2000

Facilitator needs to summarise participatory approach emphasising concepts of self-reliance and self-determination as a sustainable issue in gender sensitive development. Participatory approaches are emphatic in the education for individual empowerment in development.

3.4 Organisational performance

The performance of an organisation includes activities that support its mission (effectiveness), use of resource available (efficiency) and progress in relation to long term viability (sustainability).[14]

Stronger organisational capacity is expected to lead to improved program performance. The link is difficult to measure even when project results are rigorously monitored. Organisational performance can become more transparent and performance evaluated through program co-ordination, and sharing and documenting best practices.

3.5 Using stakeholder analysis tools for understanding the 'context'

Stakeholder analysis is the basis of thoughtful and purposeful participation. Experience demonstrates that stakeholder analysis is most effective when introduced in the early planning stages but can be used at any time with great positive effect. Two 'tools' for stakeholder analysis are outlined in the following pages, a Matrix Approach to Stakeholder Analysis and a Venn Diagram of Stakeholders.

Stakeholder analysis is most effective when supported by participatory processes throughout development initiatives. Although an initial analysis might consist of only a few people brainstorming to identify important stakeholders, an attempt should be made to encompass all those to be affected by a proposed development initiative.

Stakeholder analysis is helpful for a variety of activities including:

Developing an organizational mission statement

Strategic planning—including participation strategies

Programme and project planning

Monitoring and evaluation

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[14] Adapted from Lusthaus, Charles; Gary Anderson and Elaine Murphy. "Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners." IDC, 1995.

Three tools for stakeholder analysis are 'uses of stakeholder analysis', 'matrix approach to stakeholder analysis' and 'Venn Diagram of stakeholders'.

3.5.1. Uses of stakeholder analysis

To understand client/constituent interests, needs and capabilities

To identify other groups that have an interest in your organization and its programmes and projects

To understand potential opportunities and threats to planned programmes and projects

To determine to what extent certain groups can and should participate in planning, implementation and monitoring and evaluation.

To ensure gender equality issues are included as part of stakeholder analysis in all circumstances

To design and implement stronger, more responsive and sustainable development programmes and projects

Brainstorming is a techniques that uses the following steps

Each participant is given time to think about which issues are important and make notes for themselves. There is no discussion at this point.

A facilitator goes around the groups and gives each person the opportunity to articulate one idea from their list and the idea is recorded on a flip chart. At this point there is no discussion on the suggested ideas.

There may be several rounds for articulating ideas. All ideas are included.

Later when the majority of ideas are exhausted, people can ask questions for clarification about suggestions, but not make judgmental comments

Facilitator guides discussion to come up with common clusters of issues raised and agrees with the group on the list of issues by consensus.

3.5.2. Matrix approach to stakeholder analysis

The stakeholder analysis methodology presented in this section has six main steps[15] that can be used sequentially or individually.

Steps for Matrix Approach to Stakeholder Analysis

1. Identify important stakeholders and their interests
2. Assess the power and influence of stakeholders in relation to the task at hand
3. Prioritise the stakeholders involved
4. Plan when and how stakeholders will participate
5. Begin to identify what each group of stakeholders has to gain or lose
6. Apply the analysis at each stage of the task to build stakeholder participation and commitment.

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[15] Materials in this section on Stakeholder Analysis (with minor adaptations) were provided by Socio-cultural Impact, 1935 Upper Lake Drive, Reston, VA 20091 USA, and are used with their permission. The stakeholder methodology derives from one developed by the Socio-cultural Development Department of the British Overseas Development Administration (ODA) 1995 (now DFID).

Step 1a. Identify stakeholders

Stakeholders
A.
B.
C.
D.
E.
F.

Checklist for identifying stakeholders in above matrix

√ Have all primary and secondary stakeholders been listed?

√ Have interests of disadvantaged, vulnerable groups been identified?

√ Have all potential supporters and opponents of the programme or project been listed?

√ Has gender been considered in identifying different stakeholder groups?

√ Have primary stakeholders been divided into user/educational/rural-urban or income groups? (Other groupings may also be important in some situations.)

√ Are there any new primary or secondary stakeholder groups that are likely to emerge as a result of planned actions?

Step 1b: Identify stakeholders' interests

NOTE: At this point it is important to begin to involve key stakeholders identified in Step 1a. This may result in adaptations to the original matrix, which will contribute to the richness of the next steps.

Some methods for involving stakeholders at this point include interviews, focus groups, and brainstorming with a wider group. These methods can be used as needed during any phase of the analysis.

Checklist
√ What are the expectations of each stakeholder group?
√ What benefits are there likely to be for each stakeholder group?
√ What stakeholder resources are important for what is being planned?
√ What other interests does the stakeholder group have that may conflict with what is being planned?
√ What is the relationship among different stakeholder groups?

Stakeholders	What is at stake (gains or losses)
A.	
B.	
C.	
D.	
E.	
F.	

Step 1c. Assess the impact of the project on stakeholders' interests

Keeps the assessment simple (see example after step 3):

+ Positive
- Negative
? Unknown

Stakeholders	What is at stake (gains or losses)	Impact
A.		
B.		
C.		
D.		
E.		
F.		

Step 2. Assess stakeholders' power and influence

For each stakeholder group, use the matrix below as a guide for assessing sources of power and influence. You may also think of other factors that you want to include.

Within and between formal organisations	For informal interest groups and primary stakeholders
official hierarchy (command and control, budget holders)	Socio-cultural, economic and political status
Authority of leadership (formal and informal, charisma, political, familial, etc.)	Degree of organisation, consensus and leadership within the group
Control of strategic resources	Degree of control of strategic resources
Possession of specialised knowledge	Informal influence through links with other stakeholders
Negotiating position (strength in relation to other stakeholders)	Degree of dependence on other stakeholders

Stakeholders	What is at stake (gains or losses)	Impact	Sources of power and interest of stakeholders
A.			
B.			
C.			
D.			
E.			
F.			

Step 3. Prioritise which stakeholders' interests need a response

Checklist

√ Which problems, affecting which stakeholders, does your organisation seek to address through the task at hand?

√ For which stakeholders does your organisation place a priority on meeting needs, interests, or expectations?

√ Which stakeholder interests converge mostly closely with your organisation's objectives?

Stakeholders	What is at stake (gains or losses)	Impact	Power and interest of stakeholders	Relative priorities of interests
A.				
B.				
C.				
D.				
E.				
F.				

An example concerning population issues in Pakistan is presented below using the stakeholder analysis matrix. It illustrates that stakeholder analysis is an iterative process, begun by a few people in an organisation, but then necessitating the participation of others including representatives of key stakeholder groups.

Example: Private sector population project, Pakistan

"Primary" Stakeholders	What is at stake (gains or loss)	Impact	Relative priorities of interest
Lower-middle income groups	• Reproductive choice • Cheaper contraceptives	+ ?	1
Women	• Reproductive choice • Better health • Status	+ + -/+	1
"Secondary" Stakeholders			
Ministry of Population and Welfare	• **Achievement of targets** • **Control over funds and activities** • **Avoid liability for any neg. reactions to contraceptive promotion**	+ – –	3
Pharmaceutical companies and distributors	• **Sales volume** • **Profits** • **Public image**	+ + ?	2
ODA	• **Institutional learning** • **Health and population objectives** • **Short-term disbursements** • **Conserve staff inputs**	+ + – ?	2
"External Stakeholders"			
Islamic Clergy	• **Socio-cultural and religious influence**	+/-	4
Traditional birth attendants	• **Private incomes**	–	5

Step 4: Plan who will participate, when and how

For this step, it is helpful to develop a participation matrix such as the one below.

Participation Matrix

Stage	Type of participation			
	Inform	Consult	Partnership	Control
Needs assessment				
Planning				
Implementation				
Monitoring and evaluation				

An example is given below, using the previous stakeholder analysis as a basis.

Participation Matrix

Stage	Type of participation			
	Inform	Consult	Partnership	Control
Needs assessment		Pharmaceutical companies	-ODA -Ministry of Population and Welfare -Women's groups	
Planning	Clergy?	-Women's groups -Health NGOs	-ODA -Ministry of P&W -Pharmaceutical companies	
Implementation	ODA	Clergy?	-Health NGOs	Implementing

			-Women's groups -Pharmaceutical companies	organisation
Monitoring and evaluation	ODA	Ministry	-Health NGOs -Women's groups -Pharmaceutical companies -Ministry of P&W	External consultants

Step 5: Begin to identify stakeholder risks

Checklist on stakeholder risks:
- ✓ What is the role or responsibility key stakeholders must assume if a planned action is to be successful?
- ✓ Are these roles realistic?
- ✓ Can positive responses be expected given the interests of the stakeholder?
- ✓ Can negative responses be expected given the interests of the stakeholder?
- ✓ What impact would these positive and negative responses have on planned processes or actions?
- ✓ Which assumptions about stakeholders support or hinder what is being planned?

Remember that the stakeholder analysis process is one way of opening up participatory processes in your organisation. It is not something to be done once and forgotten. It can be used effectively in the development of your organisation's mission in all planning processes including strategic planning, programme planning, and project planning. Stakeholders should also play a key role in monitoring and evaluation processes.

3.5.2. Venn diagram of stakeholders

Another method of doing a stakeholder's analysis is a Venn diagram of stakeholders. The Venn diagram of stakeholders can be used for any organisation, development issue, programme, project, or activity. It is necessary to specify the focus of the analysis. It is useful to have groups at different levels complete the exercise. Persons from the macro, intermediate and field levels should be involved in each analysis if possible.

Process

Organise focus groups. It is always important to have separate focus groups of men and women if the group has both sexes.

Start by asking groups to list the organisations that are most affected by a particular situation. The situation may relate to a proposed development policy, programme, or project, or to the identification of stakeholders for an organisation.

Then ask each group to decide whether a small, medium, or large circle according to its relative importance should represent each "stakeholder group" to the situation. The name of the organisation should be indicated on the circle. The Venn diagram uses the following conventions:

- separate circles = no contact
- touching circles = information passes between institutions
- small overlap = some co-operation in decision making
- large overlap = considerable co-operation in decision making
- heavier or lighter lines may be used
- different colours may be used

Discuss as many institutions as possible and ask the participants to position them in relation to each other. There may be a lot of debate and repositioning of the circles before consensus is reached.

Materials that may be useful

Flip chart paper, markers, and sticky paper for making circles and scissors. You may want to pre-cut circles of various sizes

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In the following example groups with shared interests are shown to be overlapping. The relative size of the ovals represents the relative "stake" of that group in the development initiative.

EXAMPLE OF VENN DIAGRAM OF STAKEHOLDERS FOR LOCAL NGO
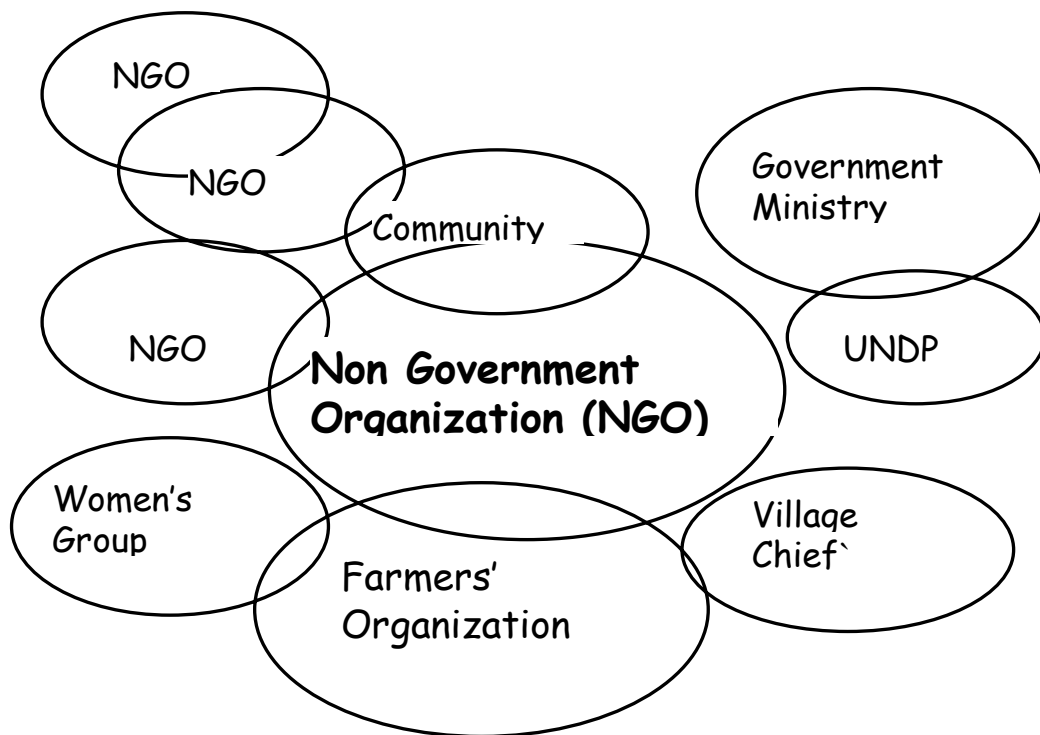
4. ASSESSING YOUR ORGANIZATION

In order to support participatory development processes for those who play an intermediary role between government policy makers and individuals and households at the community level, it is necessary to first assess the structure and processes that affect your organisation's capacity to support such as process.

Initially organisational assessment focuses on describing the current situation and obtaining a better understanding of the dimensions of your organisation's environment. As you progress with the assessment, you will identify aspects that require change.

As outlined in 3.1, there are numerous frameworks that can be used to assess the institutional capacity of your organisation, and the categories used in this Handbook are:
1. Capacity related to forces in the external development context
2. Capacity related to internal gender sensitive organisational capacity
3. Capacity related to organisational performance

1. Forces in the external development context	2. Internal Organisational capacity and resources	3. Organisational performance
• Socio-cultural • Political/legal • Economic • Demographic • Environmental • Institutional and external stakeholders	• Leadership • Participation • Human resources • Other core resources • Program management • Process management • Linkages and networks • Sustainability	• Program results • Effective use of resources • Networking and external relations • Application of technical knowledge • Progress toward mission

4.1. A learning organisation – what does it mean?

All organisations are dynamic because they exist within and have to react to an environment that is constantly changing internally and externally. Organisations are like living things and are often described using terms that are similar for living things, such as being embryonic, emerging or borne, growing from nourishment and adapting to change in the environment, well developed and mature A 'learning organisation' seeks to understand those dynamics in order to maximise progress toward goals and objectives. For example changing gender roles will imply that organisations have to also change their way of implementing their activities with different groups. Information is seen as a tool for management, planning and monitoring results. A learning organisation develops and educates its board, staff, and beneficiaries on the change effort and its management.

Since the 1980's more and more concern has been focused on strengthening the organisational capacity of UN organisations, government agencies, NGOs, CBOs and other development organisations to support their long-term sustainability. The goal is to enhance their ability to carry out their roles in the development process.

In recent years there has been a dramatic decline in availability of funding resources. At the same time, there has been an accompanying increase in demand for accountability for the use of those funds. This means that organisations are faced with the need to do a better job of demonstrating their capacity and the results of their programmes. Examples of guidelines and tools to support this process are therefore included in this Handbook.

An example of a definition of a what a 'Learning Organisation' is for one particular NGO:

An organisation that is learning, currently informed and creative in applying technical know-how, appropriate technologies, indigenous knowledge and participatory-engagement methods in community development so that its response to need and appreciates the possibilities and potentials for effective planning, management and evaluations of its holistic/integrated programmes.

Another example of "Learning Organisation" is adapted from an unpublished Organisational Development workshop report. (1998)

A learning organisation is one that is continually expanding its capacity to create its future. Adaptive learning is necessary for survival but it must be accompanied by generative learning that enhances the ability to be creative. A shift of the mindset of women and men who make up the organisation is vital if fundamental change in internal capacity and programmes is to be achieved. Change that is related to socio-economic and gender issues is fundamental and is required at a personal level by the people in the organisation. Just taking in information is not learning.

DISCIPLINES OF A LEARNING ORGANISATION

- Personal Mastery of subject & socio-economic and gender issues
- Committed Mental Models
- Systems Thinking
- Shared vision
- Team Learning
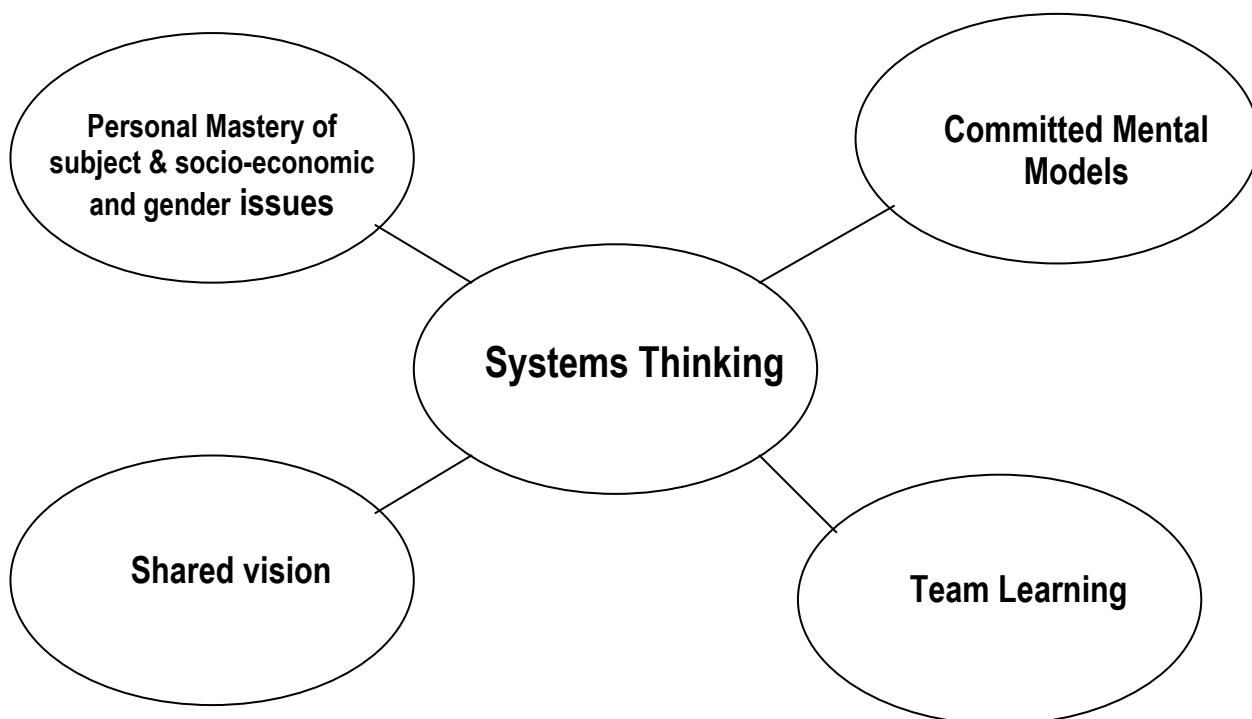
TOOL TO UNDERSTAND ORGANISATIONAL CAPACITY AND ITS ABILITY TO CHANGE AND LEARN AS WELL AS GENERATE PRELIMINARY FINDINGS THAT WILL BE DEEPENED BY OTHER EXERCISES.[16]

Steps

Provide checklist for key events.

- Formation of the organisation

- Formal registration

- New members of staff and leadership

- Systems and procedures formalization e.g. human resource policy, financial policy, gender policy, communication policy etc

- Changes in starting and ending programs

- Evaluations and organizational assessments

- Changes in receipt of funds

- Strategic planning events

- Changes in organizational systems and modalities

- Specific Training Events e.g. gender awareness/sensitivity/integration training

Present checklist and add suggestions from participants

Ask participants to discuss in pairs the period that they want to cover the historical events that have shaped the organisation. Each pair to agree and present to others,

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[16] Adapted from From Roots Up Strengthening Organisational Capacity through Guideed Self assessment World Neighbors Oklahoma 2000.

giving reasons for the choice. In plenary the whole group discusses the timeline periods and reach consensus on the period to be examined.

Present the blank timeline chart and explain that a timeline gives the historical sequence of events over a selected period.

Participants write key events on cards and they stick them on the blank chart on appropriate dates the event occurred. In addition the card could also indicate with a + (positive) and with –(negative) to show whether the change strengthened or weakened the affected organisation.

Semi structured interviews with specific follow up questions to the preliminary findings need to be designed.

4.2. Assessing and ranking forces in the external development context[17]

Several forces in your organisation's external development context are identified as relating to socio-cultural, political/legal, economic, demographic, environmental, institutional forces, and external stakeholders. Influences from these forces can become major facilitating or constraining forces on an organisation. A discussion of each dimension relevant for organisational assessment follows.

4.2.1. Socio-cultural forces

Socio-cultural forces at local, national and regional levels have profound influence on the way organisations conduct their work and on what they value in terms of outcomes and effects. For example, the morals of an indigenous culture have a bearing on the work ethic and on the way in which people relate to one another. Differences based on gender, age and other attributes vary according to different 'client' groups and even within specific groups. Language is another important socio-cultural dimension.

Understanding the national/regional/local values toward learning and change provides valuable insight for your organisation, because setting organisational goals and objectives involves culture-based decisions.

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[17] Material in this section is adapted from Lusthaus, Charles; Gary Anderson and Elaine Murphy. "Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners." IDRC (www.idrc.ca/books/focus/771/) 1995.

4.2.2. Political/legal context

The political and legal context in a country or region provides a framework within which an organisation operates. In some countries this context is very restrictive and has significant influence on all aspects of an organisation. This may be the case for working with women clients, or certain ethnic refugee groups that may not be considered legal entities in their own right. In other countries the context is more permissive. Understanding the political/legal context is essential to determining what type of organisational change can take place.

The administrative context within which an organisation operates may be shaped by a unique combination of forces, including international, governmental, NGO policy, legislative and regulatory frameworks. Such frameworks may not be compatible with implementing gender equality issues in the activities of the organisation. Such context greatly affects organisations including specific laws and regulations that support or inhibit the organisation's development. Several dimensions of the political/legal context should be examined.

What specific regulations govern the goals and structure of your organization? Has your organization's mandate (and/or structure) been imposed?

Are there specific parameters around who can lead your organization? This includes identifying the governing body of your organization (such as a board of directors) and understanding how its members are selected. It also means understanding who has the mandate or authority to set goals for your organization. This will influence the ability to strengthen or initiate participatory practices.

What is the relationship with official government institutions? Does your organization work closely with government entities, such as ministries or district committees? The type of interaction with these entities is important.

4.2.3. Economic context

Your organisation should centre on those aspects of the economic system that directly influence what you do.

How stable and sustainable are the economic resources in your immediate environment?

How is your internal financial management linked to outside economic forces?

Do economic resources come directly to your organization or do they depend on the allocation of funds to other groups?

4.2.4. Demographic context

The fluctuation or stability of demographic factors in a country or region can have a critical impact on your organisation's mission and goals. Demographic patterns and trends can help you do a better job of identifying your stakeholders.

4.2.5. Environmental forces

Environment forces will be based around concepts and values related to environmental resources and the use of them in development. Uses of environmental resources are very closely linked with the economic context and how much value is placed on such issues as the depletion of natural resources, waste disposal, pollution, etc. How your organisation implements development activities also depends very much on the national context in terms of how the political system evaluates environmental issues, and which international conventions it has agreed to implement. Paying attention to agreed international conventions is vital in programming. International conventions are believed to take into account the sharing of natural resources without discriminating against gender and other disadvantaged groups.

4.2.6. Institutional and external stakeholders

Although your mission and the process of achieving it should drive your organisation, all organisations are dependent for their survival on various groups of stakeholders. The stakeholder context consists of those people external to your organisation, who may be located in other institutions that perform similar functions to your organisation or that are directly concerned with your organisation and its performance.
Examples of external stakeholders are suppliers, clients, sponsors, donors, potential target groups, and other organisations doing similar of complementary work. It is important to learn the identity of these groups in order to assess their potential impact on your organisation.

How does your relationship with other institutions and stakeholders affect your organization?

Which external stakeholder groups or institutions does your organization work with?

Does your organization work with national machineries for gender issues? Or with national associations for different ethnic groups? The type of interaction with these entities is important.

4.2.7. Ranking forces in the external development context

Each of the external forces can be ranked in terms of their importance and whether more information or attention should be paid to each force. Individuals in your organisation can do the ranking and then compare rankings in discussion groups or task groups can do the ranking based on their collective perception. Alternatively, key persons can rank the external forces and then those rankings can be used in focus groups as part of planning.

A ranking scale can be set up to evaluate each external force. An example of a ranking scale is included below.

Ranking Scale

0   not applicable, sufficient information is not available to assess
1   needs urgent attention
2   needs major improvement
3   needs improvement on a wide scale
4   needs improvement in limited aspects
5   acceptable, room for some improvement
6   acceptable, needs maintaining

This is a self-ranking process—there are no right or wrong answers to the items. The process helps you describe how you see your organisation functioning and can help identify places you would like to change.

Such a ranking process can help to identify specific areas of strength and areas that require improvement. Alternatively an average score for each force can be used to track progress over time. Having ranked each of the external forces that facilitate or constrain your organisation, how such information is used is the next critical step.

An example of how one NGO organised and ranked external (and internal) forces to track organisational capacity over a four-year period is presented below.
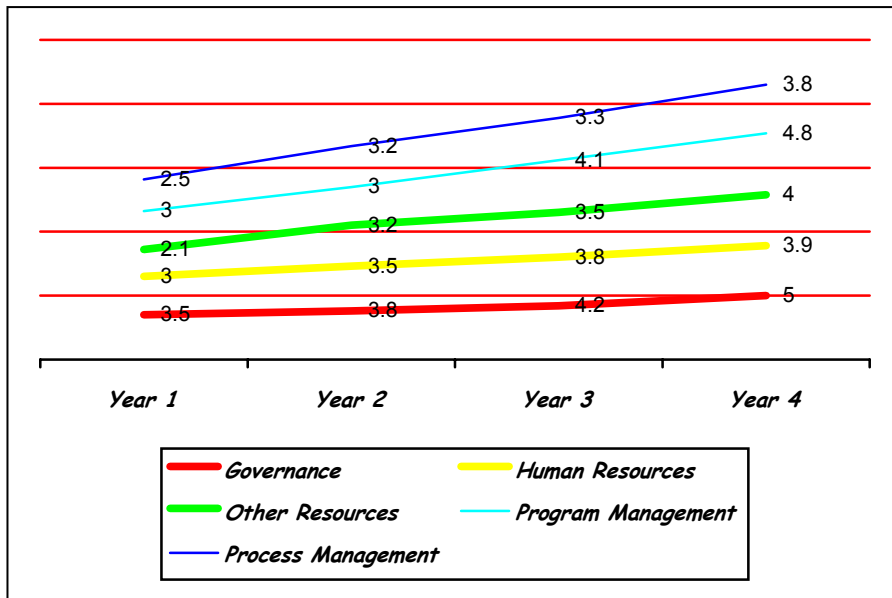
Example of ranking by an NGO over 4 years

4.3. Internal organisational capacity and resources

4.3.1. Leadership and governance

Adequate and efficient leadership involves helping to set clear goals and facilitating the efforts of staff and stakeholders toward fulfilling organisational objectives. Good leadership involves developing ways of procuring essential resources, inspiring members of an organisation and stakeholders to perform in ways that attain the mission and adapting to or buffering external forces. Leadership is associated with vision, ideas, and also risk. Individuals can coax or include those normally excluded from decision-making processes within organisations.

Leadership can exist at many places inside an organisation, both formally and informally. Those appointed or elected to position of authority exercise formal leadership; it entails activities such as setting direction, ensuring that tasks are done and supporting human and other resource development.

Informal leadership emerges through persons who become influential because they possess special skills or resources valued or needed by others. Examples of informal

leadership include introducing innovations, team building, or networking. Vibrant and creative learning organisations tend to provide opportunities for informal leadership.

Governance can be considered as a point at which the external and internal contexts meet. For many NGOs and other groups, a board of directors provides the legal and policy framework for organisational functioning. At the governance level, policy issues are discussed and resolved in a timely manner, organisational policies are set, and capital and operating budgets are approved. Direction, organisation priorities, stakeholder representation, gender equity issues, external context forces, and core resources all concern the governing body.

4.3.2. Ranking your organisation in terms of governance and leadership

The table below is useful for assessing how your organisation fares in terms of it's boards direction, it's mission/goals, it's inclusion of stakeholders and the style of leadership within your organisation[18]. Each area can be ranked on a scale of 0-6.

Ranking Scale
0   Not applicable, sufficient information is not available to assess
1   Needs urgent attention
2   Needs major improvement
3   Needs improvement on a wide scale
4   Needs improvement in limited aspects
5   Acceptable, room for some improvement
6   Acceptable, needs maintaining

Governance	
1. Board self ranking scale	
a. Board provides overall policy direction and oversview	0 1 2 3 4 5 6
b. Board provides accountability and credibility	0 1 2 3 4 5 6
c. Board is capable of carrying out key roles such as	0 1 2 3 4 5 6

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[18] The assessment items included in this section of the Handbook are adapted from Booth, William; Radya Ebrahim and Robert Morin. "Participatory Monitoring, Evaluation and Reporting: An Organizational Development Perspective for South African NGOs. Pact. 1998. These items are used with permission from Pact Offices, Washington D.C.

policy formulation, fund raising, public relations, financial oversight and lobbying	
d. Board is composed of committed members who represent the varied interests of stakeholders, including gender equality concerns and interests	0 1 2 3 4 5 6
e. Mechanisms are in place for obtaining appropriate input from stakeholders	0 1 2 3 4 5 6
f. Board executes its role of advocate for the community	0 1 2 3 4 5 6
2. Mission/Goals	
a. Organisation has clearly articulated mission/goals that are gender sensitive	0 1 2 3 4 5 6
b. Organisation's mission is understood by all stakeholders	0 1 2 3 4 5 6
c. Strategies are aligned with mission	0 1 2 3 4 5 6
d. Strategies take the form of clear objective statements as to how they can be achieved	0 1 2 3 4 5 6
e. Implementation plans are jointly developed by senior management, staff and other appropriate stakeholders	0 1 2 3 4 5 6
3. Stakeholders	
a. Organisation is able to identify key stakeholders	0 1 2 3 4 5 6
b. There is a recognition of stakeholders as partners	0 1 2 3 4 5 6
c. Stakeholders are integrated into planning processes, and particular attention is paid to integrating gender concerns voiced by particular stakeholder groups	0 1 2 3 4 5 6
d. Stakeholders are involved in the review of mission and strategies	0 1 2 3 4 5 6
4. Leadership	
a. Board and senior management have a clear understanding of their respective roles and responsibilities	0 1 2 3 4 5 6
b. Leadership style of senior management is participatory and includes women in positions of	0 1 2 3 4 5 6

seniority	
c. Senior management is accountable to key stakeholders	0 1 2 3 4 5 6
d. Leadership is accessible to all stakeholders including those not traditionally in leadership positions	0 1 2 3 4 5 6

4.3.3. Human resources

The human resources of any organisation consist of all staff engaged in any of the organisation's activities. Human resources of any organisation are its most valuable assets[19]. Human resource management includes creating a working environment that meets people's needs so that they can be as productive as possible. The best people available should be recruited and hired. The internal assessment system should reward people and help to keep them in the organisation with opportunities for ongoing learning, career development, and advancement.

4.3.4. Ranking your organisation in terms of human resource development

The table below is useful for assessing how your organisation fares in terms of its focus on human resources.

**Ranking Scale**

0   Not applicable, sufficient information is not available to assess
1   Needs urgent attention
2   Needs major improvement
3   Needs improvement on a wide scale
4   Needs improvement in limited aspects
5   Acceptable, room for some improvement
6   Acceptable, needs maintaining

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[19] Lusthaus, Charles; Gary Anderson and Elaine Murphy. "Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners." IDRC (www.idrc.ca/books/focus/771/) 1995.

Human Resources	
1. Human Resources Development self ranking scale	
a. Gender sensitive. Human resources development planning is in place	O 1 2 3 4 5 6
b. Staff training is based on capacity, needs and objectives with attention to gender equity	O 1 2 3 4 5 6
c. Opportunities exist to integrate skills acquired in training into the work environment	O 1 2 3 4 5 6
d. Job appraisals are performance based and adequate including assessment on gender and diversity sensitivity	O 1 2 3 4 5 6
e. Job promotions are performance based and equitable	O 1 2 3 4 5 6
f. Personnel policies reflect equality	O 1 2 3 4 5 6
2. Personnel	
a. Selection criteria for staff are in place	O 1 2 3 4 5 6
b. Recruitment processes are clearly defined	O 1 2 3 4 5 6
c. Recruitment processes take into account diversity and are transparent and competitive	O 1 2 3 4 5 6
d. Diversity of the community (including by sex), is reflected in the staff	O 1 2 3 4 5 6
e. Job descriptions are clearly defined	O 1 2 3 4 5 6
f. Staff is deployed according to job descriptions	O 1 2 3 4 5 6
g. Management encourages mutual respect among staff	O 1 2 3 4 5 6
h. Staff are involved in programme design, implementation, monitoring and evaluation	O 1 2 3 4 5 6
i. Procedures for staff recourse exist	O 1 2 3 4 5 6
3.Work organisation	
a. Staff meetings are held regularly	O 1 2 3 4 5 6
b. Women and men staff participates in management decisions	O 1 2 3 4 5 6
c. Team work is encouraged	O 1 2 3 4 5 6
d. Information is shared freely among all staff members	O 1 2 3 4 5 6
e. Staff especially women are encouraged to take initiative and be self-motivated	O 1 2 3 4 5 6

4.3.5. Infrastructure and technology

Infrastructure is the basic work environment itself, including space, utilities, and transportation. In some developing countries, some of these fundamental conditions are in short supply. As part of understanding your organisation's capacity, you need to think about how inadequate infrastructure might interfere with or limit your functioning. Many organisations have been historically structured around men's physical needs, with facilities and spaces designed for men rather than women's comfort. Many organisations have inflexible working hours and lack childcare

facilities. Transportation issues have different connotations for women and men, because of safety issues and cultural ideas of travel

Technology includes the computer and information systems and any other equipment necessary to perform your organisation's work. Assessing the technological resources of an organisation means knowing who needs what, what is available, and what provisions are in place for keeping pace with a given field.

Gender related differences in access to technology are often in place within organisations, so care should be taken to ensure that both sexes gain opportunities to use new technologies.

Plans need to be realistic so that your planning can be based on what is possible and still not loose sight of new developments that could make your work easier and more efficient. Cost-benefit aspects of new technology should also be considered.

4.3.6. Ranking your organisation in terms of infrastructure and technology

The table below is useful for assessing how your organisation fares in terms of infrastructure and technology

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Ranking Scale

0   Not applicable, sufficient information is not available to assess
1   Needs urgent attention
2   Needs major improvement
3   Needs improvement on a wide scale
4   Needs improvement in limited aspects
5   Acceptable, room for some improvement
6   Acceptable, needs maintaining

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Infrastructure and Technology	
1. Infrastructure	
	self ranking scale
a. The physical plant is adequate to support programmes	0 1 2 3 4 5 6
b. Utilities function as needed	0 1 2 3 4 5 6
c. Transportation needs are met	0 1 2 3 4 5 6
d. Physical facilities are apt for both women and men	0 1 2 3 4 5 6
2. Technology	
a. Communication technology serves organisational goals and programmes	0 1 2 3 4 5 6
a. Computers and other equipment are in place and functioning	0 1 2 3 4 5 6
b. Technology needed for programme implementation is available and functioning	0 1 2 3 4 5 6
c. Both male and female staff have competence in respective technical areas	0 1 2 3 4 5 6

4.3.7. Finances

Financial management includes the realistic estimation of financial requirements for efficient functioning of your organisation's programmes. Good budgeting and financial record keeping are critical to this process. Effective planning, management, stakeholder confidence (including funders), and fiscal accountability all rely on essential information about finances. Organisational goals should be support by the budget. For example, if information dissemination is a priority, funds should be allocated for maintaining data systems and other related activities in support of this goal. A learning organisation is one that recognises that change that focuses on socio-economic and gender issues is not cheap and needs financing on a long-term basis. Development organisations need assessment of the gendered/diversity impacts of their budgets. A gender/diversity-sensitive budget is an attempt to break down or disaggregate the mainstream budget according to its impact on women and men, as well as relevant diversity groups in the programme.

4.3.8. Ranking your organisation in terms of control of financial resources

The table below is useful for assessing how your organisation fares in terms of use and control of financial resources

Ranking Scale	
0	Not applicable, sufficient information is not available to assess
1	Needs urgent attention
2	Needs major improvement
3	Needs improvement on a wide scale
4	Needs improvement in limited aspects
5	Acceptable, room for some improvement
6	Acceptable, needs maintaining

Financial resources	
1. Accounting	
	self - ranking scale
a. Financial procedures and reporting systems are in place	0 1 2 3 4 5 6
b. Account categories exist for separating project funds	0 1 2 3 4 5 6
2. Budgeting	
a. Budgeting process is integrated into implementation plans	0 1 2 3 4 5 6
b. Financial unit responsible for the preparation, management and implementation of the annual budget exists	0 1 2 3 4 5 6
c. Annual financial projections are made	0 1 2 3 4 5 6
d. Annual budget is implemented	0 1 2 3 4 5 6
e. Budget is controlled on an ongoing basis	0 1 2 3 4 5 6
f. Gender sensitive budgeting initiated	0 1 2 3 4 5 6
2. Stock Control	
a. Procurement systems that includes contracting women's businesses are in place	0 1 2 3 4 5 6
b. Procurement systems are used	0 1 2 3 4 5 6
c. Internal audits are conducted on a regular basis	0 1 2 3 4 5 6
d. External audits are conducted on a regular basis	0 1 2 3 4 5 6

e. Expenses by category are controlled	0 1 2 3 4 5 6
3. Financial Reporting	
a. Annual financial report is prepared	0 1 2 3 4 5 6
b. Report includes a balance sheet	0 1 2 3 4 5 6
c. Report includes attachments	0 1 2 3 4 5 6
d. Report is reviewed by the Board	0 1 2 3 4 5 6
e. Report is used for planning and review purposes	0 1 2 3 4 5 6
f. Annual financial report which shows sex disagregated items is published and disseminated	0 1 2 3 4 5 6
4. Diversification of Income Base (Financial Sustainability)	
a. Organisation has multiple funders	0 1 2 3 4 5 6
b. A cost recovery/income generation plan is in place	0 1 2 3 4 5 6
c. Organisation has the ability to tender for contracts	0 1 2 3 4 5 6
d. Organisation has a strategy to diversity funding sources	0 1 2 3 4 5 6
5.Resource base sustainability	
a. Local resource base has been identified	0 1 2 3 4 5 6
b. Resource diversification plan is in action	0 1 2 3 4 5 6
c. Plans to access additional resources exist	0 1 2 3 4 5 6

4.3.9. The management of your organisations' programmes and activities

The management of programmes and all activities that an organisation is involved in is vitally connected with all other areas of organisational capacity. Good management results in the optimal use of human and other organisational resources, which in turn support programme success. Programme planning depends on good leadership and management of activities in order to meet goals and objectives.

4.3.10. Ranking your organisation on management aspects

The table below is useful for assessing how your organisation fares with respect to management aspects including management processes within your organisation, and managing programmes.

Ranking Scale	
0	Not applicable, sufficient information is not available to assess
1	Needs urgent attention
2	Needs major improvement
3	Needs improvement on a wide scale
4	Needs improvement in limited aspects
5	Acceptable, room for some improvement
6	Acceptable, needs maintaining

Process Management	
1. Organisational structure and culture	
	self ranking scale
a. Organisational structure has clearly defined lines of authority and responsibility	0 1 2 3 4 5 6
b. Systems are in place to ensure appropriate involvement of all levels are staff (including women specifically) in decision-making	0 1 2 3 4 5 6
c. Organisation has policies and procedures in place to ensure mutual accountability to key stakeholders	0 1 2 3 4 5 6
d. Systems are in place for regular measure of congruence between stated mission and gender sensitive operating culture	0 1 2 3 4 5 6
2. Planning	
a. Inputs from appropriate stakeholders are taken into account during planning	0 1 2 3 4 5 6
b. Implementation plans reflect a strategic plan	0 1 2 3 4 5 6
c. Implementation plans are updated	0 1 2 3 4 5 6
d. Resources are planned for and allocated properly	0 1 2 3 4 5 6
e. Flexibility exists to adjust plans as a result of the monitoring process	0 1 2 3 4 5 6
3. Organisational sustainability	
a. Organisation has a shared vision of its role in society	0 1 2 3 4 5 6
b. Organisation is a member of key networks, with linkages to other relevant organisations in the public and private sector, including those working in strategic gender equity issues	0 1 2 3 4 5 6
c. Organisation is a participant in a dynamic development area	0 1 2 3 4 5 6
d. Organisation has the capacity to review structures in response to organisational development needs	0 1 2 3 4 5 6
4. External relations	

a. Organisation engages in public relations	0 1 2 3 4 5 6
b. Organisation is seen as credible by stakeholders	0 1 2 3 4 5 6
c. Organisation is seen as a valuable resource by stakeholders	0 1 2 3 4 5 6
d. Organisation has relations with the private sector for technical expertise, material and/or human resources	0 1 2 3 4 5 6
e. Organisation is able to engage in dialogue regarding gender equality issues with relevant bodies	0 1 2 3 4 5 6
5. Government collaboration	
a. Organisation has contacts with decision-makers including gender focal persons.	0 1 2 3 4 5 6
b. Organisation is able to engage policy makers in dialogue	0 1 2 3 4 5 6
c. Activities and recommendations are integrated into government's development plans	0 1 2 3 4 5 6
6. Funder collaboration	
a. Organisation has diversified contacts within the funding community	0 1 2 3 4 5 6
b. Organisation produces quality performance that is seen as valuable by funders	0 1 2 3 4 5 6
c. Organisation has capacity and opportunity to engage in dialogue with funders	0 1 2 3 4 5 6

Programme Management	
1. Programme development	
	self ranking scale
a. Stakeholders and staff do a socio-economic and gender analysis before programme design, implementation, monitoring and evaluation	0 1 2 3 4 5 6
b. Programme design incorporates implementation monitoring, evaluation and reporting activities with particular attention to gender equality issues	0 1 2 3 4 5 6
c. Programme modifications reflect use of gender	0 1 2 3 4 5 6

sensitive monitoring, evaluation and reporting findings	
2. Programme reporting	
a. Organisation has the ability to produce appropriate reports	0 1 2 3 4 5 6
b. Organisation regularly prepares activity reports	0 1 2 3 4 5 6
c. Organisation regularly prepares evaluation reports	0 1 2 3 4 5 6
d. Organisation regularly prepares reports on gender impact	0 1 2 3 4 5 6
E. Information is disseminated to stakeholder groups	0 1 2 3 4 5 6
f. Report formats are flexible, varies and respond to internal and external stakeholder information requirements	0 1 2 3 4 5 6
3. Stock Control	
a. Procurement systems are in place	0 1 2 3 4 5 6
b. Procurement systems are used	0 1 2 3 4 5 6
c. Internal audits are conducted on a regular basis	0 1 2 3 4 5 6
d. External audits are conducted on a regular basis	0 1 2 3 4 5 6
e. Expenses by category are controlled	0 1 2 3 4 5 6
4. Programme/benefit sustainability	
a. Programmes are supported by those being served	0 1 2 3 4 5 6
b. Sense of ownership of benefits by women and men in the community	0 1 2 3 4 5 6
c. Programme activities can continue due to changes in community	0 1 2 3 4 5 6
d. Organisation has developed systems for continuation of its programme in the medium and long-term	0 1 2 3 4 5 6
e. Organisation has develop programmatic phasing-out strategies	0 1 2 3 4 5 6
f. Organisation ensures that local level skills transfer takes place	0 1 2 3 4 5 6

5. ADDITIONAL TOOLS FOR ASSESSING YOUR ORGANISATION

In this section, additional guidelines and methods are provided that can be used for an organisational assessment in addition to the ranking tables outlined in the previous chapter. Such guidelines and methods include a framework for analysing your organisational structure, developing communications alternatives, ideas for linking to the policy and field levels, and a checklist for integrating gender into programming. As with the previous guidelines and tools in this Handbook, use or adapt them in the way that you think would be most helpful. They provide a starting point for self-assessment of your organisation and planning.

5.1. Organisational structure analysis

Organisational structure is concerned with tasks responsibilities and authorities within the organisation; ways of working and the way people are grouped and coordinated to accomplish the tasks, flow of information, communication and learning within the organisation and between the organisation and external networks.
An organisational chart can be used to examine lines of communication and decision-making within an organisation. It can help define which groups have access to power and influence within an organisation and which groups do not. In order for this exercise to work, management must agree that the process will be useful and make a commitment to follow up with actions to implement suggestions that are agreed upon in the exercise. Such management commitment must also involve a willingness to have people speak freely about their ideas without fear of negative repercussions.

This tool is designed to be used in a group with representatives from all levels of an organisation. In a small organisation, it is possible for everyone to participate. Persons representing clients or constituents from the field level and from other organisations that work closely with your organisation, provide services, or use services from your organisation should also be involved. It may be useful to set up a small task force to plan for specific implementation of changes after completing the analysis.

Process of analysing your organisation's structure

Provide each person involved in the exercise with a copy of your current organisational chart if one exists (see example below). If a current organisational chart does not exist, ask each person involved to develop one.

Ask those involved in the exercise to review the questions in step 1 make notes on their copy of the chart as they think about the questions. Then, discuss the questions as a group to identify people's perceptions about how things currently work in your organisation. This discussion should be for sharing of ideas, not discussion about who is right or wrong. It is important for supervisory and management staff to listen carefully and not make judgements at this point.

Use the questions in step 2 to brainstorm how new lines of communication could be developed in your organisation and draw those lines on the existing or modified organisational chart.

Consider how the organisational structure can be modified to improve communication and participation within the organisation.

It can be helpful to get different internal groups to complete the exercise and compare results.

Sufficient time should be allowed for each part of the group process. This will vary depending on the number of people involved. It is useful to allow time between the first and second steps for people to think about their ideas, so it is suggested that the two steps be done on different days. At least 2-3 hours are necessary for each step.

Materials that may be useful: Organisational chart for your group or organisation, Note pads and pencils or pens, Flipchart paper and markers.

5.1.1. Organisational culture

- Does gender fit into the image of the organisation according to staff?
- Does everyone feel ownership over the gender policy?
- Do women and men within the organisation, and among beneficiaries, perceive the organisation to be gender friendly?
- Does the organisation comply with gender sensitive behavior, for example in terms of the language used, jokes and comments made, images and materials displayed and procedures on sexual harassment?
- Does the organisation have a reputation of integrity and competence on gender issues?

Example of an organisational chart
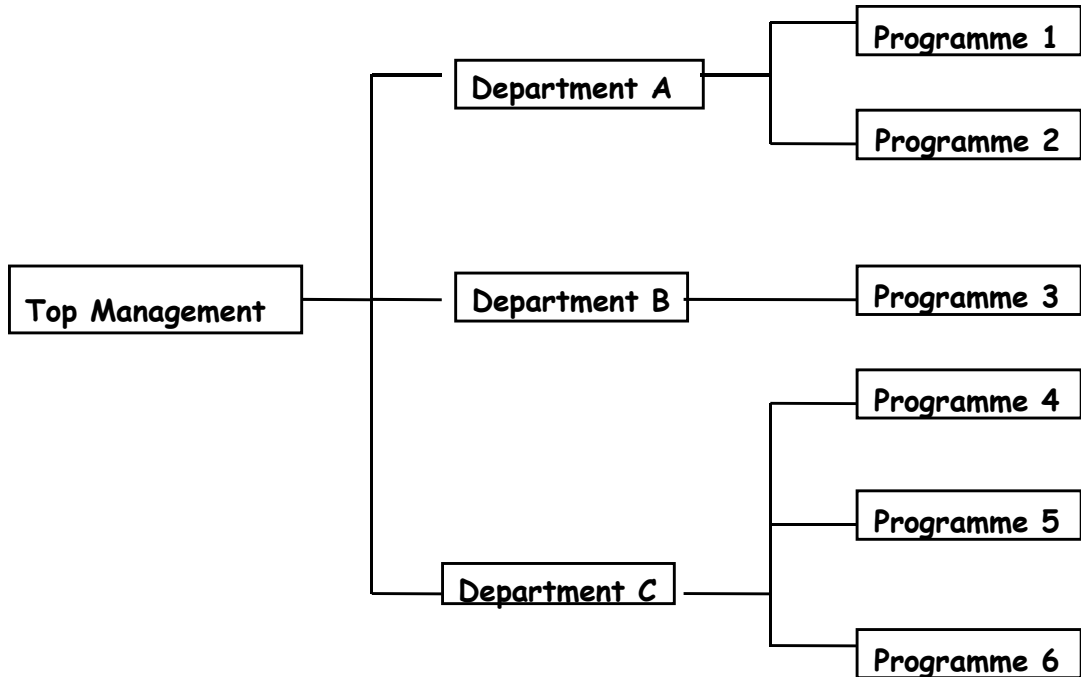
5.1.2. Step 1: Examining the current lines of communication

The following questions can guide the initial analysis of your organisational structure as it currently exists and help you examine the current lines of communication and decision-making.

- What are the lines of communication from departments/sections/ units/ to programmes / activities?

- Do the current communication lines reflect how work gets done in your organisation?

- If not, how would you draw the lines to indicate how work does get assigned, done, and evaluated?

- Are the lines of communication the same for work assignment, completion, and evaluation?

- How are decisions made about resource allocations to different programmes / activities?

- Who is likely to have the power of influence? Over whom? In which situations? How does power influence communication lines?

- Are there differences in power of influence depending on what the task is or which resources are involved? If so, indicate that on your version of the chart.

5.1.3. Step 2: Identifying options for new lines of communication

Once you have thought about and discussed how things get done in your organisation as it currently works, the next step is to think about whether some changes in communication linkages and decision-making might help your organisation to do a better job. The following questions can guide your thinking and discussion.

- Is there a specific process or task, such as the integration of socio-economic and gender issues into all programmes, that could be facilitated if new or improved lines of organisational communication were initiated?

- Where are the new lines of organisational communication needed?

- Are there improvements that could be made in communication lines?

- Do decision-making processes need to be changed? If so, how?

- How can power of influence be expanded or changed to give more people a part in decision making?

The example below shows how new communication lines were identified to facilitate the integration of gender into monitoring and evaluation activities.

Example of organisational chart changed to facilitate the integration of gender into all monitoring and evaluation
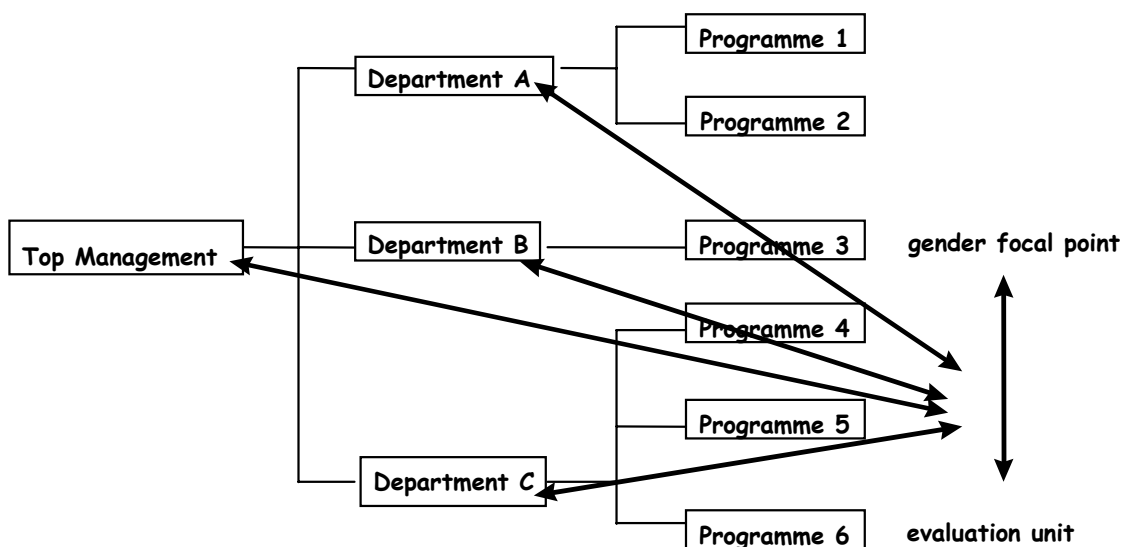
5.2. Designing a communication plan

Communication is central to a participatory approach to development. A systematic approach to using communication plan to assure the involvement of stakeholders at all levels will enhance the capacity of any organisation to function in a participatory manner.

The analysis questions and points for consideration in this section are designed to assist in the development of a communication strategy to support a participatory process. In some instances, you may want to develop an overall organisational communication plan. In other instances, you may need to develop a communication plan for a specific policy issue, programme, or project. The process is the same for each of these.

Process for designing a communication plan

Organise a schedule for developing a communications plan. The entire process may take several meetings because a lot of thought and information is needed for the process to be successful.

Decide who will take part in developing a communication plan. In some organisations, there may be a group designated with the responsibility for communication. In some situations, you may want to establish a task force. If the communications plan is for a specific project, all members of a project team should be involved.

Stakeholder groups should be involved in developing a communication plan. The process of working on a plan can be a good beginning for establishing communication linkages. Care should be taken to facilitate the involvement of women and disadvantaged groups in a manner that is not threatening.

Materials needed
Stakeholder analysis results
Information about your current communication linkages and resources
Flipcharts, marker, notepads

Designing a communication plan for your organisation requires the identification of: your communication needs; communication alternatives for meetings those needs, and communication skills for using the communication alternatives.

It also requires the allocation of time, personnel, and other resources[20].

5.2.1. Step 1: Identifying communication needs

The first step is to identify communications needs related to a specific issue. The 'Organisational structure analysis' tool in this Handbook and the Stakeholder analysis tools can help you identify your communication needs. The former can be used to focus on internal communication processes while the latter can be used to focus on linkages among stakeholders for a given activity. Each of these tools can help to identify which persons and groups are part of your communication network. Your communication network will consist of a group of people who exchange information, contacts, and experience for professional or social purposes

5.2.2. Step 2: Identifying linkages in your communications network

You will need to answer the following questions for each linkage in the communication network.

- What are the existing communication linkages with these persons or groups?

- Which existing communication linkages work best?

- How can those linkages be strengthened?

- Is additional time and other resources needed to strengthen the linkages? If so, how can those resources be made available?

- What additional communication linkages are needed to improve communications with individuals (Women and men) or groups?

5.2.3. Step 3: Identifying alternatives to improve communication

There are many ways of communicating. They range from verbal or written information dissemination to interpersonal communication. Information dissemination tends to be one-way and indirect, especially through mass

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[20] Other <u>SEAGA Intermediate Handbook</u> tools and guides can be useful in developing a communication plan. *Force field analysis* can be helpful to identify facilitating and constraining forces related to communication linkages, the *Strategic planning guide* can be modified to use in developing a communication plan and the *Problem analysis* tool can be used to analyze specific communication problems.

communication channels. Interpersonal communication is direct and interactive. A participatory approach to development requires the best use of many communication alternatives, and depends heavily on interpersonal communication that is interactive. Interpersonal communication relies on giving and receiving feedback. The process of giving and receiving feedback is one of the most important elements of individual development. The feedback we receive from others increases our ability to see ourselves through other people's eyes. Women in many developing countries have not been allowed to be open by their cultures. In participatory approaches it is important to recognise a tool developed by two psychologists, Joseph Luft and Harry Ingram that is given below:

JOHARI WINDOW[21]

	I know about myself	I do not know about myself
Known to others	ARENA	BLIND SPOT ← feedback
Unknown to others	sharing HIDDEN	← revelation MYSTERY
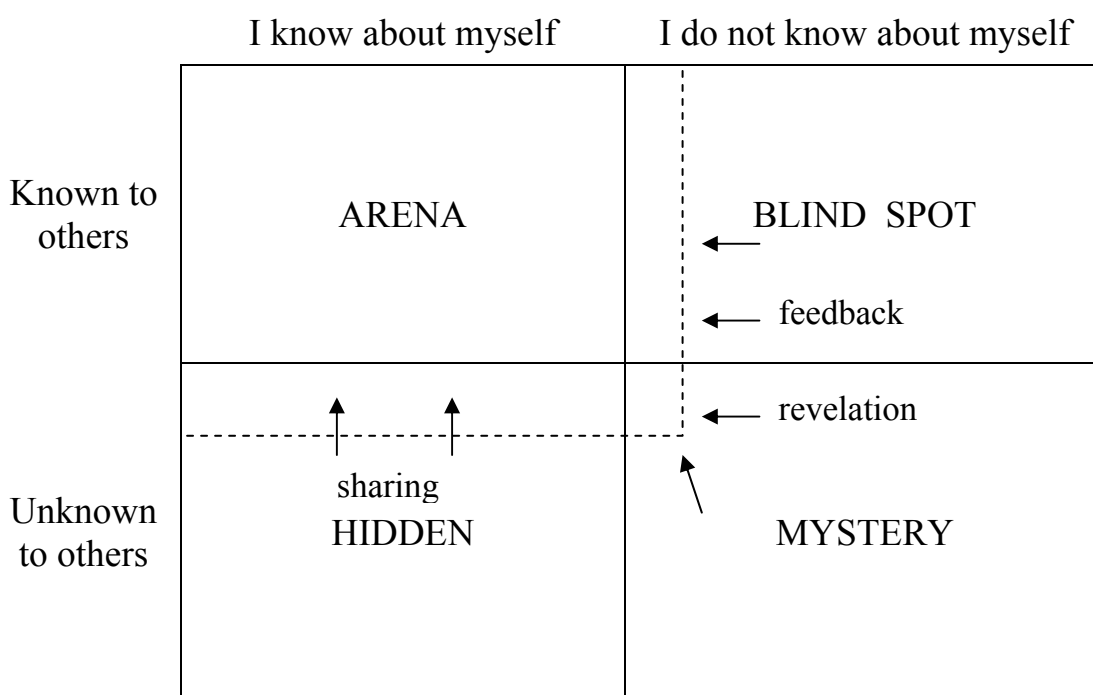
The Johari Window consists of four panes, each of which presents different types of the knowledge about oneself including feelings behaviours, and reactions.

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[21] Adapted from A.Hope et al Training for Transformation Mambo Press Gweru 1996

ARENA   The part of oneself which is known to the self and to others. This is for mutual sharing.

HIDDEN   That part of oneself that is known to oneself, but not shared with others. This may remain hidden but it may also help clear the air if shared, and build trust to make communication easier if one minimises the size of this pane.

BLIND   That part of one which is known to others but unknown to one. Tone of voice, a conflict in which one may involved, a good trait of which one may not be aware may be in this pane.

MYSTERY That part, which is unknown to others, and also unknown to oneself. Here are talents or unpleasantness that you do not know you have and others have never seen. But they are a part of the individual and may one day come to the surface.

The panes of the window can be larger or smaller, depending on an individual's ability to give and receive feedback.

The more people are willing to open and make the ARENA bigger the easier communication will become and creativity will be unleashed.

Cultural Differences

Communication styles in words and gestures vary as much as national or local cuisines in the world. Direct and indirect feedback is different in different cultures, but if we agree to change, we have to be open to the change effort.

LAUGH AND SCORN AT ANY DISABILITY, ONLY WHEN YOU ARE DEAD
ZIMBABWE Shona proverb

For each of the communication needs you identify, consider which of the following communication alternatives, or combinations of the alternatives, can assist you in strengthening linkages with various partners or stakeholder groups. You may want to add other alternatives to the list below.

- existing communication channels
- workshops and conferences
- seminars
- networks
- radio
- television
- videos
- tape recording
- leaflets
- flipcharts
- slides
- newspapers
- focus groups
- meetings
- one-to-one interaction
- reports
- internet
- email

5.2.4. Points to remember when selecting communication alternatives

1. Communication linkages depend on ongoing interaction. Different ways of communication may be appropriate at various points in time when working with different stakeholder groups. For example, initial contacts depend on person-to-person interaction. Focus groups or community meetings may be important for programme or project planning. If people in a community are used to listening to radio programmes for information, this can be an effective way of communicating about the opportunity for community participation.

2. A communication plan will include using various means of communication to maintain linkages. For example, in some communities, tape recording some group or individual discussions for inclusion in radio programmes can be a good way of getting more people interested in a specific issue. Videotapes that can be played in meetings are also useful.

3. When identifying communication alternatives for working with rural people, keep in mind differences in how people communicate depends on their sex, class, age, ethnic group, and activities. Working with existing men or women groups, religious groups, etc. can build on communication linkages that are already established.

4. Whenever possible, include existing communication patterns in your communication plan. Communication patterns are very socio-culturally and situation specific. It is important to know as much as possible about how stakeholders typically communicate within their groups and with other groups.

5. Building and maintaining good communication linkages is the key element of networking and of participatory development. Although it involves time and resources, the overall process supports the sustainability of development programmes.

6. Gender and diversity empowerment should be part of the communication process

5.3. Facilitating field level participation in the policy process

A policy is a course or principle of action adopted or proposed by a government, organisation, business, or individual. In effect, a policy is a plan or set of guidelines, which determines decisions and actions. Policy connects the macro with the field-level. Policy also helps define the alternatives that are available to individuals and families and influences their activities. Intermediate organisations and institutions serve to link the macro and field levels in the policy process. Hence field level participation in policymaking can be facilitated through intermediaries.

Policymaking reflects socio-cultural constructions within the policymaking bodies themselves such as laws, values, and norms. Communication channels must be open throughout the policy process if participation is to be part of the process. The input of stakeholders, women and men, should be included and encouraged through the process of planning programmes and projects. This requires access to management in institutions and representation in management decision-making and operations.

There are certain processes an institution must have in place in order to facilitate participation of all stakeholders in the policy process. Having certain issues on the policy agenda is key to the policy making process. Institutions can provide access to individuals and groups in communities to decision-making and to centres of power. This is necessary if all groups are to have input on agenda setting. In many, if not most, instances, certain groups of people have been excluded from agenda setting because of sex, ethnicity, place of residence, class, income, education, and other factors. In order for this to change, institutions need to make a commitment to include a wider group in the policy making process.

5.3.1. Functions required in intermediaries to facilitate participation from the field

Certain functions must also occur at the community or field level to support stakeholder involvement in gaining access to the policy process and putting issues on the agenda. Groups in communities need to cooperate with each other in order to gain access to political power.

The table below summarises functions and processes in intermediaries and at the field level that can facilitate participation in the policy process. A simplified five-step policy process is outlined in the left column that specifies functions required by the intermediate level to facilitate participation at the field level in the policy process.

Fulfilling these functions depends on good communication between the intermediate and field levels.

The simplified five-step policy process in the table below is outlined as:

1. Define the issue;
2. Examine policy alternatives;
3. Make policy choices;
4. Implement policy; and
5. Monitor and evaluate the effects of the policy.

Participation in the policy process

A five step policy process	Intermediate functions to facilitate participation	Implications at the field-level in terms of participation
1. define the issue	- provide access to agenda setting - share leadership with community members - provides open channels of communication - facilitate communication between field level and macro-level policy makers	- women and men from all community groups participate in defining the agenda - community groups take a leadership role - community groups provide information to support definition of issues
2. examine policy alternatives - evaluate options - formulate policy alternatives	- provide the organisational capacity to co-ordinate examinations of alternatives - provide structure for participation in planning - encourage policy alternatives to be	- women and men from all community groups participate in reviewing information - policy alternatives are formulated collaboratively

		formulated collaboratively
3. make policy choices • formulate choice-making criteria • analyse policy trade-offs	• provide access to the management process • promote community representation in decision-making about alternatives • analyse policy trade-offs collaboratively and make choices	• women and men from all community groups participate in developing choice-making criteria • policy trade-offs are analysed collaboratively and choices are made
4. policy implementation • formulate implementation procedures • evaluate potential implementation impacts	• provide access to implementation planning • maintain linkages between field level and macro-level policy makers • plan and implement programmes/ projects	• women and men from all community groups participate in planning programmes/pro-jects to implement policy • communities participate in implementation phase • feedback on implementation given back to institutions
5. monitoring and evaluation • What went right?	• provide structure for monitoring and evaluation	• women and men from all community groups contribute

• What went wrong?	• promote a participatory approach to monitoring and evaluation • consistently use information to make positive adjustments at all points in the process • facilitate field-level feedback to macro-level policy makers	to planning monitoring and evaluation • community members participate in gathering monitoring and evaluation data • community members participate in planning and making adjustment based on monitoring and evaluation

5.4. Gender policy statement and checklist for gender integration

The most important factor for an organisation in terms of the integration of gender is to ensure that gender equality issues are part of the total internal programme and management process. The following checklist includes critical elements for integrating gender in programming and reflects whether there is a gender policy statement in your organisation or not[22].

While there is often an emphasis on a balanced sex ratio among staff, that does not mean that balance will, in and of itself, assure the integration of gender issues into programming.

5.4.1. Gender policy statement

Use the following checklist as part of planning, monitoring, and evaluation exercises, either in-group settings or by managers. Consider each item on the checklist in terms of whether it is true or false for your organisation. If you find that most of the statements about integrating gender into overall programming are false for your organisation, you may want to focus on those items in future planning. There is no set scoring for the checklist; it is only a self-assessment tool.

If your organisation does not have a gender policy, you may want to consider developing one.

Category	True	False
Gender policy statement		
a. Our organisation has an assessment of gender issues		
b. Our organisation has a description of values, principles and mission that will guides the organisation's gender policy		
c. Staff and partner organisations participate in the development of gender policy		
d. Senior management demonstrates commitment to gender policy		

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[22] Hamerschlag, Kari and Annemarie Reerink. Best practices for Gender Integration in Organizations and Programs from the InterAction Community: Findings from a Survey of Member Agencies. Commission on the Advancement of Women, 1996.

Gender policy statements are very specific to individual organisations, so the exact statement of that policy will depend on the external and internal context of your own organisation. The example below simply illustrates one approach to a policy statement.

Example of a Gender Policy in organisation X

Proposition: Gender participation is a value evident both within our organisation and within our projects.

What we see is gender equity in employment, salaries, benefits, privileges, education and training, representation in board and staff and decision-making.

We schedule meetings with consideration for activities that may bias attendance.

There is a protection from sexual and verbal harassment.

Programme implementation promotes justice for both women and men.

5.4.2. Checklist for gender integration in programming

Using the checklist below, indicate whether the statement on the left is true or false. If your organisation score contains more false than true statements, a strategy for the integration of gender issues in programming requires serious consideration.

Category	True	False
Gender integration in programming		
a. Sex disaggregated data are routinely collected		
b. Gender analysis is part of programme planning		
c. Women's organisations are consulted when appropriate		
d. Our organisation has clear procedures for integrating gender concerns into projects		
e. Monitoring and evaluation measure participation of and impact on males and females		
f. Our organisation provides gender training and programme support		
g. Our organisation provides follow up to gender training with specific tools and methods for institutionalising the integration of gender throughout the organisation		
h. There is a balanced representation of women and men in senior management		
i. There is a balanced representation of men and women at all levels of staffing		

Example of one NGO's efforts to integrate gender into programming

• Broad-based capacity in integrating gender considerations as a core quality of the organisation was developed over a three-year period.
• There is increased understanding of measurement of empowerment, including the identification of core conceptual indicators of women's empowerment.
• Most of the programme country NGOs that received training and follow up assistance in gender has replicated this with their partners.
• Field offices are becoming more systematic and comprehensive in conducting a gender analysis of their programmes.

MORE TOOLS FOR
INSTITUTIONAL GENDER CAPACITY ANALYSIS

PURPOSE OF THE TOOLS

▪ To enable participants to carry out institutional gender capacity analysis
▪ To give the opportunity for institutions to share experiences on gender institutional capacity
▪ To sensitise participants about the importance of engendering their institutions

Agenda

1. Introduction to the subject and to session objectives – revise the linkages between the 3 levels of analysis (micro- intermediate – macro)
2. Gender barometer – game
3. Reflections about the game: aspects to consider when doing a institutional gender analysis
4. Revision of Venn Diagram – Institutions involved in a certain project – division of groups for the group work
5. Work group – Institutional gender analysis
6. Presentation of work groups and discussions
7. Final conclusions and recommendations

1. Gender Barometer

Objective: participants reflect about their perceptions of gender roles at the workplace

Time: 30 m

Session guide:

➢ Tell the participants that they will play a game making their perceptions of gender visible
➢ Place 3 drawings on the floor, one showing a smiling face meaning full agreement in one end of an imaginary line, another, on the opposite end of the line showing a sad face, meaning full disagreement and finally one in the middle, showing uncertainty or neutrality.
➢ Ask the participants to stand up and gather in the middle of the room. Tell the participants that they will be asked to place themselves around the different faces, to express their opinion on statements, which will be read out by the facilitator.

Examples of statements on gender roles at the work place: (statements should reflect the specific social-cultural norms of the region where the training takes place)

▪ Secretaries are expected to be women
▪ Women can assume top posts with the same efficiency as men
▪ A mixed environment at the work place, with women and men, is more conducive to increase efficiency and creativity;
▪ Women with small children have the same opportunities as the others at the work place;
▪ Working women are more prone to betray their husbands
▪ Women should not have a higher salary than men
▪ Men can also take a special leave to care after their children, in case of sickness, accidents, etc.

➢ After the exercise, ask participants' feelings and perceptions about what they observed during the exercise. Ask the participants what issues were raised during the exercise reflecting institutional gender capacity and how this affects gender at the work place.
➢ The group discusses gender capacity analysis, integrating the contributions of the participants in each level
➢ Explain that some of these issues will be further analysed during the following group work.

2. Venn Diagram

Explain that as the first step to doing an institutional gender capacity analysis (at the intermediate level) it is necessary to identify which institutions are or will be involved in a certain project. The participants are invited to draw a Venn diagram that shows what institutions are involved and what linkages they have between them. Explain that they will be analysing gender sensitivity in those institutions, including the one they belong to, during the group work that follows.

Divide the participants into different groups (the number of groups depends on the total number of participants) according to the type of institutions they belong to (e.g.: training/ research institutions, government, NGO´s) – the division into groups can me made in advanc, according to the participants list.

Ask the participants whether they are happy with the proposed division into groups.

3. Gender Capacity Analysis – group Work

Objectives:

- Enable participants to reflect about gender sensitivity at their institutions

- Give an opportunity for participants to share different gender approaches at institutional level

1. After dividing participants into groups, distribute one hand out for each group, providing them with the topics they should discuss (hand out 1, 2 and 3)

2. After each group presents and discusses the group work, ask the participants about the conclusions and recommendations they would like to take with them to their institutions.

GROUP 1   *HANDOUT 1*

Governmental Institutions

Please analyse the following issues within your organisation:

1. Policy with regard to gender and development
2. Organisational structure for gender and development (location and number of GAD staff, their function, etc)
3. Perceptions of staff members at the different levels in the organisation (headquarters/field level) on gender issues and how they affect their work.

Share your experience with the other group members for each of the above-mentioned topic

Summarise the different experiences and divide them into:

- Constraints
- Driving forces

GROUP 2   *HANDOUT 2*

NGO´s

Please analyse the following issues within your organisation:

1. Integration of gender into project planning, implementation and monitoring
2. Gender sensitivity of the organisation (ration of female/ male staff; the level and the specific occupations in which men and women predominate; facilities and support systems provided for male and female staff)

Share your experience with the other group members for each of the above-mentioned topic

Summarise the different experiences and divide them into:

- Constraints
- Driving forces

GROUP 3   *HANDOUT 3*

Training And Research Institutions

Please analyse the following issues within your organisation:

1. Organisational policy with gender implications
2. Training capacity in the field of gender
3. Publications, studies, etc for their language in respect to gender

Share your experience with the other group members for each of the above-mentioned topic

Summarise the different experiences and divide them into:

- Constraints
- Driving force

In plenary share proceedings of groups discussion and discuss what can be done to reduce constraints and increase the driving forces.

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4. Organisational Gender Scanning[23]

Step 1

Make a preliminary scan of the strengths and weaknesses of an organisation by using the SWOT Framework for Quick Institutional Gender Scanning below[24]

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[23] Adapted from an unpublished NOVIB Gender Organisational Scanning Tool NOVIB Gender Unit The Hague 1998
[24] Gender Assessment Studies a manual for gender consultants Annet Lingen et al ISSAS The Hague 1997.

Aspects of the organisation that are important for gender equality	Strengths	Weaknesses
Type and general capacity -mission statement and area of competence -efficiency and effectiveness -other		
Policy on gender equal rights and opportunities **-absent** **-active or only present on paper** **-rational for policy** **-contents**		
Strategies and activities regarding gender equality and opportunities -strategy for gender equality -strategy regarding participation of women in target groups -experiences with women's activities -other		
Structure of the organisation **-structure and division of responsibilities** **-rules, procedures, and**		

responsibilities **-Flow of communication**		
Human resources for a **gender equality policy** -quantity -knowledge skills and motivation of staff -training -sex ratio at various levels -selection of staff -terms and conditions for equal opportunities -gender sensitivity as a requirement of performance -other		
Financial and physical resources for a gender equality policy **-Quantity** **-other**		
Culture of the organisation **- gender and image of** **organisation** **- staff and women** **perception of gender in the** **organisation** **-compliance with gender** **sensitive** **behaviour in language,** **procedures and materials** **displayed** **-openness to learning and** **change** **-other**		
Cooperation with other		

organisations -existing cooperation -potential for cooperation -level of contact with organisations dealing with strategic gender issues		

Answer the strengths and weaknesses per block and grade them [1] for high scoring, [2] for medium scoring, and [3] for low scoring. Calculate the average per block. You can see which blocks are stronger and which ones are weaker.

Step 2: Dynamic Analysis

The objective of the dynamic analysis is to analyse the functioning of the organisation. On the basis of the Quick Organisational Gender Scan ask the following questions:

- Why is it the way it is?
- What changes are currently taking place?
- How can strengths and weaknesses be explained?

In answering these questions three types of dynamics should be addressed:

HISTORY – PRESENT [e.g. has something changed over time, how has the organisation responded to the changing external environment].

INTERNAL – EXTERNAL [e.g. what external factors are influencing the organisation: are there specific external expectations or demands?].

TOP – BOTTOM [e.g. how are decisions being made, who introduces change/innovation, what are the energy points in the organisation].

☞ What are the main strengths and weaknesses the dynamic analysis helps you identify?
☞ Go back to the building blocks and identify which blocks correspond with the strengths and weaknesses now identified. The dynamic analysis adds an extra dimension to your earlier quick scan. Consequently the outcome could be different.

Step 3: Diagnosing

The objective of diagnosing is identifying strategies for change.
For a strategy to be successful a number of requirements need to be met:

- it needs to be explanatory
- it should be based on an understanding of the organisation
- it should be acceptable to the organisation
- it should be realistic.

- What strategies for change can be identified? In which building block can the organisation start [entry point] and which building block refers to the objective to be attained [exit point]

- Write entry points in the building blocks to indicate (with arrows) on how organisation can plan to reach their point of satisfaction [i.e. objective]. Including other building blocks could be an option. This is the strategy or route through the organisation.

Step 4: Activity plan: Identifying what to do.

- On the basis of the dynamic analysis and diagnotic process we can now identify activities that will help in mapping out the route and attaining the desired objective. Write down the key activities per identified building block.

It is important to keep in mind the external context of the organization so that the appraisal is contextualised. What could be high performance in one situation could very well be low in another. It is also recommended to do this scanning exercise with different people from the same organisation or people who know the organisation well.

6. STRATEGIC PLANNING PROCESS FOR AN ORGANIZATION

A strategy is all those activities that set the course for an organisation and help keep it on course to fulfil its mission. Strategic planning provides a framework within which programmes and projects can be developed, implemented, monitored, and evaluated by an organisation. It gives a common direction for an organisation or group.

6.1. Steps in strategic planning

The steps outlined on the following pages include:
1. Developing an organisational mission statement
2. Setting goals
3. Defining objectives
4. Deciding how you will turn objectives into a results framework
5. Monitoring and evaluation

Application of the steps in a strategic planning process should include attention to the guiding principles of the SEAGA approach. The assumption is made that the process will include stakeholder participation in all of the steps; such as in the development of a mission statement; defining goals and objectives; and monitoring and evaluation of processes.

The Guiding Principles of the SEAGA approach

1. Gender roles and relations are of key importance.

2. Disadvantaged people are a priority in development initiatives.

3. Participation of all stakeholders is essential for sustainable development.

6.2. Process for strategic planning

Organise a schedule for the strategic planning process. The entire process may take several months because a lot of thought and information is needed for the process to be successful.

Do initial stakeholder's analysis for your organisation or group. Then assign individuals or a task group to identify alternatives for stakeholder involvement in your strategic planning. This may require field-level focus groups, informal interviews, providing transportation to facilitate involvement and other alternatives.

Choose facilitators for the strategic planning process. It is often useful to involve outside facilitators, who have experience helping groups with strategic planning, since effective results at each stage require strong group facilitation skills.

Allow adequate time for each step of the process. Usually the best part of a day is necessary to reach consensus on different aspects of the process. Key stakeholders should participate directly at all times if possible. Care should be taken to facilitate the involvement of women and disadvantaged groups in a non-threatening manner.

Materials that may be useful include:

Any existing organizational plans, including vision or mission statements.

Sources of information about stakeholders.

Flip charts, markers or chalkboard and chalk.

An overhead projector.

Example of a task force plan for involving stakeholders:

1. Complete an initial stakeholder analysis.

2. Have one or 2 task force members make an initial contact with all stakeholder groups, starting with field level stakeholders. This initial contact should provide the opportunity to get more information about whether the stakeholders identified are the right ones, which other stakeholders should be included and which alternatives are the most likely to be effective in involving all stakeholder groups.

3. Revise the stakeholder analysis based on initial contacts.

4. Make plans for holding focus groups that involve members of stakeholder groups.

5. Form separate focus groups at the field level according to gender, socio-economic group, age, etc. to make sure that every group has a chance to present their own views. (The Participatory Rapid Appraisal Guidelines in the SEAGA Field-level Handbook may be useful in planning these initial focus groups.)

6. Remember to include groups from within your organisation as internal stakeholders.

7. Based on focus group discussions, develop plans for continued involvement of stakeholders in the strategic planning process.

6.2.1. Developing an organisational mission statement

The first step in strategic planning is to develop or review your organisation's mission statement. Five basic questions can help with this process:

1. What is the mandate for your organisation or group? Why does it exist?
2. What do your clients or constituents expect from your organisation?
3. What do you expect of yourselves?
4. Who are your primary stakeholders?
5. How do you plan to go about your business, what are your primary functions (e.g., information, services, research, policy)?

A mission statement addresses the organisation's or group's fundamental reason for being and specifies the functional role that the organisation or group is going to play in its environment.

A mission statement should clearly state the scope and direction for activities and, to the extent possible, provide a framework for decision-making by people at all levels of the organisation. All programme or project plans should fit within the scope of the mission statement.

The information you have about your stakeholders is critical at this point. Gender awareness among stakeholder groups is crucial for ensuring your mission statement reflects gender equality issues. Listen to differences of opinion and be aware of differences in expectations among men, women, management and staff.

Take the time necessary to get general consensus about the wording of the mission statement, and on how the mission statement reflects gender awareness. You may need to come back to this as you work on your goals and objectives.

Example of a Mission Statement

Our mission is to promote improved human welfare among rural communities (including women and men) in the Eastern Districts of the country.

NOTE: Some mission statements may be more complex than this example. It depends on the organisation.

6.2.2. Setting a goal

A goal is the end toward which your organisation's efforts are directed. A goal is what you hope to accomplish—it is broader than an objective.

A goal statement should focus on an end result you hope to influence over a 3-5 year period. It should be stated so as to include any special considerations for specific stakeholders, taking gender considerations and disadvantaged groups into consideration.

Remember to think about how things will change if the goal is attained in 3-5 years. The goal should be consistent with your mission statement. In setting a goal, it is helpful to list other groups that are also likely to be working toward that goal.
Given the complexity of problems that development organisations typically address, it is important to be realistic about which part(s) of a long-term goal you can successfully tackle. A goal should be narrower than your organisation's mission, identifying one or more ways to accomplish your mission.

Example of a Goal Statement

To support community development water supply, sanitation and hygiene promotion.

6.2.3 Defining your objectives

An objective is a specific end point resulting from one or more actions or activities. It describes a measurable, observable change for which you are willing to be held responsible.

The objectives for any programme within an organisation provide a basis for planning activities, allocating resources and developing monitoring and evaluation plans. Representatives of stakeholder groups should participate in setting objectives.

Examples of Objectives

- To build partnerships that help improve rural water supply in the eastern region over a three-year period.
- To build partnerships that support the improvement of hygienic practices adopted by male and female members of the rural population in the eastern region over a three year-period
- To improve women and men staff member's capacity in addressing the socio--cultural, economic, and technical problems related to rural health over the next year.

NOTE: These objectives are still at the level of the total organisation. As planning proceeds, programmes and projects designed to help meet these objectives will have more specific objectives

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In general, objectives are independent of one another, although they all point toward a common goal. Progress toward each objective can be evaluated and changes can be more specifically targeted as a programme evolves.

If there is a need for special attention to a particular group, it should be stated in an objective. An example illustrating how to make an objective specific is given below. This objective is at the project level.

Examples of clear objectives

"Improved water supply for households in the southern region." is a very general objective.

"Improved water supply for male and female headed households in the eastern region through a 50% increase in the number of both types of households with access to clean water in three years time" is an objective that specifies, that measures impact focus on both types of households and on the change in access to clean water.

NOTE: Refer to the SEAGA Project Cycle Guide for more help on project-level objectives[25]

Other points:

An objective should be clear, precise and objectively measurable.

It should be directly linked to your organization's goal.

It should specify when special attention   needs be paid to various stakeholder groups, including special attention to gender differences and the needs of disadvantaged groups.

Care should be taken not to develop too many objectives for any one programme.

Your objectives describe how you want the current situation to change.

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[25] Bishop-Sambrook. "SEAGA and Project Cycle Management: Technical Guide Integrating Socio-economic and Gender Analysis into project Cycle Management." March 2000.

Relationship between mission, goal and objectives

Organizational

Goal

Program Objective 1

Program Objective 2
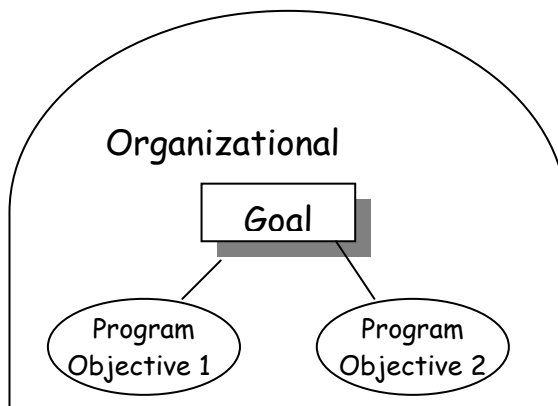
6.2.4 Turning objectives into a results framework

• Development donors and aid recipients increasingly insist on effective and efficient public resource allocation. More and more, organisations are faced with the challenge of clearly demonstrating the results of their programmes. One approach that can assist an organisation in this process is "results based management" [26].

A results-oriented approach improves management effectiveness and accountability by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance.

Sources: UNDP, Canadian International Development Agency.

UNDP identified key considerations for results-oriented approach to planning. These have been adapted for use in this Handbook. They are as follows:

Your organization should be clear on the objectives it wants to achieve and help managers in their performance rather than merely measuring results.

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[26] Note on Results Based Management. Operations Evaluation Department. World Bank 1997.

Your organization's objectives should include planning and reporting functions.

The culture and specific nature of the organization (the development context) must be taken into account when defining a results based management system.

Implementation of results based management is a learning process that takes time. By applying the approach, your organization will learn how to adapt it so that it best fits your needs. It is a work in progress.

It is essential to keep the approach simple. It should not contradict or complicate existing planning and reporting requirements. It should not lead to an increased workload.

A results framework includes your organisation's goals and objectives. It then moves toward defining inputs, outputs, outcomes, and impacts. Inputs and outputs reflect the process of implementing projects and programmes and other activities.

Outputs are short to medium term results of activities. They should be included in your organisation's monitoring, evaluation, and reporting system.   Achieving outcomes depends on common problem analysis, goal-setting and joint action among beneficiaries and stakeholders who have an interest in and the ability to influence the development process. Where possible, evaluations should focus on impact.

Inputs are the resources invested in programme activities.

Outputs are specific products and services that result from programme activities.

Outcomes are material progress toward achieving goals.

An example of a result's perspective

- **Results are Outputs and Outcomes**

Inputs	→	Outputs	→	Outcomes	→	Impact

Expertise	People trained	Jobs created	Family well-being
Money	Loan services	Incomes	improved:
Equipment	provides	increased	Education/health
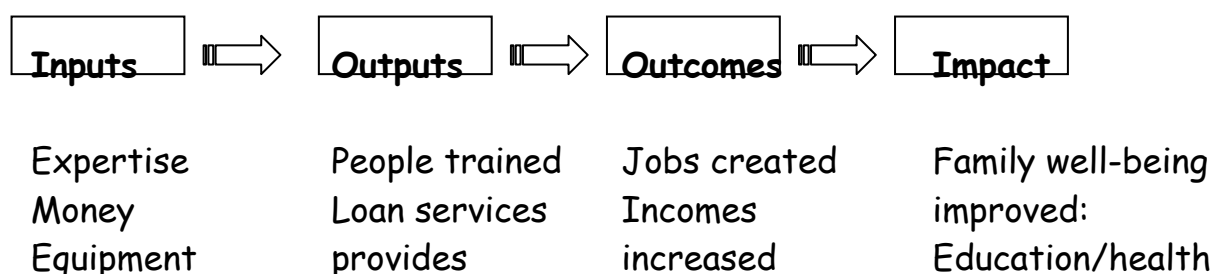
Impacts are the results that can be attributed to programme outputs and outcomes.

Once your organisation has agreed on a mission statement, broad goals, and specific objectives for it programmes, it is necessary to decide on strategic actions to achieve these goals and objectives. You want options that are possible given your resources and constraints.

When working out the costs and relative effectiveness of various options, it may be helpful to divide into task groups. When comparing various options, the participation of key stakeholders is essential. Several key points should be considered:

Realistic estimates of staff time needed and available to implement plans.

Carefully assessment of needs and costs for capacity building to implement plans.

Communication channels within and without the organization needed to facilitate action.

Clear delegation of authority and responsibility.

Plans for continued participation of stakeholders.

Timelines with checkpoints to monitor progress.

6.3 Organisational performance

6.3.1. Monitoring and evaluation

Monitoring and evaluation is one way to examine organisational performance, and will be dealt with in detail in a later section in this Handbook for more help on developing indicators. However, it is important to mention here that the emphasis should be on:

Monitoring of substantive development results instead of inputs and the implementation process

Monitoring and evaluation of results as they emerge instead of at the end of the entire project

The inclusion of key male and female programme stakeholders

The application of information gleaned from monitoring and evaluation for the improvement of strategies, programmes and other activities.

Indicators for use in monitoring and evaluation should be identified during the formulation stage of a programme, project, or other activity when the objectives are being written. The following questions should be asked when developing indicators.

What are the intended results of the programme, project or activity?

Who are the key stakeholders and what are their needs and expectations?

What changes are anticipated as part of the programme, project or other activity?

What are the criteria for judging the success of the programme, project or activity?

7. ADDITIONAL TOOLS FOR PLANNING

A selection of guidelines and tools for various planning purposes is presented in this chapter. You should review the various options and use those that will best assist your organisation in its current planning process.

The emphasis in this Handbook is on tools for organisations and programmes, but some of the tools will also be useful in project planning. *NOTE: For more specifics on project planning, refer to the SEAGA Guide on Project Cycle Management and the SEAGA Field Level Handbook.*

7.1 Force field analysis

Force field analysis helps individuals or groups plan specific actions for achieving change by focusing on forces that facilitate or constrain that change. The basic idea is that:

Facilitating forces support the desired action or change. These forces should be enhanced whenever possible.

Constraining forces act against the desired action or change. These forces should be minimized or removed whenever possible.

Force field analysis is an action-planning tool to help achieve the enhancement or minimization of forces.

Suggestions for force field analysis

Plan adequate time for each step of the process. It is helpful to work in small groups, which then take the time to share their work with each other before going on to the next step. This helps in reaching consensus on what the forces are and provides information from all groups when planning actions. Key stakeholders should participate directly in this if possible.

Useful materials
Flip charts and markers or chalkboard and chalk.

7.1.1. Step 1. Identifying the facilitating and constraining forces

An easy way to begin to identify the relevant forces related to any change is to prepare a table on a flip chart as a group, which answers the following: (You may add other questions as you proceed.)

Facilitating Forces	Constraining Forces
• What existing conditions can help achieve the change you desire? • What resources, including financial, human natural and socio-cultural, can contribute to the change? • How can existing infrastructure and services support the change? • Which groups are already working on the issue and how can your efforts be co-ordinated? • Which groups support the change? Are there gender differences?	• What existing conditions constrain the change? • What financial, human, natural, and socio-cultural resources are lacking or limited? • What blockages are there to gender related objectives? • Will the lack of infrastructure or services hinder change? • Are there groups who do not support the change? Are there gender differences?

Once the facilitating and restraining factors have been identified, they should be prioritised in terms of the intensity of their influence on the action or change being analysed.

7.1.2. Step 2. Prioritisation of facilitating and constraining forces

Example: Action desired—to improve delivery of extension messages to male and female farmers in District X

Facilitating Forces	Constraining Forces
(3) community support (1) donor resources (2) active NGOs in community (5) extension services (4) farmer's groups	(5) lack of experience of current extension workers in the district (2) weak district extension infrastructure (3) time (extension and farmers, especially women) (4) low literacy rate in community (1) low participation rate at community level

7.1.3. Step 3. Maximise the facilitating forces

Facilitating Forces	Constraining Forces
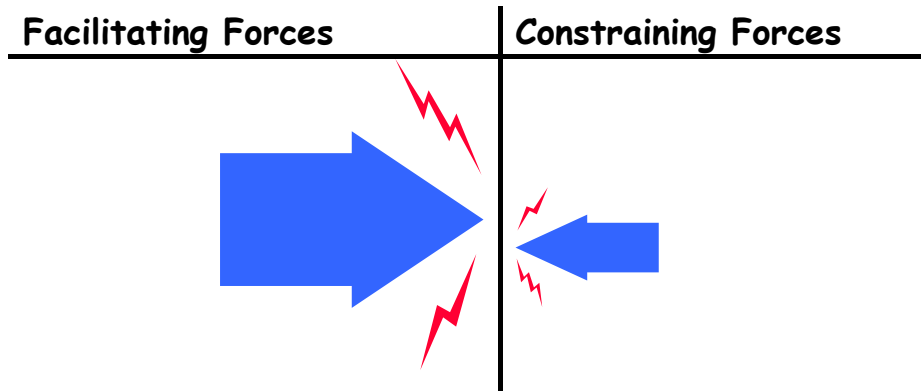
After the facilitating and constraining forces are prioritised, each force should be analysed to identify actions that can be taken to maximise or minimise the force. Putting each force on an individual page of a flip chart is helpful in this process.

It is usually most helpful to first think about actions to maximise the strongest facilitating forces. Then, think about actions to maximise the other facilitating forces. The idea is to add as much "force" to the facilitating side as possible.

7.1.4. Step 4. Minimise the constraining forces

After planning actions to maximise facilitating forces, list each constraining force and think about actions to minimise those forces. Again, the idea is to minimise the total constraining "force field." Sometimes, the weakest forces are the easiest to eliminate or minimise and acting on several of them will have a strong cumulative effect. Other times, it may be critical to act on the strongest constraining forces.

At this point, it is important to identify specifically actions for maximising facilitating forces and minimising constraining forces.

7.1.5. Step 5: Action planning

Several key questions must be answered for each action identified.
- What are the specific steps necessary for each action?
- What is the order of the steps to be taken?
- What resources are needed and how will they be made available?
- Who is responsible for each step?
- What is the timetable for each action step?
- How will you know when the action is completed?

The answers to each of the above questions should be charted on flipcharts and discussed until consensus is reached. Persons responsible for each action step should commit to taking the action step during the time agreed upon.

It is useful to agree upon a method of monitoring progress and to set a time for a follow-up group meeting to adapt the action plan if necessary.

7.2. The G-M-R MODEL[27]

The G-M-R model is a powerful planning and problem solving models.

The model emphasises that the first step in any planning or problem-solving activity is to develop and agree on the **G**oals that the plan or problem solution is intended to achieve.

The second step is to identify several alternative **M**ethods for reaching those goals and to select the best of the available methods.

The third step is to identify the **R**esources required to carry out the chosen methods and determine if the resources are available and if their costs are appropriate to the intended goals.

The process of moving between steps two and three must continue until an appropriate method and required resources have been selected or

It is apparent that the intended goals cannot be reached because an appropriate method and or resources are lacking. If it is clear that the intended goals cannot be met because resources are lacking, the next step is to determine if the goals are important enough to warrant diverting resources from other projects or activities.

If a diversion is not acceptable, the planner or problem solver must return to the goals of the program. These goals must be conscientiously and consciously reduced, modified or even eliminated in recognition of the reality of the situation.

If you do not know where you are going, you will end up some place elsewhere
Mozambique Tete Province Proverb

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[27] Richard Zackrison Effecftiveness Consultants Harare 1999.

7.3. Resource and constraints analysis

Understanding how individuals and groups allocate and use resources to manage risks, minimise constraints and maximise opportunities is a basic part of socio-economic and gender analysis. Resource management is a means for people to meet their practical needs for survival and strategic needs for change.

When planning for change, it is important to recognise that programmes ask stakeholders to invest their resources and that means taking risks. Risk is the possibility of loss. The level of risk is likely to be greater for some groups than for others. Minimising risk should be part of the planning process. The assumption is that there is a point at which the risk is not worth the potential outcome. When this is true for a stakeholder group, they are unlikely to invest resources in a programme or project.

Resource and constraints analysis is useful for thinking about how resources are and can be used within an organisation, as well as for analysing resources related to a specific project or problem. Remember that your organisation or group is a stakeholder in your programme and other development efforts, so any tool related to stakeholder analysis can be used internally to help assess your procedures, processes, and programmes.

7.3. 1 Step 1: Identification of resources

For each stakeholder group, list the resources they can contribute to a development programme or project.

The example below illustrates how combining resource analysis at three levels, assists in focusing on linkages between levels, and helps identify and prioritise action alternatives. The example of credit below uses hypothetical information. A more detailed analysis would break each level down by stakeholder group. Although the information is hypothetical in that is may not all be true in a specific situation, or for all women, it does reflect generalisations drawn from extensive empirical findings on common constraints faced by women. This example also illustrates the importance of focusing on gender relations in the planning process.

Example: Resources for women's use of credit

LEVEL OF SYSTEM

MACRO

- Government policy is becoming more supportive of small financial institutions.
- More women's groups are gaining policy influence.
- Worldwide research is documenting the success of women's credit programmes including women's record of high repayment of loans.
- Donors support women's credit programmes.

INTERMEDIATE

- NGOs and Community-based groups are establishing micro finance projects.
- There are successful models of credit programmes lending to groups of women.
- NGOs and Community-based groups are supporting women's micro enterprise development.

FIELD

- Groups of women can guarantee loans, making it possible for group members to access funds.
- Women have the ability to save small amounts, which contributes to the lending fund, thereby reducing cost of credit
- Specialised programmes exist with officers training in financial management skills.

7.3.2. Step 2: Identification of constraints

For each stakeholder group, think about the constraints faced by that stakeholder group. The same example used above is now used to illustrate the constraints analysis.

Example: Constraints to women's use of credit

LEVEL OF SYSTEM

MACRO

- The legal code does not make provision for women to inherit land.
- State controls require lending institutions to make loans only to clients with fixed capital as collateral (this affects landless women and men).

INTERMEDIATE

- Information about credit systems is provided through information channels primarily used by men.
- Loans require the signature of a male head of household regardless of who the credit applicant is.
- Lending institutions have explicit or implicit regulations again loans to women—based on assumptions about traditional roles and/or assumptions about availability of collateral.
- NGO groups are allowed to extend loans but not mobilise savings

FIELD

- Women have limited access to community-based service providers.
- Even when a woman is able to get a loan, her husband has control over the money from the loan.
- Women entrepreneurs often have less education and are less likely to routinely receive information and training than men—limiting their ability to obtain credit.
- Community based lenders provide loans to women, but only for amounts too small to build capital.
- Men often own land and other fixed capital.
- Women often have difficulty obtaining credit due to lack of ability to illustrate that they can save, the fact that they are women, and their lack of confidence in addition to the lack of collateral, traditional, and legal regulations and lack of education.

In the example above, all levels of the SEAGA approach are included. When planners work at the institutional level, they must be aware of constraints at other levels in order to plan most effectively for change. Including macro, intermediate, and field levels in the analysis also help determine which changes can be made internally and which changes require strong linkages to other levels.

7.3.3. Step 3. Analysing investments and risks

For this step, use the information gathered in the first two steps and discuss which resources each stakeholder group may need to invest to achieve a specific change being planned and how much risk that investment will involve. This step helps to assess whether it is realistic to expect stakeholder investment in a given process or action.

7.4. Analysing a problem

This problem-solving tool is designed to help analyse a problem by identifying the issues related to the situation, existing attitudes and individual and group behaviours.

To resolve a problem there has to be a change in the situation, a change in attitudes or a change in behaviours.

Attitudes play a part in a problem situation but focusing on changing attitudes is usually not a productive problem-solving technique. Attitudes do change, but through experience and through the availability of new information over time. Changing the situation and/or changing behaviour patters are the most effective for problem solving. Changing a situation and/or behaviour patterns also sometimes results in a change of attitudes.

To resolve a problem, something has to change—

The situation	Attitudes	Behaviours
• Information	• Shared attitudes	• Your own
• Structure	• Conflicting attitudes	• Others
• Processes		• Group
• Regulations	• Explicit attitudes	
• Resources	• Implicit attitudes	
• Personnel		
• Infrastructure		
• Other		
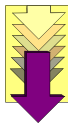
Different individuals or groups may perceive a problem somewhat differently. A good first step in the problem solving process is to clarify peoples' perceptions. Stakeholder analysis tools help to identify different groups' perceptions.

Process for analysing a problem

The tool for analysing a problem can be used by groups or individuals. Group use is more likely to maximise stakeholder input.

Have each group member complete a problem definition exercise. Facilitate a group discussion about the definitions, making sure all points of view are expressed.

Try to reach group consensus about the problem definition.

Depending on the size of group, work with the total group or small subgroups to complete the rest of the process.

Facilitate a group discussion to reach consensus on what changes need to occur to solve the problem.

Allow sufficient time for comprehensive discussion. It will vary depending on the size of the group and complexity of the problem. At least 3-4 hours is recommended.

Materials that may be useful

Paper
Flip chart and markers for summarising points.

7.4.1. Step 1: Stating the problem

The guidelines below can help you formulate a clear definition of the problem.

- Write the problem, as you perceive it.
- How do you think others perceive the problem?
- Identify the common elements of the different problem definitions.
- Identify the differing elements of the problem definitions
- Describe how the situation would be different if the problem was solved.

Examples of Problem Statements

- Related to project planning: "People in this community do not have good participation skills."

- Related to strategic planning: "Our organisation does not have enough resources for a new programme we want to start."

7.4.2. Step 2: Assessing the situation

This step helps clarify the various parts of the problem situation, specifies where more information is needed and begins to provide ideas for what changes might need to be made in the situation in order to solve the problem.

Problem solving depends on knowing what can be changed and how. For each element of the situation you have identified, describe how that element contributes to the problem. There may be more than one contribution for each part.

For example:
- More information needed
- Structure of the situation
- Processes
- Regulations
- Resources
- Personnel
- Infrastructure
- Others

7.4.3. Step 3: Assessing attitudes

It is helpful to be aware of attitudes, but we can only change our own attitudes. Planning change that focuses on changing other people's attitudes is rarely useful and difficult to do outright. It is however important to recognise that the values that affect our attitudes are constructed from our backgrounds. These values affect the way in which individuals take positions. One of the main features of SEAGA is that the poor and disadvantaged matter. Real commitment to the poor and to gender issues involves a conscious choice from those who come from more privileged backgrounds. (What Amilcar Cabral calls "class suicide")

As with perceptions about a problem, attitudes about the problem or the situation may be shared or conflicting. Differences may occur between attitudes of individuals and groups. These may, in some instances, be related to gender issues or other stakeholder group attributes, to historical factors, values or to having different information about a situation. Attitudes may be explicitly stated or implicit. It is helpful to clarify both explicit and implicit attitudes.

If attitudes about a problem or situation are shared, problem solving is simpler. However, as an analysis of attitudes evolves, those that initially seem shared may turn out to differ. If there are conflicting attitudes, it is important to focus first on aspects

of the situation or the problem on which there is agreement. Conflict resolution tools may be useful if there are strong conflicting attitudes.

The categories below can guide you in listing attitudes related to a problem situation

- Shared attitudes
- Conflicting attitudes
- Explicit attitudes
- Implicit attitudes

A STORY[28]

Tool to discuss differences in values and attitudes.

Nobuhle and Temba are engaged to each other, but live on the opposite sides of a wide river full of crocodiles. One day a storm destroys the only bridge over the river and Nobuhle can no longer cross to meet with Temba.

Nobuhle becomes so desperate to be with Temba that she goes to Sibanda, who owns a boat, and begs him to take her across the river to Temba. Sibanda says he will take her to Temba, but on one condition: that Nobuhle spends the night with him.

Nobuhle is so torn by her need to be with Temba and the price she must pay to go across to him that she cannot decide what she should do. Therefore, she goes to her mother for advice.

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[28] Adapted from Zackrison Richard Effectiveness Consultants Harare 1999

Nobuhle's mother says "daughter I have enough troubles of my own without taking yours on as well. Besides you are old enough to make your own decisions." Nobuhle goes to Sibanda and agrees to his condition. The next morning Sibanda takes Nobuhle across where she runs into Tembas arms. Temba is overjoyed to see Nobuhle, but senses that something is wrong. After much pressing from Temba, including his promise that nothing she could say could possibly come between them. Nobuhle confesses. She tells Temba all the details of the price she was forced to pay to cross the river to be with him.

After hearing the story, Temba becomes extremely angry and says dreadful things to Nobuhle. Finally, he states that he never wants to see her again, turns and walks angrily away. Nobuhle turns and runs sobbing through the forest where she meets her cousin, Ndumiso, who asks her what is the matter. Upon hearing her story, Ndumiso promises to avenge the wrong Temba has done to Nobuhle and sets off in search for Temba. When Ndumiso finds Temba he beats him up savagely while Nobuhle stands to the side watching quietly.

Task:

Each participant should rank order in the above story based on the degree to which they approve of their behaviour. Give 1 to the character they approve of most and 5 to the character they least approve of;

Nobuhle--------   Sibanda------   Mother---------   Temba-----------   Ndumiso--------

Facilitator needs to collect everyone's ranking and it is likely that the order will differ among participants discussion can be allowed depending on availability of time. The intention is to allow the participants to realise that we have different values and attitudes that make us take decisions.

The story can also be used to stimulate dialogue on participant's perception of men and women behaviours.

7.4.4. Step 4: Assessing behaviours

In problem solving, it is useful to examine our own behaviours carefully and assess alternatives for new or changed behaviour patterns that will result in more actions that are successful. Remember:

- We can change some things about a situation,
- We can change our own behaviours, and

- Working in a participatory manner, we can help create an environment to encourage new behaviour patterns for others.

The questions below can help analyse the behavioural aspects of a problem.

- How might changing your own behaviour influence the problem?
- How might changing group behaviour influence the problem?
- How might other's behaviour change influence the problem?

Behaviour patterns are the actions people take to cope with a particular situation. When a situation changes or becomes extremely stressful, it is normal to try to improve the situation using the same actions as we have used before. If that does not work, we try to use behaviour patterns learned in other situations, even though they may not be appropriate. So by assessing a problem situation as in Step 1, we can then be more specific about which behaviours are working and which ones are not for each aspect of the problem.

7.4.5. Step 5: Defining the problem in solvable terms

Once the problem is defined, and an analysis has been done of the situation, attitudes, and behaviours, you have enough information to define the problem in solvable terms.

A problem stated in solvable terms has specific information about what change needs to occur.

Examples of a problem statement in solvable terms

For example a general problem might be:
  "Our group does not directly work with communities."

Stating this problem in solvable terms would specific:
  "Our group needs to develop communication channels to improve community participation."

The latter statement provides a basis for identification of action steps for the development of communication channels.

7.4.6. Step 6: Finding ways to address the problem.

The previous steps in problem analysis focus on the current scenario to clarify what the situation is. This step focuses on a preferred scenario to think about what you want the situation to be. A few basic questions can guide this discussion and thinking.

- How would things be different if the problem is solved?
- How will you know that the change has occurred?
- What steps are necessary to achieve the desired change?

This step can also productively use brainstorming, force field analysis, or other problem solving methods to identify alternatives for addressing the problem once it is stated in solvable terms.

7.5. Conflict identification and resolution

The dynamics of change almost inevitably create conflict between the needs of different stakeholder groups. Conflict resolution and consensus building are needed to maximise the positive impact of change and, as much as possible, to enhance people's willingness to invest some of their resources in achieving the desired results.

Conflict identification is the first step for conflict resolution. Conflict identification is also a process that can serve to highlight potential and actual conflicts at many phases of planning.

7.5.1. Types of conflict

Conflict theory generally categorises conflicts into five types:

Relationship conflicts occur because of strong negative emotions, misperceptions, stereotypes, poor communication or repetitive negative behaviors.

Incompatible interests cause conflicts to occur when there is competition between perceived or actual incompatible needs.

Informational conflicts occur when people lack the information necessary to make wise decisions, are misinformed, disagree about what data are relevant, interpret information differently or having competing assessment procedures.

Structural conflicts are caused by patterns of human relationships that are often shaped by forces external to the people in dispute. Examples are limited physical and natural resources, authority, geographical constraints, time and organizational structure.

Value conflicts are caused by perceived or actual incompatible belief systems. Values are beliefs that explain what is good or bad, right or wrong, just or unjust. Belief systems structure people's relationships with the world around them, in this case, the development context.

Conflict is normal

- Conflict can be an important force for positive change
- Conflict can usually be managed to allow people to express their views fully and peacefully
- Underlying conflicts should not be avoided

Resources and Constraints Analysis in this Handbook provides a helpful place to begin to be aware of potential conflicts. When assessing the resources, constraints, risks and investments with each group of stakeholders, potential conflicts often become apparent. Competing interests, unequal risks, investments, and the potential payoffs for those investments all may lead to conflict if problem-solving approaches are not implemented in the planning process. Problem solving involves parties in a collaborative effort to meet each other's needs and mutual interests

Conflict identification should be a part of all planning and group discussions. The Circle of Conflict outlined in the following pages may be used directly in programme or project planning, as well as to examine intra-group conflict.

7.5.2. The circle of conflict

Unnecessary Conflict

RELATIONSHIP CONFLICTS
- Strong emotions
- Misperceptions or stereotypes
- Poor or miscommunication

VALUE CONFLICTS
- Day to day values
- Terminal values
- Self definition values

DATA CONFLICT
- lack of information
- misinformation
- different view of what is relevant
- different interpretations of information

STRUCTURAL CONFLICTS
- how a situation is set up
- role definitions
- time constraints
- geographic/physical relationships
- unequal power/authority
- unequal control of resources

INTEREST CONFLICTS
- Substantive
- Procedural
- psychological

Genuine Conflict

7.5.3. Process for using the circle of conflict

The first step in using the circle of conflict to analyse conflict is to have a facilitator briefly present the model. Facilitate a group discussion about the definitions of different types of conflict, making sure all points of view are expressed.

Working with the circle of conflict, have the small groups discuss and reach consensus on what type of conflict they have identified. They may agree there is more than one element in the circle that applies to their example.

Have small group's report to a plenary session and facilitate a discussion drawing out generalisations from the process.

Allow about 30 minutes for the initial presentation of the ideas, 45 minutes for small group discussion and 5 minutes for each small group report to plenary. A minimum of 30 minutes should be allowed for final discussion and summary.

Materials that may be useful
An overhead transparency or flip chart drawing of the circle of conflict
Copies of the definitions of types of conflict and the circle of conflict for all persons participating in the process
Flip chart and markers for summarising points.

7.5.4. Step 1: Conflict identification

The first step in working with conflict is to be aware of different types of conflicts and to be aware of tools.

The "Circle of Conflict" may be useful in identifying types of conflict. However, few types of conflict will fit neatly into one category; many contain elements of several types of conflict. By thinking about the total circle, we can begin to understand the various causes of differences and think about intervention strategies.

Value conflicts are the most difficult to resolve. Values change slowly over time. Any direct attempt to change people's values usually results in the exacerbation of differences. When conflicts seem based on value differences, the most productive approach is to recognise those differences and try to find specific informational, structural or interest conflicts that exist in the situation. These can then be approached through various consensus-building processes without challenging stakeholders' values.

If relational issues are dominant, we need to find ways to offer people new information about the other parties and their needs and interests. If lack of information or conflicting information is an issue, we need to focus on obtaining the data and clarification of why different sources may provide different information or different interpretations of the same situation. If there are perceived or actual competing interests, consensus building should focus on identification of alternative solutions to create as much of a win-win situation as possible.

7.5.5. Step 2: Conflict resolution

Conflict resolution is a 'special' discipline. Some conflict-resolution methods require a facilitator skilled in conflict management. The methods and tools included here are general ones, but necessitate experienced facilitation skills. It is important to recognise when someone skilled in conflict management should be involved in the process and not to assume that anyone can easily manage the process. Nevertheless, the basic methods presented here can be very useful in planning. Having some understanding of these methods can be useful in knowing when to bring in an expert.

Different cultures have different ways of perceiving, acknowledging, and resolving conflict. Development workers must challenge the assumptions they might make about conflict. Any efforts at conflict resolution as part of the development process should keep in mind the socio-cultural differences that exist about conflict, what the conflict means, how it is resolved and when it is actually resolved as far as the participant's perception is concerned. Many conflict resolution skills and tools are based on a "northern" perception of problem solving and conflict resolution.

The following questions are an important part of beginning to understand a specific conflict situation and to plan for conflict resolution.
• How is negotiation perceived?
• Which types of issues are more or less important?
• What is the appropriate protocol in a particular conflict resolution situation?
• Are communication patterns direct or indirect?
• What tactics are usually relied on to make an argument or present a point of view?
• Do participants have the power to speak for a group?
• What is the level of trust?
• Is free expression of opinions a comfortable culturally accepted option?
• What time commitment is reasonable to expect?
• How are participants accustomed to making decisions?
• What form of agreement is satisfactory?

Since we bring with us our own values and assumptions about conflict, it is helpful first to be aware of what our values and assumptions are, and challenge assumptions about how conflict is perceived in a specific situation.

7.5.6. Step 3: Perceptions about conflict.

First, examine your own perceptions about conflict. In response to each of the questions in step 2, think about these issues:

- What is my personal answer to this question?
- How do I assume other stakeholders will answer this question?

Discuss the questions with stakeholder groups to gain a clearer understanding of how conflict is perceived in the given situation.

There are usually differences in the level of power held by various stakeholder groups in a conflict situation. Women usually have less power than men. Disadvantaged groups have less power than other groups in most situations. Any conflict resolution facilitation must recognise these differences and include processes that support empowerment.

Power dynamics are rooted in any group at all levels. Facilitators should not assume that conflict resolution interventions would automatically provide the same opportunities for all groups to participate. Think carefully about inherent power differences among groups such as gender, age, socio-economic status, etc.

7.5.7. Step 4: Interest-based bargaining

People will most readily agree to plans and proposals that fully meet their needs and interests. Interest-based bargaining[29] is the key link between participation and conflict management. It depends on identifying values and interests that underlie positions. These interests are then used as building blocks to diagnose the causes of conflict. Understanding the causes of conflicts is the first step in designing processes for conflict management and focusing on options that provide psychological and substantive satisfaction to stakeholder groups.

In a local project setting, where many people may be living in poverty, interest based bargaining becomes critical. If local stakeholders are fully involved in planning, the needs and interest of various groups should be identified as part of that process. No conflict can be resolved if any group whose interests are affected by a dispute is left out of the conflict resolution process.

Conflict resolution requires accurate and adequate information. This includes improved communication between parties and a good analysis of information about the socio-cultural, economic, demographic, environmental, political and institutional factors underlying any given conflict. Examining the 'Development Context' as outlined in Chapter 2 is a useful exercise for analysing these factors.

Conflict resolution therefore includes an exchange of information among interested parties. It is important to remember that information is not value-free, not even so-called "objective data" collected using scientific methods. Processes for facilitating the exchange of information among parties should, as far as is possible, provide open consideration of all information as useful to conflict resolution.

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[29] Adapted from Pendzich, Christine. "Socio-culturally- and Gender-responsive Dispute Resolution for a Field Manual on Participatory Project Identification and Formulation." Prepared for FAO SEAGA Background Papers, 1994.

Issues, Interests and Positions		
What?	Why?	How?
⇩	⇩	⇩
- The question - What are the **issues**?	- The reason - What are the **interests**?	- A possible solution - What are the different **positions**?
Negotiable	Not negotiable	To be negotiated

People will frequently express their interests in terms of a single solution to a problem. In conflict resolution terms, this is called a "position." There is often a tendency to focus on bargaining among positions in the conflict resolution process. This tends to block the generation of creative solutions that could respond to the needs and interests of all groups involved. Instead it is better to focus on identifying and satisfying interests, and avoid bargaining over positions.

Understanding the difference between issues, interests and position in a conflict situation

Recent negotiations between indigenous groups in the eastern Bolivian province of Beni and government officials illustrate the difference between issues, interests, and positions.

In June of 1988, the recently formed Mojeno Regional Council of San Ignacio requested that the Bolivian government create a "self-governed territory" of the Mojeno tribe in the centre of the disputed Chiman Forest. Just a year before, the government had opened the requested forest area to commercial logging. The Mojeno Council's request launched an extended negotiation between Beni indigenous groups and the government, which culminated in a march of several hundred indigenous leaders on La Paz, the Bolivian capital in August 1990.

The issues under discussion during the negotiations were the location and size of the territory and whether or not commercial logging would be allowed on it. The Council's original position on this issue was that the territory should cover a central part of the Chilman Forest. The interests underlying the claim included a desire to reassert ownership of lands that the Mojenos traditionally had occupied, and in general, gain recognition of indigenous rights in Bolivia. Another specific interest, which the Mojenos were reluctant to divulge to government officials, was to protect a socio-culturally sacred site located within the claimed territory.

Source: Pendzich, p. 8.

NOTE: Bolivia has subsequently passed a "Participation Law" that requires local participation in the design of all development projects and programmes.

7.5.8. Guidelines for facilitators in interest based bargaining

Facilitators should focus on processes that help various groups of stakeholders look for solutions that satisfy their basic interests. The following guidelines can help find ways to do this effectively.

1. **Discuss and address interests.** If a group is asserting a position, ask the reasons behind that position. This may help clarify what basic interests are. Use tools such as 'Analysing the Problem' to help develop a broader sense of a groups' interests.

2. **Understand the emotional dynamics in negotiations and help people move on.** It is important to understand the role emotions and values play in a problem, but to separate them from the problem to help different sides to review the history of a problem and, in a neutral setting, view each other in a new, more positive light.

3. **Generate a wide range of options, minimising judgements at first.** A common way to facilitate this process is through "brainstorming", in which participants are encouraged to list all possible ideas for resolving something, regardless of practical feasibility.

4. **Agree on criteria by which to judge options for resolution.** In early discussions about a problem, it is helpful to list general requirements that a potential agreement must satisfy. This is also often an easier place to start than listing possible solutions. The legitimacy of each group's needs is confirmed. In working together on criteria for an acceptable agreement, stakeholders often develop a stronger sense that decisions are fair, since all are using the same criteria.

8. A MONITORING, EVALUATION AND REPORTING SYSTEMS APPROACH

8.1. The difference between monitoring and evaluation

Monitoring and evaluation are complementary elements of the same process. The overall process is to learn about what happened because of actions taken to cause change. Numerous definitions of the two terms are used in the development world[30].

Monitoring is a continuous systematic and critical review with the aim of checking progress. If there are discrepancies between planned and actual results and contextual changes, corrective action can be taken. This implies that monitoring is a more frequent form of reflection. Monitoring is an essential part of good management practice.

Evaluation is a time-bound exercise that attempts to assess the relevance, performance, and success of ongoing processes and completed events[31]. Evaluation involves comprehensive analysis with the aim of adapting strategy, planning, and influencing future policies and programmes. This implies that evaluation is a more complete, cumulative, and thorough process and a less frequent form of reflection. It usually takes place at certain points in time—e.g. mid-term and final evaluations—and leads to decisions that are more fundamental. It should assign a value to the outcomes and impact of the process or programme.

8.1.1. Action-Reflection-Action Loops

An action-reflection-action loop illustrates that after an activity, we pause for a while and reflect: Did we succeed? What problems did we encounter? What would we do differently? These reflection loops happen more often in monitoring than in evaluation. Evaluation loops" usually involve a more in-depth reflection process about a longer period of time.
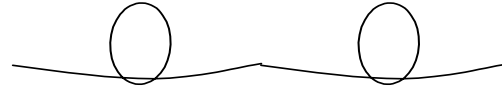
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[30] The monitoring and evaluation definitions and the Action-Reflection-Action loop diagram are adapted from Schroll, Michael. "Monitoring Made Easy." International Institute of Rural Reconstruction, Africa Regional Office. April 1999.

[31] UNDP, 1997, Results-oriented Monitoring and Evaluation, United Nations, New York

Monitoring

Evaluation

8.2. What is a monitoring, evaluation and reporting system?

A monitoring, evaluation and reporting system allows an organisation to document and use information about its internal structures and processes, the programmes it implements and the impact of field level projects. A monitoring, evaluation and reporting system is about efficient use of that information for understanding what an organisation is doing, what it is accomplishing, what impact its programmes have at what costs and what needs to be adapted or discontinued.

A monitoring, evaluation, and reporting system is a basic management tool. The system includes data on inputs, outputs, outcomes, and impact. Baseline data and performance targets for all objectives are entered into the system. Monitoring plans for managing data collection, analysis, interpretation, and dissemination are part of setting up the system.

8.2.1. Purpose of a monitoring, evaluation and reporting system

The purpose of a monitoring, evaluation and reporting system is to help all the people involved to take appropriate decisions and actions. A monitoring, evaluation and reporting system can also help assess how your organisation is performing, for instance how well implemented activities support the overall mission of the organisation, how resources are being used, as well as issues around the overall progress of the organisation.

In order for the system to be of the most use, it must include the kinds of information different people need, in a form that meets their needs, to make those decisions[32]. For example, a person responsible for the operation of the logistics and physical plant of an organisation needs information organised in a somewhat different way than a person responsible for an organisation's finances, but the two probably need some of the same information.

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[32] This section draws from: Schroll, Michael. "Monitoring Made Easy." International Institute of Rural Reconstruction, Africa Regional Office. April 1999.

A monitoring, evaluation and reporting system must also be a communication system that allows information to flow in different directions among the people involved. This includes stakeholders within and outside the organisation.

8.2.2. The inclusion of sex-disaggregated data

The system should be set up to routinely sex-disaggregate data for all projects and programmes, including internal information about staffing. Other key categories of data should also be considered, such as age, socio-economic status, ethnicity, regional and rural-urban differences. All categories may not be important for all purposes, but if the data system is set up to accommodate this approach to data documentation, the additional cost of collecting such data and using it in analysis is minimised.

Certain key categories are particularly useful for understanding differences linked to gender and other socio-economic attributes. A Management Information System (MIS) can be set up to routinely handle these variables. The relative importance of each of these categories of data depends on your mission and goals. Several examples are given below.

Demographic information: Basic demographic information provides a basis for all macro level planning and development of services. Disaggregation of these data by sex, age, rural-urban and region provides the information necessary for identification of target populations in need of special programmes.

Labour force participation: Data on employment or labour for production or value added activities are crucial to understanding men's and women's roles income-generating activities.

Education: Information about educational status of groups is needed so that interventions can be appropriately planned.

Health and nutrition : This information can be crucial for identification of vulnerable groups in a community, especially women and children.

Housing and facilities: Data in these areas help you establish the general background or context within which families live.

There are also several standard variables that can assist in assessing the conditions of families or households and the individuals that live in those units. Data about household composition helps understand the demands for resources persons may face in a given area. However, it is important not to assume that all persons who make up a household have the same resources, constraints, risk, opportunities, and decision-

making power. Careful gender analysis is necessary to untangle which groups are likely to experience positive and negative impact of development interventions. A MIS should be set up to accommodate information about such differences so that comparative analysis can be done.

8.2.3. Essential components of a monitoring, evaluation and reporting system

The essential components of a monitoring, evaluation and reporting system are:

a clearly defined purpose and focus

indicators for each activity, input, output, outcome and impact

data concerning the indicators

analysis of data and presentation of such analysis in useable ways for different people

easy access to the information for use in individual's work

8.2.4. Stakeholder participation

Different individuals and groups within and outside your organisation are stakeholders for your overall programme and for particular projects and activities. Those stakeholders are an important part of setting up a monitoring, evaluation, and reporting system. You should always keep in mind that there may be important gender issues and differences among various stakeholders groups and make sure that both men and women are involved in monitoring and evaluation. You will need to know:

Are the different stakeholders interested in monitoring?

What issues to they want addressed during monitoring?

How can they be involved?

What are their monitoring and evaluation capabilities (skills, knowledge, time, and equipment)?

In the use of a monitoring, evaluation and reporting system, you may also discover that there are additional stakeholder groups that were not considered initially, but that should be part of your ongoing processes. For instance, if your organisation delivers

services, such as microfinance, the groups that take advantage of your programme may turn out to be somewhat different than you anticipated.

A good monitoring and evaluation system will be able to generate reports that are legible and at a level suitable for various types of stakeholders such as community groups, staff, funders as well as local/national government.

The level of participation of stakeholders in a monitoring, evaluation and reporting system will vary considerable depending on what is being monitored and evaluated. In order to achieve the most accurate data for the system, including the voices of both women and men at the community level is essential.

8.3. Levels of monitoring and evaluation

If your organisation is interested in setting up and using a monitoring and evaluation system, to be used on an organisation-wide basis, your organisation must think about the different levels of monitoring, evaluation and reporting the system will include; the organisational level, the programme level, at the project, activity, or individual level.

At the organization level

An organization can be thought of as a grouping or construct in which programmes are identified, implemented and carried out. Organizational monitoring, evaluation and reporting tracks the total progress toward goals and objectives and the collective results or impact or all the organization's programmes.

At the programme level

A programme is an organization's coordinated approach to a specific area of focus. Programme monitoring, evaluation and reporting captures the collective progress, results and impact of all the projects in a programme.

At the project level

A project is a particular set of activities implemented by a programme. Project monitoring, evaluation and reporting focuses on individual projects. This level of monitoring and evaluation is most often the focus of guides and manuals that talk about monitoring, evaluation and reporting tools and methods.

At the activity level

Activities make up a project. Other activities that are not part of projects in an organization may also be part of an overall monitoring, evaluation and reporting system.

At the individual level

Individuals have an interest or participate in a project. The involvement of and impact on individuals is also part of project monitoring and evaluation.

The relationships among the levels defined above are illustrated in the following diagram. The diagram also illustrates how different components of a project and components of multiple projects may impact on individuals[33].

LEVELS OF MONITORING AND EVALUATION
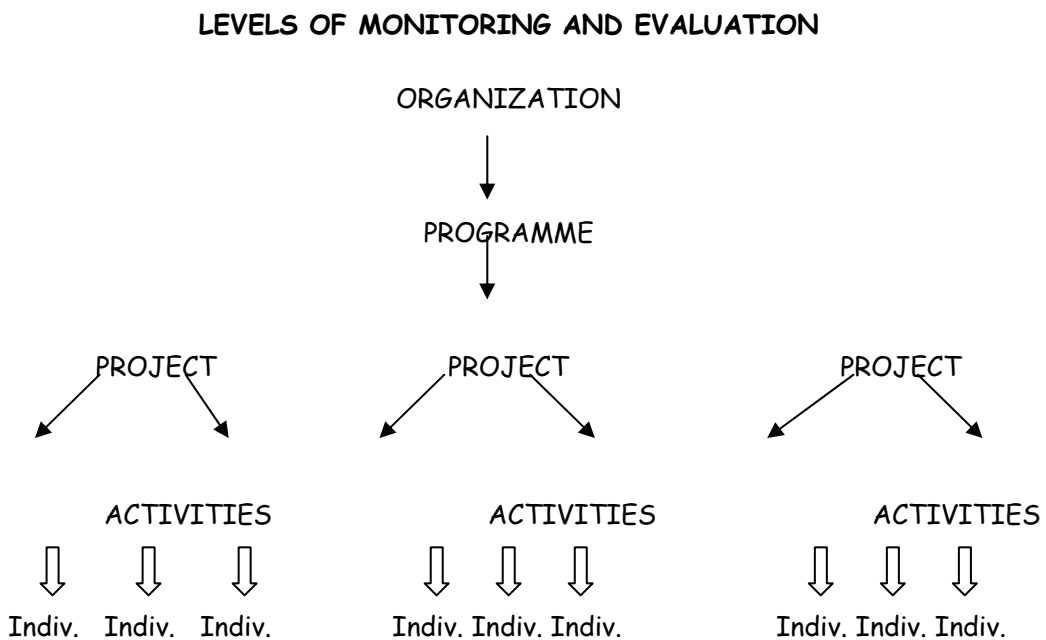
8.4. Common types of monitoring

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[33] Definitions and diagram are adapted from "Organizational Capacity Assessment Tool: A Handbook on Participatory Monitoring and Evaluation." Prepared for the Pact Ethiopian NGO Sector Enhancement Initiative. Pact, 1996.

Monitoring is really a very ordinary activity. Farmers regularly monitor plants growing in the field or the animals kept by the household for diseases, and if symptoms of a disease are detected early, it is easier to obtain a remedy. Likewise in organisations, a minimal monitoring system allows basic accountability and the planning of corrective actions. It involves paying attention to what you are doing and what is happening and what you want to do next. For example, most organisations regularly monitor how much money comes in and how much money goes out as part of budgeting. People formally or informally keep track of how much time certain tasks usually take so they can plan their day.

Three main questions should be asked about monitoring when setting up a monitoring, evaluation, and reporting system:

Who wants monitoring?

What is the purpose of monitoring?

How will the information be used?

Typically three types of monitoring are useful for managing programmes and projects:

1. Monitoring of management and administration—looks at staff/personnel (performance, time use, capability, etc.), vehicles (mileage, repairs etc.), physical plant (buildings, land, utilities) and supplies (stocks, costs, quality, etc.) among others.
2. Financial monitoring —includes all information about financial resources such as budget, income, expenditures, cash flow, etc.
3. Programme and process monitoring looks at management approach, background information, inputs, activities, outputs, progress toward objectives and impact.

For each of the above types of monitoring, who wants it, what the purpose is and how the information will be used should be considered.

Another way to think about monitoring is to consider what monitoring processes entails as well as monitoring impacts.

Process monitoring is a means for continually:

Checking use of resources

Reviewing and planning work on a regular basis

Assessing whether activities are carried out

Identifying and dealing with problems

Building on strengths and weaknesses

Assessing the effectiveness of management style

Monitoring changes in the target population, and monitoring changes in assumptions that are relevant to your work

Impact monitoring is a means for periodically:

Relating the use of resources and the work to its overall purpose

Making changes when circumstances change

Reviewing objectives

Identifying the need for more information

Checking out your assumptions about how best to meet your objectives

Being accountable and responding to reporting requirements

8.5. Planning, designing and conducting an evaluation

8.5.1. Planning an evaluation

One of the problems with evaluation is that the process can get caught up in details and the bigger and important part of the evaluation is forgotten.

In illustration…

Imagine a large clear jar on your table. You put in it several large rocks until you cannot add any more. You might now say "the jar is full and cannot hold any more." But then you take some small rocks and let them fall in between the large rocks in the jar until no more will fit into the jar. Again, you might say, "the jar is full." However, you discover that you can add sand to the jar and it falls in between the large and small rocks. Finally you add water and discover you can still add more to the jar.

The point of this story is that if you don't put the big rocks in first you can't add them later. You can always add small stuff to your evaluation, but you can only add the big pieces at the beginning.

The big pieces in an evaluation include its philosophy, purpose and the information needed to link the evaluation to other things.

The evaluation methods, data collection methods, and analysis are often addressed in early discussions with stakeholders, with the assumption that everyone knows and agrees on the purpose. This can throw an evaluation off track because the methods were determined on what they thought they knew and not by the information needs of a particular setting[34].

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[34] Adapted from Patton, Michael Quinn. "Utilization-focused Evaluation in Africa—Training sessions delivered to the Inaugural Conference of the African Evaluation Association", 13-17 September 1999, Nairobi.

8.5.2. Involving stakeholders in an evaluation

As with monitoring, all stakeholder needs are critical if an evaluation is to be useful. Therefore their involvement is critical. An evaluation should also respond to the needs of various users. The following questions help your organisation think about how evaluation findings will be used[35].

Who wants the evaluation?

Why do they want the evaluation?

What decisions are the evaluation findings expected to influence?

When will decisions be made?

What is at stake in the decisions?

What data and findings are needed to support decision-making?

In terms of stakeholder involvement the following list of Do's and Don'ts may be useful:

The Do's	The Don'ts
• Begin with a session, where stakeholders convene to discuss several aspects of the evaluation • Discuss the purpose, priorities, shared definitions, who the evaluation is for and how it will be used • Match the evaluation to a particular situation	• Do not discuss the design and measurement instruments in the first meeting. • Do not fall into the rut of doing things just because they have been done before or are easy to do.

A worksheet such as the one used in the example below can help organise information from various users of the evaluation.

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[35] Adapted from Patton, Michael Quinn. "Utilization-focused Evaluation in Africa—Training sessions delivered to the Inaugural Conference of the African Evaluation Association", 13-17 September 1999, Nairobi.

Who wants the evaluation?	Why do they want the evaluation?	How will they use the results?
Type of users 1		
Type of users 1		
Etc..		

For example:

Who wants the evaluation?	Why do they want the evaluation?	How will they use the results?
Donor Agency	• To determine if the project has produced planned results	• To make decisions about the value of this type of project • To make decisions about continued funding
Project staff	• To identify key strengths and weaknesses of project—especially how the project has responded to needs of various groups • To judge outcome and impact (disaggregated by gender) • To judge effectiveness of personnel	• To make decisions about future project activities • To decide about staff training

Community leaders	• To judge project response to real needs • To inform future planning for community development	• To determine if they want to continue with the project activities • To make decisions about future project activities

8.5.3. Designing and conducting an evaluation

Evaluations must be carefully designed if they are to strengthen programme or project activities. Evaluation designs that are too rigid can inhibit experimentation and risk taking, keeping staff from discovering alternatives that are more successful and other strategies. On the other hand, an evaluation that is not carefully constructed can mask inherent biases and values and waste valuable resources or lead to inaccurate or invalid interpretations of data.

You can create a flexible and responsive method of evaluation by:

Designing an evaluation that 'fits' the needs of the target populations and other stakeholders

Gathering data relevant to specific questions and programme or project needs

Being sensitive to socio-cultural issues in the community

Revising evaluation questions as plans and conditions change (e.g., budget becomes inadequate, staff members leave, it becomes obvious a question cannot be answered at this stage)

Knowing what resources are available for evaluation and requesting additional resources if necessary

Understanding the existing capacity of the programme or project (e.g., can project staff spend 30 minutes each day completing forms that document their activities and perceptions of a project?

Realizing the capabilities and limitations of existing technologies and allowing time to deal with unforeseen problems.

Be sure that you collect and analyse information from multiple perspectives. The evaluation must be carefully designed to incorporate differing stakeholders' viewpoints, values, beliefs, needs, and interests. A project may produce noteworthy economic benefits, but have a negative impact on women, family, and the indigenous culture. An evaluation that focused solely on economic impact would not provide a complete picture of the project.

Evaluation teams should not focus solely on information and methods, but think of those as means of answering the evaluation questions. You will also need to decide how the information should be collected and analysed. Making these decisions early in the planning process will reduce the risk of collecting irrelevant information.

Recommendations for designing an evaluation[36] :

- Be clear about goals and purposes, about what is being evaluated, what data will be collected, what judgements are to be made, how results will be used
- Be specific
- Focus and prioritise what is worth doing and knowing—you can't do or look at everything
- Carefully document what occurs at every stage of decision making and data collection
- Make assumptions explicit
- Put into operation programme concepts, ideas and goals
- Distinguish inputs and processes from outcomes
- Have data to provide empirical support for conclusions

- Separate data-based statement of fact from interpretations and judgements
- Distinguish deductive from inductive processes—both are valued but involve different reasoning sequences
- Make criteria and standards for judgements explicit
- Limit generalisations and causal explanations to what data support

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[36] Patton, Michael Quinn. "Utilization-focused Evaluation in Africa—Training sessions delivered to the Inaugural Conference of the African Evaluation Association", Page 25. 13-17 September 1999, Nairobi.

Example of evaluation design

Staff of a large community-based organisation dedicated to health reform initiated an evaluation designed to determine the impact of, and lessons learned from, their past and present programming. Their evaluation did not focus on the 'success' of individual projects, but rather concentrated on the organisation's progress as a whole in implementing its overall mission of improving community residents' access to health care, increasing their knowledge of prevention-focused health care and reducing the incidence of high-risk health behaviours.

An evaluation team, consisting of representatives of each project and an external evaluator, previously determined the primary evaluation questions:

- Have community residents experienced greater access to health care services overall?
- Do community members have increased knowledge as to what constitutes high-risk behaviour?
- Have high-risk health behaviours decreased among community members?
- What lessons have been learned from implementing these programs?
- What opportunities have been missed in improving the overall health of community members?

Given the purpose, key questions and human and financial realities of what was feasible, the evaluation team determined that based on the significant amount of data which individual projects had already collected, data-collection methods selected for this evaluation needed to maximise the use of existing data so as not to duplicate efforts and waste precious resources.

In order to obtain information from a variety of perspectives, however, the evaluation team decided what they wanted to answer would best be addressed through a combination of quantitative and qualitative data obtained from on-site observations and interviews, as well as a review of previously collected data.

On the qualitative side, they planned an extensive review of existing documents, such as project-specific interim reports, previous evaluations, mission statements, and organisational charts. They anticipated that this review would provide the evaluation team with the context of each project's history, goals and achieved outcomes in relation to the organisation as a whole. In addition, based on this information, they intended to identify key informants for subsequent interviewing and on-site observation purposes.

On the quantitative side, since each project was required to collect data on an ongoing basis in relation to number of participants/clients served, as well as various project-specific information (such as length of time participants spent in a project, number of referrals given, pre- and post-programme impacts, etc.), some data were already available for purposes of this evaluation and did not need to be collected again.

SOURCE: The W. W. Kellogg Foundation Evaluation Handbook

8.6. Monitoring and evaluation of staff

The heart of any organisation is its people, its women and men. Staff and staffing patterns also need to be monitored and periodically evaluated to see if the configuration of human resources is appropriate for meeting organisational goals.

Many organisations monitor and evaluate staff performance at least annually, via some form of personnel review. This provides the opportunity for developing an annual plan for staff development and hiring/firing. It is advisable periodically to evaluate overall staffing patterns to see if they are balanced in ways appropriate to the organisation's mission, operating principles, and programme goals.

Consider the table below, based on the actual situation of an organisation that prides itself on its local-level, grassroots involvement. Even a quick glance at the first table suggests that maybe this organisation needs to re-assess its proportion of headquarters (HQ) to regional field staff. Ninety-nine headquarters staff and only 55 field staff makes for nearly a 2:1 HQ-to-field ratio in a reportedly field-oriented organisation. On the other hand, or an organisation focusing on policy analysis a large HQ staff might make perfect sense.

Staffing distributions in field focused organisation

Staff Type	HQ	Africa	Asia	Latin America	Total
Management/Finance	15	1	1	2	19
Technical	19	8	22	3	52
Support	65	10	6	2	83
Total	99	19	29	7	154

A data array like the above table can suggest still other staffing patterns an organisation might want to re-evaluate. For instance, why are 65 people needed to support a HQ professional group of only 34? And why is Latin America so poorly staffed in comparison to the other regions? While there may be valid reasons for such patterns in terms of an organisation's programmes and emphases, such imbalances always bear checking.

A similar type of analysis can be helpful for looking at the distribution of staff among programmes, the balance of management to technical and support staff and the sex distribution of staff by type of responsibility and salary.

Example of staffing analysis for an organisation
1995 and 1999 staffing

1995				1999			
Staff Category	Female	Male	Total	Staff Category	Female	Male	Total
Professional				**Professional**			
Permanent	23	29	52	Permanent	14	12	26
Contractual	13	16	29	Contractual	17	17	34
Project-based	6	8	14	Project-based	7	15	22
Support	35	14	49	**Support**	27	30	57
Permanent	1	1	2	Permanent	8	6	14
Project-based				Project-based			
Totals	78	68	146	Totals	73	80	153

The above table was constructed during a strategic evaluation of an organisation (in this case an NGO) in order to check progress on several of its staffing goals. These included shifting more personnel to a contractual or project-based status in order to allow the NGO greater flexibility and agility in staffing patterns as programme emphases shifted. At the same time, the NGO wanted to keep employee sex ratios roughly equal. From the evaluation analysis that produced the above results, it was clear that it had reached all these goals.

Analysis of costs of your organisation's infrastructure, logistics, and support systems are also part of a monitoring, evaluation, and reporting system. Such costs include such things as buildings, vehicles, office equipment, canteens, and so forth. In addition to regularly monitoring such costs, it is necessary to evaluate them periodically for their impacts on sustainability and programme effectiveness.

Other administrative elements that commonly call for re-evaluation as market conditions shift includes: constructing and maintaining buildings (like offices, workshop, guesthouses or dormitories) versus simply renting the needed space on a long- or short-term basis. Your organisation may also want to consider whether to maintain staff such as guards, janitors, gardeners, and cooks versus contracting these services out to the private sector.

Example of transportation system evaluation results

One organisation found that its ground-transportation costs were eating up an ever-larger share of both overhead and programme monies. When the organisation looked at these figures critically, the major culprits turned out to be increased maintenance and repair of an ageing fleet of disparate vehicles. These vehicles also were subjected to excessive personal use by staff. The solutions were clear: retire worn-out vehicles, start to standardise new vehicle purchases so spare parts could be ordered in bulk, and revamp policies about staff use of vehicles for personal purposes.

Another organisation's analysis of its vehicle expenses led it to sell two cars and purchase several mopeds and motorbikes. This allowed workers to get to more of its field sites more often and more cheaply. The change did require training for female workers to use and maintain the vehicles. Contrary to expectations, they were eager to do so and quickly became experts.

8.7. Financial monitoring and evaluation

A vital part of monitoring and evaluation is tracking and assessing the financial underpinnings of your organisation and its various units. Besides having periodic audits of various sorts, nearly all organisations regularly monitor the gross inflow and outgoing of funds through monthly and annual financial reports. But at key points, it is also necessary to analyse financial data for changes over time in relation to long-term sustainability and programme goals. Such analysis provides information on important trends in income and expenditures. As a result of such an analysis management decision will be made about adjusting financial patterns to better meet your organisational goals.

The following questions are useful for financial monitoring and evaluation

Compared to X years ago, how are we doing today in overall financial terms (income and expenditure)?

Where are our revenue sources? How have these sources changed over time? This should include grants, projects, contributions from individuals or private enterprises, earnings from services we provide and other specific sources.

Within our organization, where do most of our expenses lie? How have expenses changed over time?

In what proportion do different units within our organization account for these revenue and expense distributions?

How are we doing in terms of the goals we set for financial sustainability? (Goals might be to target particular funding sources; diversify sources of support overall; allocate more or fewer funds to certain units and operations; cut expenses in certain areas; and so forth.)

Do our financial systems and decisions support our programmatic goals, including those related to gender equality issues?

8.7.1. Example of financial monitoring and evaluation charts for an NGO

Data for financial monitoring and evaluation can be organised over two clear time periods using simple charts and tables with calculations such as percentages and averages.

The following chart shows an NGO's revenue summed across two equivalent time periods. One period serves as the baseline; the other gives a picture of the recent past. As the chart indicates, this NGO's revenue fell overall across the two periods. Obviously, the NGO had some financial sustainability issues.

Example of an NGO's revenue over two periods of time[37]

(Revenue shown in $000s)
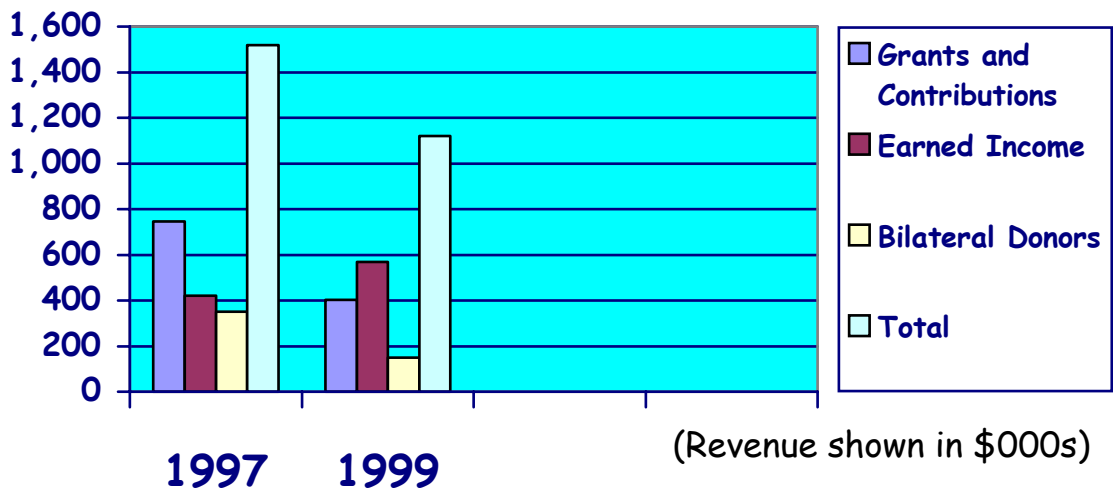
[37] Source: Constance McCorkle, personal communication.

However, a simple compilation of actual funding sources revealed in the next table, showed that the NGO did make progress in increasing the numbers and types of revenue sources, and especially its earnings from training and other services it provides to different client types. But when the table was considered in light of the previous table, overall revenues were not sustained.

The NGOs funding sources (excluding private donations)

Number of Agencies	1997	1999	Variance
Grant Income			
• UN System	3	3	0
• Multilateral Agencies	1	0	-1
• Bilateral Agencies	4	5	+1
• Foundations	10	10	0
• PVOs/NGOs	11	14	+3
• Private Sector	3	5	+2
Total	32	37	+5
Earned Income			
• UN System	3	7	+4
• Multilateral Agencies	0	3	+3
• Bilateral Agencies	7	13	+6
• Foundations	1	0	-1
• PVOs/NGOs	15	23	+8
• Private Sector	3	4	+1
Total	29	50	+21

Two management decisions flowed from this simple analysis. The NGO decided to go after bigger grants from fewer but larger agencies and foundations instead of expending energy on accessing multiple small funding sources. The NGO also repackaged its income-earning strategy to focus on clients that appeared to have a natural, complementary need for the types of services it offered. For example, it worked to build up a strong base of repeat customers rather than seeking new ones and forge stronger, global links with international client organisations, such as international NGOs.

8.7.2. Other types of simple financial monitoring & evaluation calculations

Financial data can be analysed in many ways. It depends on what your organisation wants to know about how your financial management systems supports access to this knowledge. Example of types of simple calculations that can be used to monitor and evaluate financial data, similar to those in the example from the NGO above include:

1. Charts that illustrate a breakdown of financial and donor data by functional or geographic units within an organisation

2. An analysis of internal units' varying financial strengths and weaknesses

3. Comparative analysis of funding resources across programmes

4. Expenditure savings or excesses across programmes

Examples of NGOs findings after analysing financial data

An NGO won a major grant to expand and consolidate its offsite regional units. Seventy-five percent of the monies were tagged for regional use. But, an end-of-project tabulation of expenditures revealed that the NGO's central headquarters had absorbed 56 percent of the money. This misallocation of funds obviously prejudiced the regional unit strengthening.

Another NGO claimed that 50 percent of its small-grants programme was targeted to women. Roughly half of all grant recipients were female. But when—for the first time ever—programme financial records were sex-disaggregated and evaluated, it turned out that for every US$1.00 flowing to women grantees, men were receiving an average of between US$10 and US$70 (depending on the structure of the recipient organisation).

Source: Constance McCorkle, personal communication

8.8. Impact monitoring and evaluation

In the past, monitoring and evaluation efforts focused on the inputs, outputs, and activities of development work. More recently, the concept of assessing outcomes and the impact or results is emphasised.

8.8.1. The impact chain

Impact focuses on the difference development has made in people's lives. Impact analysis looks at lasting changes, positive or negative, intended or not, that resulted from an action or series of actions. This means that the analysis of inputs, activities, outputs, and outcomes need to be linked to impact. An impact chain can be visualised to help measure how well a programme or project is doing.

The impact chain[38]
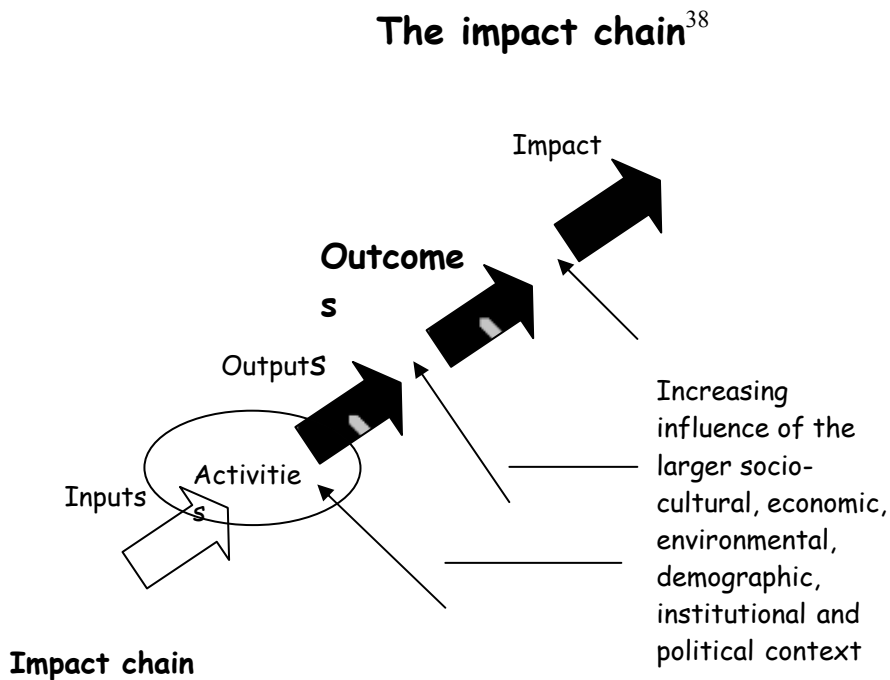
Impact chain

In order to measure how well a programme or project is doing, measures must be developed at each level in the impact chain. General evaluation criteria for each level are shown in the following table.[39]

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[38] Adapted from Roche, Chris. Impact Assessment for Development Agencies. Oxfam with NOVIB, 1999.
[39] Patton, Michael Quinn. Utilization-Focused Evaluation, Edition 3, p. 235. Sage Publications, Thousand Oaks, London, and New Delhi. 1997.

Program chain of events	Matching levels of evidence
7. Impact—end results	7. measures of impact on overall problem, ultimate goals, side effects, socio-cultural and economic consequences
6. Outcomes—practice and behaviour change	6. measures of adoption of new practices and behaviour over time
5. Outputs—knowledge, attitude, and skill changes	5. measures of individual and group changes in knowledge, attitudes and skills
4. Reactions	4. what participants and clients say about the program; satisfaction; interest, strengths and weaknesses
3. Participation	3. the characteristics of program participants and clients; numbers, nature of involvement, background
2. Activities	2. implementation data on what the program actually offers or does
1. Inputs	1. resources expended; number and types of staff involved; time expended

8.8.2. Evaluation questions to address impact

It can be very useful for your organisation to think about which levels in the impact chain are most important for which stakeholders and how information about the different levels can be obtained. To aid in this process, some sample evaluation questions[40] have been suggested to guide data collection. These questions should be considered when formulating an evaluation.

Evaluation questions to address impact:

What are the programme's key characteristics as perceived by various stakeholders? How similar or different are those perceptions? What is the basis of the difference?

What are the characteristics of programme participants and how do those compare to the intended target population for the program?

How do actual resources, staff competencies and experiences, and time line compare to what was expected?

What is working as expected? What's not working as expected? What challenges and barriers have emerged? How has staff responded to those challenges and barriers?

What assumptions have proved true? What assumptions are problematic?

What do participants actually do in the program? What are their primary activities—in detail? What do they experience?

What do participants like and dislike? Are there gender differences?

How well are staff functioning together? What are their perceptions about what's working and not working? Do they know what outcomes they are aiming for? Do they buy into the programs goals and intended outcomes?

What has changed from the original design and why? On what basis are adaptations from the original design being made? Who needs to approve such changes.

What monitoring system has been established to assess implementation on an ongoing basis and how is it being used.

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[40] Patton, Michael Quinn. Utilization-Focused Evaluation, Edition 3, p. 235. Sage Publications, Thousand Oaks, London, and New Delhi. 1997.

- Decisions about how to collect information for impact monitoring and evaluation provide another opportunity for stakeholder participation in the evaluation process.

8.8.3. Example illustrating gender-sensitive project impact evaluation

The following example shows some of the results from an evaluation of the impact of two irrigation projects in two different villages in India. Even though the example greatly condenses the findings from the original source, the findings clearly show the importance of looking at impact on different groups within a project setting. It is clear that men and women were differentially affected by these irrigation projects. Other differences are also apparent. Persons who did not directly benefit from the irrigation interventions experienced some negative impact on their food security under the Lift Irrigation Scheme in the one village, which illustrates the importance of capturing unintended impacts in an evaluation process whenever possible.

An example of a gender-sensitive project impact evaluation

This evaluation presents a comparative picture of two types of irrigation schemes in two villages in India. Since it is difficult if not impossible to isolate this impact from the more general shift of agriculture toward a greater market orientation, it is discussed in the context of general changes in socio-cultural production relations.

The data summary shown in the table below shows a remarkable difference in the two schemes. Bore wells give a small group of beneficiaries a great sense of security and control. Lift irrigation schemes affect far more people. Besides the type and scale of irrigation intervention, other variables explain why one project gives the beneficiaries greater security and the other produces less security for non-beneficiaries and socio-cultural instability as a whole. For example, the village of Burgula had already been through a process of intense socio-cultural change, and has relatively easy access to socio--cultural services, information, and market facilities. Chityal has not been through this process, and its access to facilitation and information is poor. Nevertheless, in both types of intervention a positive impact was observed in terms of increased production, income, and employment. There were a number of side effects, however, which impact women in particular.

	Burgula bore well	Chityal LIS
Command	7.5 acres	450 acres

area		
Number of beneficiaries	5 families	About 150 households
Changes in cropping patterns	Becomes more varied: mix of cash + food crops	Less varieties: mono-cropping of paddy rice and groundnut
Security of beneficiaries	Sufficient irrigation throughout year gives strong sense of security	Security depends on water supply: often insufficient; greater socio-cultural tensions in the village
Security of non-beneficiaries	Marginal or no impact	Less food security, greater socio-cultural tensions
Changes in workload of beneficiaries	Women especially get more work in agriculture	Women get more work in agriculture
Changes in workload of non-beneficiaries	Marginal or no impact	Women get more work— have little time for domestic activities
Employment generation	Self-employment of beneficiaries, little additional employment	Considerable employment generation, especially for women

With irrigation, there is a shift from coarse grains to rice as the major staple food. Women report this is very important for them, it is less work.

In Chityal, however, this shift also has implications for food security. Coarse grains and pulses are in short supply. Grain, mainly rice, is sold for cash at a high price, which many people can barely afford. In Burgula, both the quality and quantity of women's work has changed, partly as a consequence of irrigation, partly due to other factors. Food processing work has decreased, but irrigation has increased women's work in agriculture. Before irrigation, they had one cropping season; now they had two or even three.

SOURCE: Verona Groverman and Edith van Walsum. "Women may lose or gain: expect impact of irrigation projects. " In Assessing the Gender Impact of Development Projects by Vera Gianotten, Verona Groverman, Edith van Walsum and Lida Zuidberg. Intermediate Technology Publications, London. 1994

8.9. Typical problems and failures of monitoring and evaluation systems

As with any system, things can go wrong. Careful planning and implementation can help avoid some of the more common pitfalls. A few of the common problems that come up are listed below.

The information produced is irrelevant, late or unusable

Monitoring, evaluation and reporting systems are not integrated into management processes

There is too much data

There is a poor understanding of how to manage and analyze data for what purpose

The wrong groups are compared or groups that are different in too many ways are compared

Women and disadvantaged groups are ignored in the monitoring, evaluation and reporting process

Evaluation takes precedence at the expense of monitoring

Results are not fed back to stakeholders

Results of a small-scale evaluation are applied to a larger area.

The challenge is to be aware of these pitfalls, and devise strategies to address them if they occur. The best strategy is of course to plan your monitoring, evaluation and reporting system in a way that means they do not occur at all.

9. INDICATORS FOR MONITORING AND EVALUATION

9.1. Indicators

9.1.1. Types of indicators

Having carefully planned your monitoring and evaluation, it is time to think about specific data requirements. It is important to have your monitoring and evaluation questions clearly stated at this point, even though they may be modified somewhat as you proceed with data collection.

Indicators measure what you want to know, whether qualitative or quantitative, direct or indirect.

Direct indicators (usually monitoring indicators) measure a given quantity. For example, cultivation of farms in hectares; use of fertiliser in tons or: percentage of trainees using a new technique.

Indirect or proxy indicators (usually impact indicators) use a measure of something else to represent a quantity where direct measurement is not feasible or cost effective. For example, educational level is sometimes used as a proxy for literacy. This example also illustrates the risk of proxy indicators, since one cannot assume the relationship is a direct one.

In selecting indicators look for measures that have clear meaning. When possible and justified, make use of proxy indicators.

Indicators should be widely discussed (with different stakeholder groups) to make sure that the information obtained responds to their needs. Look for data that are easily available and realistic. Using more indicators than necessary to measure something means a waste of resources and makes data analysis more complicated than need be.

9.1.2. Qualities of good indicators

There are several widely agreed upon qualities for a good indicator[41].

Seven attributes of a good indicator are that indicators are:
1. **Valid**—indicators should actually measure what they are supposed to measure
2. **Reliable**—conclusions based on indicators should be the same if measured by different people at different times
3. **Relevant**—indicators should be relevant to the programme or project objectives
4. **Sensitive**—indicators should be sensitive to the situation being observed
5. **Cost effective**—the results should be worth the time and money it costs to apply indicators
6. **Timely**—it should be possible to collect the data reasonably quickly
7. **Targeted**—indicators should be specified in terms of quantity quality, time, target group and location

An example of how to set or develop an indicator is to:

Identify indicator/target group
- Improved health status of children living in Mbaya District

Set quantity
- Reduction in mortality rate of 30,000 children from 400/1000 to 200/1000

Set quality
- Reduction in mortality rate of 30,000 malnourished children < 5 years old from 400/1000 to 200/1000

Set time
- Reduction in mortality rate of 30,000 malnourished children < 5 years old living in Mbaya District from 400/1000 in 1997 to 200/1000 by 12/2002.

9.1.3. Data sources for indicators

In making decisions about data sources for indicators consider these questions for each indicator:

Is the information available from existing sources?

Is new data collection required?

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[41] SOURCE: Managing the Project Cycle. Socio-cultural Impact. www.socio-culturalimpact.com

How much data do we really need?

How much data can we really use?

What data sources are practical?

Who will pay for data collection?

Who will do data collection?

How can we involve staff and other stakeholders in data collection?

How will the data be analyzed?

If your management information system already contains information collected for wider purposes, then you need to consider from where additional information is required. The following diagram gives a graphic representation of the relative importance of additional sources of indicators.

global

national

district

programme

project

community

**Core
Indicators**

Additional
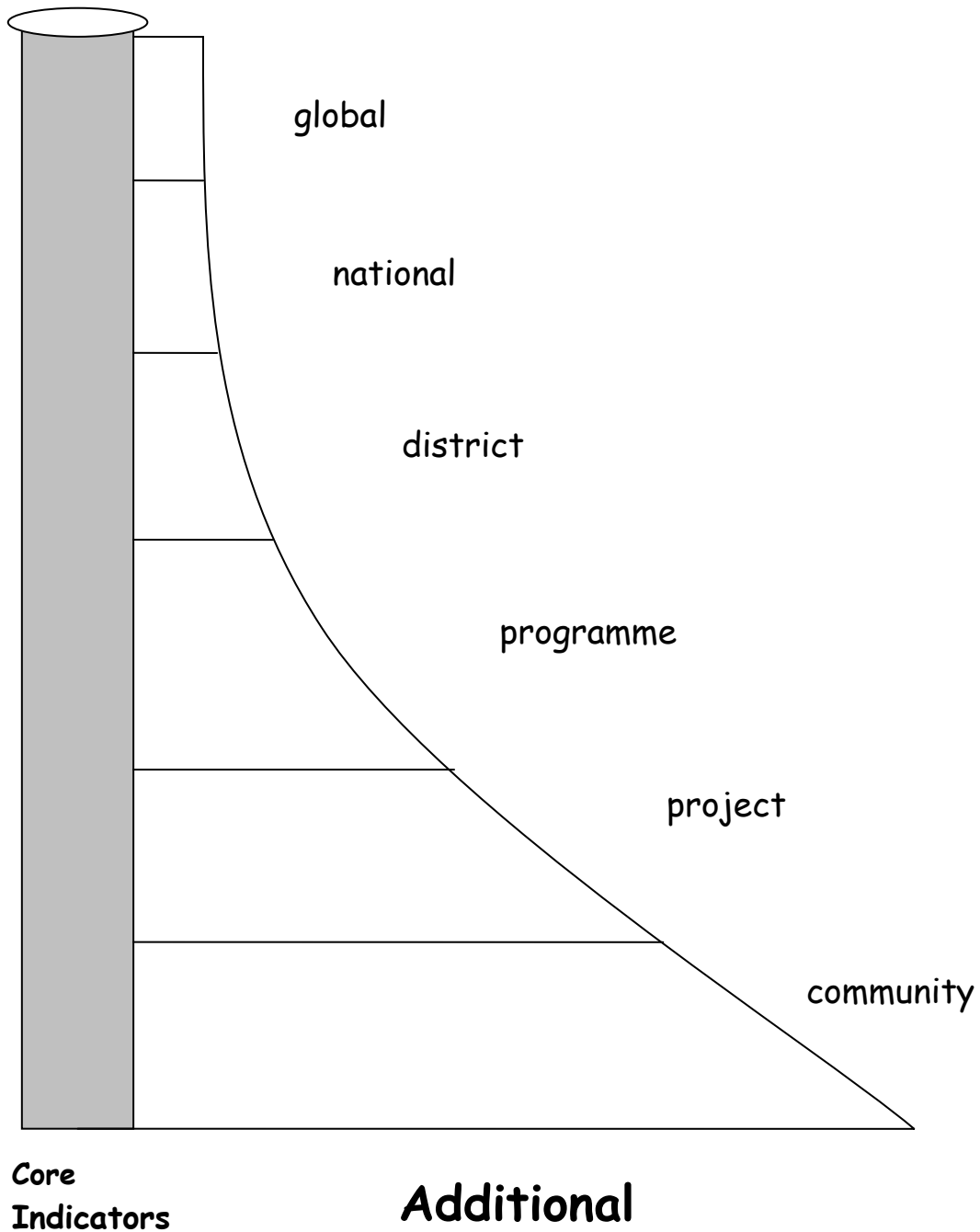
9.2. Quantitative and qualitative information

Quantitative information concerns things that can be counted, whereas **qualitative information** is non-numerical information that describes things that cannot be counted.

Most evaluations deal to some extent with quantitative information. For example, your evaluation may count the number of people involved in a project activity. A programme evaluation may count the number of staff involved in service delivery to how many people at what cost. Other indicators may focus on how many men and women or members of different age groups participated in training.

Qualitative information can be used to describe how your programme or project functions, the processes involved and how people think and feel about those processes. It can bring life to what has happened, what has worked and what problems have been encountered and why.

9.2.1. How to use qualitative and quantitative data together

Qualitative and quantitative data should be used together to permit a more complete representation of the situation being assessed. There are several ways that this can be done, depending on the situation.

Qualitative methods such as case studies and/or rapid appraisal techniques can provide information to help identify key areas of study for more formal quantitative surveys. (See the SEAGA Field-level Handbook for specific ideas about these methods.)

1. Qualitative methods can help assess the validity of analyses from quantitative data for a specific community, region or group.
2. Qualitative methods can provide more in depth information about people's perception, needs, resources and constraints to supplement more formal methods. They can tell the 'why' that helps explain the meaning of the 'what' of quantitative data.
3. Qualitative methods can assist local people to systematically assess and communicate information about their situation.
4. Quantitative methods can provide information for checking data from qualitative methods across a larger sample.
5. Qualitative and quantitative data may in some instances provide seemingly contradictory findings. This discrepancy itself is an important source of information and points to issues that need further exploration. The methods may examine different elements of a situation.
6. Qualitative methods study process more effectively. Quantitative methods tend to focus on 'what'.

7. In general, if designing both qualitative and quantitative methods for the same purpose, they should be carried out sequentially to provide the opportunity to improve one study based on findings from the previous study.
8. Qualitative data can be rigorously collected and often are quantified during the analysis process.
9. Both quantitative and qualitative methods can be used in a participatory manner.

9.3. Methods of data collection

There are several commonly used data collections methods that are relatively simple, low cost and that provide systematic information for both monitoring and evaluation[42]. These methods are described below.

Key informant interviews

These interviews consist of in-depth discussions with a series of knowledgeable persons in order to obtain data, opinions and perspectives on an issue, programme or project. An interview guide or protocol listing main topics, questions and issues to be covered is essential. This approach can be particularly helpful when including high-level participants in an evaluation.

Group interviews

Group interviews require an interview guide or protocol and can be best conducted by two interviewers in order to capture the richness of information. This method is useful for obtaining information from community members, associations or other relatively large groups in a short period of time.

Focus group interviews

A limited number (8-10) of participants meet together to discuss ideas, issues and information among themselves, under the guidance of a skilled facilitator. The underlying premise is that the interaction among group members has synergistic effects on participants, producing higher quality information than individual or simple group interviews.

This method can be use effectively with different focus groups, such as those with only men and only women or different age groups. This permits interviewers to gain

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[42] Adapted from several sources

different perspectives for comparison and to help assess group's differences about process and impact.

Mini-survey

This method differs from a large random sample survey in that it focuses on fewer variables with a small sample size and it permits more flexibility to interviewers in the field. The sample should still be as representative as possible.

Direct observation

A systematic observation of events and processes is often combined with other methods. Care should be taken to note the difference between what is actually observed and how it is interpreted.

Document reviews

Any evaluation should make use of the review of relevant documents such as project proposals, implementation plans, programme or project reports including financial reports, meeting minutes, and logs and diaries.

Individual interviews

Individual interviews can be viewed along a continuum ranging from unstructured to structured. A structure interview uses a standardised interview schedule with predetermined questions. Those questions are asked of each respondent in exactly the same way. The answers are recorded verbatim or in pre-coded spaces.

A less-structured interview makes use of more open-ended questions and may involve having the interview probe for additional information. This may vary from a conversational approach that uses a spontaneous generation of questions to elicit information to a set of carefully worded questions that are asked of each informant. The more standardised the interviews are, the more comparisons you can make among the interviews.

9.4. Sampling methods

If a larger sample is a critical part of a planned evaluation, one of the following sampling methods will be useful[43]. If statistically valid information is required, you should get expert assistance with sampling methods.

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[43] Adapted from "Participatory Impact Monitoring (PIM): Selected reading examples (GTZ-GATE) A publication of Duetsches Zentrum für Entwicklungstechnologien—GATE in Duetche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH. P. O. Box 51 80, Dag Hammarskjold Weg 1-2 D-65726 Eschborn.

Systematic sampling

Every person/ household/ variety, etc. is given a number. Then every fifth, tenth, etc., person/households/variety is chosen for the sample, until the required sample size is obtained.

Simple random sampling

If lists of persons/households, etc. exist, a certain number of them can be chosen using a random sampling method. Assign each sample a number. Put all numbers in a container and pick one by one (without looking) until the desired sample size is obtained. Random sampling methods reduce bias.

Stratified random sampling

Groups of a population (people, households, etc.) are separated based on certain characteristics. For example, you may want to make sure equal numbers of men and women are included in a random sample. Or, it may be important to sample farmers with different sized land holdings. In some instances, groups of male and female-headed households may be needed. Then each group is treated as a separate case and samples are drawn for each group.

Cluster sampling

People, households, etc., are chosen in groups or clusters instead of on an individual basis. For example, a particularly dry area with poor growing conditions might provide one cluster, while an area with rich soil and higher rainfall might provide another cluster. Types of households are another cluster possibility for some samples. Random samples are then drawn for each group.

Quota sampling

A certain number of cases are required. The person or persons looking for information stops when the quota is reached. For example, going to the market and interviewing people who are willing to talk until the quota has been met. The following table can help you decide on what size sample is needed in order to use statistically valid analysis. You will notice that the larger the group, the smaller the percentage suggested.

Total group	Suggested sample	Percentage
100	15	15%
200	20	10%
500	50	10%
1000	50	5%

9.5. Organising data[44]

Raw data are data that are in the form in which they were collected.

Because data are sensitive raw material they should be handled accordingly. Whether it is a bundle of filled out questionnaires that got wet because of a leaking roof, a transect walk map that was not marked by the name of the village, date, time and participants or a computer database with no backup copy, carelessness may cause you to have to collect the data again or jeopardise the credibility of the results. Some simple tips can help you avoid this:

Clearly identify the source by name or code

Indicate the date

Follow-up on non responses

File data in a secure location and make backup copies

Review information for completeness

Translate data into codes where necessary

Decide how to record missing data

Transfer collated data to blank copies of the original data collection instrument or a spreadsheet in preparation for analysis

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[44] Parts of this section are adapted from Schroll, Michael. <u>Monitoring Made Easy: A Handbook for Development Practitioners.</u> International Institute of Rural Reconstruction, Africa Regional Office. Iirraro@form-net.com

Enter quantitative data as raw data into an electronic system if available—this will allow maximum flexibility in analysis. Spreadsheet programmes are available to enter text and figures into tables that can easily be updated. They can produce simple statistics and graphs based on the figures and can form part of your management information system. You will then be able to search and sort information and do basic descriptive statistics such as frequency distributions, means, medians and percentages. These should be calculated separately to assess differences among groups such as sex, age, economic status and educational level.

9.6. Data analysis

Data analysis is the way information and results are interpreted and assessed. It assigns a meaning to the interview information, stories, observations and secondary data you have gathered. It is important to allocate enough time for data analysis so your monitoring and evaluation questions can be answered with a high degree of confidence, while still in a timely manner. Stakeholders who will use the data and who will make decisions should ideally be part of the analysis process in order to discuss and validate the results.

Data should be disaggregated by sex, age, ethnic group, and other key group variables in order to make sure the differences among those groups can be examined and understood. Comparisons between groups are important, but avoid comparing groups that have too many differences. For example, sex, age and economic status can all have an impact on project or programme outcomes. When comparisons between groups are made, try to compare those with similar characteristics except for the variable you are studying.

Some types of comparisons that can be considered are listed below:
1. The outcomes of similar programmes (e.g., in different regions)
2. The outcomes of the same programme for previous years (trends)
3. Outcomes with the stated goals of the programme
4. Outcomes with participant's goals for themselves, disaggregated by sex
5. Outcomes with the cost (cost-effectiveness)
6. External standards of desirability as developed by the profession
7. Standards of minimum acceptability

9.6.1. Analysing quantitative data

There are numerous tools for the analysis of quantitative data. Several basic tools, which do not require advanced statistical methods, are usually sufficient for monitoring and evaluation purposes.

Some basic definitions are included below:

Frequency
This simply counts the number of responses in each category. They can be displayed in tables and graphs. They should also be examined to see if they make sense given what is known about a variable. For example, 25 respondents indicated they were satisfied with a program's services, while 53 were only partially satisfied.

Percentage
This gives each type of response as a part of the whole and allows comparisons to be made among those types. For example, 37% of respondents knew about a project before it started.

Range
This is an expression of the variance between the highest and lowest score on a numerical measure. For example, people in a community visited a health centre from 0 to 13 times per year.

Mean
This is an average of all responses. For example, the average level of school completion in a community was 3.2 years for girls and 6 years for boys. Mean comparisons among groups can provide important information about an indicator.

Median
The median is the midpoint on a frequency distribution. One half of respondents scored below that point and one half score above.

Mode
This is the most frequent score.

Trend

A pattern in data over time. After monitoring an indicator, several times you might be able to observe a trend and relate it to programme or project activities or other events. This can be plotted on a trend line such as those below comparing boys and girls' years of education over time.

9.6.2. Analysing qualitative data

Qualitative data can help explain how a programme works and why certain things have happened. It can capture richness that qualitative data often cannot. Two basic qualitative analysis techniques are categorisation and coding techniques, and contextualization analysis[45]

Categorization and coding techniques

Qualitative data allow you to look for similarities across several accounts, interviews and/or documents. Examining interview transcripts, observation field notes or open-ended questionnaires for patterns and themes involves categorising your notes into recurring topics that seem relevant. This is often done by first reading through your materials to identify themes and patterns.

It is particularly helpful to have more than one person do this independently and then compare themes and patterns. Information can then be sorted by key categories to make it easier to identify more detailed patterns that can help you answer your questions or develop new hypotheses. As with any data analysis, it is important to assess gender-related differences. Patterns in the data may vary according to sex, age, ethnicity, economic status and/or educational level. Not all of these variables can be assessed as separate groups in all analysis, but in qualitative analysis, the patterns in the data can help you determine which ones are most critical for your purposes.

Contextualization analysis

This builds on the categorization from the previous technique and focuses more on how things fit together. It highlights important contextual factors and individual differences that are often hidden when we break qualitative data into disconnected categories. It can be useful to look at quantitative data as part of this process.

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[45] Adapted from the W. W. Kellogg Foundation Evaluation Handbook.

9.7. Reporting to meet stakeholders information needs

Both monitoring and evaluation are carried out for the same overall purpose, meeting information needs. Once your organisation has the necessary information, the next step is to make it available to the appropriate stakeholders in a usable form. When different stakeholder groups were highly involved in decisions about what kinds of information were recorded for what purpose, meeting those information needs is much simpler.

Your organisation should discuss with relevant male and female stakeholders the most useful ways to communicate monitoring and evaluation findings. Sometimes monitoring might use the form of monthly discussions with some stakeholders. Both monitoring and evaluation might use discussions or roundtables with a larger audience in other instances.

Your organisation can be creative in reporting monitoring and evaluation findings. Use a variety of techniques such a visual displays, oral presentations, summary statements, interim reports and informal conversations. Obviously, written reports are widely used.

9.7.1. Practical considerations for communicating findings

Some practical considerations for communication of monitoring and evaluation findings are outlined below[46]:

Make sure the information reaches the right people. Who needs to know what? By when? To make which decisions?

Use a form of communication that will catch the attention of the intended audience. How can the findings be brought to their attention?

Keep it simple! This may require different languages (and forms) for different audiences. For example, high-level policy makers tend to find condensed briefings with the major findings most useful. Your organization's staff members who work with a programme or project will find more detail and data useful for making decisions about future project activities. Field-level men and women participants need information to assist them in making decisions about their resources and benefits. What is most important for each group?

The evidence should be convincing. Those not directly involved in the collection of the findings, especially, will need to be convinced that what is being presented represents substantiated facts. Make sure that when opinions are presented, they are clearly identified as such.

The exchange of information should be seen as two-way. Stakeholder comments, discussions and questions can be an important information source for your organization's staff and management.

Information must reach those who make decisions in time to provide them the needed inputs for those decisions.

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[46] Adapted from "Participatory Impact Monitoring (PIM): Selected reading examples (GTZ-GATE) A publication of Duetsches Zentrum für Entwicklungstechnologien—GATE in Duetche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH. P. O. Box 51 80, Dag Hammarskjold Weg 1-2 D-65726 Eschborn.

9.7.2. Practical considerations for written reports

The following are some practical considerations to keep in mind for written reports[47].

Keep them as short as possible to include the needed information.

Make them readable. Simple language is best.

Use tables, charts and illustrations whenever possible. They can communicate a considerable amount of information in a small space. Do be sure to include explanations when needed.

Organize the report in a logical, easy-to-follow outline that helps the reader find what he or she needs.

For evaluations, write and disseminate a complete evaluation report, including an executive summary and appropriate technical appendices. Evaluation reports should include a full description of the evaluation methods (e.g., what data were collected, how they were collected and analyzed and the rationale for those decisions).

Start with the most important information—many people will not take the time to read a whole report.

Relate information to decisions. Reports written for decision-making purposes should first state the recommendation and then a summary of the relevant findings that support the recommendation.

Edit your report, looking for unnecessary words and phrases. It is better to have someone else edit your work, but if you must edit yourself, allow a day or two to pass between writing and editing.

Make the report appealing—use an attractive layout.

9.7.3. Summary points on monitoring and evaluation

The goal of all monitoring and evaluation should be to improve your programme and make decisions about how that can best be done. As a learning organisation, knowing more about your strengths and weaknesses provides strategies for continuous

improvement. Findings could lead to strategies to improve management, including developing better systems and procedures, which could in turn improve staff interactions and/or morale.

Improved planning should result from good monitoring and evaluation. In some cases, this may point out the need for technical assistance, research and/or training. Findings should be considered in subsequent reviews and programming. Results provide a baseline for future planning because they are a mark against which future results can be measured. If baselines are incorporated into early monitoring information, they provide a comparison point for future evaluations.

Monitoring and evaluation findings help you assess the effectiveness and the impact of your programmes and projects. They should support decisions about accountability and quality control. Discussion of information with stakeholder groups can help you know which aspects of your programme are most important to which groups.

A further goal of monitoring and evaluation in particular is to discover new knowledge about effective practices[48]. This becomes more important as you gather more information over time and compare it with your past information and the information from other groups; you may develop new ideas about how best to do what you do and how to work more effectively with others.

There are many ways that monitoring and evaluation information can be of use to your organisation if it properly organised.

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[48] W.W. Kellogg Foundation Evaluation Handbook, p. 101.

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DEFINITIONS

Constraints	Factors or forces that restrain or prevent change
Development	Planned socio-cultural and economic change that is sustainable, equal and efficient
Development context	Total environment in which development occurs, including the macro, intermediate and micro levels
Direct indicators	(Usually monitoring indicators) measure a given quantity
Efficiency	Development objectives that are achieved without wasting time and resources
Equality	development in which there are equal opportunities for women and men to participate and benefit
Evaluation	Comprehensive analysis with the aim of adapting strategy and planning and influencing future policies and programmes
Frequency	Counts the number of responses in a category
Goal	The end toward which efforts are directed
Impact	the results that can be attributed to programme outputs and outcomes
Indirect or proxy indicators	(Usually impact indicators) use a measure of something else to represent a quantity where direct measurement is not feasible or cost effective
Inputs	Resources invested in programme activities
Investment	Using resources to produce future goods and services
Mean	An average of all responses
Median	The midpoint on a frequency distribution
Mode	The most frequent score
Monitoring	A continuous systematic and critical review with the aim of checking progress
Objective	A specific end point resulting from one or more actions or activities
Organization	Two or more individuals jointly acting toward a shared goal

Organizational capacity	People and systems that develop and implement strategies to pursue objectives in a sustainable way
Outcome	stage of development at which material progress toward impact has been made
Outputs	specific products and services that results from programme activities
Percentage	Each type of response as a part of the whole
Performance	Activities that support the mission (effectiveness), use of resources available (efficiency) and progress in relation to long term viability (sustainability)
Programme	An organization's coordinated approach to a specific area of focus
Project	a particular set of activities implemented by a programme
Qualitative information	Non numerical information
Quantitative information	Things that can be counted
Range	An expression of the variance between the highest and lowest score on a numerical measure
Resources	Tangible and intangible inputs used to produce goods and services
Risk	Possibility of loss
Stakeholder	An individual or group who stands to gain or loose something of value as a result of a particular process or outcome
Strategy	Activities that set the course for an organisation and help keep it on course to fulfil its mission
Sustainable	development that supports the security and regeneration of economic, natural, human and socio-cultural resources
System	A pattern or process with regularly related parts or elements.
Trend	A pattern in data over time

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