AFRICA LEAD Module 2: Scaling Up for Food Security in Africa "Champions for Change II"

Facilitator Guide

January 9, 2012

Contents

Contents i

Chapter One: Introduction 1

Background 1

PURPOSE 1
OBJECTIVES 1
TARGET AUDIENCE 2
ASSUMPTIONS 2
PRELIMINARY THEMES AMONG NEEDS (BASED ON MODULE 1 PARTICIPANT SURVEYS) 2
OVERVIEW 3

Chapter Two: Design Process 5

Chapter Three: Module 2 Concept 7

STRUCTURE 7
SAMPLE MODULE 2 AGENDA 8
SESSION DESCRIPTIONS 9
Day One 9
Day Two 10
Day Three 12
FACILITATOR REQUIREMENTS 14
Background and Experience 14
Abilities 14
Workshop Logistics 15
Evaluation Process 15

DAY one 17

PRE-TRAINING SURVEY ADMINISTRATION 19
INSTRUCTIONS FOR TRAINERS IN DELIVERING MODULE 2 SURVEYS 20
SESSION 1: INTRODUCTIONS AND OVERVIEW 23
SESSION 2: NAIP/RAIP OVERVIEW 27
SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS 31
SESSION 4: PROJECT MANAGEMENT OVERVIEW 37

DAY two 45

SESSION 5: PROJECT DESIGN 47
SESSION 6: NAIP/RAIP SUPPORT MECHANISMS – CONCURRENT TRACKS 59
Concurrent Session: Track 1 – Strategic Influencing for Stakeholder Participation and Collaboration 59
Concurrent Session: Track 2 – Financial Management 59
Concurrent Session: Track 3 – Managing the Donor-Recipient Relationship 60

Concurrent Session: Track 4 – Managing People to Achieve Results 60
Concurrent Session: Track Reports 60
SESSION 7: MONITORING AND EVALUATION FOR NAIP/RAIP IMPLEMENTATION 61

DAY three 81

SESSION 8: DESIGN AND IMPLEMENTATION OF RAPID RESULTS PROJECTS 83
SESSION 9: RAPID RESULTS ACTION PLANNING FOR NAIP/RAIP IMPLEMENTATION 109
REVIEW the "Developing Milestones" template, below: 116
DEVELOPING MILESTONES 116

DAY four 125

SESSION 10: TEAMBUILDING – SUCCESS FACTORS FOR EFFECTIVE IMPLEMENTATION 127
SESSION 11: NEXT STEPS FOR RAPID RESULTS TEAMS, RESOURCES AND SKILL DEVELOPMENT NEEDED 133
SESSION 12: WRAP UP AND CLOSURE 137
POST-TRAINING SURVEY ADMINISTRATION 141
INSTRUCTIONS FOR TRAINERS IN DELIVERING MODULE 2 SURVEYS 142

Chapter One: Introduction

Background

Across the continent, all three AFRICA LEAD regions have achieved significant progress completing Module 1 training programs in both English and French. As of December 2011, 1,078 CAADP "Champions" from 29 countries have completed this training program. They include 545 Champions for Change in East Africa, 375 in West Africa, and 158 in Southern Africa.

According to current monitoring and evaluation data, the Africa Lead Module 1 training is achieving its purpose "To inspire, energize and mobilize innovative leaders, champions, and thinkers in African countries, who are committed to creative new approaches to achieving food security." The new knowledge, skills and attitudes attained in Module 1 include the following: an understanding of CAADP goals, new perspectives on food security, strategies for leading and managing change, strategic thinking and planning skills, advocacy skills, leadership skills, and monitoring and evaluation concepts and practices. AFRICA LEAD regional offices report that a significant number of Champions at the country and regional level are leaving the training program highly motivated, that they are establishing and broadening networks for action and implementing food security initiatives in their countries and regions.

PURPOSE

The purpose of the AFRICA LEAD Module 2 workshops is to ensure that country and regional teams and a select group of dynamic champions trained in Module 1 possess the requisite skills to move the NAIP/RAIP implementation process forward. Module 2 provides skill development to support NAIP/RAIP implementation, strengthen involvement and broaden the inclusiveness of the teams and their supporters in order to create better program results and insure that organizational and unit action plans in support of the CAADP National Agricultural Investment Programs (NAIPs) in each country and Regional Agricultural Investment Programs (RAIPs) are followed and show tangible, positive results.

OBJECTIVES

After participating in the Module 2 intervention, implementation teams of champions will be able to:

- Identify and develop strategic coordination mechanisms for CAADP and NAIPs/RAIPs
- Identify and agree to the most critical steps for CAADP NAIP/RAIP implementation
- Appreciate the necessary steps and activities in successful program and project design
- Integrate the project design elements into on-going NAIPs/RAIPs
- Apply appropriate project management, monitoring and evaluation methodologies to plans and projects
- Use the Rapid Results Approach (RRA) to develop 100-day action plans.

TARGET AUDIENCE

Select members of country and regional NAIP teams and a select group of dynamic champions trained in Module 1, including representatives of civil society, private sector, government and research organizations that are actively implementing food security / agriculture programs that contribute to NAIP/RAIP objectives, will be recruited for this intervention. Regional teams will be chosen through regional focal points for the value this workshop will add to their plans and projects.

ASSUMPTIONS

The AFRICA LEAD designers of the Module 2 intervention operated under the following assumptions:

- The primary target audience for participating countries and regions would be the country or regional implementation teams, which will include representatives of the CAADP Country Teams (CCTs), regional agricultural and rural development teams, selected Champions from the Module 1 training program, representatives from the ministry of agriculture and other key stakeholders.
- The most effective and efficient structure would be to focus on work in individual countries and with regional bodies.
- There exists a critical need to support follow-up of the country teams from both Modules 1 and 2 in order to maintain momentum, to continue monitoring progress and to ensure that the concepts that have been learned and the enthusiasm that has been established result in real and productive change. For regional teams, the Module 2 intervention would provide an opportunity to integrate new skills into the work of developing and implementing plans.

PRELIMINARY THEMES AMONG NEEDS (BASED ON MODULE 1 PARTICIPANT SURVEYS)

The 878 participants who had completed the Module 1 training program as of June 3, 2011 provided the following responses when asked “Which of the following are the most important (top three) areas where your institution needs training or development to carry out its mission effectively?” The percentages shown represent the percentage of respondents who identified the topic areas listed among their first three choices.

- Leadership and Change Management (41%)
- Strategic Planning(31%)
- Development of Investment Plans (including financial feasibility analysis) (28%)
- Monitoring, Evaluation, and Evidence-Based Analysis (28%)
- Building and Managing Partnerships (24%)
- Advocacy and Policy Change (22%)
- Outreach and Engagement with Stakeholders and the Public (22%)
- Project/Program Management (18%)

- Proposal Writing (17%)
- Project/Program Design (17%)
- Team Building (17%)
- Organizational Assessment (analyzing organizational performance) (14%)
- Knowledge Management (documenting and disseminating learning) (12%)
- Financial Management (9%)

These areas, plus other areas identified in the consultative design process described below, were taken into consideration as content areas were identified for Module 2.

OVERVIEW

Module 2 takes the form of country and region-specific interventions with key people and institutions as they continue to refine and implement their action plans. The Module 2 facilitation team proposes to work with teams responsible for NAIP/RAIP implementation individually so as to insure a focus on specific needs and action plans and the broadest inclusion of stakeholders in each country and region. We will work with country and regional teams in separate workshops. The focus countries for the Module 2 intervention include the 13 countries currently engaged in the AFRICA LEAD initiative as well as non-initiative but aligned countries.

Chapter Two: Design Process

In designing Module 2, AFRICA LEAD consulted with the following groups and individuals:

- CAADP countries representatives and secretariat
- RECs (COMESA, ECOWAS, etc.)
- Regional & Bilateral USAID Missions
- AFRICA LEAD DCOPs
- AFRICA LEAD Training Coordinators & Regional Trainers
- AFRICA LEAD M&E Team
- NEPAD Planning & Coordinating Agency
- International Donors & NGOs (GIZ, FANRPAN, etc.)
- Agriculture Sector Working Group Members

The information that the design team gathered and reviewed for respective countries and regions during the design process included:

- The CAADP Country Team responsible for implementation: structure and composition;
- The Overlap of Module 1 Champions and members of CAADP country teams;
- The names and areas of expertise of AFRICA LEAD regional trainers connected with CAADP;
- The status of the NAIP/RAIP in each respective country/region;
- The names and areas of expertise of the most active Module 1 participants who were moving forward with action plans;
- The action plans of Module 1 participants; and
- The identification of additional individuals who potentially could contribute significantly to Module 2 design.

Data gathering methodologies included surveys and individual and group interviews with members of CAADP country teams as well as key Non State Actors, such as farmers, agribusinesses, producer organizations, Civil Society Organizations (CSOs) and Module 1 Champions as well as other opinion formers and influencers such as media and parliamentarians. The purpose of this data gathering was to determine the knowledge dissemination and skills development required for effective CAADP implementation. The design team also utilized information from Africa Lead and GIZ capacity needs assessment in countries where these assessments had been completed.

Each Module 2 event will be preceded by one to two weeks of additional data gathering, remotely and in-country, to identify the most prevalent issues and challenges related to CAADP implementation.

Chapter Three: Module 2 Concept

STRUCTURE

AFRICA LEAD is implementing Module 2 on a country or region-specific basis with content specifically tailored to meet the identified needs. The format is as follows:

- Four-day country or region-specific programs;
- A series of one-day follow up meetings; and
- Potentially, one-year status workshops to be coordinated with annual NAIP/RAIP reviews.

The one-day follow-up meetings will be held, approximately, every 10-12 weeks: These meetings may be designed as one day for the whole team, or as specific topic sessions for targeted sub-groups, such as a NAIP/RAIP working group. These meetings will be used to provide participants with additional skill-building opportunities, for participants to report on and obtain focused support and guidance related to ongoing food security / agriculture projects as well as the status of the agreed on action plans and to plan for the replication of successful interventions. The frequency of the follow up meetings will be determined by team needs and the availability of funds.

A key feature of the Module 2 workshops and follow up meetings will be the utilization of the Rapid Results Approach (RRA) for project implementation. Each country or region for which the Module 2 workshop will be delivered will be requested to identify three to four agricultural productivity / food security projects, and project representatives will be instructed and coached to use the RRA. The advantages of RRA are that projects produce results very quickly, new work patterns are identified and lessons are learned about specific interventions and the process of managing change. The lessons learned from RRA projects will be used to further support NAIP/RAIP implementation.

SAMPLE MODULE 2 AGENDA

Day One	Day Two	Day Three	Day Four
A.M.			
▪ **Session 1:** Introductions and Overview ▪ **Session 2:** NAIP/RAIP Overview	▪ **Session 5:** Project Design and Management for Results ▪ **Session 6:** NAIP/RAIP Support Mechanisms – Concurrent Tracks: ➢ Track1 – Strategic Influencing for Stakeholder Participation and Collaboration ➢ Track 2 – Financial Management ➢ Track 3 – Managing the Donor-Recipient Relationship ➢ Track 4 – Managing People to Achieve Results	**Session 8:** Design and Implementation of Rapid Results Projects	▪ **Session 10:** Teambuilding – Success Factors for Effective Implementation ▪ **Session 11:** Next Steps for the Group, Resources and Skill Development Needed ▪ **Session 12:** Wrap Up and Closure
LUNCH – P.M.			
▪ **Session 3:** Success Stories in Agricultural Productivity – Characteristics of Effective Projects ▪ **Session 4:** Project Management Overview	▪ Concurrent Tracks Continued ▪ **Session 7:** Monitoring & Evaluation for NAIP/RAIP Implementation	▪ **Session 9:** Action Planning for NAIP/RAIP Implementation	

The preceding example is provided for illustrative purposes. Agendas for specific Module 2 workshops may vary based on the most relevant and urgent country or region-specific needs.

SESSION DESCRIPTIONS

DAY ONE

SESSION 1: INTRODUCTIONS AND OVERVIEW

By the end of this session, participants will be able to:

- Share personal perspectives on leadership;
- Understand the objectives, content and format of the Module 2 Workshop;
- Share expectations for the workshop; and
- Establish or build upon relationships with the workshop participants.

During this session, participants will review the objectives, content and format of the Module 2 workshop; share their expectations for the workshop and establish or build upon their relationships with the other workshop participants.

SESSION 2: NAIP/RAIP OVERVIEW

By the end of this session, participants will be able to:

- Describe NAIP/RAIP objectives and conceptual frameworks;
- Describe the primary strategies and approaches that have been identified in the NAIP/RAIP;
- Describe the implementation status of the NAIP/RAIP;
- Describe the country/region programs and projects that are currently being planned and/or implemented; and
- Identify the successes and challenges related to NAIP/RAIP implementation.

During this session, participants will receive an overview of the objectives, conceptual frameworks and implementation status of the NAIP/RAIP and identify key priorities for moving the NAIP/RAIP implementation process forward.

SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS

By the end of this session, participants will be able to:

- Learn about and celebrate the accomplishments of participants and their respective constituencies; and
- Identify essential characteristics of successful agricultural productivity and/or food security projects.

During this session, participants will share and celebrate their successes in the areas of agricultural productivity and food security. They will identify the essential characteristics of successful agricultural productivity and food security projects and gain a deeper appreciation of the resources and capabilities of the workshop participants and their respective constituencies.

Session 4: Project Management Overview

By the end of this session, participants will be able to:

- Identify the components of the project cycle; and
- Understand the basic requirements of project management.

In this session, we will present an overview of the components of the project cycle and the project management process. Participants will learn the sequence and relationship of the project cycle components and will receive an overview of topics that will be covered in detail on days two and three of the workshop. These topics will include project design, managing stakeholder participation, financial management and monitoring and evaluation.

Day Two

Session 5: Project Design

By the end of this session, participants will be able to:

- Recite the definition of a project;
- Describe the elements of the logical framework matrix; and
- Identify the basic questions that should be answered in a project action plan.

Since all Module 2 participants will be directly implementing or supporting NAIP/RAIP projects, the purpose of this session is for participants to understand the components of a project design. Participants will explore the elements of the logical framework matrix and the basic questions that should be answered in a project action plan.

Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks (As many as four, based on number of participants and priority needs identified)

During this session, participants will participate in three or four concurrent tracks that will focus on skill development for the design of agricultural productivity projects or the implementation of supportive actives in the areas of stakeholder participation and coordination, funding and financial management, managing the donor-recipient relationship or managing people to achieve results. The concurrent tracks will be 3.5 hours in duration. Specific descriptions of these tracks are provided below:

Concurrent Session: Track 1 – Strategic Influencing for Stakeholder Participation and Collaboration

By the end of this session, participants will be able to:

- Identify stakeholders whose activities contribute to the successful implementation of the NAIP/RAIP.
- Identify gaps in stakeholder involvement;
- Describe strategies for increasing stakeholder participation in the NAIP/RAIP and/or agricultural sector;

- Describe strategies for building consensus among government, civil society and private sector stakeholders in agricultural development;
- Identify strategies for addressing cross-cutting issues, particularly gender, climate change, poverty, nutrition and environmental or natural resource management issues, when coordinating stakeholder involvement in the NAIP; and
- Identify strategies for developing accountability frameworks which define stakeholders' roles and responsibilities for contributing to increased agricultural productivity and enhanced food security.

During this session, participants will map the stakeholders involved in agricultural development and/or the NAIP, identify gaps in stakeholder involvement, review strategies for conducting stakeholder analysis and explore strategies for advocacy and outreach to enhance stakeholder involvement. Participants will complete stakeholder analyses for food security / agricultural productivity projects and explore accountability frameworks for defining stakeholder roles and responsibilities.

Concurrent Session: Track 2 – Financial Management

By the end of this session, participants will be able to:

- Identify strategies for obtaining funding for agricultural and food security programs;
- Describe procedures for determining whether it is programmatically and economically practical and desirable to fund a particular project; and
- Explain financial management processes for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.

The focus of this session will be on strategies for obtaining funding and for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.

Concurrent Session: Track 3 – Managing the Donor-Recipient Relationship

By the end of this session, participants will be able to:

- Identify donor perspectives on the donor-recipient relationship;
- Work effectively with donors to achieve greater alignment and harmonization of agriculture development programs;
- Explore the impact of well managed and poorly managed donor-recipient conflict;
- Appreciate what it takes to create successful negotiations;
- Practice negotiation and conflict resolution skills; and
- Identify ways to strengthen negotiations and conflict resolution skills when working with donors.

During this session, participants will consider strategies for working effectively with multiple donors to achieve greater effectiveness of agriculture development programs. Participants will explore donor and recipient perspectives on the donor-recipient relationship and methods for managing conflict and negotiating with donors and prospective donors.

Concurrent Session: Track 4 – Managing People to Achieve Results

By the end of this session, participants will be able to:

- Explain the Performance Management Cycle;
- Define delegation and practice delegation conversations;
- Identify ways to delegate more effectively;
- Identify ways to give feedback on an ongoing basis to further the performance management process;
- Deliver a clear and concise performance feedback message; and
- Describe the six step model for conducting a feedback conversation.

The focus of this session will be on using the Performance Management Cycle to help project implementers carry out their job responsibilities. Participants will practice specific skills for task delegation and delivering performance feedback.

Session 7: Monitoring & Evaluation for NAIP/RAIP Implementation

By the end of this session, participants will be able to:

- Define the terms monitoring and evaluation;
- Describe the purpose and functions of monitoring and evaluation in the project management cycle;
- Describe the results framework concept;
- Describe CAADP M&E common indicators and country review processes;
- Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;
- Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and
- Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.

The focus of this session will be on reviewing the CAADP M&E common indicators and country review processes, i.e. joint sector reviews and social accountability tools, approaches, and methods. Participants will explore strategies for monitoring and evaluating projects to support CAADP NAIP/RAIP implementation plans as well as application of the Strategic Analysis and Knowledge Support System (SAKSS) concept.

Day Three

Session 8: Design and Implementation of Rapid Results Projects

By the end of this session, participants will be able to:

- Understand additional elements of the Rapid Results Approach
- Apply the Rapid Results Approach to selected NAIP/RAIP challenges

- Create a Rapid Results goal
- Create a chart for tracking results achieved during the RRI
- Identify and plan for next steps in the Rapid Results Process

During this session, participants will work in their Rapid Results teams to develop a goal and tracking chart for their RRI. This work will take place after receiving an orientation on elements of the Rapid Results Approach not covered in Session 7. These elements include the definition of "Results" as it is applied within the approach as well as an overview of the roles and responsibilities within an RRI. The session concludes with discussion on next steps for the teams. **Note**: While highly recommended, the portions of this session that deal with the development of a tracking chart may be skipped if time is running short.

Session 9: Action Planning For NAIP/RAIP Implementation

During this session, participants will work collaboratively to develop innovative, detailed action plans to achieve rapid results goals.

Session 10: Teambuilding – Success Factors for Effective Implementation

During this session, participants will:

- Identify factors for effective teambuilding and program implementation; and
- Identify strategies for effective teambuilding for each of the identified success factors.

The purpose of this session will be for participants to explore the critical factors for achieving team success and to identify strategies that they will employ in order to effectively implement the NAIP/RAIP.

Session 11: Next Steps for the Group – Resources and Skill Development Needed

By the end of this session, participants will be able to:

- Prepare for presentations to Senior Leaders;
- Identify technical supports needed;
- Discuss the Coach's role; and
- Move immediately into the implementation phase of their RRI.

The purpose of this session will be to enable participants to move forward with the implementation of rapid results projects in support of their NAIP/RAIP. Participants will prepare for presentations to senior leaders, identify the technical supports that will be needed for project implementation, discuss the role of RRA coaches (for RRA project teams) and prepare to initiate the implementation phase of their projects.

Session 12: Wrap Up and Closure

By the end of the session, participants will have reviewed and refined their individual/institutional/team action plans and will have identified the support required to help them move their plans forward.

FACILITATOR REQUIREMENTS

BACKGROUND AND EXPERIENCE

Facilitators should possess the following background and experience:

- Extensive practical experience of over 10 years in facilitating high level meetings of diverse groups
- Experience with development issues and ability in engaging participants in a dialogue and able to provide practical examples for learning
- Experience in strategic thinking to assist NSA groups to develop strategic directions for participation in improving the food security situation in their countries
- Extensive academic training and/or experience in agriculture and/or development studies is a plus

ABILITIES

Facilitators should possess the ability to:

- Work collaboratively as a member of a facilitation team
- Conduct training / learning needs assessment and develop recommendations for learning events
- Facilitate a process that enables people to reach consensus
- Use core facilitation skills – question-asking, paraphrasing, summarizing and encouraging
- Keep discussions on target and within planned time frames
- Handle difficult and challenging participants with politeness, grace and an appropriate level of firmness
- Turn group conflicts into learning opportunities
- Deliver brief lectures which are clear, concise, well-organized and motivating for participants
- Draw out conclusions, insights and applications for implementation back at work
- Deal skillfully with others' concerns and / or resistance to change
- Remain flexible throughout a learning event in order to adapt to the emerging needs of learners and changing circumstances while still being attentive to agreements made with the client on learning objectives
- Collaborate with and support technical experts to assure effective transfer of knowledge and skills and the application of new learning to current and future work
- Communicate fluently in English and/or French

- Participate in a two-day orientation/training of facilitators conducted by Africa Lead as part of its overall support for the Module 2 Workshops

Workshop Logistics

- The 4-day workshops may commence on a weekend or on a weekday. The goal is to accommodate the schedules of extremely busy people and also to be sensitive to religious practice, holidays, etc.
- A dinner may be held on the next to last day. Certificates will be awarded at the final working session.
- The workshop will begin each day at between 7:30 a.m. and 8:30 a.m. with at least seven hours of activities per day for days one, two and three. The workshop may be concluded following an extended morning session on day four.
- Lunch will be one hour, preferably with all participants together.
- Occasional assignments or meetings may be held at night, depending upon the group.

Evaluation Process

Prior to the initial 4-day workshop, objectives will be reviewed, including measures of success and the methodology for measuring progress. Responsibilities for monitoring and evaluation of each Module 2 workshop will be assigned to NAIP/RAIP team members or designees. The AFRICA LEAD M&E team will provide technical assistance, as needed, in the formulation of each M&E plan. However, it will be the NAIP/RAIP team's responsibility to carry out the Module 2 workshop evaluation. The results of the evaluation will be the starting point for determining the target audience, content and format of follow up meetings.

DAY one

"It always seems impossible until it's done."

- Nelson Mandela

PRE-TRAINING SURVEY ADMINISTRATION

Objectives	▪ Gather data from each participant that can be used to assess the effectiveness of the Module 2 workshop.
Total Time	30 minutes
Materials	**PowerPoint Slide** ▪ Pre-Training Survey **Other Resources** ▪ Pencils

INSTRUCTIONS FOR TRAINERS IN DELIVERING MODULE 2 SURVEYS

Africa Lead's Module 2 training is a 4 day course, tailored to each country that will equip CAADP leaders to operationalize Investment Plans. Since trainings will take place in different countries, Africa Lead staff may not always be present to deliver surveys before and after training. Because these surveys are the primary way that we can show the project's impact, it is very important that we get good data!!! These brief instructions will help guide you – the Module 2 trainers – to collect the data that we need regardless of whether or not Africa Lead staff are present.

Content of each workshop may differ, so too the M&E surveys may change. For this reason, you may not receive the correct survey until the day before it is administered. Please be very careful to use the correct survey at the right training and time (they will be clearly labeled at the top). The instructions that follow are what will be the SAME for EVERY workshop. There will be 2 surveys for Module 2:

- **Pre-Training Survey** – This survey should be given to participants BEFORE ANY TRAINING HAS TAKEN PLACE. Please leave at least 15 minutes in the schedule for participants to fill it out. ***Note: Pre-tests should not be administered at a later time if the participant has already sat in on the training for any amount of time.***
- **Post-Training Survey** – This survey will be administered AT THE VERY END OF TRAINING. Please make sure that you leave at least 15 minutes in the schedule for participants to fill it out.

Steps to Follow in Administering Surveys:

Preparation

Prior to administering each survey each time, you'll need…

1. Get a printed list of the names of every participant at the training, and
2. Sufficient copies of the survey

   Note: All surveys and evaluations are confidential (including blank forms and electronic files) and should be treated as such. Please keep both blank copies and completed surveys/evaluations in a secure location and DO NOT leave them out for participants to see.

Survey administration

Before handing out the survey, it's a good idea to explain the following issues…

3. Explain:
   - Why is it important that we do this and that participants answer accurately and completely?
   - Participant answers are confidential. They won't be shared with anyone outside the project.
   - The need for participants to fill out every question. Information from our data collection efforts will be most useful if our data is as complete as possible.

Once you've made these comments to participants…

4. Hand out the surveys one-by-one to each participant.

   Allow participants sufficient time to complete the form, and make sure someone is available for questions. I suggest collecting the forms one-by-one as well, so that you can ensure that forms are complete…

Ensuring completeness of forms

Upon collecting the forms from participants (either the pre-training survey or the post-training survey)…

5. **Immediately review the surveys for missing data and unanswered questions.**

   No question should be left blank or without an answer. Please crosscheck all completed forms immediately after collection, and if any section was left vacant, please return those to participants to complete them. This is easiest to do if collecting one-by-one, as you can spot-check immediately. (Otherwise, you will have to mark questions that have not been answered and then, during a break or during lunch, go find each participant and ask them the questions they skipped/missed).

6. **Then use your list of participants to make sure that all participants filled out a form.**

   Again, please note: Pre-tests should not be administered at a later time if the participant has already sat in on the training for any amount of time.

Storing forms after collection

7. Please store completed forms in a safe place until you can give them to Africa Lead staff.

THANK YOU for taking Africa Lead's data collection seriously and making it a priority activity for the training. We certainly appreciate it!

If you have any questions or concerns, do not hesitate to contact Africa Lead's M&E Manager:

Nega Berecha

Nega_Berecha@AfricaLeadFTF.org

SESSION 1: INTRODUCTIONS AND OVERVIEW

Objectives	By the end of the session, participants will be able to: ▪ Share personal perspectives on leadership; ▪ Understand the objectives, content and format of the Module 2 Workshop; ▪ Share expectations for the workshop; and ▪ Establish or build upon relationships with the workshop participants.
Total Time	2 hours, including a 15-minute break at the end of the session.
Materials	**PowerPoint Slides** ▪ Session 1 **Participant Manual** ▪ Session Objectives ▪ Individual Participant Introductions ▪ Module 2 Objectives ▪ Getting Started ▪ Expectations and Guidelines for Working Together ▪ Individual Task **Other Resources** ▪ Leadership Quotes

Procedure		Steps	
			PM, pp. 13-16
45 min	1	**INTRODUCTIONS** **WELCOME** participants to the course. **PRESENT** the learning objectives of this session. **ASK** participants to prepare to introduce themselves by completing Section 1.1, the Individual Participant Introductions worksheet, located on p. 14 of the Participant Manual. **GIVE** participants five minutes to complete this task and **TELL** them that they will each have 20 seconds to introduce themselves to the other participants in the group. **ASK** participants to introduce themselves by sharing: ▪ Name ▪ Position ▪ Job Location ▪ One word that describes their feelings about food security in their country or region. Facilitators should **INTRODUCE** themselves to the group and describe the role they will play in participants' learning (refer to notes in the beginning of this guide on adult learning principles). **PRESENT** the schedule and flow of sessions for the workshop. **PRESENT** the session objectives for the workshop and steps we will take to meet these objectives. **Note:** *Ideally, a representative from the host government will offer welcoming remarks. Be prepared to adjust the timing of the opening session and flow of activities accordingly!*	PM, p. 13 PM, p. 14 PM, p. 15
30 min	2	**GETTING STARTED** **POST** the following quotes around the room (before the session begins). Determine the number of quotes based upon the number of participants. Use one quote for every four to five participants: **Note:** *Facilitators may add or substitute quotes that are most appropriate for the country, region or participant audience.* ▪ "Gender equality is more than a goal in itself. It is a precondition for meeting the challenge of reducing poverty, promoting sustainable development and building good governance." Kofi Annan	PM, p. 16

Procedure		Steps	
		▪ "In Africa today, we recognize that trade and investment, and not aid, are pillars of development." Paul Kagame ▪ "If your dreams do not scare you, they are not big enough." Ellen Johnson Sirleaf ▪ "A person is a person because he recognizes others as persons." Bishop Desmond Tutu ▪ "When a king has good counselors, his reign is peaceful." Ashanti proverb ▪ "Since new developments are the products of a creative mind, we must therefore stimulate and encourage that type of mind in every way possible." George Washington Carver **EXPLAIN** that we would like to get started with an activity that gets people up and active and talking about leadership. **INTRODUCE** the task: ▪ Individually, look at the quotes on leadership posted around the room. ▪ Stand next to the statement you like the best. ▪ With others in the group, discuss why you selected the statement. ▪ Select one person to summarize your discussion for the whole group. ▪ You have 10 minutes for your discussion. After ten minutes, **LEAD** a brief discussion with the whole group (they should remain standing by their quote). **GET** quick summaries from each small group about why they selected the quote. **HIGHLIGHT** key words and themes the groups used to talk about their quote. **RECORD** participants' contributions on flipchart so that you may refer back to them throughout the course.	
30 min	3	**GUIDELINES FOR WORKING TOGETHER AND EXPECTATIONS** **SHARE** the suggested *Guidelines for Working Together* (also place on flipchart to keep posted throughout the course): ▪ Participate fully ▪ Respect other views and opinions ▪ Truly listen to one another ▪ Share discussion time and encourage others to participate ▪ Express yourself in the language you prefer ▪ Respect confidentiality ▪ Turn off your cell phones ▪ Start and end on time ▪ Have fun **ASK** participants if there are any guidelines they would add, modify or	PM, p. 16

Procedure		Steps	
		remove. **ASK** participants to reflect on the expectations they have for the course content and for the facilitators. **INSTRUCT** participants to write their expectations on sticky notes—one color for expectations of the course and one color for expectations of the facilitators. **GIVE** them just a few minutes to do this and then **ASK** for some volunteers to share their expectations. **ASK** participants to post their expectations on flipcharts that you have prepared in advance; one flipchart labeled "Expectations of the Workshop" and another flipchart labeled "Expectations of the Facilitators". **REFER** to these expectations throughout the course. **MAKE** the link from the participants' expectations to the course objectives. **REVIEW** any necessary logistical information (logistical contact person, sign in sheet, break and lunch times, location of restrooms, etc.) Warmly **WELCOME** the participants to the start of a fantastic workshop and program.	
15 min	4	***BREAK***	

SESSION 2: NAIP/RAIP OVERVIEW

Objectives	*By the end of the session, participants will be able to:* ▪ Describe NAIP/RAIP objectives and conceptual frameworks; ▪ Describe the primary strategies and approaches that have been identified in the NAIP/RAIP; ▪ Describe the implementation status of the NAIP/RAIP; ▪ Describe the country/region programs and projects that are currently being planned and/or implemented; and ▪ Identify the successes and challenges related to NAIP/RAIP implementation.
Total Time	1 hour
Materials	**PowerPoint Slides** ▪ Session 2 **Participant Manual** ▪ Session Objectives ▪ Overview of CAADP Country/Region Programs and Projects **Other Resources**

Procedure		Steps	
			PM, pp. 17-20
5 min		**INTRODUCTION** **WELCOME** participants back from the break. **PRESENT** the learning objectives of this session.	PM, p. 17
30 min	2	**NAIP/RAIP OBJECTIVES AND FRAMEWORKS - PRESENTATION** **INTRODUCE** the CAADP Country Team member(s) or government/regional representative(s) who will deliver this presentation, which should cover: ▪ NAIP/RAIP objectives and conceptual frameworks; ▪ The primary strategies and approaches (e.g., value chains) that have been identified in the NAIP/RAIP; ▪ The implementation status of the NAIP/RAIP; ▪ An overview of country/region programs and projects that are currently being planned and/or implemented; and ▪ Successes and challenges related to NAIP/RAIP implementation. **BE PREPARED** to provide assistance, as required, such as distributing handouts and materials, advancing PPT slides, facilitating question and answer sessions, discussion, etc. **Note:** *The presenter(s) should be confirmed at least one week in advance of the Module 2 workshop. This may be the responsibility of the respective Africa Lead office. One of the facilitators should brief the presenter(s) at least a few days in advance of the workshop and provide guidance concerning the content and objectives of the presentation, audience, time frame, etc. and determine the equipment and support that the presenter(s) will require. Whenever possible, the Africa Lead office or facilitators should provide participants with electronic copies of the NAIP/RAIP at least one week prior to the Module 2 workshop. Propose to the presenter(s) that the presentation(s) not exceed 30 minutes (20 minutes is ideal). This will make it easier for participants to remain focused and insure that there is adequate time remaining for questions, answers and discussion.* **Note:** *If a CAADP presenter is not available, be prepared to facilitate a discussion on the status of CAADP in the country or region at present.*	PM, p. 18

Procedure		Steps	
25 min		**CAADP NAIP/RAIP OBJECTIVES AND FRAMEWORKS – PLENARY GROUP DISCUSSION AND QUESTION/ANSWER SESSION** **FACILITATE** a plenary group discussion and question/answer session. **ANNOUNCE** a one-hour lunch break. **TELL** participants that after lunch they will hear about specific NAIP/RAIP programs and projects and explore the alignment of these programs and projects with regional and district agricultural initiatives.	
1 hour		***LUNCH***	

SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS

Objectives	*By the end of the session, participants will be able to:* ▪ *Learn about and celebrate the accomplishments of participants and their respective constituencies; and* ▪ *Identify essential characteristics of successful agricultural productivity and/or food security projects.*
Total Time	1 hour, 45 minutes (including a 15 minute break at the end of the session)
Materials	**PowerPoint Slides** ▪ Session 3 **Participant Manual** ▪ Session Objectives ▪ Sharing Success Stories and Building a Wall of Success ▪ Characteristics of Successful Projects **Other Resources** ▪ Half-size sheets of flipchart paper and markers for each participant pair ▪ Easel, blank flipchart paper and markers for recording lists in the large group session ▪ Workshop goals and agenda printed on flipchart or on PPT slide **Preparation** ▪ Using flipchart paper, prepare an outline of the Module 2 workshop to serve as a visual guide during the agenda review toward the end of the session. ▪ Select a side wall in the main training room to designate as the “Wall of Success”.

Procedure		Steps	
			PM, pp. 21-24
5 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that as we move forward to implement plans for agricultural productivity and food security, it is important for us to acknowledge and celebrate the successes that we have already achieved. By acknowledging our achievements, we can continue to build our momentum and enthusiasm and we can identify and share what we have already learned through our good work.	PM, p. 21
30 min	2	**SHARING STORIES AND BUILDING A WALL OF SUCCESS – SMALL GROUP ACTIVITY** **DIVIDE** participants into random small groups of about five people by counting off (for example, it there are 40 participants – have them count off by 8) **Note:** *If the total group size is fewer than 20, this activity may be conducted in pairs. In this case, give the pairs 10 minutes to complete the task.* **PROVIDE** each small group with a sheet of flip chart paper and markers. **ASK** each group to: ▪ Briefly introduce themselves to one another; ▪ Create a list of successful agricultural productivity and/or food security projects of which they are aware; ▪ Identify the reasons that these projects were/are successful; and ▪ Identify indicators of the success of these projects. **ADVISE** participants that success occurs on many levels and that the projects do not necessarily have to have been completed in order to have experienced success. **ASK** participants to work quickly but to make sure that each group member has an opportunity to contribute to the list. **TELL** participants that they have **20 minutes** to complete this task and **INSTRUCT** them to record their list of successful projects, reasons for success and indicators of success on flipchart.	PM, p. 22
20 min	3	**SHARING STORIES AND BUILDING A WALL OF SUCCESS – SMALL GROUP REPORTS** **ALLOW** approximately two to three minutes per group for sharing. After	PM, p. 22

		they have finished sharing their list, **HAVE THEM** post their flipchart on the designated "Wall of Success". At the end of the sharing, **ASK** participants for their immediate impressions about the work being accomplished to enhance agricultural productivity and to achieve food security. **TAKE** a few observations and then **ASK** participants to applaud themselves for their contributions to these activities.	
25 min	4	**CHARACTERISTICS OF SUCCESSFUL PROJECTS** **ASK** participants, in their same small groups, to brainstorm the characteristics of successful projects – based on their prior discussion of successes and their knowledge of successful projects in general. **ADVISE** participants that they should not restrict their discussion to the list of successful projects that they developed in the previous activity. **ASK** participants to record their responses on flipchart. **GIVE** them 7 minutes to complete this task. **PLACE** a flipchart in the front of the room with the heading "Characteristics of Successful Projects". **SOLICIT** "characteristics" from the small groups in "Round Robin" fashion, moving from group to group and taking one characteristic from each group at a time. **CONDUCT** two to three rounds or continue until you have a comprehensive list. When they are finished, **ADD** any other essential items you think are still missing. **OPTIONAL** (As an "add-on" to the lists developed by participants in the small group activity) – **INVITE** participants to review the list of "Characteristics of Successful Projects" in the participant manual, which includes the following items: ▪ Involvement of the community and all beneficiaries in all phases of the project planning, implementation, and evaluation. ▪ Analysis of the situation and determining what the community wants to do. ▪ If a problem is identified, problem analysis and selection of a cause that they can reasonably work on. ▪ Realistic and achievable project goals. ▪ Realistic and concrete project objectives. ▪ Clearly defined project tasks and responsibilities of all people involved. ▪ Well designed time frame and budget, so that the objectives are met within the time and resource limits. ▪ Partial, concrete and tangible results achieved during implementation of the project. ▪ Effective monitoring system that measures the project's progress, identifies problems and provides a mechanism for	PM, pp. 23-24

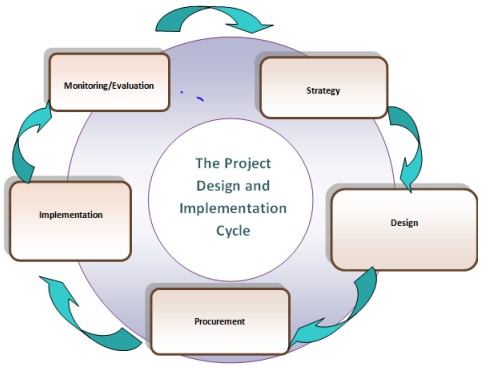
		necessary changes in the project. ▪ Methods for keeping the larger community informed and involved. ▪ Evaluation, based on indicators set beforehand, of each project phase and the entire project after it is finished. ▪ Logical and effective structure of project design and management. ▪ Qualified persons assigned to specific roles. ▪ A mechanism for training community members in effective maintenance of the project, if required. **ENCOURAGE** participants to keep all of these characteristics of successful projects in mind as we continue our workshop activities.	
15 min		***BREAK***	

SESSION 4: PROJECT MANAGEMENT OVERVIEW

Objectives	By the end of the session, participants will be able to: ▪ Identify the components of the project cycle; and ▪ Understand the basic requirements of project management.
Total Time	2 hours
Materials	**PowerPoint Slides** ▪ Session 4 **Participant Manual** ▪ Session Objectives ▪ Definitions ▪ The Project Design and Implementation Cycle ▪ Project Management Concepts ▪ Designing a Management Structure ▪ Levels and Functions of Project Management **Other Resources** ▪ Five sets of footprints (paper cut in the shape of a foot); 10 per set ▪ Blank flipchart paper ▪ Glue stick or masking tape; one per group ▪ Markers

Procedure		Steps	
			PM, pp. 25-33
20 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that the ultimate achievement of food security and growth in agricultural productivity will be accomplished through the successful implementation of programs and projects. **REMIND** participants of the difference between **programs** and **projects** by again sharing the following definitions: **A program** is a coherent framework of action to achieve certain global objectives, comprising separate sets of activities (grouped under different components) which are oriented towards the attainment of specific objectives. It therefore consists of interventions on a larger scale than a project and may actually include several projects whose specific objectives are linked to the achievement of the higher level common objectives. **A project** is generally part of a broader undertaking such as a development program to which it will only make a contribution. **A project** can be considered to be any series of activities and tasks that: ▪ Have a specific objective to be completed within certain specifications ▪ Have defined start and end dates ▪ Have funding limits (if applicable) ▪ Consume human and nonhuman resources (i.e., money, people, equipment) ▪ Are multifunctional (i.e., cut across functional lines) (Definitions adapted from - Project Management: *A Systems Approach to Planning, Scheduling and Controlling*, Harold Kerzner, John Wiley & Sons, Inc., New York, NY, 2001 and *Design, Monitoring and Evaluation of Technical Cooperation Programmes and Projects: A Training Manual*, Evaluation Unit (PROG/EVAL), Bureau of Programming and Management, International Labour Organization, Geneva, CH, 1995.) **SAY** that, in this session, the terms program management and project management are used interchangeably as we explore concepts that are relevant to the effective management of both programs and projects. **ASK** participants to share examples of both programs and projects of which they are familiar. **SAY** that in this session, we will review the steps of the project cycle and identify and explore the specific tasks that must be completed in order to successfully manage programs and projects.	PM, p. 25 PM, p. 26

Procedure		Steps	
		TELL participants that over the next two days we will work on developing practical skills for managing many aspects of the project cycle.	
25 min	2	**THE PROJECT CYCLE** (Adapted from, *The New Project Design and Management Workshop Training Manual*, U.S. Peace Corps, Office of Overseas Programming and Training Support, Washington, DC, 2003) **GIVE** each table group a set of 10 footprints (paper cut in the shape of a foot), one glue stick or roll of masking tape and two sheets of blank flipchart paper. **EXPLAIN** the table group task, as follows: ▪ Talk among yourselves and determine the steps of the project cycle, from beginning to end. Someone in the group should take notes. ▪ Once you have determined what the steps are, write the name of each one on a different footprint and lay the footprints out in a time sequence on the flipchart. Use the glue stick to fasten them down. ▪ You do not have to use all 10 footprints. ▪ You have 20 minutes to complete the task. **CIRCULATE** around the room. **OBSERVE** the work of the table groups and **OFFER SUGGESTIONS** if some groups get stuck on a particular step.	PM, p. 27
30 min	3	**REPORT OUT AND GROUP AGREEMENT ON THE STEPS IN THE PROJECT CYLCLE** (Adapted from, *The New Project Design and Management Workshop Training Manual*, U.S. Peace Corps, Office of Overseas Programming and Training Support, Washington, DC, 2003) **ASK** each group to report out, using their diagrams to illustrate their thinking. After all have finished, discuss the project design and management process with questions, such as: What are some of the similarities and differences you see among the diagrams? What might account for those? What did you learn from each others' charts? **PRESENT** and **DESCRIBE** an "example" of the project design and implementation cycle, depicted below:	PM, p. 28

Procedure		Steps	
		 **Note:** The steps in the above illustration should be referenced in participant examples, though participants may use different names or terms to describe them. Acknowledge and appreciate participant efforts that generally approximate the steps in our example. Participants will come up with a variety of steps and sequences for the project design and implementation cycle. There is no one correct set of responses. Some participant examples may not include the procurement process, depending upon the methods used by their agency or organization to distribute funds or resources. Remind participants that they should consider the procedures or mechanisms that will be used to distribute resources to projects.	PM, p. 29
15 min	4	**PROJECT MANAGEMENT CONCEPTS** **INDICATE** that, as with anything else that works well, in order to be effective – projects much be effectively managed. SAY that, we will now review the specific requirements of project management. Over the next two days we will work on specific skills required to manage the project cycle, including project design, stakeholder engagement, funding and financial management, managing the donor-recipient relationship, managing people and monitoring and evaluation. **EXPLAIN** that ***project management*** involves project planning and project monitoring and includes items such as: **Project planning** ▪ Definition of work requirements ▪ Definition of quantity and quality of work ▪ Definition of resources needed **Project monitoring** ▪ Tracking progress ▪ Comparing actual outcome to predicted outcome ▪ Analyzing impact	PM, p. 30

Procedure		Steps	
		▪ Making adjustments **EXPLAIN FURTHER** that successful project management can then be defined as having achieved the project objectives: ▪ Within time ▪ Within cost ▪ At the desired performance/technology level ▪ While utilizing the assigned resources effectively and efficiently ▪ Accepted by the customer(s) **ASK** participants what they see as potential benefits of successful project management and **RECORD** their responses on flipchart. Some possible responses to look for or add include: ▪ Identification of functional responsibilities to ensure that all activities are accounted for, regardless of personnel turnover ▪ Minimizing the need for continuous reporting ▪ Identification of time limits for scheduling ▪ Identification of a methodology for trade-off analysis ▪ Measurement of accomplishment against plans ▪ Early identification of problems so that corrective action may follow ▪ Improved estimating capability for future planning ▪ Knowing when objectives cannot be met or will be exceeded	
10 min	5	**DESIGNING A MANAGEMENT STRUCTURE** **REVIEW** the considerations for designing a management structure, as follows: ▪ A well designed program reflects careful choices about the locus of responsibility and authority for management. ▪ Some key considerations include: ➢ Matching the structure to the technical complexity and scale of the program ➢ Optimizing efficiency of decision making and execution ➢ Striking a balance among the interests of major stakeholders ➢ Ensuring accountability both for the use of resources and for achieving results ➢ Assessing the capacity and track records of different organizations ➢ Finding the best model that enhances long-term sustainability ▪ Typically, negotiations and compromises among program stakeholders are necessary before a final decision can be taken, because: ➢ Priorities and preferences differ between donors and host	PM, pp. 31-32

Procedure		Steps	
		governments ➢ Short- and long-term perspectives may not be identical ➢ Organizational and/or personal incentives may be in conflict	
8 min	6	**LEVELS AND FUNCTIONS OF PROJECT MANAGEMENT** **REVIEW** the distinct levels and functions of project management, as follows: ■ Typical operational requirements: ➢ Managing funds, hiring staff, and procuring goods and services ➢ Preparing and executing a work plan that incorporates milestones and results ➢ Interacting continuously with beneficiaries (e.g. through farmer training courses) ➢ Recruiting and hiring specialized consultants for analytical studies ➢ Delivering regular progress reports backed up by program data ■ Key oversight responsibilities: ➢ Monitoring performance and results against the program work plan ➢ Providing technical direction on work plan priorities and execution strategies ➢ Approving award of contracts and grants above designated threshold levels ➢ Carrying out periodic financial and regulatory compliance audits ➢ Scheduling and supervising external evaluations (mid-program and post-program) ➢ Digesting evaluation findings and taking corrective action, where required ■ The clarity of roles and responsibilities, and the interdependence of these functions, are both critically important	PM, p. 32
2 min	7	**SESSION SUMMARY** **TELL** participants that in the remaining three days we will explore many aspects of project management and the project cycle in greater detail; in both large and small groups. **REMIND** participants that the ultimate achievement of food security and growth in agricultural productivity will be accomplished through the successful implementation of programs/projects.	
10 min	8	**JOURNALING / WRAP UP** **SHOW** the *Wrap Up* slide and **ASK** participants to do the following: ■ Complete the Journal for Day 1; ○ What primary strategies and approaches are	PM, p. 33

Procedure		Steps	
		identified in the NAIP/RAIP? ○ What are some of the essential characteristics of successful agricultural productivity and/or food security projects? ○ How will you insure that agricultural programs and projects will be managed effectively in your country or region? ■ Share your ideas with the person next to you; ■ Complete the evaluation form for Day 1; and ■ Return tomorrow morning for another exciting day. ***ADJOURN***	

DAY two

"Patience is the key which solves all problems."

- Sudanese Proverb

SESSION 5: PROJECT DESIGN

Objectives	*By the end of the session, participants will be able to:* ▪ *Recite the definition of a project;* ▪ *Describe the elements of the logical framework matrix; and* ▪ *Identify the basic questions that should be answered in a project action plan.*
Total Time	1 hour, 15 minutes (including a 15-minute break at the end of the session)
Materials	**PowerPoint Slides** ▪ Session 5 **Participant Manual** ▪ Session Objectives ▪ Project Design Fundamentals ▪ Logical Framework Analysis Model ▪ Contents of a Project Action Plan **Other Resources** **Preparation**

Procedure		Steps	
			PM, pp. 37-48
5 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that the purpose of this session will be for participants to understand the basic elements of a project design. The expectation is that all Module 2 participants will be either directly implementing or supporting NAIP/RAIP projects and will, therefore, benefit from having a thorough and common understanding of these elements and the processes that must come together for projects to be successful. **EXPLAIN** that we will begin this session with a brief presentation and discussion on Project Design Fundamentals. We will then present the Logical Framework Analysis Model as our conceptual framework and explore the following related topics: ▪ The rationale for the Logical Framework Analysis; ▪ The distinction between "process" and "product"; ▪ Establishing an inclusive design team; ▪ Problem and objective analysis; ▪ Designing a LogFrame matrix; ▪ Terminology; ▪ The critical role of assumptions; and ▪ Internal consistency.	PM, p. 37
10 min	2	**PROJECT DESIGN FUNDAMENTALS** (Adapted from Georgetown University, Business Development Workshop, MSFS 747, How Funding Agencies Translate Strategy into Programs and Projects, September 12, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)	PM, pp. 38-40

Procedure		Steps	

		What is a Program Design?
		• A justification for the investment (analysis of relevance and feasibility)
		• A documented record which supports effective management, accountability and transparency
		• The basis on which an implementation agreement(s) and resultants contract(s) or grants are prepared
		• Usually includes:
		  ◦ A complete situational analysis
		  ◦ A plan and framework to guide implementation and M&E
		  ◦ An assessment of risks and a risk management plan
		  ◦ Identification of stakeholders and their interest/influence
		  ◦ Other assessments such as environmental impact, gender analysis, socio-economic analysis, governance assessment, conflict assessment etc.	

		Identifying the Development Problem
		• Development "hypothesis"
		  ○ A development hypothesis is a narrative description of causal/plausible linkages between actions and results, and results and overall objectives
		• "Theory of Change" approach
		  ○ Use of if/then statements to link possible actions to outcomes
		• Various situational analyses undertaken
		  ○ Stakeholder analysis
		  ○ Capacity analysis
		  ○ Gender and other social analyses
		  ○ Economic impact analysis
		  ○ Environmental impact
		  ○ Sustainability analysis	

Procedure		Steps	

Steps in Formulating a Design

- Define high-level goals and create a Results Framework
- Select the delivery mechanism (instrument) for funding
- Logical framework analysis
  - Analyze the problem and define objectives for a solution
  - Demonstrate linkages between activities > outcomes > objectives
  - Specify critical assumptions that drive "if-then" causal logic
  - Analyze stakeholder impacts (winners, losers, spoilers)
  - Test alternative designs
  - Identify risks (impact, probability) and mitigation measures
- Develop a Performance monitoring plan (PMP)
- May prepare Terms of Reference (TORs) for the implementing organization, or a complete Request for Applications (RFA), or Request for Proposals (RFP)

Qualities of a Good Program Design Document

Situational Analysis	Program Description
Are the development problem and its root causes clearly presented, and thoroughly analyzed?	Are the development strategy and the mechanism for delivery appropriate for this type of program?
How well does the program fit the host government's and Funding agencies' development agendas?	Are the goal, purpose, outcomes, and activities adequately described with persuasive causal logic?
Does the program design incorporate lessons from past experience in this sector, inside and outside the country?	Are relevant indicators, measurement techniques, and data collection protocols specified?

Management and Financing	Feasibility, Risks, and Key Assumptions
Are the proposed management structure for the program and coordination mechanisms well thought out and convincing?	Are key stakeholders identified, together with their respective importance and levels of influence on the program?
Are the program's cost elements realistic, and how do the costs match up against estimated program benefits?	Are risks to the program's success well analyzed, in terms of impact and probability, with adequate description of how these risks will be mitigated?

30 min	3	**LOGICAL FRAMEWORK ANALYSIS MODEL** (Adapted from Georgetown University, Business Development Workshop, MSFS 747, Logical Framework Analysis, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.) **USE** PPT slides to **PRESENT** and **FACILITATE** discussion of the Logical	PM, pp. 41-47

Procedure	Steps
	Framework Analysis Model, as follows:

Why Use Logical Framework Analysis?

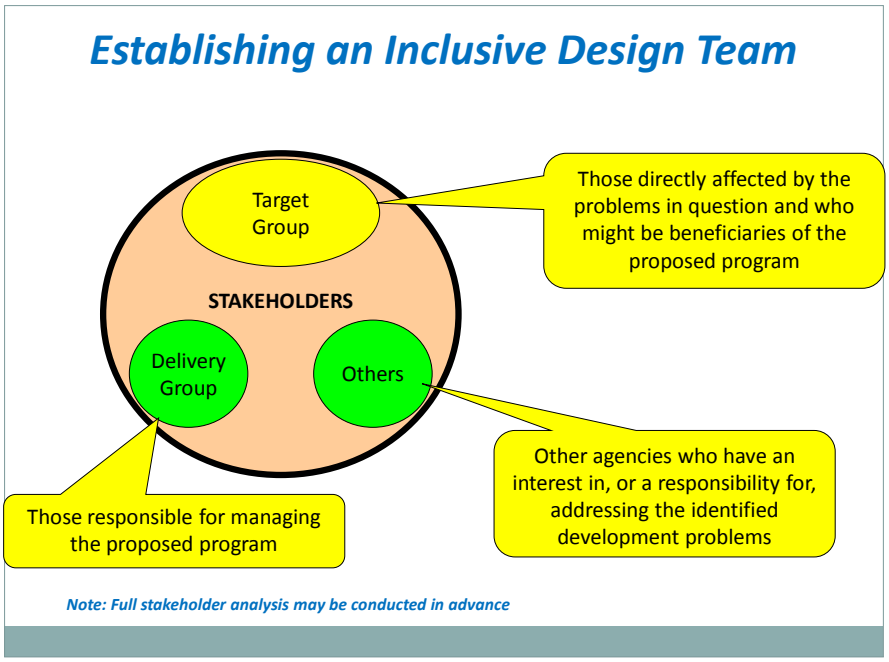
- Takes the results of a problem analysis and maps them into an organizing framework
- Establishes a logical hierarchy of the means by which desired program objectives will be reached
- Establishes how objectives, outputs and activities can best be monitored and evaluated
- Forces program designers to think through all of the critical assumptions that underpin their logic
- Differentiates between levels of control and predictability
- Cells in the matrix can be expanded or disaggregated to provide a greater level of detail

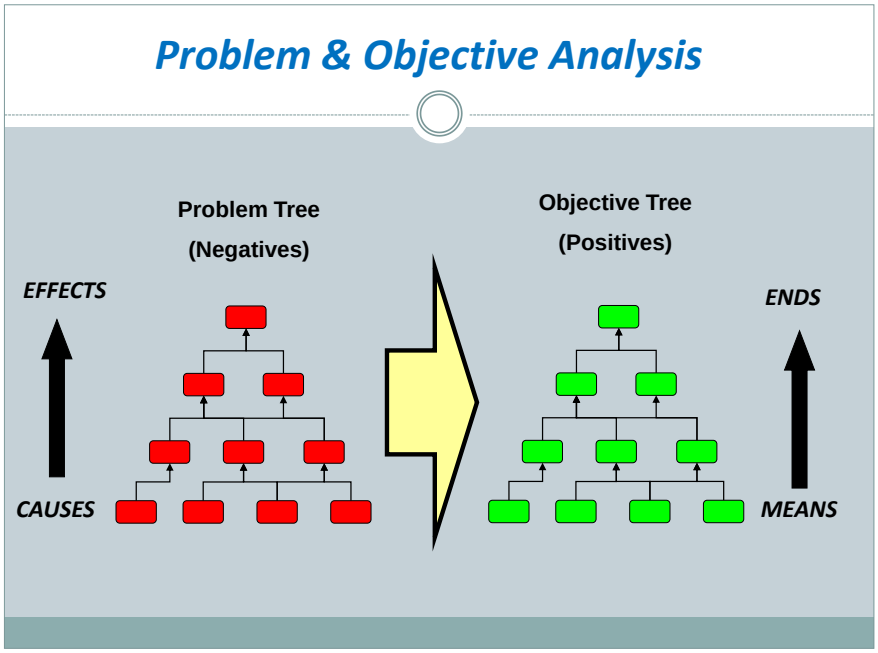
Process vs. Product

- The **"Process"** is logical framework analysis, involving:
  - Rigorous problem analysis
  - Developing a hierarchy of objectives
  - Selecting a preferred implementation strategy
  - Ideally, this process takes place in an interactive group exercise with stakeholders
- The "**Product**" is the logical framework matrix which summarizes:
  - What the project intends to do and how
  - Relationships between activities, results, and critical goals
  - How outputs and outcomes will be monitored and evaluated
  - Key assumptions that shape the design

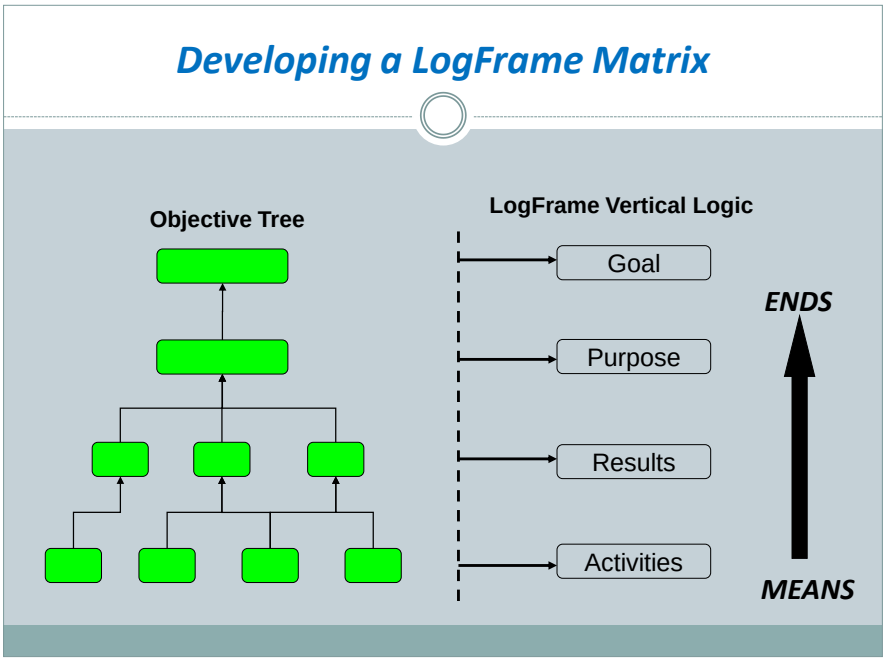
The **Process** is equally as important as the **Product**

Procedure	Steps





Procedure	Steps



Terminology

- **Goal (sometimes "ultimate objective")** – The greater **WHY.** Relates to sectoral or national objectives to which the program is designed to **contribute** (but not in itself achieve or be solely accountable for). **The Goal usually does not change, even if the program strategy changes.**
- **Purpose (sometimes "project objective" or "outcome') – WHY** the program is being carried out and what developmental i**mpact** is anticipated at the end of its life. **There can be only be one purpose**. The implementation team is not solely accountable for the Purpose.
- **Results (sometimes "outputs") – WHAT** the program is supposed to deliver: specific results and measurable products (goods and services). The implementation team is directly accountable for Results.
- **Activities – HOW?** Specific tasks undertaken to achieve the required results. These may not all be listed in the LogFrame matrix but will e incorporated in an activity schedule (e.g. Gantt chart format) with responsibilities and associated time frames (i.e. a work plan).

Procedure	Steps

The **vertical logic** identifies what the program intends to accomplish and clarifies the relationships in Column 1

Program Description	Indicators	Means of Verification	Assumptions
Goal			
Purpose			
Results			
Activities			

The **horizontal logic** defines how project objectives specified in Column 1 will be measured (Column 2) and the means by which the measurement will be verified (Column 3).

Project Description	Indicators	Means of Verification	Assumptions
Goal	Indicators	MoVs	
Purpose	Indicators	MoVs	Assumptions
Results	Indicators	MoVs	Assumptions
Activities			Assumptions

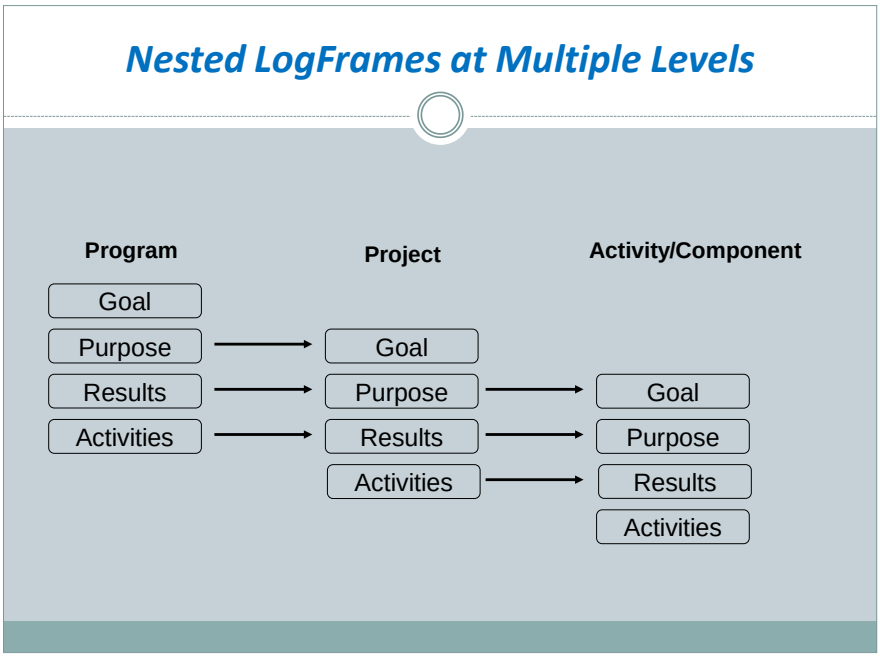
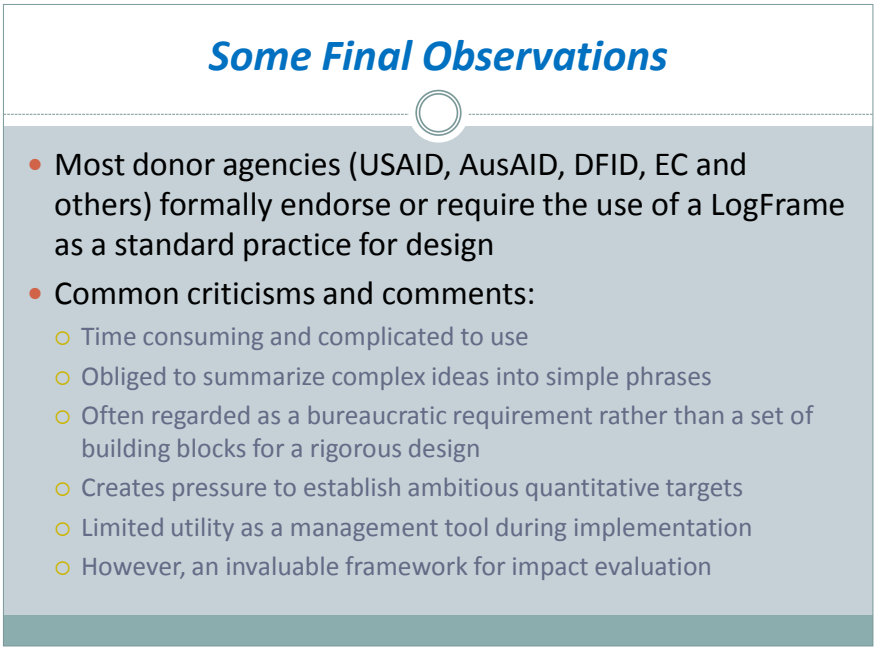
Procedure	Steps

The Critical Role of Assumptions

- An **assumption** is a **positive** statement of a condition that must be met in order for the program's objectives to be achieved.
- A **risk** is a **negative** statement of a condition or event that might prevent objectives being achieved.
- Assumptions
  - Conditions which could affect the progress of the program, but over which the managers have no control (e.g. price changes, weather changes, shifts in government fiscal policies, political instability)
  - A good analysis will classify assumptions in three categories:
    1. Those that will likely hold true
    2. Those that may possibly hold true
    3. Those that involve substantial uncertainty and may not hold true

Validate Internal Consistency of the LogFrame with IF/THEN Testing

Project Description			
Goal			
Purpose	THEN?		
Results	IF		AND
	THEN?		
Activities	IF		AND

Procedure		Steps	
		 	
5 min	4	**CONTENTS OF A PROJECT ACTION PLAN** The elaboration of a project action plan should aim at providing answers to a set of basic questions. These are reflected in the contents of a project action plan, as follows: **Background and justification:** What is the situation that gives rise to the program/project? What is the socio-economic context in which the program/project will take place? How does it fit in with development	PM, p. 48

Procedure		Steps	
		(economic, social, political) priorities? **Target groups and institutional framework:** For whose benefit is the program/project undertaken? Who are the partners? What are their responsibilities? Is the division of labor clear? Development objective, immediate objective and performance measures: What are the changes the program/project is expected to bring about or contribute to? How will success be assessed? **Outputs, activities and inputs:** What will the program/project produce or deliver? What will the program/project staff do? What funds, expertise, equipment, etc. are needed? **Assumptions and prior obligations:** Can we control everything? What are the external factors that may affect implementation and the performance of the program/project? What conditions must be satisfied by the partners before the program/project starts? **Reporting, monitoring and evaluation plans:** When will the project be evaluated and by whom? How will the partners be informed and involved?	
10 min	5	**SUMMARY** **REMIND** participants that the ultimate achievement of food security and growth in agricultural productivity will be accomplished through the successful implementation of *programs and projects*. This process begins with sound program and project designs. **SAY** that, following project design, the next step in the project cycle is project implementation. In our next session we will look at a proven strategy for project implementation, the Rapid Results Approach.	
15 min	6	***BREAK*** **Note:** *Following the break, participants will convene in the concurrent sessions. Determination of which participants will attend which concurrent session will be made during the initial registration process and confirmed during on-site registration at the workshop. Before the break,* ***POST*** *the location and participant list for each concurrent session and* ***ANNOUNCE*** *this information to the group.*	

SESSION 6: NAIP/RAIP SUPPORT MECHANISMS – CONCURRENT TRACKS

Concurrent tracks will be approximately 3.5 hours in duration and will be conducted on the morning of day three of the Module 2 workshop. The number and selection of sessions will be determined based on the number of workshop participants and the specific country priorities identified during the needs assessment process. As many as four concurrent sessions may be presented. Participant workbooks will be provided for each session. Proposed session topics and descriptions include the following:

CONCURRENT SESSION: TRACK 1 – STRATEGIC INFLUENCING FOR STAKEHOLDER PARTICIPATION AND COLLABORATION

By the end of this session, participants will be able to:

- Identify stakeholders involved in the agricultural productivity process;
- Identify gaps in stakeholder involvement;
- Describe strategies for increasing stakeholder participation in the agricultural productivity process;
- Describe strategies for building consensus among government, civil society and private sector stakeholders in agriculture development;
- Identify strategies for addressing cross-cutting issues, particularly gender, climate change, poverty, nutrition and environmental or natural resource management issues, when coordinating stakeholder involvement in the agricultural productivity process; and
- Identify strategies for developing accountability frameworks which define stakeholders' roles and responsibilities for contributing to increased agricultural productivity and enhanced food security.

During this session, participants will map the stakeholders involved in the agricultural development process, identify gaps in stakeholder involvement, review strategies for conducting stakeholder analysis and explore strategies for advocacy and outreach to enhance stakeholder involvement. Participants will complete stakeholder analyses for food security / agricultural productivity projects and explore accountability frameworks for defining stakeholder roles and responsibilities.

CONCURRENT SESSION: TRACK 2 – FINANCIAL MANAGEMENT

By the end of this session, participants will be able to:

- Identify strategies for obtaining funding for agricultural productivity and food security programs;
- Describe procedures for determining whether it is programmatically and economically practical and desirable to fund a particular project; and
- Explain financial management processes for planning, estimating, budgeting and controlling costs associated with CAADP implementation.

The focus of this session will be on the review of financial management processes for planning, estimating, budgeting and controlling costs associated with CAADP NAIP/RAIP implementation and on obtaining funding and understanding funding requirements.

Concurrent Session: Track 3 – Managing the Donor-Recipient Relationship

By the end of this session, participants will be able to:

- Identify donor perspectives on the donor-recipient relationship;
- Work effectively with donors to achieve greater alignment and harmonization of agriculture development programs;
- Explore the impact of well managed and poorly managed donor-recipient conflict;
- Appreciate what it takes to create successful negotiations;
- Practice negotiation and conflict resolution skills; and
- Identify ways to strengthen negotiations and conflict resolution skills when working with donors.

During this session, participants will consider strategies for working effectively with multiple donors to achieve greater effectiveness of agriculture development programs. Participants will explore donor and recipient perspectives on the donor-recipient relationship and methods for managing conflict and negotiating with donors and prospective donors.

Concurrent Session: Track 4 – Managing People to Achieve Results

By the end of this session, participants will be able to:

- Explain the Performance Management Cycle;
- Define delegation and practice delegation conversations;
- Identify ways to delegate more effectively;
- Identify ways to give feedback on an ongoing basis to further the performance management process;
- Deliver a clear and concise performance feedback message; and
- Describe the six step model for conducting a feedback conversation.

The focus of this session will be on using the Performance Management Cycle to help project implementers carry out their job responsibilities. Participants will practice specific skills for task delegation and delivering performance feedback.

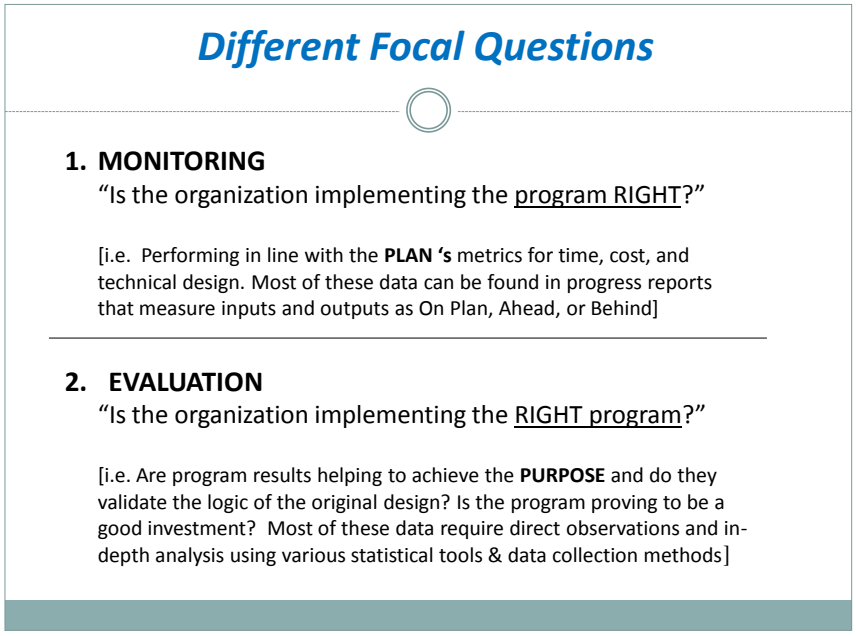
Concurrent Session: Track Reports

If time allows, **FACILITATE** brief concurrent group reports and discussion.

HIGHLIGHT and **RECORD** the most important points from each report on flipchart.

SESSION 7: MONITORING AND EVALUATION FOR NAIP/RAIP IMPLEMENTATION

Objectives	*By the end of the session, participants will be able to:* ▪ *Define the terms **monitoring** and **evaluation**;* ▪ *Describe the purpose and functions of monitoring and evaluation in the project management cycle;* ▪ *Describe the results framework concept;* ▪ *Describe CAADP M&E common indicators and country review processes, i.e. M&E requirements, and social accountability tools, approaches, and methods.* ▪ *Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;* ▪ *Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and* ▪ *Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.*
Total Time	2 hours
Materials	**PowerPoint Slides** ▪ Session 7 **Participant Manual** ▪ Session Objectives ▪ Monitoring and Evaluation Frameworks ▪ Results Framework Activity ▪ A Selection of CAADP Common Indicators ▪ Data Collection Methods and Tradeoffs ▪ SAKSS and ReSAKSS Nodes ▪ Elements of the M&E Plan ▪ Africa Lead Indicator Tracking Sheet ▪ Roles and Responsibilities of Partners and Collaborators in Implementing the CAADP M&E Framework ▪ Guiding Principles for CAADP M&E **Other Resources** **Preparation**

Procedure		Steps	
			PM, pp. 51-68
10 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that the focus of this session will be on reviewing the CAADP M&E common indicators and country review processes, i.e. joint sector reviews and social accountability tools, approaches, and methods. Participants will explore strategies for monitoring and evaluating projects to support CAADP NAIP/RAIP implementation plans as well as application of the Strategic Analysis and Knowledge Support System (SAKSS) concept.	PM, p. 51
20 min		**MONITORING AND EVALUATION FRAMEWORKS** (Adapted from Georgetown University, Business Development Workshop, MSFS 747, Monitoring & Evaluation Frameworks, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.) **PRESENT** the following evaluation frameworks using PPT slides. **FACILITATE** discussion and **RESPOND** to questions throughout this presentation.  	PM, pp. 52-56

Procedure	Steps

Monitoring

- Monitoring is the tracking of actual progress for scheduled activities in comparison to plan
- Implementing organization should create a Performance Monitoring Plan (PMP) to facilitate tracking
- Oversight should be routinely performed by the funding agency and stakeholders, by examining:
  1. Time-phased project work plans (e.g. Gantt Chart)
  2. Key milestones – including completion date for each activity.
  3. Quality standards - required for acceptance of each deliverable.
  4. Activity reports from program implementers
  5. Technical reports from specialist consultants or contractors

Evaluation

- Evaluation is an attempt to measure changes that have occurred as a result of program interventions
- Attribution is critical, and sometimes difficult to prove
- Objectivity and credibility depend on the independence of the evaluator(s), who must be free of conflicts of interest
- Mid-program (formative) or post-program (impact) evaluations
- Stakeholders provide input but do not determine conclusions
- Ideal measurements, when data are available, compare:
  1. AFTER -- the program compared to Before (i.e. the Baseline)
  2. WITH -- the program compared to Without (i.e. a Control Group) or
  3. BOTH -- (using both a Baseline and a Control Group)

Performance Monitoring and Evaluation ***TIPS***: Building A Results Framework, USAID Center for Development Information and Evaluation, usaid_rf_BuildingResultsFramework (PDF).

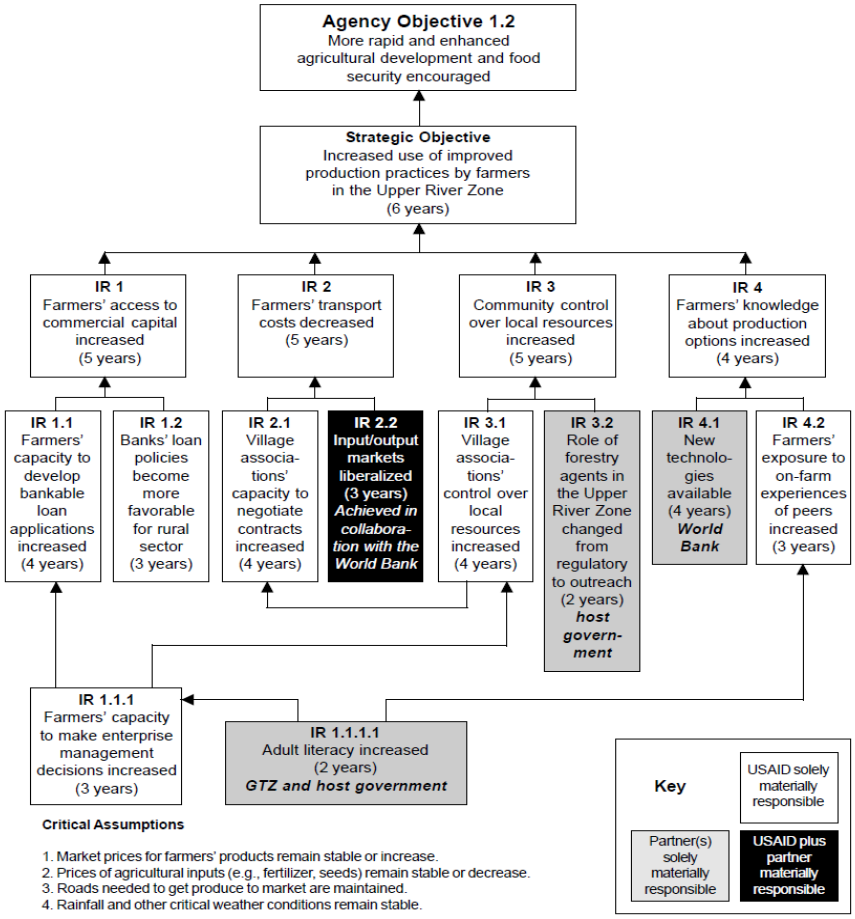
Tell participants that many donors will want to see a Results Framework or logical

Procedure	Steps	

	framework prior to project implementation. One of the purposes of a Results Framework is to establish how objectives, outputs and activities can best be monitored and evaluated.
	
	Indicators
	
	○ Observable or measurable characteristics used to determine whether stated objectives have been achieved (at any level).
	○ Answer these questions:
	  ○ How can we tell whether or not we have met the objective?
	  ○ How do we verify achievement?
	○ Form the basis for a monitoring and evaluation system.
	○ Should not be confused with Means of Verification (MoV), which is the expected **source** of the information needed for each indicator.
	
	Whether we are talking about a log frame or results framework, the purpose is to get individuals to think through the logic, clarify the project design, identify gaps in the logic, clarify the assumptions around which the project design is based and to guide the monitoring and evaluation process (determine indicators for measurement, etc.).	

Procedure	Steps

Figure 1. Upper River Zone Results Framework



Framework, USAID Center for Development Information and Evaluation, usaid_rf_BuildingResultsFramework (PDF).

Using the example, above, **PRESENT** the definition and benefits of a *RESULTS FRAMEWORK*, as follows:

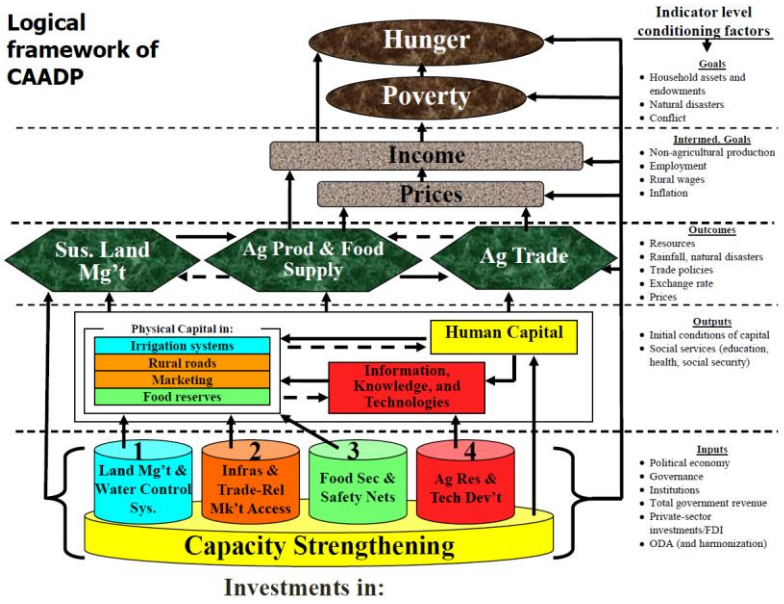
- A *results framework* (RF) presents an operating unit's strategy for achieving a specific objective.*
- Typically, it is laid out in graphic form supplemented by narrative.
- An RF includes the objective and the intermediate results, whether funded by USAID or its partners, necessary to achieve it.
- The framework also conveys the development hypothesis implicit in the strategy and the cause-and-effect linkages between the intermediate results and the objective.
- It includes any critical assumptions that must hold for the development hypothesis to lead to achieving the relevant objective.
- A person looking at a results framework should be able both to understand the premises underlying the strategy and to see within the

Procedure	Steps

framework those intermediate results critical to achieving the objective.

Logical Framework ("logframe")

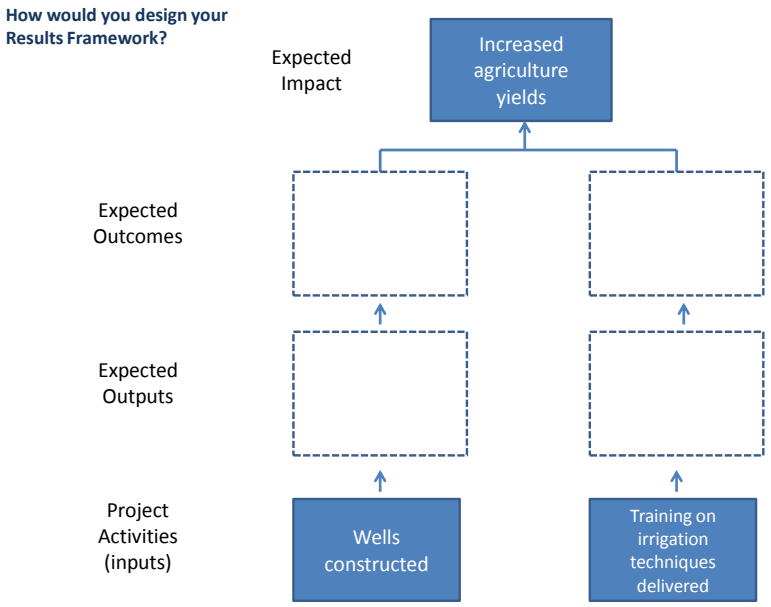
Impact (Goal)	**The Greater 'Why':** Increased private sector employment, exports, and tax revenues for the government
Purpose	**Why**: Changes in the regulatory environment that favor investment, job creation, and pro-poor economic growth initiatives
Output (Result)	**What**: Improved capacity to formulate and implement regulations
Activities	**How**: Study situation, develop policy options, train government personnel in "better regulation" techniques
Inputs	Consultants, New IT Equipment, Budget Support

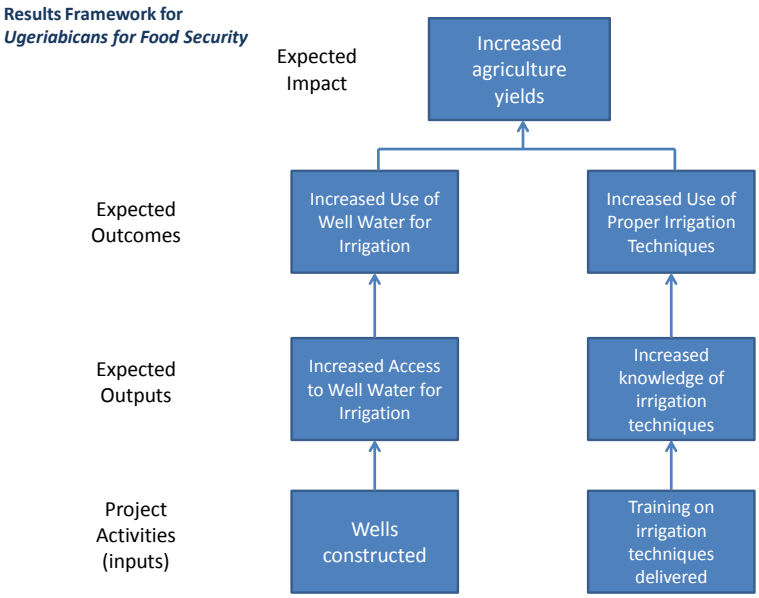


Using the two sample logical frameworks, above, **PRESENT** the concept of the "Logical Framework", as follows:

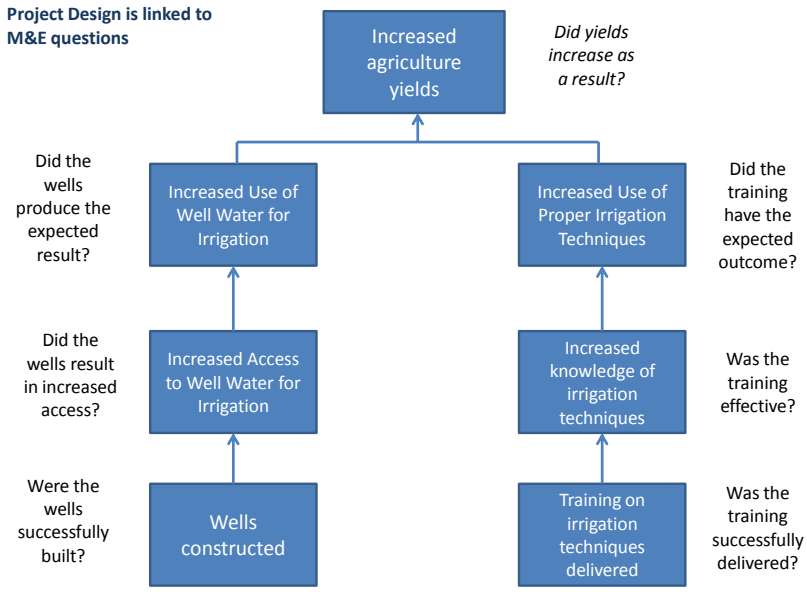
- The Logical Framework (or logframe for short) is a project design tool that complements the Results Framework.
- Its methodology is based on rigorous identification and analysis of the

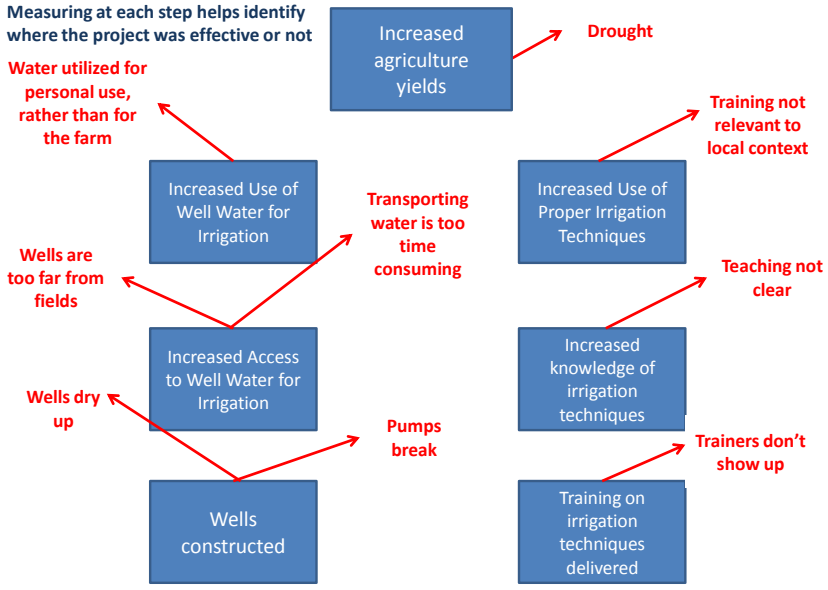
Procedure	Steps
	project components. ▪ Its end product is a measurable and monitorable design: the objectives are clearly stated, the project hypothesis is explicitly described, and indicators of performance at each level of the project hierarchy have been established. ▪ When a development objective (DO) team properly uses the logframe, the logical discipline imposed by the methodology will yield a high quality project design because the logframe components will be detailed enough to provide specific and clear information for preparing project documentation (Statements of Work, Program Descriptions, and Activity Approval Documents). **DESCRIBE** the "logic" and components of the Logical Framework or "logframe", as follows: ▪ The causal logic embodied in the logframe indicates that ***if*** the lower level is produced, ***then*** the level above will be achieved. ▪ The logframe extends the causal relationships to the level of inputs and outputs: ▪ Inputs are the resources the project is expected to consume in order to produce outputs—for example, supplies, equipment, office space, or technical assistance. ▪ As in the case of outputs, all the inputs that are necessary and sufficient to achieve the outputs should be identified. A complete identification of inputs is essential to preparing the budget estimate required prior to project approval. ▪ Outputs are —a tangible, immediate, and intended product or consequence of an activity within USAID's control – for example, people able to exercise a specific skill, buildings built, or better technologies developed and implemented. ▪ All outputs that are necessary to achieve the purpose should be identified. Because project outputs are often among the standard indicators for reporting in the Performance Report, these indicators should be used whenever they are meaningful so that data collection is built into project design. ▪ The project —purpose is the key result to be achieved by the project. It generally corresponds to one of the intermediate results of the Results Framework. For a very simple activity, the purpose may correspond to the Sub-Element level. It should be stated as simply and clearly as possible, as it is the focal point toward which a project team strives. ▪ The goal, at the top, is usually related to the highest level result or desired outcome of a Results Framework, which is the DO, but may be narrowed to indicate more precisely which aspects of that outcome are targeted.

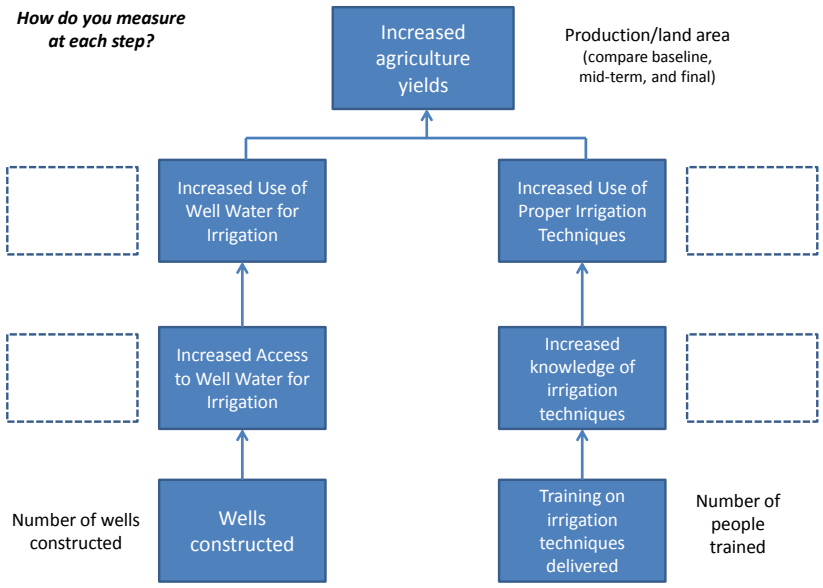
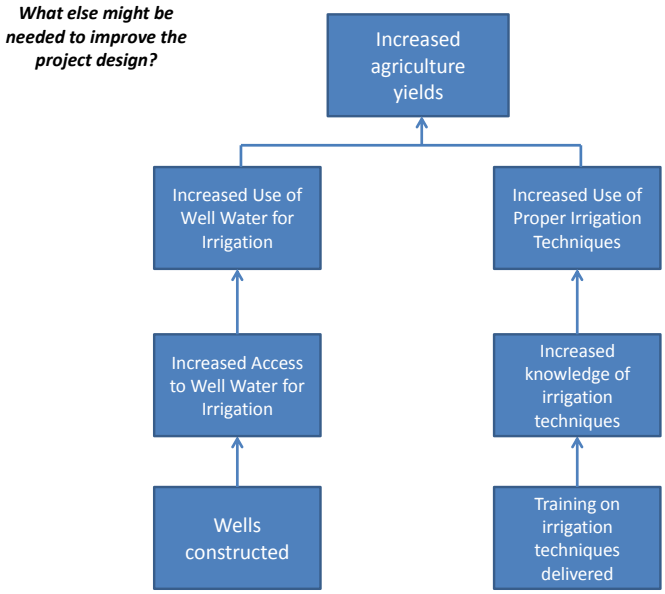
Procedure		Steps	
1 hour, 10 min		**RESULTS FRAMEWORKS ACTIVITY** **GIVE** participants the following scenario: "You work for a small nonprofit organization in the country of Ugeriabique that aims to help subsistence farmers increase their incomes by increasing crop yields. You are in charge of a new program in the arid northeastern part of the country, where small farmers utilize less than half the water for irrigation than farmers in other parts of the country, and yields are suffering. Recent studies suggest that better irrigation is key to improving agricultural production in the area." "A mysterious donor has agreed to generously fund your project to build wells and provide training on irrigation methods to 1,000 farmers. How will you build your Results Framework?" **DIRECT** participants to use the following template, which they will find in the participant manual on p. __.  **TELL** participants that they have ***30 minutes*** to complete this task in their table groups. **ADVISE** participants to use the PPT template provided and to be prepared to present their completed results framework to the large group. After ***30 minutes***, **INVITE** representatives from the table groups to briefly share their results frameworks to the large group. **COLLECT** the results frameworks from the presenting table groups on a flash drive and **PROJECT** the PPT templates for all to see.	PM, p. 57

Procedure	Steps
	CONDUCT a brief discussion of each presenting table group's results framework. **ENCOURAGE** participants to ask critique the frameworks and to ask questions. It is not necessary for all table groups to present their frameworks. **ALLOW** approximately ***20 minutes*** for presentations and discussion **PRESENT** the following slides which depict good examples of results frameworks for the activity that participants have just completed, demonstrate how project design is linked to M&E questions and provide examples for the measurement of steps in the results framework. **SHARE** the slides for this presentation as a handout. **ENCOURAGE** questions and discussion during this interactive presentation. **ALLOW** approximately ***20 minutes*** for this interactive presentation. 

Procedure	Steps





Procedure		Steps	
		  Yes, we have built wells. Is there a gap in the design because there are not resources available for well maintenance?	
20 min		***MONITORING AND EVALUATION FRAMEWORKS (continued)*** *(Adapted from Georgetown University, Business Development Workshop, MSFS 747, Monitoring & Evaluation Frameworks, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)*	PM, pp. 58-66

Procedure	Steps

Indicators

- Observable or measurable characteristics used to determine whether stated objectives have been achieved (at any level).
- Answer these questions:
  - How can we tell whether or not we have met the objective?
  - How do we verify achievement?
- Form the basis for a monitoring and evaluation system
- Should not be confused with Means of Verification (MoV), which is the expected **source** of the information needed for each indicator

Process vs. Impact Indicators

Process (Output)	Impact (Outcome)
• Shows **what** is being done • Often routinely collected to measure efficiency and/or effectiveness • Necessary but not sufficient to show long-term effect • Examples: # of people trained sessions, quality of meetings conducted, etc.	• Shows **changes** resulting from what is being done • Shows progress toward meeting higher level goals/objectives • Examples: decrease in child mortality; decrease in HIV prevalence; improved understanding; changed behavior

Procedure	Steps

Qualitative vs. Quantitative Indicators

Qualitative Indicators	Quantitative Indicators
• Examples ○ Level of participation ○ Opinion and behaviour ○ Satisfaction ○ Attitudinal change ○ Evidence of consensus • Can be more meaningful and provide a richer view • May be more expensive, difficult to measure	• Examples ○ Growth rate of GDP ○ Climate data ○ Improved crop yields ○ Price changes ○ School graduation rate • Easier to measure and interpret with reliance on precise numbers • But may not tell the whole story

Good Indicators Are…

- Direct (rather than proxies) and are relevant and specific to the objective being measured
- Unidimensional – they should only measure one phenomenon at a time
- Precise – avoid the use of subjective terms like "successful" when it can be defined by the indicator itself
- Practical – the data can be collected in a reasonable period of time and at a low cost
- Meaningful – even if they don't capture everything we'd like to know

Procedure	Steps

A Selection of the CAADP Common Indicators

- Input indicators. What is the overall level of effort invested?
  - –Processes, policies, strategies, institutions, expenditures, etc.
- Output indicators. What is the level of provision, utilization and coverage of investment programs?
  - –Access to infrastructure/services, adoption of technologies, etc.

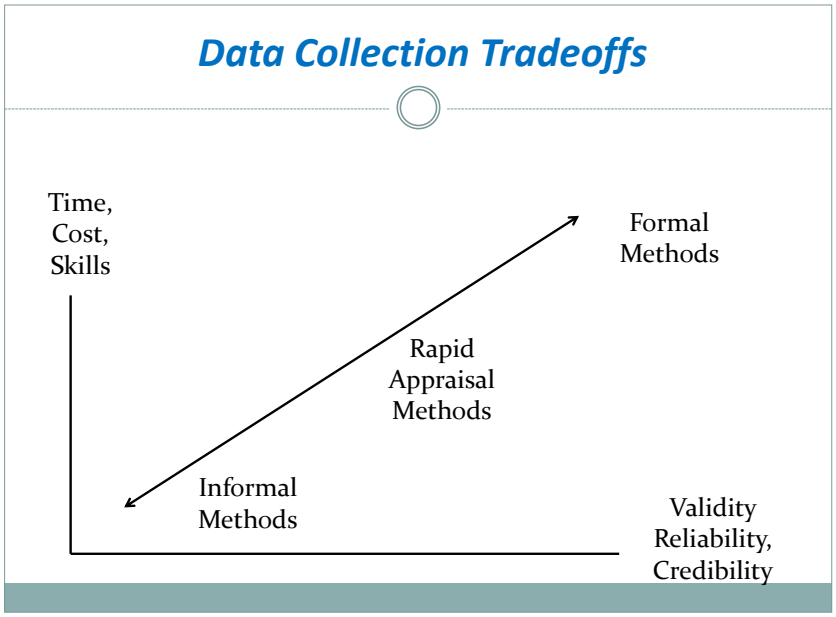
A Selection of the CAADP Common Indicators (continued)

- Outcome indicators. What is the effect on assets and activities that affect goals?
  - –Yields, production, trade, prices/wages, etc.
- Impact indicators. What was the ultimate impact on higher-level goals?
  - –Growth, income, poverty, food security, hunger, etc.
- Conditioning indicators. How confident are we that any observed effect is due to the intervention?
  - –Resources, rainfall, prices/wages, employment, policies, etc.

Procedure	Steps

Data Collection Methods

- *Primary vs. Secondary*
- *Qualitative vs. Quantitative*
  - *Qualitative: Interviews, Focus Groups, Direct or Participant Observation, Participatory Mapping, Document review*
  - *Quantitative: Sample surveys, Direct measurement, Secondary quantitative records*
- *Important Issues*
  - *Unit of analysis (individuals, families, communities, clinics, wells)*
  - *Data disaggregation needs (by gender, age, ethnic groups, location)*
  - *Sampling techniques for selecting cases*
  - *Techniques or instruments for acquiring data on these selected cases (structured questionnaires, direct observation forms, scales to weigh infants)*



Procedure	Steps

SAKSS and ReSAKSS Nodes

SAKSS = Strategic Analysis and Knowledge Support Systems

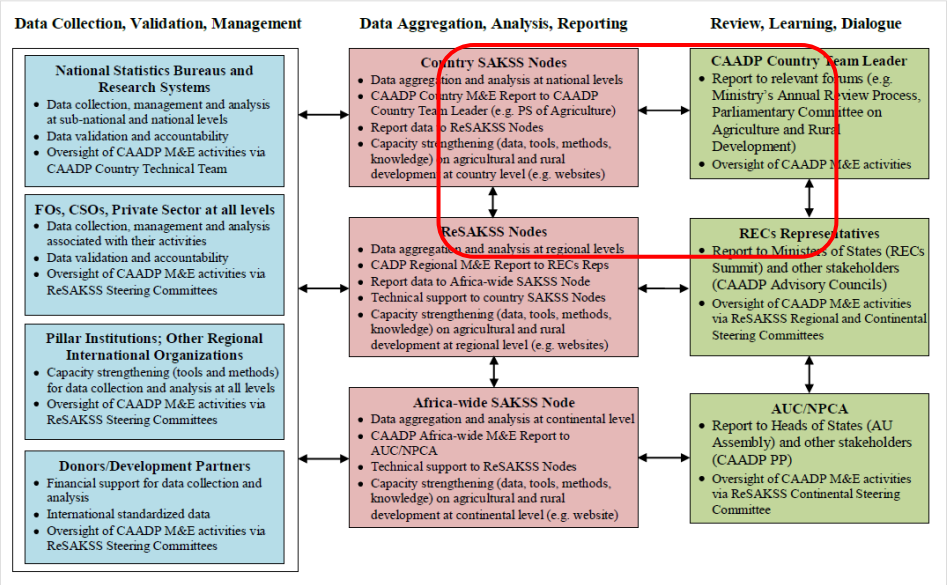


Figure 5. Roles and responsibilities of partners and collaborators in implementing CAADP M&E Framework

www.resakss.org

***EMPHASIZE** the following points regarding the SAKSS/ReSAKSS nodes:*

- *SAKSS/ReSAKSS (regional nodes) compiles, analyzes, and disseminates data, information, and tools in order to help inform the design, implementation, and monitoring and evaluation of rural development strategies in order to make them more effective.*
- *They are being set up by IFPRI.*
- *The SAKSS are still in formation in many countries, but the regional ReSAKSS are now functional.*
- *The responsibility of collecting information for CAADP at country level must be with the country itself. The ReSAKSS nodes can help facilitate it, consulting with the RECS, their own country focal points, as well as CAADP country focal point persons, in order to start identifying formal responsibilities and roles among them for data collection and reporting.*
- *Information collected by SAKSS and ReSAKSS helps in producing:*
    - *annual trends and situation analysis of the agricultural sector,*
    - *data that is readily available through the ReSAKSS website (www.resakss.org), presented using a number of visualization techniques such as charts, maps and tables, including results from any analysis that assesses current trends.*

Procedure	Steps

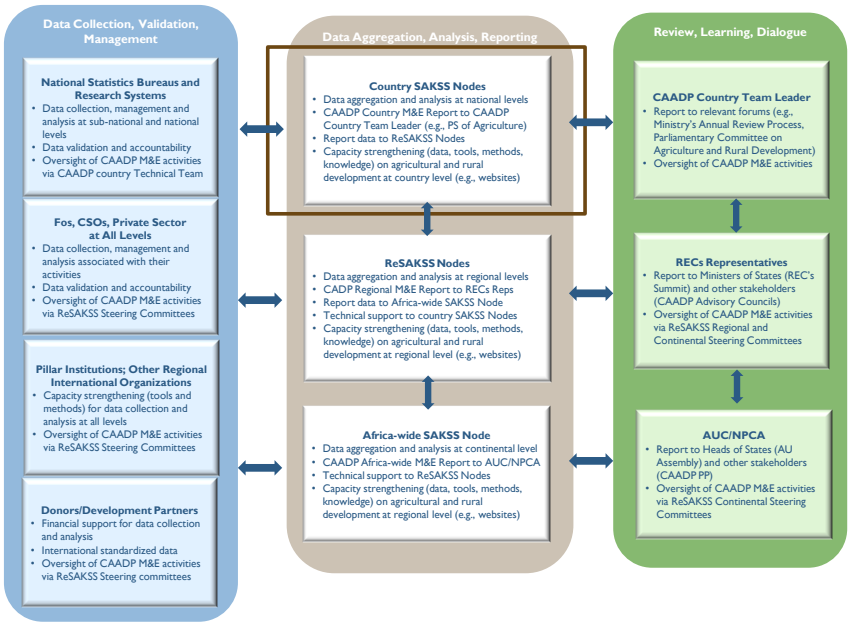
Elements of the M&E Plan

I. Plans for Data Collection
   a. Performance Indicators and their Definitions
   b. Data Source
   c. Methods of Data Collection
   d. Frequency and Schedule of Data Collection
   e. Responsibilities for Acquiring Data

II. Plans for Data Analysis, Reporting, Review and Use
   a. Data Analysis Plans
   b. Plans for Complementary Evaluations
   c. Plans for Communicating and Using Performance Information
   d. Budget

Africa Lead Indicator Tracking Sheet (As of October 5, 2011)

Indicators	Disaggregation	Q4 Target	Q4 Actual	Future Targets/QR5
2.0.1 Percentage of Task 2 trainees demonstrating increased technical and managerial skills and knowledge in their institutions	Country, gender			(Data collection on this indicator to begin Q6 – Jan 2012)
2.1.1 Number of Task 2 participants trained	Gender, type of training	100	▪ 95 (29 women) ▪ 3 interns (0) ▪ 27 ad hoc (6) ▪ 65 NSA (23)	150
2.1.4 Percent of Task 2 trainees reporting high quality instruction	Country, sector, gender	70%	100% (equal by country, sector, gender)	80%
2.3.1 Number of courses identified, vetted and placed in database		200	375	450

Procedure		Steps	
		Figure __: Roles and Responsibilities of Partners and Collaborators in Implementing CAADP M&E Framework 	
10 min		**GUIDING PRINCIPLES FOR CAADP M&E** Quickly **REVIEW** some guiding principles for CAADP, as follows: When designing M&E systems for CAADP in-country, a few elements need to be considered: ▪ Data for who? Who is the data meant to communicate with and what do we want them to see? ▪ Ensure (with in-country) and respect (for external parties) country autonomy and assert the right to own national data in order to create coordinated and comprehensive information systems and strengthen country capacity to manage these in a sustainable manner. ▪ Facilitate coordination and compilation of comprehensive information systems. Unless strong leadership and coordination is established, parallel processes (both within Ministries and Development Partners) will persist and undermine the potential for developing robust national systems. ▪ Building trust at all levels is crucial to ensure reliability and faith in the data presented. The M&E systems offer opportunities for encouraging transparency but the measures need to be understood by a wide range of stakeholders (including civil society and farmers). ▪ Important to measure progress – success breeds success. Providing regular feedback on progress is more encouraging to national governments than simply presenting facts. ▪ Measure what means something to policy makers. This is the whole focus of CAADP – ensuring that policy and programme choices are based on sound empirical research. Too often, national data has too many indicators that are not collated into systematic information for	PM, p. 67

Procedure		Steps	
		decision making. ▪ CAADP's framework provides guidance on what is helpful to collect (at a minimum). CAADP's M&E framework helps standardise indicators to facilitate tracking progress, between-country and region comparisons and peer review. The framework also ensures: ▪ Comprehensive, inter-ministerial and inter-sectoral information ▪ On-going national assessment that is people focused ▪ Focus on household food security – beyond national food stock monitoring To ensure that the information and indicators identified are useful, consider the following: ▪ Simplicity is important – demystify indicators and analysis ▪ Help identify who we are talking about – people not numbers ▪ Evidence-based analysis is essential	
5 min		**SESSION SUMMARY** **TELL** participants that it is imperative that monitoring and evaluation components be considered and planned for throughout the project design and implementation process, from the very beginning to the very end. **ADVISE** participants that it is a huge mistake to wait until the end of the process to begin thinking about M&E. **TELL** participants that we have incorporated M&E planning into the action planning process that we will begin tomorrow.	
10 min		**JOURNALING / WRAP UP** **SHOW** the *Wrap Up* slide and **ASK** participants to do the following: ▪ Complete the Journal for Day 2; ○ How will you apply project design concepts as you work to implement and/or support agricultural productivity and/or food security projects? ○ What are the most important lessons that you learned from your participation in one of the concurrent sessions? ○ How can you insure that monitoring and evaluation plans are developed and implemented that will adequately monitor progress towards achievement of the goals of the NAIP/RAIP? ▪ Share your ideas with the person next to you; ▪ Complete the evaluation form for Day 2; and ▪ Return tomorrow morning for another exciting day. On day three, we will focus on design, implementation and action planning for Rapid Results Projects. ***ADJOURN***	PM, p. 68

DAY three

"It is important to nurture any new ideas and initiatives which can make a difference for Africa."

- Wangari Maathai

SESSION 8: DESIGN AND IMPLEMENTATION OF RAPID RESULTS PROJECTS

Objectives	*By the end of the session, participants will be able to:* ▪ *Understand the basic elements of the Rapid Results Approach* ▪ *Understand how Rapid Results Initiatives are different from "100 day projects"* ▪ *Apply the Rapid Results Approach to selected NAIP/RAIP challenges* ▪ *Create a Rapid Results goal* ▪ *Create a chart for tracking results achieved during the RRI* ▪ *Identify and plan for next steps in the Rapid Results Process*
Total Time	4 hours (including two 10-minute breaks)
Materials	**PowerPoint Slides** ▪ Session 8 **Participant Manual** ▪ Session Objectives ▪ Examples of Rapid Results Initiatives ▪ What is the Rapid Results Approach? ▪ Jeha, the King and the Donkey ▪ Three Unique Elements of Rapid Results ▪ How will we use RRA? ▪ Your Country's Rapid Results Focus Areas ▪ "Why Rapid?"/"Why Results?" ▪ Characteristics of an RRI ▪ The Phases of an RRI ▪ Roles and Responsibilities in an RRI ▪ Developing Our Rapid Results Goals ▪ Developing a Tracking Chart ▪ Next Steps ▪ References for More Information on the Rapid Results Approach **Preparation** ▪ Prior to the presentation of this session you will need to update the slide entitled "Focus Areas for RRIs." ▪ Prior to the presentation of this session you will need to update the slide

	entitled "Templates for RRI Goals." ▪ Place 1 flipchart paper and markers on each table prior to starting. **Facilitator's Notes** ▪ During the development of each team's goal and tracking chart, Coaches should work with each team at their tables, facilitating small group discussions. ▪ During the development of goals, Coaches should focus ONLY on ensuring teams understand the process used. Coaches should not dictate to teams what the goal should be. ▪ The sections of this session focusing on the development of tracking charts, while highly recommended, may be skipped if time is running short. In this case, the development of a tracking chart should be done during one of the first team meetings after the Module II workshop.

Procedure		Steps	
			PM, pp. 71-86
5 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **TELL** participants that during this session we will review the basic elements of the Rapid Results Approach (RRA), explore ways that we can apply RRA to selected NAIP/RAIP challenges and begin the process of developing Rapid Results Initiative (RRI) goals and tracking charts.	PM, p. 71
50 min		**DISCUSSION** **FACILTATE** a 3-4 minute discussion using the following two questions (PM, p. 66): ▪ Can anything significant and sustainable be achieved in 100 days? ▪ Can you think of examples of 100 day achievements? **HIGHLIGHT** and **RECORD** the most important points and examples on flipchart. **REVIEW** 2-3 examples of 100 day projects in the table provided below (PM, p. 66):	PM, p. 72

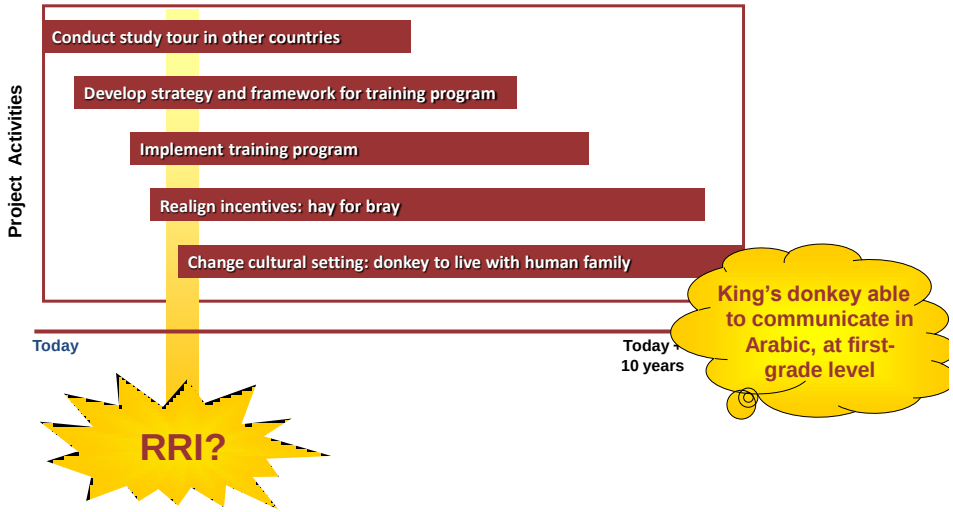
Eritrea: HIV/AIDS	Weekly # of users of vct centers in Asmara increased by 80% in 100 days
Kenya: Water	Water ministry completed two irrigation projects in 120 days versus 18 months
AfDB: Procurement	Time to procure small value goods reduced by 90% in 105 days
Burundi: Payment Systems	Time needed for teachers to receive first paycheck after being hired reduced from 1 year to 3 months
Nicaragua: Agricultural Development	Sales of “grade a” milk among 60 small producers is tripled in 120 days
Madagascar: Family Planning	Within 50 days, # of weekly new regular users of contraceptives in four districts increased from 50 to 250

Procedure		Steps	
		SAY ▪ Each of these examples is a Rapid Results Initiative- a specially designed 100 day project focused on producing breakthroughs in performance and capacity ▪ In each of these examples, a team of 6-10 front-line workers achieved dramatic improvements in performance using the same budget and resources they had previously had. ▪ All of these results were sustained over time, beyond the 100 day mark.	
		"What is the Rapid Results Approach?" **EXPLAIN** the Rapid Results Approach, using the references provided below (PM, p. 73): ▪ A package of tools and methodologies that helps organizations improve performance. ▪ An approach that uses specially-focused short-term projects (Rapid Results Initiatives) to build capacity quickly and in sustainable ways ▪ An approach that uses techniques from multiple disciplines: – Capacity building – Experiential learning – Management coaching – Change management ▪ First developed for use in Fortune 500 companies by Schaffer Consulting (www.schafferresults.com) ▪ Adapted for use in public and non-profits in developing countries by The Rapid Results Institute (www.rapidresults.org)	PM, p. 73
		JEHA, THE KING AND THE DONKEY **SAY** that you will now explain how the Rapid Results Approach works, using an ancient fable from Lebanon. The name of the fable is "Jeha, the King and the Donkey."	PM, pp. 74-75

Procedure	Steps	
	TELL the Jeha story to the participants: *The King ruling over Jeha's province was very fond of his donkey, but he was frustrated that he could not communicate with him. One day he issued a decree: "Whoever can teach my favorite donkey how to talk can have half my kingdom! However, there is a catch…if they take up this challenge and fail, I will have their head cut off."* *Everyone in the Kingdom thought better than to sign up for the impossible task, except for Jeha, who hurried to the palace to sign up for the challenge. As he left the palace with the king's donkey, his village friends were preparing a delegation to appeal to the King for forgiveness, because of Jeha's simple mind.* *Jeha stopped them in their tracks. He told them "I made a commitment to the king that I will teach his donkey to speak and he committed to finance the effort. He will pay for all my food, lodging, and other expenses for the next 10 years while I teach the donkey. There is no turning back at this point." "* *"But Jeha, it's impossible to teach a donkey to speak. You're condemning yourself to death…" lamented one of his friends.* *Jeha responded: "Don't worry, my friend, the King and I made an agreement. In 10 years, either his donkey will speak or he can have my head…"* *"And in ten years, either the King will be dead, I'll be dead, or the Donkey will be dead…"* **ASK:** "Does Jeha really feel accountable for delivering on the King's challenge?" **FACILITATE** a brief (1-2 minute) conversation. Highlight the point that Jeha's 10-year contract with the King was a hoax, a way to avoid real accountability. **ASK:** "Will Jeha lose any sleep any time soon?" **FACILITATE** a brief (1-2 minute) conversation. Highlight the point that Jeha will not lose sleep (aka worry or feel accountable for this goal) until year 9… and only if he, the King, and the donkey are still alive. But certainly not for the first 6-7 years. SAY "Let us take a look at the Action Plan Jeha developed with the King." Using animation, **REVEAL** the long term goal. **EXPLAIN** the goal. ***King's donkey able to communicate in Arabic, at first grade level.*** Using animation, **REVEAL** the vertical (aka long-term) activities in Jeha's action plan. **EXPLAIN** each activity as it is revealed	

Procedure	Steps

Jeha, the King, and the Donkey…



ASK "What might the King have asked for in the first stages of the project, say in the first 100 days, that would have allowed the King to see if Jeha was actually being successful and putting maximum effort into his task?"

FACILITATE a 2-3 minute conversation, highlighting examples of *results* (aka impacts) that the King could ask for in the first 100 days (e.g. the King asks the donkey to say one letter of the Arabic alphabet in the first 100 days).

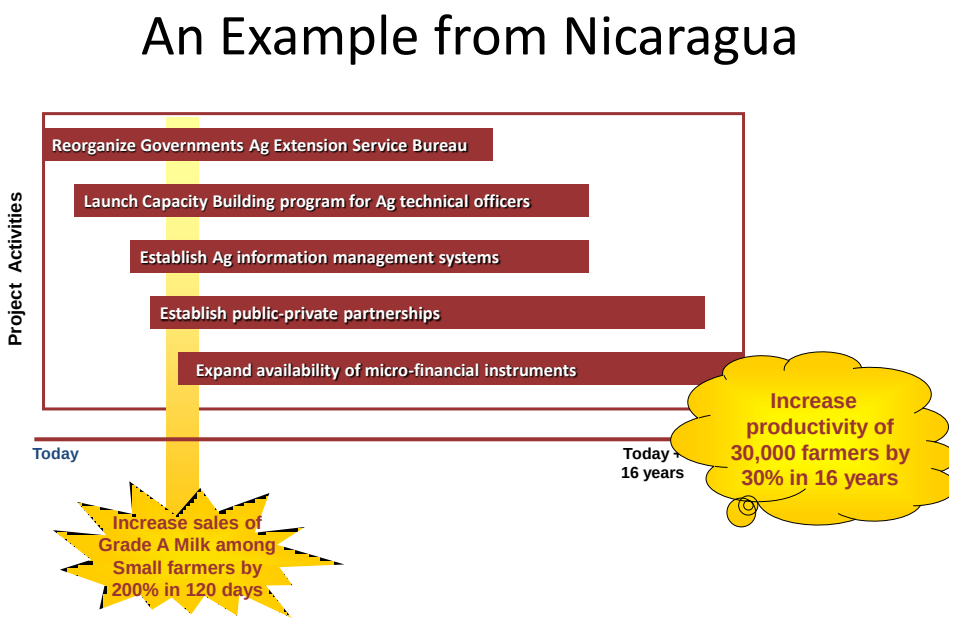
Using animation, **REVEAL** the vertical/RRI shaft. **EXPLAIN** that the "100 day results the King could have asked for are much like a Rapid Results Initiative- or an "RRI."

SAY that you will now show a real-life example.

SAY this example is a real-life agricultural improvement project funded by the World Bank in Nicaragua.

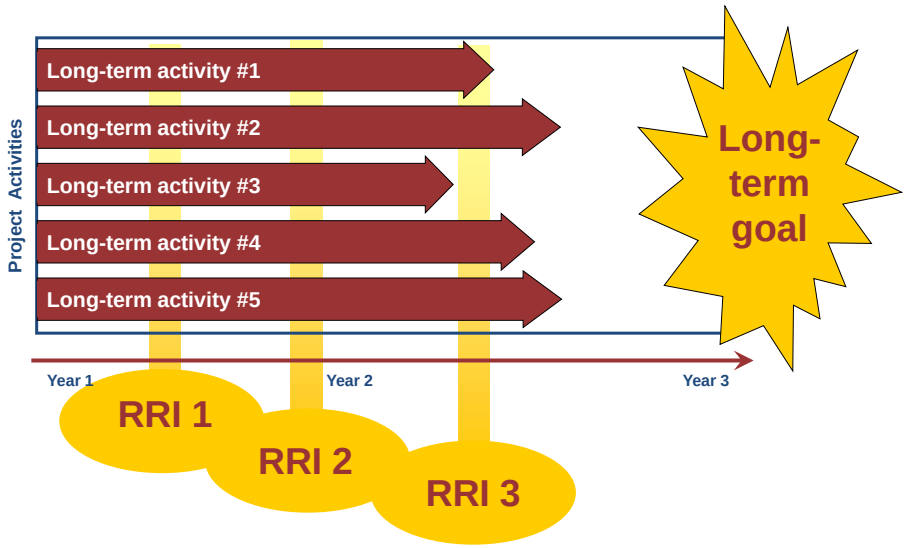
EXPLAIN that Rapid Results was asked to help accelerate implementation of the project and to build the capacity of key actors at multiple levels to improve productivity.

Procedure	Steps
	REVIEW the elements of the Nicaragua action plan.



SAY that multiple RRIs can be used simultaneously or sequentially to help Project Managers accelerate progress towards long-term goals.

Using animation, **REVEAL** and **EXPLAIN** the use of multiple RRIs.



Procedure		Steps	
		ASK if RRIs are more than just projects with 100 day goals. **ASK** if there are other elements to them. **FACILITATE** a brief (1-2) conversation around these questions. **RRIs and Long-term Goals** • Are Rapid Results Initiatives just projects with 100 day deadlines?	
		THREE UNIQUE ELEMENTS OF A RAPID RESULTS INITIATIVE **EXPLAIN** the three unique elements that separate RRIs from 'traditional' projects that happen to have 100 day goals. THREE UNIQUE ELEMENTS OF A Rapid Results Initiative: ▪ Ambitious but realistic goals: – Goals that can only be achieved through innovation versus "just by working harder" ▪ Encouraging innovation from below: – Front-line workers create their own action plans – Experimentation is encouraged ▪ Coaching Support: Specially trained facilitators – Help teams think creatively – Help strengthen team work **EXPLAIN** how RRIs can help increase the efficiency and effectiveness of organizations, projects and teams. **RR Initiatives vs. 100-day projects** • RRIs are designed to – build permanent capacity for improved performance – improve teamwork, creative thinking and management skills among RR participants – produce local innovations and improvements to procedures and policies **ASK** participants to break up into groups and identify their top two questions about the Rapid Results Approach. **WAIT** 5 minutes and **DISCUSS** 1-2 questions from each group, until there are about 5 minutes left in the allotted time.	PM, pp. 76-77

Procedure	Steps

EXPLAIN how Africa-LEAD will use the Rapid Results Approach.

How we will use RRA….

- *To accelerate implementation of NAIPs/RAIPs*
- *To build capacity of organizations involved in improving agricultural productivity*

EXPLAIN the chosen focus areas for Rapid Results and the process used to identify them.

How we will use RRA….

- Our discussions with Senior Leaders identified the following areas where RRA will be applied:
  - <<TBD>>
  - <<TBD>>
  - <<TBD>>

Note: Insert the RRA areas that Senior Leaders have identified in the PPT slide referenced above and present these areas here.

EXPLAIN the Next Steps for Rapid Results Work

Next Steps For RR Work

- Following the break, RR Team(s) will:
  - Continue discussion of Rapid Results Approach
  - Apply Rapid Results Approach to NAIP/RAIP challenges
    - Develop RR Goals
    - Develop RR Tracking Charts

Agenda

Discuss	Why "Rapid"?
	Why "Results"?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure		Steps	
10 min		***BREAK***	
40 min		**WHY "RAPID"? / WHY "RESULTS"?** **ASK** participants to confirm that they are seated with their Rapid Results teammates. **ASK** participants to spend 5 minutes working with their teammates to identify the top two takeaways from the previous discussion session on Rapid Results (Jeha, the King and the Donkey). **Key Takeaways** **In your groups identify two key things you took away from Session 8, so far . . .** USAID © Rapid Results Institute, Inc. 2011 RRI **WAIT** 5 minutes and then **ASK** each group to briefly share their key takeaways. If time permits, **WRITE** these takeaways on a flip chart. **SAY** that for the next 35 minutes you will focus on discussing why RRA focuses on "Rapid" and "Results" and what is meant by each of those terms. **ASK** participants, "Based on our discussion about 'Jeha, the King and the Donkey,' what are the advantages of having near-term deadlines?" **Why "Rapid"** Based on our discussion about "Jeha, the King and the Donkey," what are the advantages of having near-term deadlines? USAID © Rapid Results Institute, Inc. 2011 RRI **FACILITATE** a 3-4 minute conversation that draws out their ideas. **EXPLAIN** why Rapid Results focuses on using rapid, near-term deadlines.	PM, pp. 78-79

Procedure	Steps

Why "Rapid"

Near-term deadlines (60-120 days) create…

- a feeling of urgency
- increased accountability
- opportunity for innovation/ experimentation

USAID © Rapid Results Institute, Inc. 2011 RRI

SAY that you will now explain what is meant by "Results" within **RRA** and why it is important to maintain a focus on results.

ASK participants to discuss in their groups the difference between a "result" and an "activity".

Why "Results"?

In your groups, discuss

- What is the difference between a "result" and "activity"?

USAID © Rapid Results Institute, Inc. 2011 RRI

WAIT 5-10 minutes and then briefly **DISCUSS** each group's answers in plenary. **WRITE** down key points on the flipchart.

SAY that you will now facilitate a short exercise that will help participants apply this distinction to a number of situations.

EXPLAIN that participants will be shown a pair of statements and asked to work in their team to identify which statement is "*more* of a results goal".

REVEAL the first example:

Which is More of a "Result Goal"?

A	B
▪ **Reduce crime rate in central business district**	▪ **Train police officers in Central Business District in new crime control techniques**

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure	Steps
	ASK participants to work with their teammates to identify which statement is more of a results goal. **WAIT** 3-4 minutes and SAY "By show of hands, who thinks 'A' is more of a result and who thinks 'B' is more of a result. **FACILITATE** a conversation that highlights the definition of a result and the rationale behind why "A" is more of result (you would train officers, an activity, to get the result you want- reduced crime). **REVEAL** the 2nd example and **REPEAT** the process above: **Which is More of a "Result Goal"?** **A** ▪ **Develop strategy to reduce malaria cases by 20% in the next 100 days** **B** ▪ **Reduce new cases of malaria from 36 cases to 25 cases per month in 100 days** USAID © Rapid Results Institute, Inc. 2011 RRI ("B" is the result in Example 2. In this case, creating a strategy is an activity that leads to the result, reduced malaria). **REVEAL** the 3rd example and **REPEAT** the process above: **Which is More of a "Result Goal"?** **A** ▪ **Increase average math and science scores for girls by 15%** **B** ▪ **Build 5 new schools for girls focused on mathematics and science education** USAID © Rapid Results Institute, Inc. 2011 RRI (In most cases, the result you would want is "A", improved test scores. The activity that leads to this is the construction of physical infrastructure, "B". The only possible exception to this would be if you were looking at this from the perspective of a construction company). **EXPLAIN** what a focus on results creates and why it is important to maintain this focus.

Procedure	Steps

Why "Results"?

Focus on results creates:

- broader space for learning, innovation & discovery
- more ownership of the solutions
- sense of accomplishment and pride
- confidence that we are on the right track

USAID © Rapid Results Institute, Inc. 2011 RRI

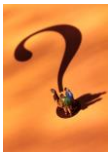
EXPLAIN the characteristics of an RRI

Characteristics of an RRI

RRIs ARE:	RRIs ARE NOT:
Highly ambitious yet achievable	Do the same, faster
Easily-measured/ Clearly defined	A project to achieve first 100-day step in long-term plan
Urgent and important	Picking the "low hanging fruit"/ "quick wins"
Highly visible	New program, new budget
	One-shot campaign
	Top down

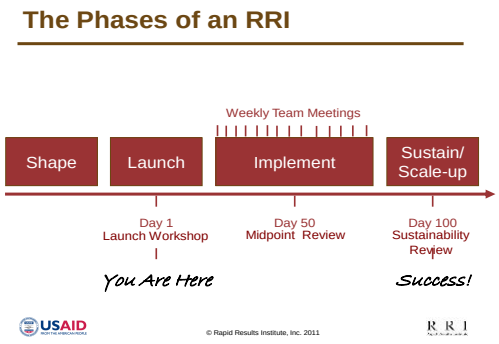
USAID © Rapid Results Institute, Inc. 2011 RRI

ASK participants what questions they have about the importance of 'rapid' and 'results' in RRA and what is meant by these terms.



What questions do you have about what is meant by "Rapid" and "Results"?

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure		Steps	
15 min		**PHASES OF THE RAPID RESULTS PROJECT CYCLE** **SAY** that you will now explain the phases of the Rapid Results Project Cycle.  **SAY** that an RRI has four phases **SAY** the first phase is the Shape Phase and that during this phase team senior leaders work with Rapid Results consultants to identify and shape challenges for the rapid results teams. **SAY** that these challenges are the focus areas we discussed previously Using animation **REVEAL** the "Launch" phase. **SAY** ■ They are currently this phase. ■ Over the next couple of days they will develop their RRI goals and action plans. ■ The 100 day count-down starts as soon as Module II ends (i.e. "Day 1" of the 100 day cycle is the last day of this workshop). Using animation **REVEAL** the "Implementation" phase. SAY ■ After launching the workshop, days 2-100 is the Implementation Phase. ■ During this phase they will meet as a team every 1-2 weeks. Using animation **REVEAL** the "Midpoint Review" phase. **SAY** ■ Teams will also formally present the results, lesson-learned and innovations to their Senior Leaders at day 50 – this is called the "Midpoint Review". Using animation **REVEAL** the "Sustain/Scale-up" phase. **SAY** ■ This phase occurs at the end of the RRI- usually around day 100 ■ Teams give a formal presentation, updating the one given at day 50 to their Senior Leaders ■ Senior leaders use the teams lesson-learned and recommendations to create a sustainability/scale-up strategy. **EXPLAIN** what happens during a weekly team meeting	PM, p. 80

Procedure	Steps

Implementation: Days 2-100

What happens at weekly/fortnightly team meetings?

- Update chart tracking results
- Brainstorm solutions to obstacles
- Update action plan
- Identify and discuss activities that need to be completed before next meeting

USAID © Rapid Results Institute, Inc. 2011 RRI

EXPLAIN what happens at the Midpoint (Day 50) and sustainability/scale-up (Day 100) reviews.

Implementation: Days 2-100

What are the Midpoint and Sustainability Reviews?

- Formal presentations to Senior Leaders and Stakeholders
- Days 50 and 100
- Teams review results achieved to date, lessons learned
- Discussion on what innovations need to be scaled-up and/or sustained

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure		Steps	
15 min		**ROLES AND RESPONSIBILITIES WITHIN AN RRI** **SAY** that you will now explain the roles and responsibilities within an RRI.	PM, p. 81

Roles and Responsibilities

Senior Leader
Team Leader
Team Members
Coach

USAID © Rapid Results Institute, Inc. 2011 RRI

SAY that there are four key roles in every RRI: The Senior Leader, the Team Leader, Team Members and the Coach

EXPLAIN the roles and responsibilities of a Senior Leader. **ASK** if there are any Senior Leaders in the room and if they could stand up.

Senior Leader

- Provides the team with a performance challenge
- Holds team accountable for achieving their goal
- Provides team with the needed support and resources
- Helps Team Leader solve extraordinary problems

USAID © Rapid Results Institute, Inc. 2011 RRI

EXPLAIN the roles and responsibilities of a Team Leader. **ASK** Team Leaders to stand up. (Ensure that every team knows who their leader is).

Team Leader

- Provides day-to-day management of RRI project
- Leads and organizes team meetings
- Tracks and ensures team progress
- Motivates team members
- Reinforces accountability

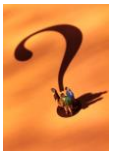
USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure	Steps
	EXPLAIN the roles and responsibilities of a Team Member. **ASK** Team Members to stand up.

EXPLAIN the roles and responsibilities of a Coach. **IDENTIFY** yourself as a Coach, as well as the other coaches in the room. ASK Coaches to sit with their teams, if they are not already sitting with them.

ASK if anyone in the room is unsure as to what their role is. Determine what role, if any, these individuals have.

ASK teams to take 5 minutes to answer the questions on the "Who Does What?" slide. WAIT 5 minutes, then, using animation, REVEAL the answers one by one. FACILITATE a brief conversation, if needed, after each answer to ensure understanding.

Procedure		Steps	
		ASK teams to take ***5 minutes*** to identify their top two questions about their role in an RRI. WAIT 5 minutes then DISCUSS in plenary as many questions as time permits.  **Please work in your groups to identify your most burning question about your role in an RRI?** USAID © Rapid Results Institute, Inc. 2011 RRI After an appropriate amount of questions, **SAY** that it is time for a 10 minute break. **SAY** what time participants should return.	
10 min		***BREAK***	
55 min		**DEVELOPING OUR RAPID RESULTS GOALS** **REVIEW** the Agenda, reminding participants what they have covered in this session and what is left to do. **Implementation: Days 2-100** What are the Midpoint and Sustainability Reviews? ▪ Formal presentations to Senior Leaders and Stakeholders ▪ Days 50 and 100 ▪ Teams review results achieved to date, lessons learned ▪ Discussion on what innovations need to be scaled-up and/or sustained USAID © Rapid Results Institute, Inc. 2011 RRI **SAY** that the group will now begin to apply the knowledge they have gained about the RRA to their NAIP/RAIP challenges. **EXPLAIN** the three steps in the Rapid Results goal setting process.	PM, p. 82

Procedure	Steps

Rapid Results Goal Setting

Step 1: Review our Challenges
Step 2: Develop our goals
Step 3: Review and refine our goals

USAID © Rapid Results Institute, Inc. 2011 RRI

ASK participants to take ***5 minutes*** to re-read their challenge notes individually and silently.

WAIT *5 minutes* and then **ASK** participants to discuss with the teammates the questions on the "Reviewing our Challenge (II)"

Step 1: Reviewing our Challenge (II)

Please review your team's "challenge note". As a group, answer the following questions:

- What is the Senior Leader asking us to do?
- What have we done in the past in this area?
- What would we be proud to present to the Senior Leaders as major achievements in this area in 100 days?

USAID © Rapid Results Institute, Inc. 2011 RRI

EXPLAIN to participants

- They will be shown a list of templates for Rapid Results goals.
- they will need to come to consensus on which template is most appropriate for the challenge

EXPLAIN the selection criteria for the templates.

Step 2: Developing our Goals

As a group, please Review the templates and decide which template you would like to use for your goal

- Which template resonates most with the team?
- Which template most directly addresses the challenge given to you by Senior Leaders?
- Which template produces the most opportunities for innovation and experimentation?

If none on the templates fit, please ask your coach for guidance on creating a new one.

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure		Steps	
		SHOW THE GOAL TEMPLATES **SAY** that if none of the templates feel appropriate, teams should discuss the matter with their Coach. **SAY** that if they want, with the Coach's help, they can develop their own goal template. ** **Templates for RRI Goals** <<TBD>> USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** the criteria for each selection. **Step 3: Refining our Goals** Please fill in the missing values in the template: ▪ Performance target: • What is ambitious, but realistic? • What can be achieved within your current budget in 100 day time frame? • What level of success would make you proud to present to key stakeholders? ▪ Time: 60-120 days from today • Given what you think you need to accomplish to achieve the goal, is 100 days realistic? Too easy? • Adjust the time frame between 60 and 120 to reach the right balance (ambitious but realistic). Please calculate exact end date USAID © Rapid Results Institute, Inc. 2011 RRI After teams have decided on performance targets and deadline dates **SAY** that each team will now be asked to present their goal to others in the room. **EXPLAIN** the key points they and their colleagues should discuss. **FACILTATE** a feedback and discussion, as appropriate.	
30 min		**DEVELOPING A TRACKING CHART** **REVIEW** the agenda for the session, reminding participants of what they have accomplished so far and what remains to be done.	PM, pp. 83-84

Procedure	Steps

Agenda

Discuss	Why "Rapid"?
	Why "Results"?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

USAID © Rapid Results Institute, Inc. 2011 RRI

SAY that the next step in the Rapid Results process is the development of a tracking chart for each team.

ASK teams to discuss why it is important to have tracking chart for a project. **FACILATE** a brief (***2-3 minute***) conversation.

Developing a Tracking Chart

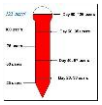
Why is it important to have a tracking chart for a project?

USAID © Rapid Results Institute, Inc. 2011 RRI

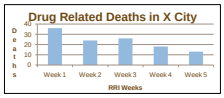
EXPLAIN the three most common type of tracking charts

Common Types of Tracking Charts

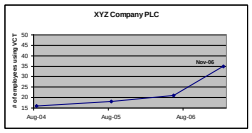
Thermometer



Bar Chart



Line Graph



USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to take ***5 minutes*** to decide which type of chart is most appropriate for their RRI

Procedure	Steps

Tracking Charts

Step 1: As a team, decide which type of chart is most appropriate for you your goal?

- Line graph
- Bar chart
- Thermometer

USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to

- Identify which two variables they will be tracking (one is almost always time)
- Decide on the tracking period and intervals.

Tracking Charts

Step 2: Identify which two variables you are tracking (time is usually one of them)

Step 3: Identify tracking period and intervals

- How soon after day 1 will take our first measurement?
- How much time between each measurement?
- When will your last measurement be?

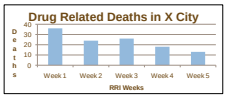
USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to draw their tracking chart on a flip chart.

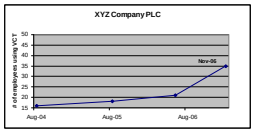
Step 4: Draw Your Tracking Chart

Thermometer

Bar Chart



Line Graph



USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to come to consensus on:

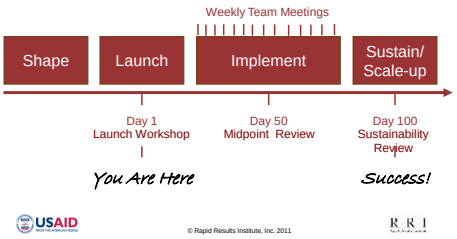
- where the chart will be posted (noting that it should be in a public place)
- who will be responsible for updating it
- how often it will be updated

Procedure		Steps	
		Tracking Charts Step 5: Please decide as a group ▪ Where will it be posted? ▪ Who will be responsible for updating it? ▪ How often will they update it? USAID © Rapid Results Institute, Inc. 2011 RRI	
10 min		**DISCUSSING NEXT STEPS** **REVIEW** the agenda for the session, reminding participants of what they have accomplished so far and what remains to be done. **Agenda** Discuss: Why "Rapid"?; Why "Results"?; Phases of an RRI; Roles and Responsibilities in an RRI Apply: Developing our Rapid Results Goals; Developing our Tracking Charts Imagine: Discussing Next Steps USAID © Rapid Results Institute, Inc. 2011 RRI \ **SAY** that the final part of our RR work for today is discussing next steps. **SAY** that you will discuss next steps that take place during the Module II training as well as next steps that take place after the Module 2 training. **EXPLAIN** the next steps that will take place during the next two days, during the Module II training. **Next Steps: Module 2** Action Planning Review of Goal and Action Plan with Senior Leaders USAID © Rapid Results Institute, Inc. 2011 RRI **SAY** that after the end of Module 2, there are several other key next steps. **REMIND** teams of the RRI project cycle. **EXPLAIN** to teams that the end of Module 2 is "Day 1" of their projects. After the training, they start the	PM, p. 85

Procedure	Steps

implementation phase of their RRI.

The Phases of an RRI



USAID © Rapid Results Institute, Inc. 2011 RRI

EXPLAIN the next steps that will take place after Module 2

ASK teams to decide where and when their team meetings will be held. Once teams have decided, **ASK** each Team Leader to announce to the rest of the room where and when these meetings will be. **RECORD** this information.

Next Steps: After Module 2

Weekly/Fortnightly team meetings:

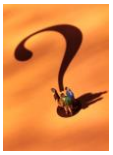
- Please take a minute to decide where/when the first meeting will be

Reviews with Senior Leaders

- Informal: Monthly between Team Leader and Sr Leaders
- Formal: Midpoint Review (Day 50) and Sustainability Review (Day 100)

USAID © Rapid Results Institute, Inc. 2011 RRI

RESPOND to any questions that teams might have at this point.



What questions do you have?

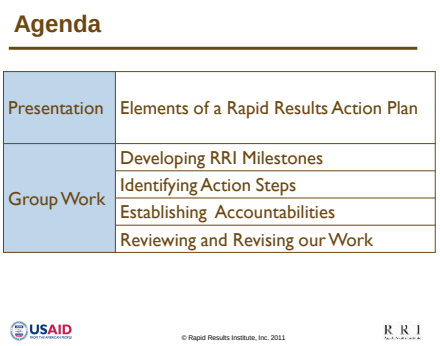
USAID © Rapid Results Institute, Inc. 2011 RRI

CONGRATULATE the teams for doing a lot of really great work and thinking on their RRI. **TELL** them that, after lunch, they will have the opportunity to develop detailed action plans to accomplish their NAIP/RAIP Rapid Results goals.

Procedure	Steps	
	LUNCH BREAK Congratulations on really great work . . . ***Take a break!*** After lunch, we'll develop detailed action plans to accomplish our NAIP/RAIP Rapid Results goals. USAID © Rapid Results Institute, Inc. 2011 RRI	

SESSION 9: RAPID RESULTS ACTION PLANNING FOR NAIP/RAIP IMPLEMENTATION

Objectives	*By the end of the session, participants will have worked collaboratively to develop innovative, detailed action plans to achieve Rapid Results goals.*
Total Time	3.5 hours with a 15 minute break in the middle of the session
Materials	**PowerPoint Slides** ▪ Session 9 **Participant Manual** ▪ Session Objectives ▪ Elements of a Rapid Results Action Plan ▪ Recording Our Action Plans ▪ Template for Recording Milestones ▪ Template for Recording Action Steps **Other Resources** ▪ 1-2 packets of sticky notes per team/table ▪ 2 markers per table ▪ 1 sheet of flipchart paper per table. ▪ Up to 12 copies, per team, of the template for recording action plans (11.3 in the Participant's Manual). **Facilitator's Notes:** ▪ Ensure that teams sit together around a table. ▪ During the development of milestones and action plans, Coaches should focus **ONLY** on ensuring that teams understand the process of action planning. Coaches should not instruct teams on the content of their action plan.

Procedure		Steps	
			PM, pp. 87-95
10 min	1	**INTRODUCTION** **PRESENT** the objectives and agenda of this session.  **SAY** that during this session each Rapid Results team will develop their own action plan focused on achieving their goal on time. **TELL** teams that they will not use the Participant Manual much during the session. In the Participant Manual there are several templates for creating Milestones and Action Plans that they can use later or if needed.	PM, p. 87
10 min	2	**ELEMENTS OF A RAPID RESULTS ACTION PLAN** SAY that before developing plans, we will have a brief discussion on the elements of a Rapid Results action plan and how they differ from other traditional plans. **EXERCISE: ASK** teams to discuss "What makes a 'good' action plan good, and a 'bad' action plan bad?" **WAIT *5 minutes***. **FACILITATE** a brief conversation (***3-4 minutes***) in plenary based on their responses.	PM, pp. 88-89

Procedure	Steps

Rapid Results Action Plans

Please discuss in your groups: What makes a "good" action plan good, and a "bad" action plan bad?

© Rapid Results Institute, Inc. 2011

EXPLAIN the elements of a Rapid Results action plan.

Rapid Results Action Plans

- Contain creativity / innovative ideas
  - This is your opportunity to:
    - » Try new things
    - » Set clear accountabilities

- All action steps:
  - Have a specific "due date"
  - Have one (and only one) person assigned as responsible
  - Are "Living Documents

© Rapid Results Institute, Inc. 2011

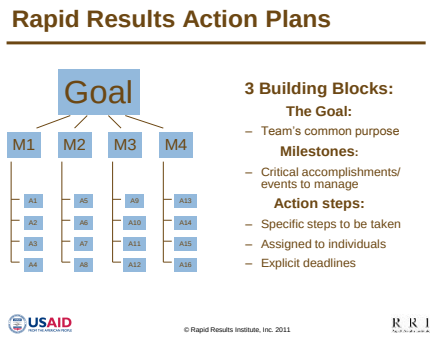
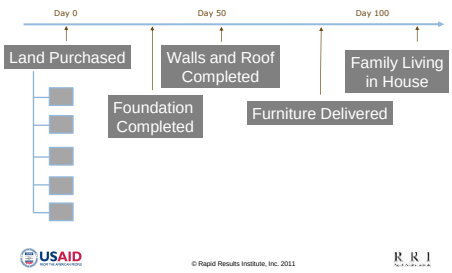
EXPLAIN what is meant by the term "living document."

Living Documents

"If your action plan is the same at day 100 as it was at day 1, you haven't learned anything"
-Rapid Results Coach

Your action plan should change throughout the 100 days as you learn what experiments work and which do not

© Rapid Results Institute, Inc. 2011

Procedure		Steps	
		EXPLAIN the building blocks of a Rapid Results action plan.  **REVIEW** the "house" example, identifying what is a milestone and what is an action step.  **EXERCISE: ASK** teams to write the RR goal at the top of their flip chart in small lettering, as shown in the slide 	
45 min		**DEVELOPING MILESTONES** **REVIEW** the session's agenda and remind participants what they have accomplished and what is left to do in the session.	PM, pp. 90-91

Procedure	Steps

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

USAID © Rapid Results Institute, Inc. 2011 RRI

SAY that we are about to begin the first step in the action planning process which is to develop milestones for their action plans.

INSTRUCTIONS for Upcoming Exercise

- team members to work in sub-groups of 2-3

Note: *if the team contains 6 members or fewer, subgroups of two or even one person can be formed.*

- Work with their partner(s) to identify the top 5-7 major activities the team would need to complete in order to achieve their goal.
- Write one major activity per sticky note.
- List only activities that are concrete, e.g. "things that could go in an action plan,"

EMPHASIZE to teams that:

- Every sub-group will hand in 5-7 sticky notes and each sticky note should have 1 major activity listed on it.
- Teams should avoid listing non-concrete activities (e.g., "Have good team work") even if it is important to the team's success. They should focus on "concrete" activities (e.g. digging a foundation).

EXERCISE: explain to teams that they have ***10-15*** minutes to do this.

Note: Some teams may take longer. Feel free to give them additional time, if needed. If one team is taking significantly longer than the others, you can move on to the next step of the planning process and let that team work individually with a Coach.

Developing Milestones

In groups of 2-3 identify the top 5-7 "major activities" that need to be completed to achieve your goal.

- Write one activity per sticky note
  - Each small group should hand in 5-7 sticky notes
- Make sure they are concrete
  - Bad: Have good team work
  - Good: Build foundation for house

USAID © Rapid Results Institute, Inc. 2011 RRI

After teams have completed their sticky notes, **TELL** the teams to combine all sticky notes in the center of the table.

Procedure	Steps
	SAY we are now going to organize the activities into ***themes***. These ***themes*** will become your milestones. **EXPLAIN** to teams the qualities of a good theme title. **Developing Milestones** Give each theme a title ▪ Should be in past test ▪ Should be specific: include details Bad: Build Foundation Better: Foundation Built Best: 30" x 30" concrete foundation built USAID © Rapid Results Institute, Inc. 2011 RRI **EXERCISE**: Ask participants to organize their activities into Themes. Teams will have ***5-10 minutes*** to complete the exercise. **Developing Milestones** These themes are your milestones Please place them in order on your flip chart USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** to teams that these titles are their milestones. **EXERCISE: ASK** teams to place these milestones in chronological order on the flip chart, as shown in the slide. **GIVE** teams ***2 minutes*** to complete the exercise. **Developing Milestones** GOAL: ……. Day 1 Day 100 M1 M2 M3 M4 M…. USAID © Rapid Results Institute, Inc. 2011 RRI **EXERCISE: INSTRUCT** teams to review their milestones and check if any are

Procedure	Steps	
	too vague and/or if there are any missing milestones. **GIVE** teams ***a few minutes*** to complete this exercise. **Developing Milestones** As a team, review your milestones ▪ Do you need to add in any milestones? ▪ Are any of the milestones vague? Can you add in more details? USAID © Rapid Results Institute, Inc. 2011 RRI **EXERCISE:** instruct teams to engage in a peer review of each other's milestones. Give teams a few minutes to complete. *Note: If time is running short, this step can be skipped.* **Refining Milestones** The three team members to the right of Team Leader: Please switch tables. ▪ Take 10 minutes to review the milestones of another team • Are they in past tense? • Do they need more detail? ▪ Discuss and review with your "host team" and revise as needed USAID © Rapid Results Institute, Inc. 2011 RRI	

Procedure	Steps	

PM, p. 91

REVIEW the "Developing Milestones" template, below:

DEVELOPING MILESTONES

RRI TEAM:

_____

RRI GOAL:

_____

_____

_____

Milestone Title	Start Date	End Date

Procedure	Steps	
	IDENTIFYING ACTION STEPS **REVIEW** the session's agenda and remind participants what they have accomplished and what is left to do in the session. **Agenda** Presentation: Elements of a Rapid Results Action Plan Group Work: Developing RRI Milestones; Identifying Action Steps; Establishing Accountabilities; Reviewing and Revising our Work USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** to teams that they will now move on to the next step in the action planning process: Identifying action steps under each milestone. **INSTRUCTUCTIONS FOR THE EXERCISE:** Each team to work together. Look at their first milestone. Identify 5-10 action steps needed to achieve this milestone. List one action step per sticky note. **Note:** *If a team has 10 or more individuals, you may split them into 2 subgroups and assign different milestones to each.* **Identifying Action Steps** Please look at your first milestone ▪ Identify 5-10 action steps needed to achieve this milestone ▪ One action step per sticky note USAID © Rapid Results Institute, Inc. 2011 RRI **INSTRUCTIONS FOR THE EXERCISE (Continued): exercise** Explain to teams that each action step should not be too big or too small.	PM, p. 92

Procedure	Steps

Identifying Action Steps

5-10 Action Steps: Do not make action steps too small or big: It should be something that 1-3 people can do.

To Small: Find Shovel	Just Right: Excavate pit for North Wall	Too Big: Excavate 30' x 30' pit

USAID © Rapid Results Institute, Inc. 2011 RRI

EXERCISE: EXPLAIN to teams that they have ***15 minutes*** to develop action steps for the first milestone.

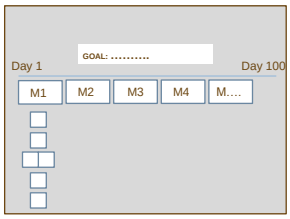
EXERCISE: After teams have completed sticky notes for the action steps of the first milestone, **INSTRUCT** them to place the sticky notes in order, as indicated in the slide.

Identifying Action Steps

Place action steps, in order under the first milestone

USAID © Rapid Results Institute, Inc. 2011 RRI

Identifying Action Steps



USAID © Rapid Results Institute, Inc. 2011 RRI

EXERCISE: INSTRUCT teams to repeat the action-step development process for the other milestones.

Procedure		Steps	
		Identifying Action Steps Repeat process for other milestones. Remember: ▪ One action step per sticky note ▪ Action steps should not be too small or to big ▪ Try for 5-10 action steps per milestone USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** to teams they have ***30-45 minutes*** to do this. **Note:** *Allow teams to work on their action steps until they finish, or until there are 60 minutes left in the session. As long as teams have action steps identified for the first 3 weeks of their RRI (usually the first 2-3 milestones), they will be in a good position by the time they leave the workshop. However, if time permits and it is possible to cover additional milestones, teams should be instructed to do so.* After teams have developed action steps for an appropriate number of milestones, **SAY** that is time for a ***15 minute*** tea break. **SAY** the time for participants to return to the room.	
60 min		**ESTABLISHING ACCOUNTABILITIES** **REVIEW** the session's agenda and remind participants what they have accomplished and what is left to do in the session. **Agenda** Presentation: Elements of a Rapid Results Action Plan Group Work: Developing RRI Milestones; Identifying Action Steps; Establishing Accountabilities; Reviewing and Revising our Work USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** that they will now move on to the next step of the action planning process: Establishing Accountabilities. **INSTRUCTIONS FOR THE UPCOMING EXERCISE:** ▪ Return to their first milestone and identify a person responsible for completing each action step. ▪ Write the name of this person on the appropriate sticky note. ▪ Explain that each person: – Must be on the team – Must actually be a person, not a department or a 'generic'	PM, p. 93

Procedure	Steps

position.

– Is not responsible for doing ALL the work associated with the action step.

Establishing Accountabilities

Assign a person responsible for each Action step

- Start with Milestone 1.
- It must be a person, not an office (e.g. "IT department").
- The person assigned must be on the team.

USAID © Rapid Results Institute, Inc. 2011 RRI

EXPLAIN the responsibilities of the person assigned to each action step.

Establishing Accountabilities

The person assigned to an action step…

- Is NOT responsible for doing ALL the work associated with the Action Step

Instead, they are responsible for

- Coordinating efforts of other Team Members
- Keeping Team Leader informed on action step status
- Ensuring the action step is completed on time

USAID © Rapid Results Institute, Inc. 2011 RRI

EXERCISE: tell teams that they have ***25 minutes*** to assign people to action steps.

Note: *Teams should assign responsibilities to actions steps for at least the first 3 milestones/first 3 weeks of the plan*

After teams have assigned individuals to an appropriate number of action steps, **EXPLAIN** that teams will now move on to the next step in the action planning process: Assigning Dates.

INSTRUCTIONS FOR THE UPCOMING EXERCISE:

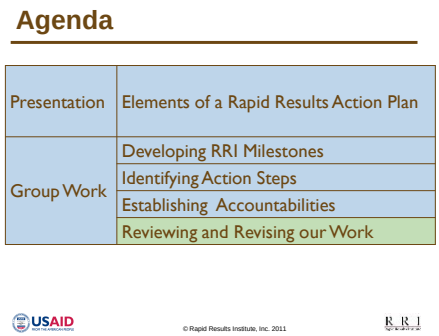
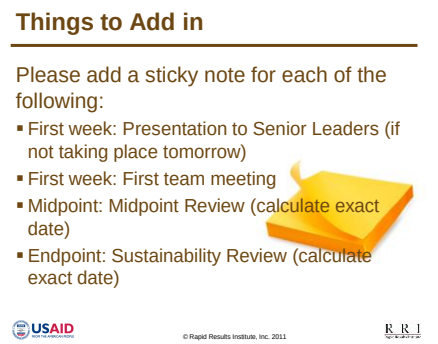
Teams will write "due dates" on each action step, starting with the first milestone.

Establishing Accountabilities

Assign a due date to each action step

- Action Step X: Completed by XX/XX/XX
- Start with Milestone 1

USAID © Rapid Results Institute, Inc. 2011 RRI

Procedure		Steps	
		Explain to teams that the date should be the date by which the action step is completed, not the date it is started. *Note: Teams should assign dates to actions steps for at least the first 3 milestones/first 3 weeks of the plan.* **EXERCISE:** Tell teams to begin assigning due dates for each milestone. Give them 3-5 minutes to complete the task. After teams have assigned due dates to an appropriate number of action steps, **EXPLAIN** that teams will now move on to the last portions of the action planning process.	
25 min		**REVIEWING AND REVISING OUR WORK** **REVIEW** the session's agenda and remind participants what they have accomplished and what is left to do in the session.  **EXPLAIN** the first of the final steps is adding key events of the RR project cycle into the action plan. **EXERCISE:** instruct teams to add in sticky notes as indicated on the slide.  **EXERCISE: INSTRUCT** teams to engage in a peer review of each other's milestones. *Note: If time is running short, this step can be skipped.*	PM, p. 94

Procedure	Steps	
	Reviewing & Refining our Action Plans 3 team members to the left of the Team Leader: ▪ Please review the action plan of a neighboring team • Is it realistic • Is it missing any milestones or action steps? • Are there any areas where key details are missing/where the plan is too vague Work with your host team to revise the action plan, as needed USAID © Rapid Results Institute, Inc. 2011 RRI **EXERCISE:** instruct teams to assign a person responsible for typing up and sending out the action plan. **Recording Our Plans** As a team decide ▪ Who will type up action plan? ▪ By what date will he/she distribute to the team? Please also send to the team coach! Team Scribe: Be sure you have the email addresses of all your teammates! USAID © Rapid Results Institute, Inc. 2011 RRI	PM, p. 95

Procedure		Steps	
		ADVISE participants to use the following template to record their Rapid Results action plans:	

Team Member Name	Email
Coach:	

5 min		**SESSION SUMMARY** **CONGRATULATE** teams on their hard work and on the quantity of work they	

Procedure		Steps	
		have accomplished. **Congratulations!** Be proud: You have just completed a process that usually takes weeks (if not months!) in a matter of hours! USAID © Rapid Results Institute, Inc. 2011 RRI **REMIND** teams that the participant guide has several templates for creating Milestones and Action Plans that they can use later if needed. **EXPLAIN** to teams that tomorrow we will discuss immediate next steps and technical training needs.	
10 min		**JOURNALING / WRAP UP** **SHOW** the *Wrap Up* slide and **ASK** participants to do the following: ▪ Complete the Journal for Day 3; ○ What are the areas of the NAIP/RAIP for which the rapid results approach will be applied? ○ What will you do to build the capacity of organizations involved in improving agricultural productivity in your country or region? ○ How will you establish accountability for the implementation of rapid results action plans? ▪ Share your ideas with the person next to you; ▪ Complete the evaluation form for Day 3; and ▪ Return tomorrow morning when we will explore success factors for teambuilding and formally launch our rapid results action plans. ***ADJOURN***	PM, p. 97

DAY four

"Teamwork is the catalyst that yields excellence from shared strengths."

- Dr. John Azu

SESSION 10: TEAMBUILDING – SUCCESS FACTORS FOR EFFECTIVE IMPLEMENTATION

Objectives	*During this session, participants will:* ▪ *Identify factors for effective teambuilding and program implementation; and* ▪ *Identify strategies for effective teambuilding for each of the identified success factors.*
Total Time	2 hours, 30 minutes
Materials	**PowerPoint Slides** ▪ Session 10 **Participant Manual** ▪ Session Objectives ▪ Team Leadership ▪ Definition of a Team ▪ Teamwork Activity: Helium Pole ▪ Helium Pole Debrief Sheet ▪ Team Effectiveness Factors ▪ When Teams Work Best **Other Resources** **Preparation**

Procedure		Steps	
			PM, pp. 101-110
5 min	1	**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that the purpose of this session will be for participants to explore the critical factors for achieving team success and to identify strategies that they will employ in order to effectively implement the NAIP/RAIP.	PM, p. 101
20 min	2	**OVERVIEW OF TEAMS AND EFFECTIVE TEAMWORK** Working Session – Developing Teamwork and Collaboration **ASK** participants to think of a team – sports team, musical team, work team, etc. – that you were once a part of that was especially effective. Have participants turn in their manuals to page 102 and make notes about the characteristics of that team that made it effective. **ASK** participants to share their thoughts about the characteristics of effective teams in their table groups, and then to work together to draw a picture on flipchart that represents their collective understanding of an effective team. **GIVE** them ***15 minutes*** to complete this task. **GIVE** participants a few minutes to review each table group's picture and then **ASK** each table group to briefly describe their picture. **GIVE** each table group ***2-3 minutes***. **ASK** participants whether they can identify any common themes about teams, based on their review of the pictures. **RECORD** common themes about teams on flipchart.	PM, p. 102
15 min	3	**PRESENT AND DISCUSS** the following definition of a team. **USE** the PPT to review the following definition of a team: **A team is** a small group of people (typically fewer than twenty) with complementary skills committed to a common purpose and set of specific performance goals (Katzenbach & Smith, The Wisdom of Teams (1993). **A team has:** ▪ Explicit goals/vision/mission that requires collaboration to accomplish. This is the direction setting a team needs to do to know what it is doing and for what end results. ▪ A sense of shared responsibility and accountability for achieving goal. Everyone needs to believe that their work contributes to the achievement of the goal and they need to feel responsible to their team members for completing their	PM, pp. 103-104

Procedure		Steps	
		portion of the work. ▪ A scope of work and resources to carry out the work. Knowing exactly what is expected, by when it is to be done, and parameters for doing the work helps a team see the final product they are to produce. ▪ A designated leader and defined membership. ▪ Clear roles and norms of behavior. Everyone needs to know what their role is and how to work together. The norms need to be agreed upon so everyone feels committed to them. **ASK** participants to think about the teams they work with the most and identify which of these might be the weakest and needs to be improved? **ASK** for a few examples and **FOLLOW UP** by asking them to describe the impact on the team from this aspect being weak?	
35 min	4	**HELIUM POLE ACTIVITY (OPTIONAL – TIME ALLOWING)** **EXPLAIN** to participants that it is easy to talk about teamwork but much harder to make it work. For that reason they will be given a non-work task which they must complete as a team. This will give everyone a chance to put into practice what we just discussed about effective team behaviors. **Trainer's Note:** The Helium Pole activity explores the key elements of working in a team environment. The object is to have the team lower this very lightweight pole to the ground. This is an excellent exercise about communication, the need for ongoing feedback, trust, having a leader who communicates clearly, the need for planning and for seeing how a group deals with the unexpected. It immediately has the group/team looking at how they make assumptions and how assumptions can be disruptive to making quality decisions. It also is wonderful for discussing the importance of the "Big Picture" but it is in the implementation of the vision that becomes the challenge. Only by ongoing feedback are they able to lower the pole and achieve the goal. This activity will be conducted simultaneously in groups, each comprised of from eight to ten participants. Each group will require enough space for eight to ten people to face one another in a line without any walls or other objects in their immediate proximity. **EXPLAIN** that the task they'll be given involves some physical activity and anyone who currently has discomfort in their back or their knees, should abstain from participating in this activity. They can take on the role of an observer, which is a very critical role for the team during the debriefing. **DIVIDE INTO TWO TEAMS AND GO TO SEPARATE LOCATIONS** Once the groups have arrived at the location for the exercise, ASK for one or more individuals who will serve as observers before explaining the team activity. **REFER** the volunteers to page 106 in the participant manual and explain that they can use this page to make notes about the team element upon	PM, p. 105

Procedure		Steps	
		which they would like to focus. Observers can serve as a "quality check" to make sure the team is following the instructions as well. **REFER** to p. 105 in the participant manual and explain the team task. **HOLD UP THE POLE AND EXPLAIN** the task as follows: The object of the task is to have the team lower this very lightweight pole to the ground in complete unison. **HAVE** participants form two lines facing each other elbow to elbow, with approximately one foot between the two lines. **EXPLAIN** the rules for lowering the pole: ▪ Each person will hold out both hands at waist level with the index finger pointing towards the person across from them. ▪ The index finger is the only finger to come in contact with the pole. The finger must stay in constant contact with the pole. If contact is lost by anyone, the whole team must start over. This should be self-managed. ➢ The finger must stay parallel to the ground. ➢ The pole is placed on the fingers. ➢ No curling, wrapping or angling of the finger around the pole is allowed. **ENCOURAGE** the team to take a few minutes to discuss the elements of a team and what they want to be mindful of in this upcoming challenge. (Give them ***3-5 minutes*** to check in on what they want to remember). **START** the activity and give them ***approximately 20 minutes*** to complete the task. If they are close to finishing give them enough time to complete the task.	
25 min	5	**DEBRIEF** **Refer** to p. 107 in the participant manual and ask participants to complete the following questions: ▪ What did your team do that contributed to that success? Or create barriers? ▪ Specifically, how well did members of your team hear each other's ideas? Were all the ideas and perceptions being shared and heard? ▪ Was there clear leadership and willingness from others to follow? If so, how could you tell? ▪ What behaviors were displayed here that may occur in the workplace? **ASK** participants to review the debrief sheet individually. **GIVE** them ***about five minutes***. **FACILITATE** the group's debrief discussion of the questions. **Trainers' Note:** *Reinforce points such as how clear were they about*	PM, p. 107

Procedure		Steps	
		the task and what impact that had on their success; how did a leader emerge and the group's willingness to follow; what was their communication like – how well did they listen to each other; what did they do when someone broke the rules about wrapping their finger or losing contact with the pole. **ASK** the observers to share what they saw that helped and hindered the team's performance. **RETURN** to the training room and JOIN the other team. In the large group, **FACILITATE** a brief discussion by **ASKING** the following: What behaviors helped the teams be successful? What was the biggest obstacle to their success? **CONCLUDE** the discussion after about 10 minutes.	
20 min	6	**EXPLORATION OF TEAM EFFECTIVENESS FACTORS** **USING** PPT, briefly review of the Six Dimensions of Team Leadership which is also in their manuals on page 108. Explain that these are the areas of focus for the leader. **ASK** participants which of these dimensions might be most difficult for them. After a few examples, **EXPLAIN** that it is also important to understand some specific the team effectiveness factors. Many researchers have studied team effectiveness and that one researcher, Cynthia Cantu, identified the following factors: ▪ Teamwork (e.g., common purpose, set of specific performance goals, defined membership, designated leadership, complementary skills, shared responsibility and accountability, resources and work parameters, and clear roles and norms for behavior) ▪ Collaborative Decision-Making and Problem Solving ▪ Leadership Support – Support that leaders and supervisors provide to team members ▪ Trust and Respect ▪ Recognition and Rewards ▪ Customer Focus **TELL** participants that you would like for them to explore how they can apply these factors as they work in teams to implement the NAIP/RAIP. **POST** flipcharts with the names of each of the factors around the room. **ALLOW** participants to select one of the groups. **MAKE SURE** that there are at least four participants in each group and no more than eight. You may need to **DIVIDE** groups of more than eight into two groups, or **ASK** some participants to change groups. **GIVE** each group 15 minutes to brainstorm ways they can apply their factor as they work to implement the NAIP/RAIP.	PM, pp. 108-109

Procedure		Steps	
		ASK them to record their strategies on flipchart and to be prepared to give a three minute presentation to the large group.	
35 min	7	**FACILITATE** brief report-out, **GIVING** each group three minutes to report on the strategies they identified for their success factor. **TAKE** a few additional minutes with each group to hear questions and comments from members of the large group. **ASK** participants to comment on the most important lessons that they have learned about effective teamwork during this session. **Trainer Note:** *If possible, take notes or get the flipcharts from this session typed and then distribute these strategies to participants electronically soon after the workshop.*	

SESSION 11: NEXT STEPS FOR RAPID RESULTS TEAMS, RESOURCES AND SKILL DEVELOPMENT NEEDED

Objectives	*By the end of this session, participants will be able to:* ▪ *Prepare for presentations to Senior Leaders;* ▪ *Identify technical supports needed;* ▪ *Discuss the Coach's role; and* ▪ *Move immediately into the implementation phase of their RRI.*
Total Time	30 minutes
Materials	**PowerPoint Slides** ▪ Session 11 **Participant Manual** ▪ Session Objectives ▪ Presentation to Senior Leaders ▪ Technical Training Needs ▪ The Coach's Role ▪ The First Team Meeting **Other Resources** **Preparation**

Procedure		Steps	
			PM, pp. 111-116
5 min		**WELCOME** participants back from the break. **PRESENT** the objectives of this session. **Objectives** By the end of this session, participants will be able to: ▪ Prepare for presentations to Senior Leaders; ▪ Identify technical supports needed; ▪ Discuss the Coach's role; and ▪ Move immediately into the implementation phase of their RRI. USAID © Rapid Results Institute, Inc. 2011 RRI	PM, p. 111
		SAY that the first key event after Module 2 is the team presentation of the team's goal and work plan. **EXPLAIN** the elements of a typical presentation to Senior Leaders. **Presentation to Senior Leaders** Typical Presentation: ▪ The Goal: Why is it ambitious, but realistic? ▪ The Action Plan • Review of Milestones (only) • What elements of the plan are creative/innovative? ▪ Special Authorizations (be reasonable) USAID © Rapid Results Institute, Inc. 2011 RRI **EXPLAIN** to the teams that page 112 of the Participant Manual provides a template for their presentation. **INSTRUCT** the team to answer the key questions about the logistics of the meeting with Sr. Leaders. REMIND teams that this meeting should take place	PM, p. 112

as soon as possible.

After teams have discussed the logistics of the meeting, **ASK** Team Leader when they intend to have the meeting with their Sr. Leader. **RECORD** this information.

Presentations to Senior Leaders

As a team, identify:

- Who will confirm and communicate day and time of meeting
- Where the meeting will take place
- Who will prepare the presentation
- Who will present (Team Leader +?)

USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to take five minutes to discuss and identify their technical training needs and to write them down on a flip chart.

PM, p. 113

Technical Training Needs

Based on your goal and work plan: What technical training needs will be essential to your success?

- Take 5 minutes to identify your top three training needs.

USAID © Rapid Results Institute, Inc. 2011 RRI

After 5 minutes, **ASK** Team Leaders to share the technical training needs with the colleagues. Record this information.

EXPLAIN that Africa-LEAD will use this information to design the program of support they provide in subsequent workshops.

INSTRUCT teams to take 5 minutes to discuss the role of the Coach. **ASK** them to list 2-3 things the Coach should and shouldn't do to support the team after the end of this workshop.

PM, p. 114

The Coach's Role

What is the Coach's Role after this training? Identify 2-3 things the Coach should and shouldn't do.

USAID © Rapid Results Institute, Inc. 2011 RRI

After 5 minutes, **FACILITATE** a brief (5-7 minute) conversation about what the Coach(es) will and will not be doing after the workshop. **REVIEW** the points on the "Coach's Role" slide.

The Coach's Role

PM, p. 115

- Help Team Leader create agendas for team meetings
- Facilitate team meetings (when needed)
- Help team develop creative options when it encounters obstacles
- Liaise with technical training resources (DAI)

USAID © Rapid Results Institute, Inc. 2011 RRI

ASK teams to discuss the logistics of their first meeting.

The First Team Meeting

Team Leader: Make sure there is consensus in your group about the first team meeting:

- Where is it?
- When is it?
- What action steps need to be completed by then (and by whom)?
- When/where will the tracking chart be posted?
- When is the first update of the chart ?

USAID © Rapid Results Institute, Inc. 2011 RRI

After teams have discussed the logistics of the first meeting, **ASK** each Team Leader to announce the date, time, and place of their first team meeting. **ASK** the Team Leader if they have identified the first action steps that need to be completed before this meeting and who is responsible for these action steps.

SESSION 12: WRAP UP AND CLOSURE

Objectives	*By the end of the session, participants will have reviewed and refined their individual/institutional/team action plans and will have identified the support required to help them move their plans forward.*
Total Time	30 minutes
Materials	**PowerPoint Slides** ▪ Session 12 **Participant Manual** ▪ Session Objectives ▪ Action Planning Review ▪ Key Learning from the Training Objectives ▪ Leadership Feedback ▪ Evaluation ▪ Certificates ▪ Closing **Other Resources** **Preparation**

Procedure		Steps	
			PM, pp. 117-120
5 min		**INTRODUCTION** **PRESENT** the learning objectives of this session. By the end of this session, participants will: • Have reviewed and refined their individual/ institutional/team action plans: • Have identified the support required to help them move their plans forward: • Have identified key learning from the training, and • Given and received feedback on their leadership during the week. **ACTION PLAN REVIEW** **DIRECT** participants to re-group in the teams which created action plans. **TELL** them to walk through their action plans for the last time, adding or refining steps based on feedback in yesterday's session and also any other thoughts they have had. **CHALLENGE** the groups to **"get REAL" with their plans:** **R- relevant** **E- exciting** **A – actionable** **L – long-lasting** After they have reviewed their plans, **INVITE** the groups to identify what support they will need by asking groups to identify • immediate support	PM, p. 117 PM, p. 118

		• long-term support • personal support • organizational support • resources (human and material). Finally, **CLOSE** this part of the short session by asking each team to remind the total group of their plans, what is exciting to them and also who they will be looking to for support. **KEY LEARNING FROM THE TRAINING OBJECTIVES** **DISPLAY** slide xx with the sessions listed. **ASK** participants to get in their table groups and identify the most important learning each person is taking away. (10 minutes). **FACILITATE** a brief report out, identifying any trends. **LEADERSHIP FEEDBACK** **REMIND** participants that this week they have not only learned about leadership but they have practiced it in their small group activities and discussions. **ASK** them to look around the room and remember what others have done to lead the total group, the table group, the action planning group, or any other small group. **REMIND** participants to think specifically and jot down a note about one or two other persons. Then, **ASK** them to get up, walk into the middle of the room and mingle with each other and give their feedback. **TELL** group they are not required to talk to everyone and they are not required to reciprocate if they have no feedback for that person. **REMIND** participants to thank others for their feedback. **EVALUATION** **HAND OUT** evaluation forms and **ASK** participants to fill them out completely. **COLLECT** forms as they are finished. **CERTIFICATES** If there is a ministry or USAID representative present, invite him or her to say a few words of congratulation and award the certificates. Close by reminding the participants that they are joining a growing, energetic cadre of Champions for Change throughout the continent. **CLOSING** **SHOW** the final slide and ask participants, “Are you ready?” **REPEAT** the question twice, raising your voice to energize the response and finally thank participants for their hard work. **SAY** not goodbye but until we meet again.	PM, p. 119 PM, p. 119

POST-TRAINING SURVEY ADMINISTRATION

Objectives	*Gather data from each participant that can be used to assess the effectiveness of the Module 2 workshop.*
Total Time	30 minutes
Materials	**PowerPoint Slide** ▪ Post-Training Survey **Post-Training Survey** **Other Resources** ▪ Pencils

INSTRUCTIONS FOR TRAINERS IN DELIVERING MODULE 2 SURVEYS

Africa Lead's Module 2 training is a 4 day course, tailored to each country, which will equip CAADP leaders to operationalize Investment Plans. Since trainings will take place in different countries, Africa Lead staff may not always be present to deliver surveys before and after training. Because these surveys are the primary way that we can show the project's impact, it is very important that we get good data!!! These brief instructions will help guide you – the Module 2 trainers – to collect the data that we need regardless of whether or not Africa Lead staff are present.

Content of each workshop may differ, so too the M&E surveys may change. For this reason, you may not receive the correct survey until the day before it is administered. Please be very careful to use the correct survey at the right training and time (they will be clearly labeled at the top). The instructions that follow are what will be the SAME for EVERY workshop. There will be 2 surveys for Module 2:

- ***Pre-Training Survey*** – This survey should be given to participants BEFORE ANY TRAINING HAS TAKEN PLACE. Please leave at least 15 minutes in the schedule for participants to fill it out. **Note: Pre-tests should not be administered at a later time if the participant has already sat in on the training for any amount of time.**
- ***Post-Training Survey*** – This survey will be administered AT THE VERY END OF TRAINING. Please make sure that you leave at least 15 minutes in the schedule for participants to fill it out.

Steps to Follow in Administering Surveys:

Preparation

Prior to administering each survey each time, you'll need…

- Get a printed list of the names of every participant at the training, and
- Sufficient copies of the survey
- Note: All surveys and evaluations are confidential (including blank forms and electronic files) and should be treated as such. Please keep both blank copies and completed surveys/evaluations in a secure location and DO NOT leave them out for participants to see.

Survey Administration

Before handing out the survey, it's a good idea to explain the following issues…

- Explain:
  - Why is it important that we do this and that participants answer accurately and completely?
  - Participant answers are confidential. They won't be shared with anyone outside the project.
  - The need for participants to fill out every question. Information from our data collection efforts will be most useful if our data is as complete as possible.

Once you've made these comments to participants…

- Hand out the surveys one-by-one to each participant.
  - Allow participants sufficient time to complete the form, and make sure someone is available for questions. I suggest collecting the forms one-by-one as well, so that you can ensure that forms are complete…

Ensuring Completeness of Forms

Upon collecting the forms from participants (either the pre-training survey or the post-training survey)…

- **Immediately review the surveys for missing data and unanswered questions.**
- No question should be left blank or without an answer. Please crosscheck all completed forms immediately after collection, and if any section was left vacant, please return those to participants to complete them. This is easiest to do if collecting one-by-one, as you can spot-check immediately. (Otherwise, you will have to mark questions that have not been answered and then, during a break or during lunch, go find each participant and ask them the questions they skipped/missed).
- **Then use your list of participants to make sure that all participants filled out a form.**

  Again, please note: Pre-tests should not be administered at a later time if the participant has already sat in on the training for any amount of time.

Storing Forms after Collection

- Please store completed forms in a safe place until you can give them to Africa Lead staff.

THANK YOU for taking Africa Lead's data collection seriously and making it a priority activity for the training. We certainly appreciate it!

If you have any questions or concerns, do not hesitate to contact Africa Lead's M&E Manager:

Nega Berecha

Nega_Berecha@AfricaLeadFTF.org

AFRICA LEAD Module 2:
Scaling Up for Food Security in Africa
"Champions for Change II"

Participant Manual

April 30, 2012

Contents

Contents i

Chapter One: Introduction 1

BACKGROUND 1
PURPOSE 1
OBJECTIVES 1
TARGET AUDIENCE 2
ASSUMPTIONS 2
OVERVIEW 2

Chapter Two: Module 2 Concept 3

STRUCTURE 3
SAMPLE MODULE 2 AGENDA 4
SESSION DESCRIPTIONS 5
- Day One 5
- Day Two 6
- Day Three 9
- Day Four 9

DAY ONE 11

Session 1: Introductions and Overview 13

OBJECTIVES 13
INDIVIDUAL PARTICIPANT INTRODUCTIONS 14
MODULE 2 OBJECTIVES 15
- Getting Started 15
- Expectations and Guidelines for Working Together 15

Session 2: NAIP/RAIP Overview 17

OBJECTIVES 17
OVERVIEW OF CAADP COUNTRY/REGION PROGRAMS AND PROJECTS 18

Session 3: Success Stories in Agricultural Productivity – Characteristics of Effective Projects 23

OBJECTIVES 23
SHARING SUCCESS STORIES AND BUILDING A WALL OF SUCCESS 24
CHARACTERISTICS OF SUCCESSFUL PROJECTS 25
SOME CHARACTERISTICS OF SUCCESSFUL PROJECTS 26

Session 4: Project Design 29

OBJECTIVES 29
PROJECT DESIGN FUNDAMENTALS 30

LOGICAL FRAMEWORK ANALYSIS MODEL 33
CONTENTS OF A PROJECT ACTION PLAN 40

Session 5: Project Management Overview 43

OBJECTIVES 43
DEFINITIONS 44
THE PROJECT CYCLE 45

DAY TWO 47

Session 5: Project Management Overview (continued) 49

OBJECTIVES 49
REPORT OUT AND GROUP AGREEMENT ON THE STEPS IN THE PROJECT CYCLE 50
"ONE" EXAMPLE OF THE PROJECT DESIGN AND IMPLEMENTATION CYCLE 51
PROJECT MANAGEMENT CONCEPTS 52
DESIGNING A MANAGEMENT STRUCTURE 53
LEVELS AND FUNCTIONS OF PROJECT MANAGEMENT 53
JOINT SECTOR REVIEWS 55
THE PURPOSE AND GOALS OF A JSR 56
THE PURPOSE AND GOALS OF A JSR 57
THE LIMITATIONS OF A JSR 58
Projects with Multiple Stakeholders 59
Projects without Multiple Stakeholders 59
Country-Wide Holistic View on Entire Sector 59
Focus on Projects to Support Narrowly Defined Objectives 59
Partnership with Mutual Trust and Shared Accountability 59
Recipient Accountable to Donor 59
External Partner Coordination and Collective Dialogue 59
Bilateral Negotiations and Agreements 59
Long-Term Capacity/System Development in Sector 59
Short-Term Disbursement and Success of Projects 59
THE BENEFTIS OF ENGAGING STAKEHOLDERS 59

Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks 61

Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation 63

OBJECTIVES 63
MONITORING AND EVALUATION FRAMEWORKS 64

DAY THREE 69

Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation (continued) 71

OBJECTIVES 71
RESULTS FRAMEWORK ACTIVITY 72

Scenario: 72
MONITORING AND EVALUATION FRAMEWORKS (CONTINUED) 74
Elements of the M&E Plan 81
GUIDING PRINCIPLES FOR CAADP M&E 83
SESSION 7 WRAP UP 84

Session 8: Design and Implementation of Rapid Results Projects 85

OBJECTIVES 85
EXAMPLES OF RAPID RESULTS INITATIVES 86
WHAT IS THE RAPID RESULTS APPROACH? 87
JEHA, THE KING AND THE DONKEY 88
THREE UNIQUE ELEMENTS OF A RAPID RESULTS INITIATIVE 90
HOW WE WILL USE RRA… 91
YOUR COUNTRY'S RAPID RESULTS FOCUS AREAS: 91
"WHY RAPID?"/"WHY RESULTS?" 92
THE PHASES OF AN RRI 94
ROLES & RESPONSIBILITIES IN AN RRI 95
DEVELOPING OUR RAPID RESULTS GOALS 96
DEVELOPING A TRACKING CHART 97
NEXT STEPS 98
FOR MORE INFORMATION ON THE RAPID RESULTS APPROACH SEE: 98
SESSION 8 WRAP UP 99

Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation 101

OBJECTIVE 101
ELEMENTS OF A RAPID RESULTS ACTION PLAN 102

DAY FOUR 104

Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation (Continued) 105

OBJECTIVE 105
MILESTONES TEMPLATE 108
IDENTIFYING ACTION STEPS 109
ESTABLISHING ACCOUNTABILITIES 111
REVIEWING AND REVISING OUR WORK 112
RECORDING OUR ACTION PLANS 113
SESSION 9 WRAP UP 115

Session 10: Teambuilding – Success Factors for Effective Implementation 117

OBJECTIVES: 117
TEAM LEADERSHIP 118

DEFINITION OF A TEAM 119
What's a Team? 119
TEAMWORK ACTIVITY: HELIUM POLE 121
TEAMWORK ACTIVITY: HELIUM POLE – NOTE-TAKING PAGE 122
HELIUM POLE DEBRIEF SHEET 123
TEAM EFFECTIVENESS FACTORS 124
TEAM EFFECTIVENESS FACTORS 125

Session 11: Next Steps for the Group, Resources and Skill Development Needed 127

OBJECTIVES 127
PRESENTATIONS TO SENIOR LEADERS 128
TECHNICAL TRAINING NEEDS 129
THE COACH'S ROLE 130
THE FIRST TEAM MEETING 131

Session 12: Wrap Up and Closure 133

OBJECTIVES 133
ACTION PLANNING REVIEW 134
KEY LEARNING FROM THE TRAINING OBJECTIVES 135
LEADERSHIP FEEDBACK 135

Chapter One: Introduction

BACKGROUND

Across the continent, all three AFRICA LEAD regions have achieved significant progress completing Module 1 training programs in both English and French. As of December 2011, 1,078 CAADP "Champions" from 29 countries have completed this training program. They include 545 Champions for Change in East Africa, 375 in West Africa, and 158 in Southern Africa.

According to current monitoring and evaluation data, the Module 1 training is achieving its purpose "To inspire, energize and mobilize innovative leaders, champions, and thinkers in African countries, who are committed to creative new approaches to achieving food security." The new knowledge, skills and attitudes attained in Module 1 include the following: an understanding of CAADP goals, new perspectives on food security, strategies for leading and managing change, strategic thinking and planning skills, advocacy skills, leadership skills, and monitoring and evaluation concepts and practices. AFRICA LEAD regional offices report that a significant number of Champions at the country and regional level are leaving the training program highly motivated, that they are establishing and broadening networks for action and implementing food security initiatives in their countries and regions.

PURPOSE

The purpose of the AFRICA LEAD Module 2 workshops is to ensure that country and regional teams and a select group of dynamic champions trained in Module 1 possess the requisite skills to move the NAIP/RAIP implementation process forward. Module 2 provides skill development to support NAIP/RAIP implementation, strengthen involvement and broaden the inclusiveness of the teams and their supporters in order to create better program results and insure that organizational and unit action plans in support of the CAADP National Agricultural Investment Programs (NAIPs) in each country and Regional Agricultural Investment Programs (RAIPs) are followed and show tangible, positive results.

OBJECTIVES

After participating in the Module 2 intervention, implementation teams of champions will be able to:

- Identify and develop strategic coordination mechanisms for CAADP and NAIPs/RAIPs
- Identify and agree to the most critical steps for CAADP NAIP/RAIP implementation
- Appreciate the necessary steps and activities in successful project and program design
- Integrate the project design elements into on-going NAIPs/RAIPs
- Apply appropriate project management, monitoring and evaluation methodologies to plans/projects
- Use the Rapid Results Approach (RRA) to develop 100-day action plans.

TARGET AUDIENCE

Select members of country and regional NAIP teams and a select group of dynamic champions trained in Module 1, including representatives of civil society, private sector, government and research organizations that are actively implementing food security / agriculture programs that contribute to NAIP/RAIP objectives, will be recruited for this intervention. Regional teams will be chosen through regional focal points for the value this workshop will add to their plans and projects.

ASSUMPTIONS

The AFRICA LEAD designers of the Module 2 intervention operated under the following assumptions:

- The primary target audience for participating countries and regions would be the country or regional implementation teams, which will include representatives of the CAADP Country Teams (CCTs), regional agricultural and rural development teams, selected Champions from the Module 1 training program, representatives from the ministry of agriculture and other key stakeholders.
- The most effective and efficient structure would be to focus on work in individual countries and with regional bodies.
- There exists a critical need to support follow-up of the country teams from both Modules 1 and 2 in order to maintain momentum, to continue monitoring progress and to ensure that the concepts that have been learned and the enthusiasm that has been established result in real and productive change. For regional teams, the Module 2 intervention would provide an opportunity to integrate new skills into the work of developing and implementing plans.

OVERVIEW

Module 2 takes the form of country and region-specific interventions with key people and institutions as they continue to refine and implement their action plans.

The Module 2 facilitation team proposes to work with teams responsible for NAIP/RAIP implementation individually so as to insure a focus on specific needs and action plans and the broadest inclusion of stakeholders in each country and region. We work with country and regional teams in separate workshops. The focus countries for the Module 2 intervention include the 13 countries currently engaged in the AFRICA LEAD initiative as well as non-initiative but aligned countries.

Chapter Two: Module 2 Concept

STRUCTURE

AFRICA LEAD is implementing Module 2 on a country or region-specific basis with content specifically tailored to meet the identified needs. The format is as follows:

- Four day country or region-specific program;
- A series of one-day follow up meetings; and
- Potentially, a one-year status workshop to be coordinated with annual CAADP reviews.

The one-day follow-up meetings will be held, approximately, every 10-12 weeks: These meetings may be designed as one day for the whole team, or as specific topic sessions for targeted sub-groups, such as a NAIP/RAIP working group . These meetings will be used to provide participants with additional skill-building opportunities, for participants to report on and obtain focused support and guidance related to ongoing food security / agriculture projects and to plan for the replication of successful interventions. The frequency of the follow up meetings will be determined by team needs and the availability of funds.

A key feature of the Module 2 workshops and follow up meetings will be the utilization of the Rapid Results Approach (RRA) for project implementation. Each country or region for which the Module 2 workshop will be delivered will be requested to identify three to four agricultural productivity / food security projects, and project representatives will be instructed and coached to use the RRA. The advantages of RRA are that projects produce results very quickly, new work patterns are identified and lessons are learned about specific interventions and the process of managing change. The lessons learned from RRA projects will be used to further support NAIP/RAIP implementation.

SAMPLE MODULE 2 AGENDA

Day One	Day Two	Day Three	Day Four
A.M.			
▪ Pre-Training Survey ▪ **Session 1:** Introductions and Overview ▪ **Session 2:** NAIP/RAIP Overview	▪ **Session 5:** Project Management Overview (continued) ▪ **Session 6:** NAIP/RAIP Support Mechanisms – Concurrent Tracks: ➢ Track1 – Strategic Influencing for Stakeholder Participation and Collaboration ➢ Track 2 – Financial Management ➢ Track 3 – Managing the Donor-Recipient Relationship ➢ Track 4 – Managing People to Achieve Results	▪ **Session 7:** Monitoring & Evaluation for NAIP/RAIP Implementation (continued) ▪ **Session 8:** Design and Implementation of Rapid Results Projects	▪ **Session 9:** Action Planning for NAIP/RAIP Implementation (continued) ▪ **Session 10:** Teambuilding – Success Factors for Effective Implementation
LUNCH – P.M.			
▪ **Session 3:** Success Stories in Agricultural Productivity – Characteristics of Effective Projects ▪ **Session 4:** Project Management Overview ▪ **Session 5:** Project Management Overview	▪ Concurrent Tracks Continued ▪ **Session 7:** Monitoring & Evaluation for NAIP/RAIP Implementation	▪ **Session 8:** Design and Implementation of Rapid Results Projects (continued) ▪ **Session 9:** Action Planning for NAIP/RAIP Implementation	▪ **Session 10:** Teambuilding – Success Factors for Effective Implementation (continued) ▪ **Session 11:** Next Steps for the Group, Resources and Skill Development Needed ▪ **Session 12:** Wrap Up and Closure ▪ Post-Training Survey

SESSION DESCRIPTIONS

DAY ONE

SESSION 1: INTRODUCTIONS AND OVERVIEW

By the end of this session, participants will be able to:

- Share personal perspectives on leadership;
- Understand the objectives, content and format of the Module 2 Workshop;
- Share expectations for the workshop; and
- Establish or build upon relationships with the workshop participants.

During this session, participants will review the objectives, content and format of the Module 2 workshop; share their expectations for the workshop and establish or build upon their relationships with the other workshop participants.

SESSION 2: NAIP/RAIP OVERVIEW

By the end of this session, participants will be able to:

- Describe NAIP/RAIP objectives and conceptual frameworks;
- Describe the primary strategies and approaches that have been identified in the NAIP/RAIP;
- Describe the implementation status of the NAIP/RAIP;
- Describe the country/region programs and projects that are currently being planned and/or implemented; and
- Identify the successes and challenges related to NAIP/RAIP implementation.

During this session, participants will receive an overview of the objectives, conceptual frameworks and implementation status of the NAIP/RAIP and identify key priorities for moving the NAIP/RAIP implementation process forward.

SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS

By the end of this session, participants will be able to:

- Learn about and celebrate the accomplishments of participants and their respective constituencies; and
- Identify essential characteristics of successful agricultural productivity and/or food security projects.

During this session, participants will share and celebrate their successes in the areas of agricultural productivity and food security. They will identify the essential characteristics of successful agricultural productivity and food security projects and gain a deeper appreciation of the resources and capabilities of the workshop participants and their respective constituencies.

Session 4: Project Management Overview

By the end of this session, participants will be able to:

- Explain the basic concepts of project management;
- Identify the components of the project cycle;
- Understand the levels and functions of project management
- Identify potential participants in a joint sector review (JSR);
- Define the purpose and goals of a JSR; and
- Review the limitations of a JSR.

In this session, we will present an overview of the components of the project cycle and the project management process. Participants will learn the sequence and relationship of the project cycle components and will receive an overview of topics that will be covered in detail on days two and three of the workshop. These topics will include project design, managing stakeholder participation, financial management and monitoring and evaluation.

Session 5: Project Design

By the end of this session, participants will be able to:

- Explain the steps in formulating a project design;
- Describe the elements of the logical framework matrix; and
- Identify the basic questions that should be answered in a project action plan.

Since all Module 2 participants will be directly implementing or supporting NAIP/RAIP projects, the purpose of this session is for participants to understand the components of a project design. Participants will explore the elements of the logical framework matrix and the basic questions that should be answered in a project action plan.

Day Two

Session 5: Project Design (continued)

Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks (As many as four, based on number of participants and priority needs identified)

During this session, participants will participate in three or four concurrent tracks that will focus on skill development for the design of agricultural productivity projects or the implementation of supportive actives in the areas of stakeholder participation and coordination, funding and financial management, managing the donor-recipient relationship or managing people to achieve results. The concurrent tracks will be 3.5 hours in duration. Specific descriptions of these tracks are provided below:

Concurrent Session: Track 1 – Strategic Influencing for Stakeholder Participation and Collaboration

By the end of this session, participants will be able to:

- Identify stakeholders whose activities contribute to the successful implementation of the NAIP/RAIP.
- Identify gaps in stakeholder involvement;
- Describe strategies for increasing stakeholder participation in the NAIP/RAIP and/or agricultural sector;
- Describe strategies for building consensus among government, civil society and private sector stakeholders in agricultural development;
- Identify strategies for addressing cross-cutting issues, particularly gender, climate change, poverty, nutrition and environmental or natural resource management issues, when coordinating stakeholder involvement in the NAIP; and
- Identify strategies for developing accountability frameworks which define stakeholders' roles and responsibilities for contributing to increased agricultural productivity and enhanced food security.

During this session, participants will map the stakeholders involved in agricultural development and/or the NAIP, identify gaps in stakeholder involvement, review strategies for conducting stakeholder analysis and explore strategies for advocacy and outreach to enhance stakeholder involvement. Participants will complete stakeholder analyses for food security / agricultural productivity projects and explore accountability frameworks for defining stakeholder roles and responsibilities.

Concurrent Session: Track 2 – Financial Management

By the end of this session, participants will be able to:

- Identify strategies for obtaining funding for agricultural and food security programs;
- Describe procedures for determining whether it is programmatically and economically practical and desirable to fund a particular project; and
- Explain financial management processes for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.

The focus of this session will be on strategies for obtaining funding and for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.

Concurrent Session: Track 3 – Managing the Donor-Recipient Relationship

By the end of this session, participants will be able to:

- Identify donor perspectives on the donor-recipient relationship;
- Work effectively with donors to achieve greater alignment and harmonization of the NAIP/RAIP;
- Describe the impact of well managed and poorly managed conflict; and

- Identify ways to strengthen negotiation and conflict resolution skills when working with donors.

During this session, participants will consider strategies for working effectively with multiple donors to achieve greater effectiveness of agriculture development programs. Participants will explore donor and recipient perspectives on the donor-recipient relationship and methods for managing conflict and negotiating with donors and prospective donors.

Concurrent Session: Track 4 – Managing People to Achieve Results

By the end of this session, participants will be able to:

- Describe the five phases of the Performance Management Cycle;
- Demonstrate the six step model for conducting a delegation conversation;
- List the guidelines for giving effective performance feedback;
- Deliver a clear and concise performance feedback message; and
- Demonstrate the six step model for conducting a feedback conversation.

The focus of this session will be on using the Performance Management Cycle to help project implementers carry out their job responsibilities. Participants will practice specific skills for task delegation and delivering performance feedback.

Session 7: Monitoring & Evaluation for NAIP/RAIP Implementation

By the end of this session, participants will be able to:

- Define the terms monitoring and evaluation;
- Describe the purpose and functions of monitoring and evaluation in the project design and implementation cycle;
- Describe the results framework concept;
- Describe CAADP M&E common indicators and country review processes;
- Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;
- Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and
- Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.

The focus of this session will be on reviewing the CAADP M&E common indicators and country review processes, i.e. joint sector reviews and social accountability tools, approaches, and methods. Participants will explore strategies for monitoring and evaluating projects to support CAADP NAIP/RAIP implementation plans as well as application of the Strategic Analysis and Knowledge Support System (SAKSS) concept.

Day Three

Session 7: Monitoring & Evaluation for NAIP/RAIP Implementation (continued)

Session 8: Design and Implementation of Rapid Results Projects

By the end of this session, participants will be able to:

- Understand additional elements of the Rapid Results Approach
- Apply the Rapid Results Approach to selected NAIP/RAIP challenges
- Create a Rapid Results goal
- Create a chart for tracking results achieved during the RRI
- Identify and plan for next steps in the Rapid Results Process

During this session, participants will work in their Rapid Results teams to develop a goal and tracking chart for their RRI. This work will take place after receiving an orientation on elements of the Rapid Results Approach not covered in Session 7. These elements include the definition of "Results" as it is applied within the approach as well as an overview of the roles and responsibilities within an RRI. The session concludes with discussion on next steps for the teams. **Note**: While highly recommended, the portions of this session that deal with the development of a tracking chart may be skipped if time is running short.

Session 9: Action Planning For NAIP/RAIP Implementation

By the end of this session, participants will have worked collaboratively to develop innovative, detailed action plans to achieve Rapid Results goals.

Day Four

Session 9: Action Planning For NAIP/RAIP Implementation (continued)

Session 10: Teambuilding – Success Factors for Effective Implementation

During this session, participants will:

- Identify factors for effective teambuilding and program implementation; and
- Identify strategies for effective teambuilding for each of the identified success factors.

The purpose of this session will be for participants to explore the critical factors for achieving team success and to identify strategies that they will employ in order to effectively implement the NAIP/RAIP.

Session 11: Next Steps for the Group – Resources and Skill Development Needed

By the end of this session, participants will be able to:

- Prepare for presentations to Senior Leaders;
- Identify technical supports needed;
- Discuss the Coach's role; and

- Move immediately into the implementation phase of their RRI.

The purpose of this session will be to enable participants to move forward with the implementation of rapid results projects in support of their NAIP/RAIP. Participants will prepare for presentations to senior leaders, identify the technical supports that will be needed for project implementation, discuss the role of RRA coaches (for RRA project teams) and prepare to initiate the implementation phase of their projects.

Session 12: Wrap Up and Closure

By the end of the session, participants will have reviewed and refined their individual/ institutional/team action plans and will have identified the support required to help them move their plans forward.

DAY ONE

"It always seems impossible until it's done."

- Nelson Mandela

Session 1: Introductions and Overview

OBJECTIVES

- Share personal perspectives on leadership;
- Understand the objectives, content and format of the Module 2 Workshop;
- Share expectations for the workshop; and
- Establish or build upon relationships with the workshop participants.

INDIVIDUAL PARTICIPANT INTRODUCTIONS

INDIVIDUAL TASK

Be ready to introduce yourself in 5 minutes, sharing the following information:

Name:

Position:

Job Location:

One word that describes your feelings about food security in your country or region:

(You will have about 20 seconds to introduce yourself.)

MODULE 2 OBJECTIVES

After participating in the Module 2 intervention, implementation teams of champions will be able to:

- Identify and develop strategic coordination mechanisms for CAADP and NAIPs/RAIPs
- Identify and agree to the most critical steps for CAADP NAIP/RAIP implementation
- Appreciate the necessary steps and activities in successful project and program design
- Integrate the project design elements into on-going NAIPs/RAIPs

Apply appropriate project management, monitoring and evaluation methodologies to plans/projects

GETTING STARTED

Review the following quotes and stand next to the one that you like the best. Be prepared to discuss why you selected your chosen quote.

- "Gender equality is more than a goal in itself. It is a precondition for meeting the challenge of reducing poverty, promoting sustainable development and building good governance." Kofi Annan
- "In Africa today, we recognize that trade and investment, and not aid, are pillars of development." Paul Kagame
- "If your dreams do not scare you, they are not big enough." Ellen Johnson Sirleaf
- "A person is a person because he recognizes others as persons." Bishop Desmond Tutu
- "When a king has good counselors, his reign is peaceful." Ashanti proverb
- "Since new developments are the products of a creative mind, we must therefore stimulate and encourage that type of mind in every way possible." *George Washington Carver*

EXPECTATIONS AND GUIDELINES FOR WORKING TOGETHER

- Participate fully
- Respect other views and opinions
- Truly listen to one another
- Share discussion time and encourage others to participate
- Express yourself in the language you prefer
- Respect confidentiality
- Turn off your cell phones
- Start and end on time
- Have fun

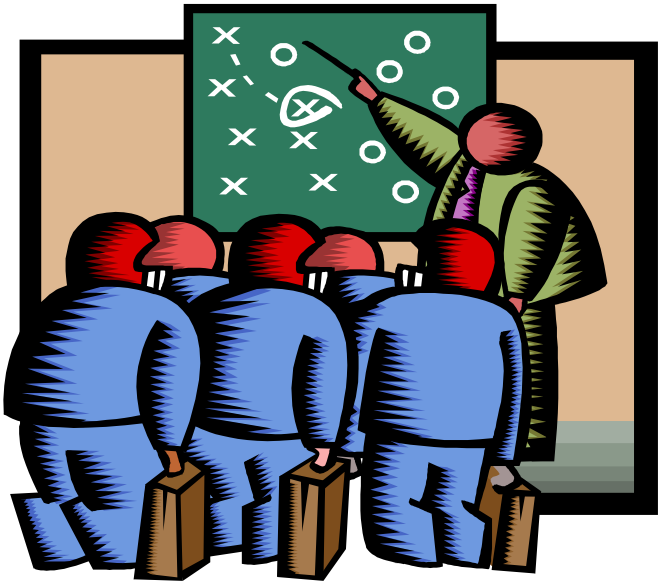
INDIVIDUAL TASK

Reflect on the expectations you have for the course content and for the facilitators. Write your expectations on sticky notes—one color for expectations of the course and one color for expectations of the facilitators (as directed by the course facilitators). Please take about two minutes to complete this task.

Session 2: NAIP/RAIP Overview

OBJECTIVES

- Describe NAIP/RAIP objectives and conceptual frameworks;
- Describe the primary strategies and approaches that have been identified in the NAIP/RAIP;
- Describe the implementation status of the NAIP/RAIP;
- Describe the country/region programs and projects that are currently being planned and/or implemented; and
- Identify the successes and challenges related to NAIP/RAIP implementation.



OVERVIEW OF CAADP COUNTRY/REGION PROGRAMS AND PROJECTS

[PROVIDE CAADP COUNTRY/REGION PROGRAM AND/OR PROJECT INFORMATION AS HANDOUT, IF AVAILABLE]

NOTES PAGE

You may use this page to take notes on CAADP country/region projects and/or projects.

SESSION 2 WRAP UP

- What primary strategies and approaches are identified in the NAIP/RAIP?

- What did you hear that was new?

- Where do you think you can get more involved?

- How will your involvement help achieve the plan's goals?

Session 3: Success Stories in Agricultural Productivity – Characteristics of Effective Projects

OBJECTIVES

By the end of the session, participants will be able to:

- Learn about and celebrate the accomplishments of participants and their respective constituencies; and
- Identify essential characteristics of successful agricultural productivity and/or food security projects.

SHARING SUCCESS STORIES AND BUILDING A WALL OF SUCCESS

SMALL GROUP ACTIVITY

In your assigned small group, please complete the following tasks:

- Briefly introduce yourselves to one another;
- Create a list of successful agricultural productivity and/or food security projects of which they are aware or which they have implemented;
- Identify the reasons that these projects were/are successful; and
- Identify indicators of the success of these projects.

Note: Success occurs on many levels. Projects do not necessarily have to have been completed in order to have experienced success.

Please work quickly, but make sure that each group member has an opportunity to contribute to the list.

You have **20 minutes** to complete this task.

Please use the markers and record your list of successful projects on flipchart.

Notes:

CHARACTERISTICS OF SUCCESSFUL PROJECTS

SMALL GROUP ACTIVITY

In your small group, please complete the following tasks:

- Conduct a “brainstorming” discussion to identify the characteristics of successful projects.
- Record your responses on flipchart.

You have **7 minutes** to complete this task.

SOME CHARACTERISTICS OF SUCCESSFUL PROJECTS

- Involvement of the community and all beneficiaries in all phases of the project planning, implementation, and evaluation.
- Analysis of the situation and determining what the community wants to do.
- If a problem is identified, problem analysis and selection of a cause that they can reasonably work on.
- Realistic and achievable project goals.
- Realistic and concrete project objectives.
- Clearly defined project tasks and responsibilities of all people involved.
- Well designed time frame and budget, so that the objectives are met within the time and resource limits.
- Partial, concrete and tangible results achieved during implementation of the project.
- Effective monitoring system that measures the project's progress, identifies problems and provides a mechanism for necessary changes in the project.
- Methods for keeping the larger community informed and involved.
- Evaluation, based on indicators set beforehand, of each project phase and the entire project after it is finished.
- Logical and effective structure of project design and management.
- Qualified persons assigned to specific roles.
- A mechanism for training community members in effective maintenance of the project, if required.

SESSION 3 WRAP UP

- What are some of the essential characteristics of successful agricultural productivity and/or food security projects?

Share your ideas with the person next to you.

Session 4: Project Design

OBJECTIVES

By the end of the session, participants will be able to:

- Explain the steps in formulating a project design;
- Describe the elements of the logical framework matrix; and
- Identify the basic questions that should be answered in a project action plan.

PROJECT DESIGN FUNDAMENTALS

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, How Funding Agencies Translate Strategy into Programs and Projects, September 12, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)

What is a Program Design?

- A justification for the investment (analysis of relevance and feasibility)
- A documented record which supports effective management, accountability and transparency
- The basis on which an implementation agreement(s) and resultants contract(s) or grants are prepared
- Usually includes:
  - A complete situational analysis
  - A plan and framework to guide implementation and M&E
  - An assessment of risks and a risk management plan
  - Identification of stakeholders and their interest/influence
  - Other assessments such as environmental impact, gender analysis, socio-economic analysis, governance assessment, conflict assessment etc.

Identifying the Development Problem

- Development "hypothesis"
  - A development hypothesis is a narrative description of causal/plausible linkages between actions and results, and results and overall objectives
- "Theory of Change" approach
  - Use of if/then statements to link possible actions to outcomes
- Various situational analyses undertaken
  - Stakeholder analysis
  - Capacity analysis
  - Gender and other social analyses
  - Economic impact analysis
  - Environmental impact
  - Sustainability analysis

Steps in Formulating a Design

- Define high-level goals and create a Results Framework
- Select the delivery mechanism (instrument) for funding
- Logical framework analysis
  - Analyze the problem and define objectives for a solution
  - Demonstrate linkages between activities > outcomes > objectives
  - Specify critical assumptions that drive "if-then" causal logic
  - Analyze stakeholder impacts (winners, losers, spoilers)
  - Test alternative designs
  - Identify risks (impact, probability) and mitigation measures
- Develop a Performance monitoring plan (PMP)
- May prepare Terms of Reference (TORs) for the implementing organization, or a complete Request for Applications (RFA), or Request for Proposals (RFP)

Qualities of a Good Program Design Document

Situational Analysis	Program Description
Are the development problem and its root causes clearly presented, and thoroughly analyzed?	Are the development strategy and the mechanism for delivery appropriate for this type of program?
How well does the program fit the host government's and Funding agencies' development agendas?	Are the goal, purpose, outcomes, and activities adequately described with persuasive causal logic?
Does the program design incorporate lessons from past experience in this sector, inside and outside the country?	Are relevant indicators, measurement techniques, and data collection protocols specified?

Management and Financing	Feasibility, Risks, and Key Assumptions
Are the proposed management structure for the program and coordination mechanisms well thought out and convincing?	Are key stakeholders identified, together with their respective importance and levels of influence on the program?
Are the program's cost elements realistic, and how do the costs match up against estimated program benefits?	Are risks to the program's success well analyzed, in terms of impact and probability, with adequate description of how these risks will be mitigated?

LOGICAL FRAMEWORK ANALYSIS MODEL

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, Logical Framework Analysis, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)

Why Use Logical Framework Analysis?

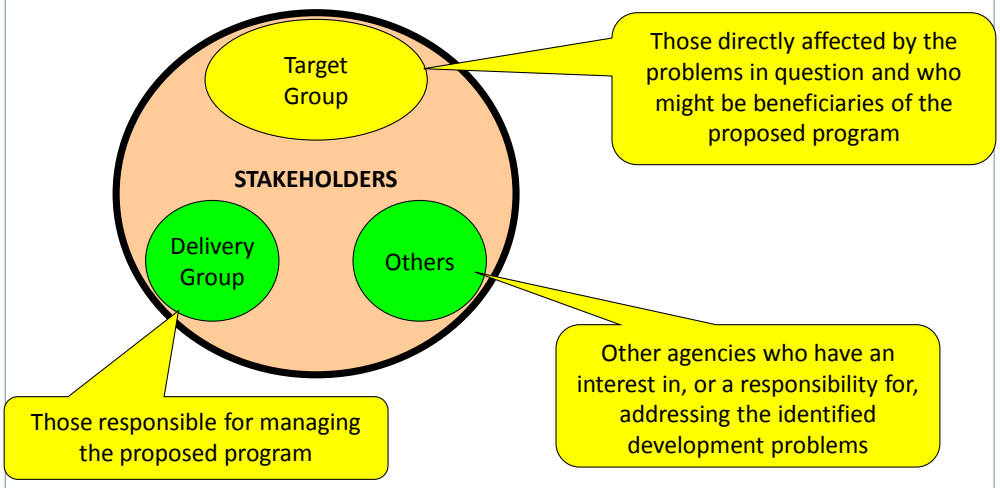
- Takes the results of a problem analysis and maps them into an organizing framework
- Establishes a logical hierarchy of the means by which desired program objectives will be reached
- Establishes how objectives, outputs and activities can best be monitored and evaluated
- Forces program designers to think through all of the critical assumptions that underpin their logic
- Differentiates between levels of control and predictability
- Cells in the matrix can be expanded or disaggregated to provide a greater level of detail

Process vs. Product

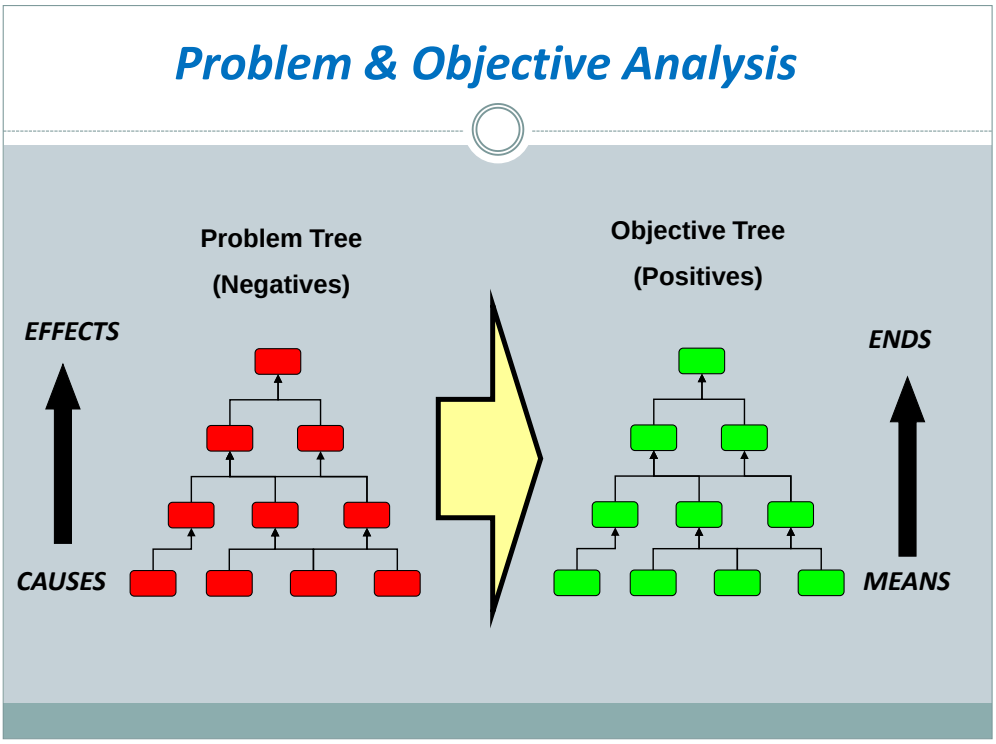
- The **"Process"** is logical framework analysis, involving:
  - Rigorous problem analysis
  - Developing a hierarchy of objectives
  - Selecting a preferred implementation strategy
  - Ideally, this process takes place in an interactive group exercise with stakeholders
- The **"Product"** is the logical framework matrix which summarizes:
  - What the project intends to do and how
  - Relationships between activities, results, and critical goals
  - How outputs and outcomes will be monitored and evaluated
  - Key assumptions that shape the design

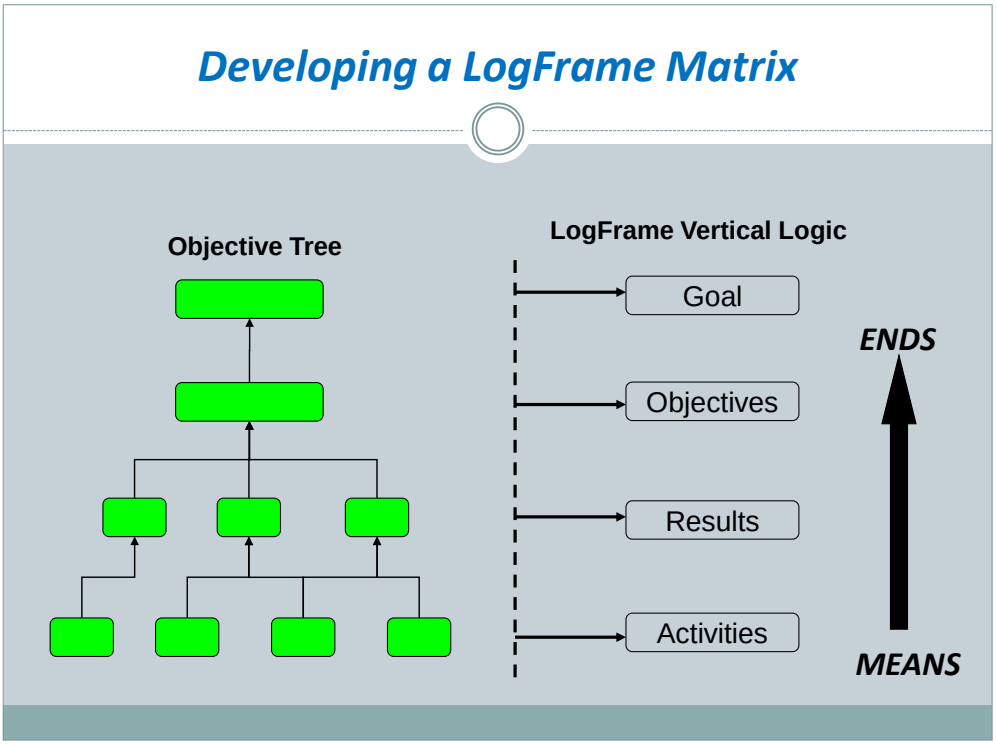
The **Process** is equally as important as the **Product**

Establishing an Inclusive Design Team



Note: Full stakeholder analysis may be conducted in advance


Problem & Objective Analysis
Problem Tree
(Negatives)
Objective Tree
(Positives)
EFFECTS
CAUSES
ENDS
MEANS


Developing a LogFrame Matrix
Objective Tree
LogFrame Vertical Logic
Goal
Objectives
Results
Activities
ENDS
MEANS

Terminology

- **Goal (sometimes "ultimate objective")** – The greater **WHY.** Relates to sectoral or national objectives to which the program is designed to **contribute** (but not in itself achieve or be solely accountable for). **The Goal usually does not change, even if the program strategy changes.**
- **Purpose (sometimes "project objective" or "outcome')** – **WHY** the program is being carried out and what developmental i**mpact** is anticipated at the end of its life. **There can be only be one purpose**. The implementation team is not solely accountable for the Purpose.
- **Results (sometimes "outputs")** – **WHAT** the program is supposed to deliver: specific results and measurable products (goods and services). The implementation team is directly accountable for Results.
- **Activities – HOW?** Specific tasks undertaken to achieve the required results. These may not all be listed in the LogFrame matrix but will e incorporated in an activity schedule (e.g. Gantt chart format) with responsibilities and associated time frames (i.e. a work plan).

The **vertical logic** identifies what the program intends to accomplish and clarifies the relationships in Column 1

Program Description	Indicators	Means of Verification	Assumptions
Goal			
Objectives			
Results			
Activities			

The **horizontal logic** defines how project objectives specified in Column 1 will be measured (Column 2) and the means by which the measurement will be verified (Column 3).

Project Description	Indicators	Means of Verification	Assumptions
Goal	Indicators	MoVs	
Objectives	Indicators	MoVs	Assumptions
Results	Indicators	MoVs	Assumptions
Activities			Assumptions

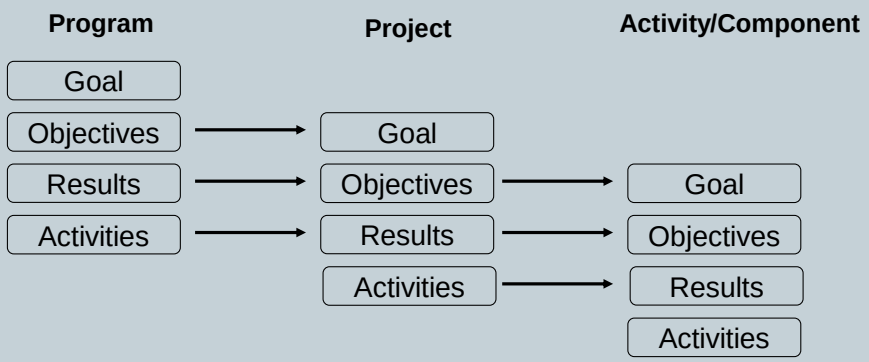
The Critical Role of Assumptions

- An **assumption** is a statement of a condition that must be met in order for the program's objectives to be achieved.
- Assumptions
  - Conditions which could affect the progress of the program, but over which the managers have no control (e.g. price changes, weather changes, shifts in government fiscal policies, political instability)
  - A good analysis will classify assumptions in three categories:
    1. Those that will likely hold true
    2. Those that may possibly hold true
    3. Those that involve substantial uncertainty and may not hold true

Validate Internal Consistency of the LogFrame with IF/THEN Testing

Project Description			
Goal			
Objectives	THEN?		
Results	IF		AND
	THEN?		
Activities	IF		AND

Nested LogFrames at Multiple Levels



Some Final Observations

- Most donor agencies (USAID, AusAID, DFID, EC and others) formally endorse or require the use of a LogFrame, Results Framework or other standard protocol for program/project design.
- Common criticisms and comments:
  - Time consuming and complicated to use
  - Obliged to summarize complex ideas into simple phrases
  - Often regarded as a bureaucratic requirement rather than a set of building blocks for a rigorous design
  - Creates pressure to establish ambitious quantitative targets
  - Limited utility as a management tool during implementation
  - However, an invaluable framework for impact evaluation

CONTENTS OF A PROJECT ACTION PLAN

The elaboration of a project action plan should aim at providing answers to a set of basic questions. These are reflected in the contents of a project action plan, as follows:

- **Background and justification:** What is the situation that gives rise to the program/project? What is the socio-economic context in which the program/project will take place? How does it fit in with development (economic, social, political) priorities?
- **Target groups and institutional framework:** For whose benefit is the program/project undertaken? Who are the partners? What are their responsibilities? Is the division of labor clear?
- **Development objective, immediate objective and performance measures:** What are the changes the program/project is expected to bring about or contribute to? How will success be assessed?
- **Outputs, activities and inputs:** What will the program/project produce or deliver? What will the program/project staff do? What funds, expertise, equipment, etc. are needed?
- **Assumptions and prior obligations:** Can we control everything? What are the external factors that may affect implementation and the performance of the program/project? What conditions must be satisfied by the partners before the program/project starts?
- **Reporting, monitoring and evaluation plans:** When will the project be evaluated and by whom? How will the partners be informed and involved?

SESSION 4 WRAP UP

- How will you apply project design concepts as you work to implement and/or support agricultural productivity and/or food security projects?

- Please share your ideas with the person next to you.

REMINDER: The ultimate achievement of food security and growth in agricultural productivity will be accomplished through the successful implementation of *programs and projects*. This process begins with sound program and project designs.

Following project design, the next step in the project cycle is project implementation. In Sessions 8, 9 and 11 we will look at a proven strategy for project implementation, the Rapid Results Approach.

Session 5: Project Management Overview

OBJECTIVES

By the end of the session, participants will be able to:

- Explain the basic concepts of project management;
- Identify the components of the project cycle;
- Understand the levels and functions of project management
- Identify potential participants in a joint sector review (JSR);
- Define the purpose and goals of a JSR; and
- Review the limitations of a JSR.

DEFINITIONS

Project management is a unique branch of learning that deals with the planning, monitoring, and controlling of one-time endeavors (The American Management Association (AMA) Handbook of Project Management, Second Edition, Edited by Paul C. Dinsmore, PMP, and Jeanette Cabinis-Brewin, American Management Association, New York, 2006).

A program is a coherent framework of action to achieve certain global objectives, comprising separate sets of activities (grouped under different components) which are oriented towards the attainment of specific objectives. It therefore consists of interventions on a larger scale than a project and may actually include several projects whose specific objectives are linked to the achievement of the higher level common objectives.

A project is generally part of a broader undertaking such as a development programme, to which it will only make a contribution.

A project can be considered to be any series of activities and tasks that:

- Have a specific objective to be completed within certain specifications
- Have defined start and end dates
- Have funding limits (if applicable)
- Consume human and nonhuman resources (i.e., money, people, equipment)
- Are multifunctional (i.e., cut across functional lines)

In this session, the terms program management and project management are used interchangeably as we explore concepts that are relevant to both programs and projects.

THE PROJECT CYCLE

TABLE GROUP TASK – DETERMINING THE STEPS AND SEQUENCE OF THE PROJECT DESIGN AND IMPLEMENTATION CYCLE

In your assigned table group, you will receive a set of 10 footprints (paper cut in the shape of a foot), one glue stick or roll of masking tape and two sheets of blank flipchart paper.

Working together, please complete the following tasks:

- Think of a project with which you have been involved.
- Talk among yourselves and determine what the steps are for designing and implementing a project. Someone in the group should take notes.
- Once you have determined what the steps are, write the name of each one on a different footprint and lay the footprints out in a time sequence on the flipchart. Use the glue stick to fasten them down.
- You have 20 minutes to complete the task.

Notes:

DAY ONE WRAP UP

Before you leave, ***PLEASE*** complete the evaluation form for Day 1 and leave it at the front of your table.

HAVE A GREAT EVENING – WE LOOK FORWARD TO SEEING YOU FOR ANOTHER EXCITING DAY TOMORROW!

DAY TWO

"Patience is the key which solves all problems."

- Sudanese Proverb

Session 5: Project Management Overview (continued)

OBJECTIVES

By the end of the session, participants will be able to:

- Explain the basic concepts of project management;
- Identify the components of the project cycle;
- Understand the levels and functions of project management
- Identify potential participants in a joint sector review (JSR);
- Define the purpose and goals of a JSR; and
- Review the limitations of a JSR.

REPORT OUT AND GROUP AGREEMENT ON THE STEPS IN THE PROJECT CYCLE

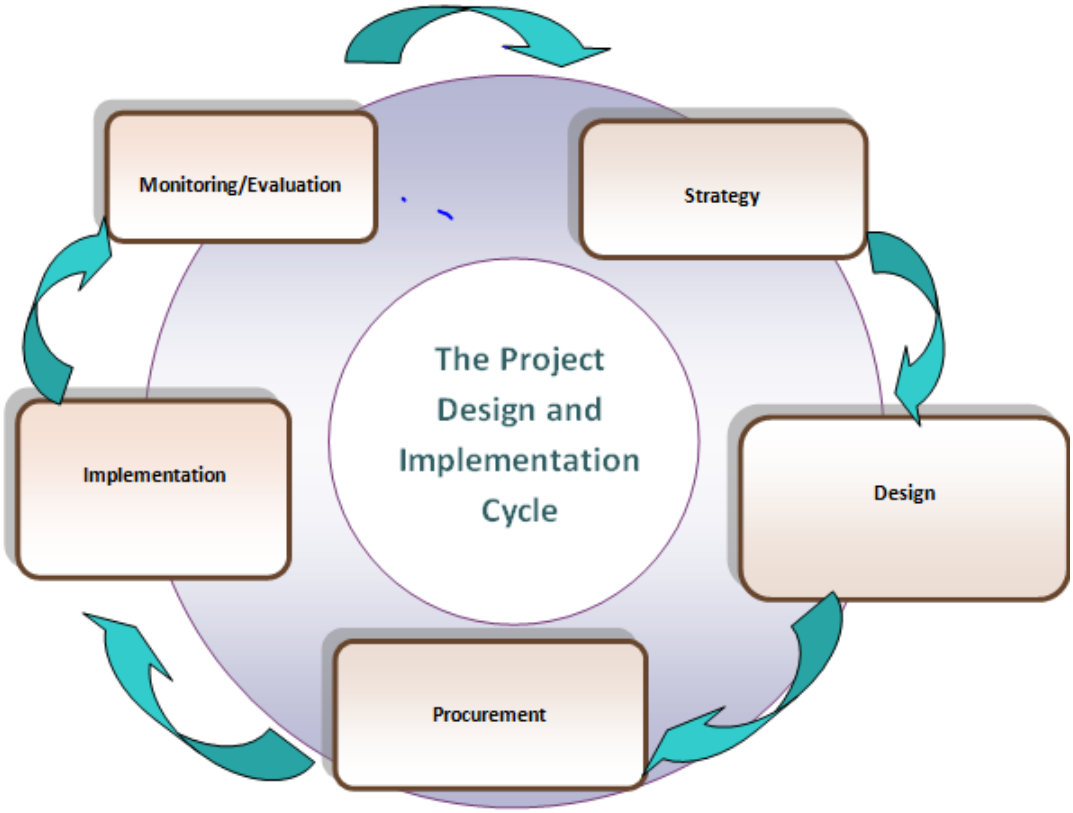
As you listen to the table group presentations, please keep the following questions in mind:

- What are some of the similarities and differences you see among the diagrams? What might account for those?

- What did you learn from each others' charts?

Notes:

“ONE” EXAMPLE OF THE PROJECT DESIGN AND IMPLEMENTATION CYCLE



PROJECT MANAGEMENT CONCEPTS

Project management involves project planning and project monitoring and includes items such as:

- Project planning
  - Definition of work requirements
  - Definition of quantity and quality of work
  - Definition of resources needed
- Project monitoring
  - Tracking progress
  - Comparing actual outcome to predicted outcome
  - Analyzing impact
  - Making adjustments

Successful project management can then be defined as having achieved the project objectives:

- Within time
- Within cost
- At the desired performance/technology level
- While utilizing the assigned resources effectively and efficiently
- Accepted by the customer(s)

Some potential benefits of successful project management include:

- Identification of functional responsibilities to ensure that all activities are accounted for, regardless of personnel turnover
- Minimizing the need for continuous reporting
- Identification of time limits for scheduling
- Identification of a methodology for trade-off analysis
- Measurement of accomplishment against plans
- Early identification of problems so that corrective action may follow

DESIGNING A MANAGEMENT STRUCTURE

Considerations for designing a management structure include:

- A well designed program reflects careful choices about the locus of responsibility and authority for management.
- Some key considerations include:
  - Matching the structure to the technical complexity and scale of the program
  - Optimizing efficiency of decision making and execution
  - Striking a balance among the interests of major stakeholders
  - Ensuring accountability both for the use of resources and for achieving results
  - Assessing the capacity and track records of different organizations
  - Finding the best model that enhances long-term sustainability
- Typically, negotiations and compromises among program stakeholders are necessary before a final decision can be taken, because:
  - Priorities and preferences differ between donors and host governments
  - Short- and long-term perspectives may not be identical
  - Organizational and/or personal incentives may be in conflict

LEVELS AND FUNCTIONS OF PROJECT MANAGEMENT

Distinct levels and functions of project management include:

- Typical operational requirements:
  - Managing funds, hiring staff, and procuring goods and services
  - Preparing and executing a work plan that incorporates milestones and results
  - Interacting continuously with beneficiaries (e.g. through farmer training courses)
  - Recruiting and hiring specialized consultants for analytical studies
  - Delivering regular progress reports backed up by program data
- Key oversight responsibilities:
  - Monitoring performance and results against the program work plan
  - Providing technical direction on work plan priorities and execution strategies
  - Approving award of contracts and grants above designated threshold levels
  - Carrying out periodic financial and regulatory compliance audits
  - Scheduling and supervising external evaluations (mid-program and post-program)

- Digesting evaluation findings and taking corrective action, where required

The operational requirements and oversight responsibilities are independent, and both are critically important.

JOINT SECTOR REVIEWS

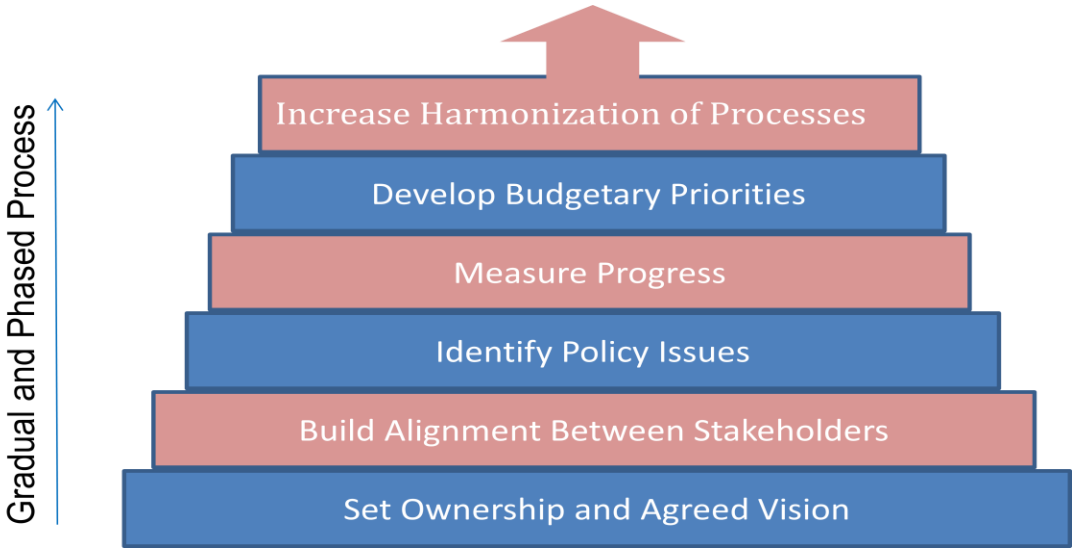
What is a Joint Sector Review (JSR)?

A meeting between diverse stakeholders from relevant sectors

Who should be involved in a JSR?

THE PURPOSE AND GOALS OF A JSR

A JSR needs to be a Gradual and Phased Process. Start at the bottom and work your way up.

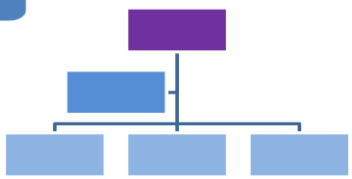


THE PURPOSE AND GOALS OF A JSR

1) Set Ownership and an Agreed Vision

GOALS

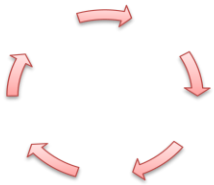
- Develop mutual accountability
- Change the nature of conditionality to support ownership
- Ensure no tasks are repeated



2) Build Alignment Between Stakeholders

GOALS

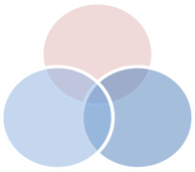
- Develop goals related to process efficiencies
- Promote better cooperation
- Unify management around budget



3) Identify Policy Issues

GOALS

- Jointly address policy challenges or inconsistencies
- Create common understanding and build mutual confidence



4) Measure Progress

GOALS

- Measure progress from each sector represented

5) Develop Budgetary Priorities

GOALS

- Review sector budget allocations
- Identify priorities and order by importance

6) Increase Harmonization of Processes

GOALS

- Ensure processes, structures and systems are aligned
- Reduce the costs of transactions between stakeholders

THE LIMITATIONS OF A JSR

Institutional Capacity Constraints

- Planning and implementation presents additional challenges to organizations

Centralization of Policy Processes

- Since JSRs take place at the central level they can often ignore those who implement the policies discussed at the local level

Weak Downward Accountability

- Due to the focus on upward accountability, less attention is paid to capacitating the beneficiaries of the JSR outcomes

Lose Focus

- Excessive emphasis on systems and processes can lead to a lack of focus on service delivery

THE BENEFTIS OF ENGAGING STAKEHOLDERS

Projects with Multiple Stakeholders	Projects without Multiple Stakeholders
Country-Wide Holistic View on Entire Sector	Focus on Projects to Support Narrowly Defined Objectives
Partnership with Mutual Trust and Shared Accountability	Recipient Accountable to Donor
External Partner Coordination and Collective Dialogue	Bilateral Negotiations and Agreements
Long-Term Capacity/System Development in Sector	Short-Term Disbursement and Success of Projects

SESSION 5 WRAP UP

- How will you use what you have learned about project management to improve the management of your own projects?

- How will you incorporate the concept of Joint Sector Reviews to support your food security projects?

- Share your ideas with the person next to you.

Note: *Following the break, we will convene in the concurrent sessions. If you do not know the location of your selected concurrent session, please check with one of the facilitators.*

Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks

As many as four concurrent tracks, each approximately 3.5 hours in duration, will be conducted on the morning and afternoon of day two of the Module 2 workshop. Concurrent session track topics include the following:

- Track 1 – Strategic Influencing for Stakeholder Participation and Collaboration
- Track 2 – Financial Management
- Track 3 – Managing the Donor-Recipient Relationship
- Track 4 – Managing People to Achieve Results

Participant workbooks will be provided for each session.

NAIP/RAIP Support Mechanisms – Concurrent Tracks Reports

Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation

OBJECTIVES

By the end of the session, participants will be able to:

- Define the terms monitoring and evaluation;
- Describe the purpose and functions of monitoring and evaluation in the project design and implementation cycle;
- Describe the results framework concept;
- Describe CAADP M&E common indicators and country review processes, i.e. M&E requirements, and social accountability tools, approaches, and methods.
- Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;
- Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and
- Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.

MONITORING AND EVALUATION FRAMEWORKS

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, Monitoring & Evaluation Frameworks, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)

Different Focal Questions

1. **MONITORING**
   "Is the organization implementing the program RIGHT?"

   [i.e. Performing in line with the **PLAN 's** metrics for time, cost, and technical design. Most of these data can be found in progress reports that measure inputs and outputs as On Plan, Ahead, or Behind]

2. **EVALUATION**
   "Is the organization implementing the RIGHT program?"

   [i.e. Are program results helping to achieve the **PURPOSE** and do they validate the logic of the original design? Is the program proving to be a good investment? Most of these data require direct observations and in-depth analysis using various statistical tools & data collection methods]

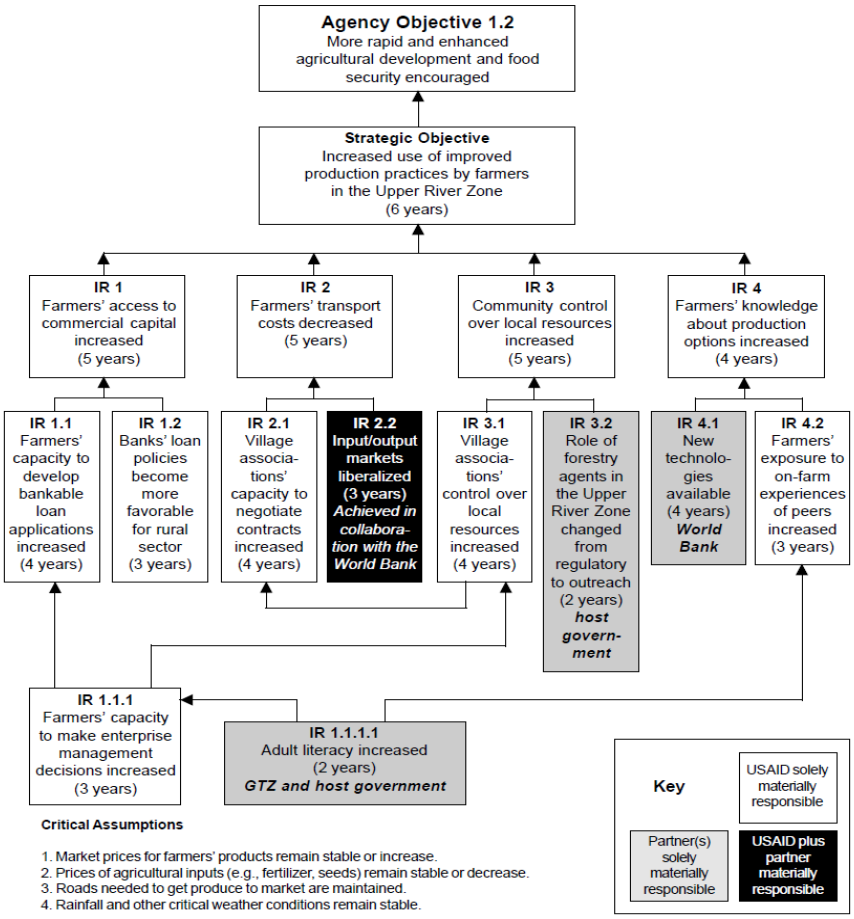
Monitoring

- Monitoring is the tracking of actual progress for scheduled activities in comparison to plan
- Implementing organization should create a Performance Monitoring Plan (PMP) to facilitate tracking
- Oversight should be routinely performed by the funding agency and stakeholders, by examining:
  1. Time-phased project work plans (e.g. Gantt Chart)
  2. Key milestones – including completion date for each activity.
  3. Quality standards - required for acceptance of each deliverable.
  4. Activity reports from program implementers
  5. Technical reports from specialist consultants or contractors

Evaluation

- Evaluation is an attempt to measure changes that have occurred as a result of program interventions
- Attribution is critical, and sometimes difficult to prove
- Objectivity and credibility depend on the independence of the evaluator(s), who must be free of conflicts of interest
- Mid-program (formative) or post-program (impact) evaluations
- Stakeholders provide input but do not determine conclusions
- Ideal measurements, when data are available, compare:
  1. AFTER -- the program compared to Before (i.e. the Baseline)
  2. WITH -- the program compared to Without (i.e. a Control Group) or
  3. BOTH -- (using both a Baseline and a Control Group)

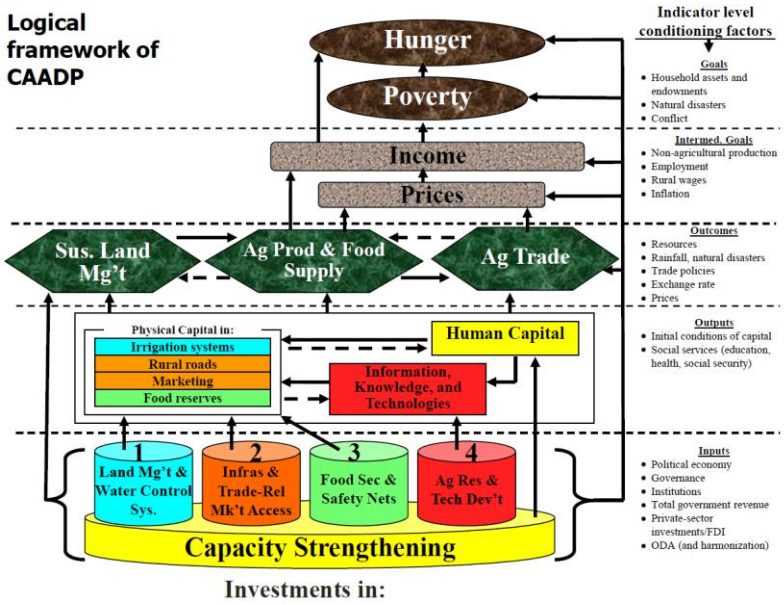
Figure 1. Upper River Zone Results Framework



Framework, USAID Center for Development Information and Evaluation, usaid_rf_BuildingResultsFramework (PDF).

Logical Framework ("logframe")

Impact (Goal)	**The Greater 'Why':** Increased private sector employment, exports, and tax revenues for the government
Purpose	**Why**: Changes in the regulatory environment that favor investment, job creation, and pro-poor economic growth initiatives
Output (Result)	**What**: Improved capacity to formulate and implement regulations
Activities	**How**: Study situation, develop policy options, train government personnel in "better regulation" techniques
Inputs	Consultants, New IT Equipment, Budget Support



DAY TWO WRAP UP

Before you leave, ***PLEASE*** complete the evaluation form for Day 2 and leave it at the front of your table.

HAVE ANOTHER GREAT EVENING – WE LOOK FORWARD TO SEEING YOU TOMORROW!

DAY THREE

"It is important to nurture any new ideas and initiatives which can make a difference for Africa."

- Wangari Maathai

Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation (continued)

OBJECTIVES

By the end of the session, participants will be able to:

- Define the terms monitoring and evaluation;
- Describe the purpose and functions of monitoring and evaluation in the project design and implementation cycle;
- Describe the results framework concept;
- Describe CAADP M&E common indicators and country review processes, i.e. M&E requirements, and social accountability tools, approaches, and methods.
- Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;
- Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and
- Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.

RESULTS FRAMEWORK ACTIVITY

TABLE GROUP TASK

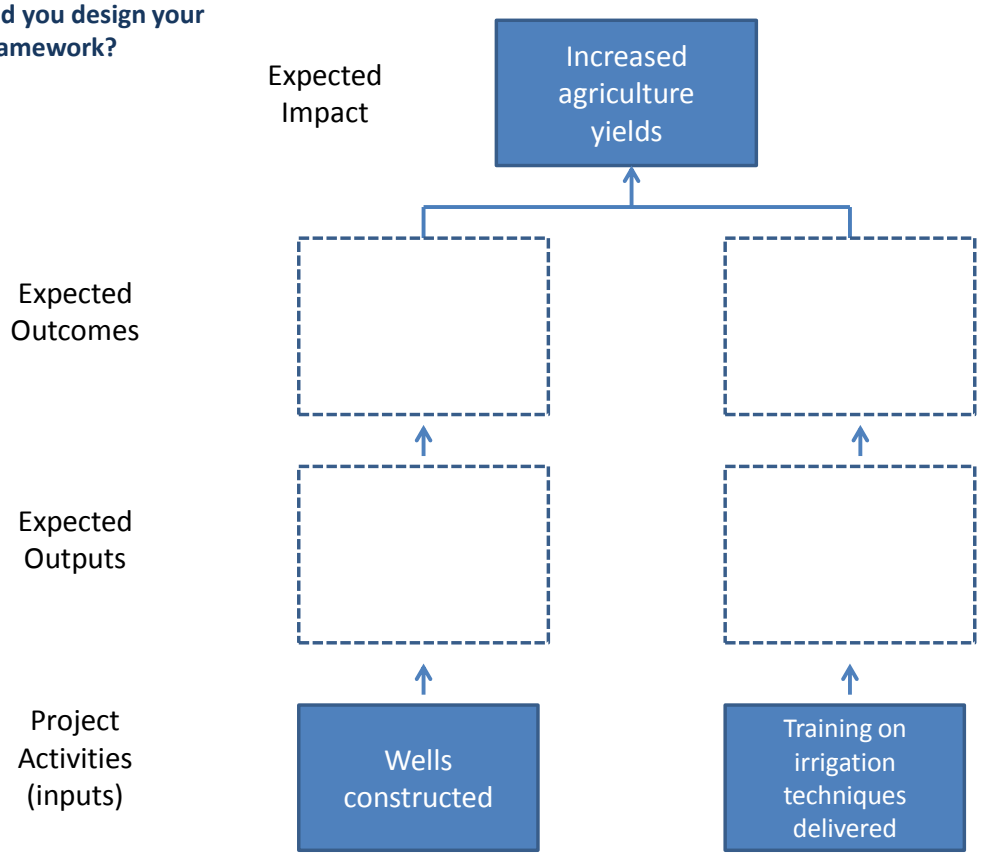
Using the PowerPoint version of the template below (provided), develop a results framework for the following scenario. You have ***30 minutes*** to complete this task.

SCENARIO:

"You work for a small nonprofit organization in the country of Ugeriabique that aims to help subsistence farmers increase their incomes by increasing crop yields. You are in charge of a new program in the arid northeastern part of the country, where small farmers utilize less than half the water for irrigation than farmers in other parts of the country, and yields are suffering. Recent studies suggest that better irrigation is key to improving agricultural production in the area."

"A mysterious donor has agreed to generously fund your project to build wells and provide training on irrigation methods to 1,000 farmers. How will you build your Results Framework?"

How would you design your Results Framework?



Many donors will want to see a results framework or logical framework prior to project implementation. One of the purposes of results frameworks and logical frameworks is to establish how objectives, outputs and activities can best be monitored and evaluated. Using results frameworks and logical frameworks helps individuals think through and clarify the logic of the project design, identify gaps in the logic, clarify the assumptions around which the project design is based and, ultimately, guide the monitoring and evaluation process (determine indicators for measurement, etc.).

MONITORING AND EVALUATION FRAMEWORKS (CONTINUED)

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, Monitoring & Evaluation Frameworks, September 26, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)

Indicators

- Observable or measurable characteristics used to determine whether stated objectives have been achieved (at any level).
- Answer these questions:
  - How can we tell whether or not we have met the objective?
  - How do we verify achievement?
- Form the basis for a monitoring and evaluation system
- Should not be confused with Means of Verification (MoV), which is the expected **source** of the information needed for each indicator

Process vs. Impact Indicators

Process (Output)	Impact (Outcome)
• Shows **what** is being done • Often routinely collected to measure efficiency and/or effectiveness • Necessary but not sufficient to show long-term effect • Examples: # of people trained sessions, quality of meetings conducted, etc.	• Shows **changes** resulting from what is being done • Shows progress toward meeting higher level goals/objectives • Examples: decrease in child mortality; decrease in HIV prevalence; improved understanding; changed behavior

Qualitative vs. Quantitative Indicators

Qualitative Indicators	Quantitative Indicators
• Examples ○ Level of participation ○ Opinion and behaviour ○ Satisfaction ○ Attitudinal change ○ Evidence of consensus • Can be more meaningful and provide a richer view • May be more expensive, difficult to measure	• Examples ○ Growth rate of GDP ○ Climate data ○ Improved crop yields ○ Price changes ○ School graduation rate • Easier to measure and interpret with reliance on precise numbers • But may not tell the whole story

Good Indicators Are…

- Direct (rather than proxies) and are relevant and specific to the objective being measured
- Unidimensional – they should only measure one phenomenon at a time
- Precise – avoid the use of subjective terms like "successful" when it can be defined by the indicator itself
- Practical – the data can be collected in a reasonable period of time and at a low cost
- Meaningful – even if they don't capture everything we'd like to know

A Selection of the CAADP Common Indicators

- Input indicators. What is the overall level of effort invested?
  - –Processes, policies, strategies, institutions, expenditures, etc.
- Output indicators. What is the level of provision, utilization and coverage of investment programs?
  - –Access to infrastructure/services, adoption of technologies, etc.

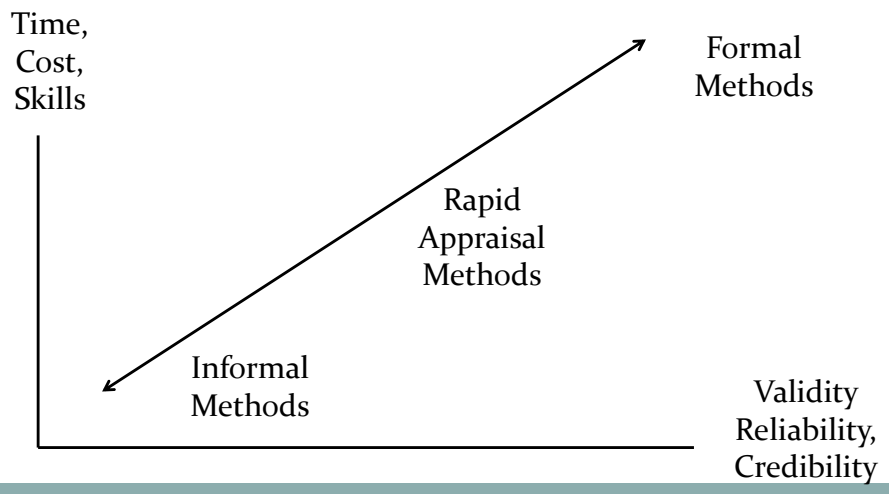
A Selection of the CAADP Common Indicators (continued)

- Outcome indicators. What is the effect on assets and activities that affect goals?
  - –Yields, production, trade, prices/wages, etc.
- Impact indicators. What was the ultimate impact on higher-level goals?
  - –Growth, income, poverty, food security, hunger, etc.
- Conditioning indicators. How confident are we that any observed effect is due to the intervention?
  - –Resources, rainfall, prices/wages, employment, policies, etc.

Data Collection Methods

- Primary vs. Secondary
- Qualitative vs. Quantitative
  - Qualitative: Interviews, Focus Groups, Direct or Participant Observation, Participatory Mapping, Document review
  - Quantitative: Sample surveys, Direct measurement, Secondary quantitative records
- Important Issues
  - Unit of analysis (individuals, families, communities, clinics, wells)
  - Data disaggregation needs (by gender, age, ethnic groups, location)
  - Sampling techniques for selecting cases
  - Techniques or instruments for acquiring data on these selected cases (structured questionnaires, direct observation forms, scales to weigh infants)

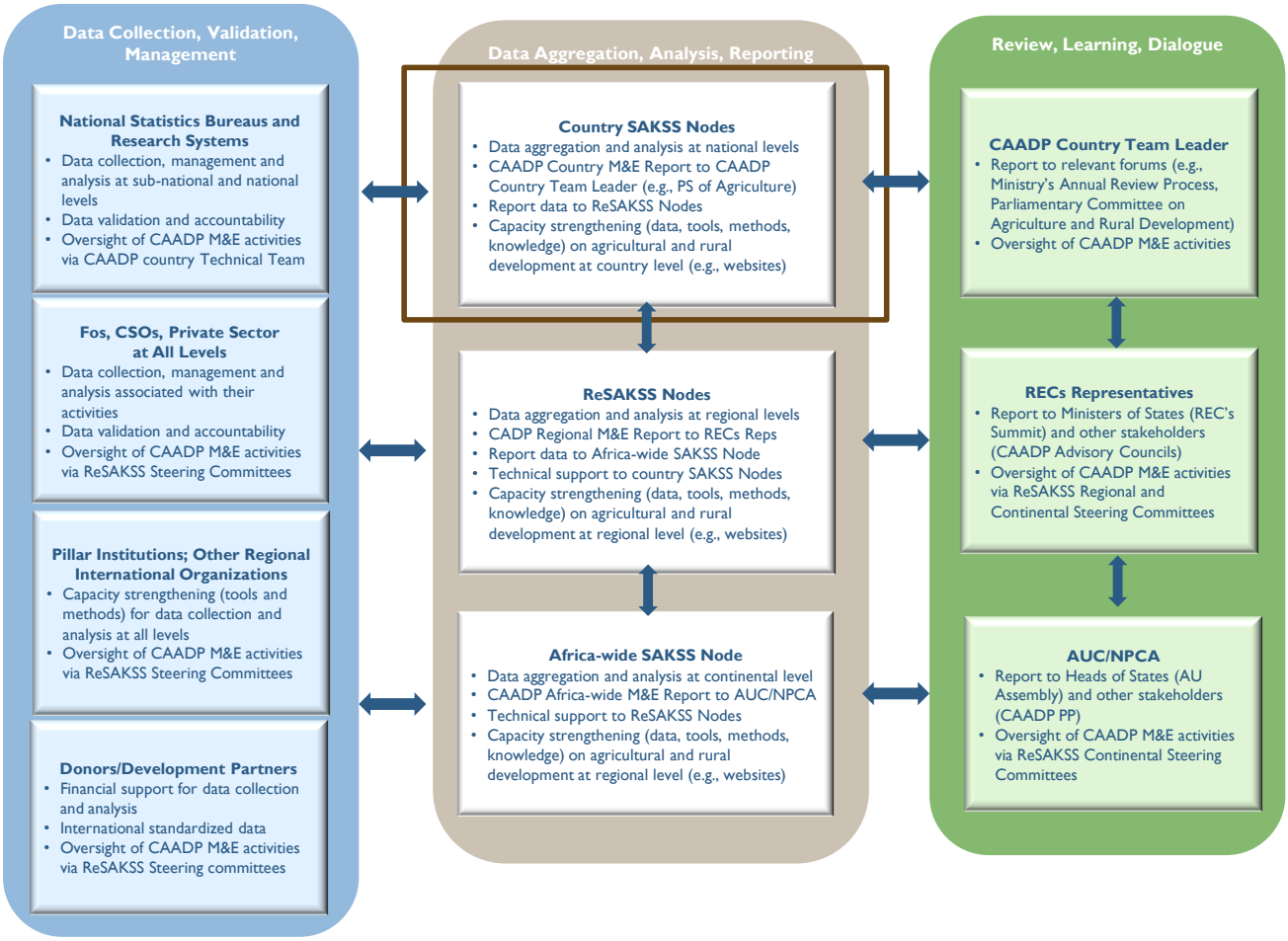
Data Collection Tradeoffs



SAKSS and ReSAKSS Nodes

SAKSS = Strategic Analysis and Knowledge Support Systems

Figure __: Roles and Responsibilities of Partners and Collaborators in Implementing CAADP M&E Framework



www.resakss.org

Key points regarding the SAKSS/ReSAKSS nodes:

- SAKSS/ReSAKSS (regional nodes) compiles, analyzes, and disseminates data, information, and tools in order to help inform the design, implementation, and monitoring and evaluation of rural development strategies in order to make them more effective.
- They are being set up by IFPRI.
- The SAKSS are still in formation in many countries, but the regional ReSAKSS are now functional.
- The responsibility of collecting information for CAADP at country level must be with the country itself. The ReSAKSS nodes can help facilitate it, consulting with the RECS, their own country focal points, as well as CAADP country focal point persons, in order to start identifying formal responsibilities and roles among them for data collection and reporting.

- Information collected by SAKSS and ReSAKSS helps in producing:
  - annual trends and situation analysis of the agricultural sector,
  - data that is readily available through the ReSAKSS website (www.resakss.org), presented using a number of visualization techniques such as charts, maps and tables, including results from any analysis that assesses current trends.

ELEMENTS OF THE M&E PLAN

I. Plans for Data Collection

a. *Performance Indicators and their Definitions*

   a. *Data Source*

   b. *Methods of Data Collection*

   c. *Frequency and Schedule of Data Collection*

   d. *Responsibilities for Acquiring Data*

II. Plans for Data Analysis, Reporting, Review and Use

   a. *Data Analysis Plans*

   b. *Plans for Complementary Evaluations*

   c. *Plans for Communicating and Using Performance Information*

   d. *Budget*

AFRICA LEAD INDICATOR TRACKING SHEET (AS OF OCTOBER 5, 2011)

Indicators	Disaggregation	Q4 Target	Q4 Actual	Future Targets/QR5
2.0.1 Percentage of Task 2 trainees demonstrating increased technical and managerial skills and knowledge in their institutions	Country, gender			(Data collection on this indicator to begin Q6 – Jan 2012)
2.1.1 Number of Task 2 participants trained	Gender, type of training	100	▪ 95 (29 women) ▪ 3 interns (0) ▪ 27 ad hoc (6) ▪ 65 NSA (23)	150
2.1.4 Percent of Task 2 trainees reporting high quality instruction	Country, sector, gender	70%	100% (equal by country, sector, gender)	80%
2.3.1 Number of courses identified, vetted and placed in database		200	375	450

GUIDING PRINCIPLES FOR CAADP M&E

When designing M&E systems for CAADP in-country, a few elements need to be considered:

- Data for who? Who is the data meant to communicate with and what do we want them to see?
- Ensure (with in-country) and respect (for external parties) country autonomy and assert the right to own national data in order to create coordinated and comprehensive information systems and strengthen country capacity to manage these in a sustainable manner.
- Facilitate coordination and compilation of comprehensive information systems. Unless strong leadership and coordination is established, parallel processes (both within Ministries and Development Partners) will persist and undermine the potential for developing robust national systems.
- Building trust at all levels is crucial to ensure reliability and faith in the data presented. The M&E systems offer opportunities for encouraging transparency but the measures need to be understood by a wide range of stakeholders (including civil society and farmers).
- Important to measure progress – success breeds success. Providing regular feedback on progress is more encouraging to national governments than simply presenting facts.
- Measure what means something to policy makers. This is the whole focus of CAADP – ensuring that policy and programme choices are based on sound empirical research. Too often, national data has too many indicators that are not collated into systematic information for decision making.
- CAADP's framework provides guidance on what is helpful to collect (at a minimum). CAADP's M&E framework helps standardise indicators to facilitate tracking progress, between-country and region comparisons and peer review. The framework also ensures:
- Comprehensive, inter-ministerial and inter-sectoral information
- On-going national assessment that is people focused
- Focus on household food security – beyond national food stock monitoring

To ensure that the information and indicators identified are useful, consider the following:

- Simplicity is important – demystify indicators and analysis
- Help identify who we are talking about – people not numbers
- Evidence-based analysis is essential

SESSION 7 WRAP UP

REMEMBER: It is imperative that monitoring and evaluation components be considered and planned for throughout the project design and implementation process, from the very beginning to the very end. It is a huge mistake to wait until the end of the process to begin thinking about M&E.

- How can you insure that monitoring and evaluation plans are developed and implemented that will adequately monitor progress towards achievement of the goals of the NAIP/RAIP?

Share your ideas with the person next to you.

Session 8: Design and Implementation of Rapid Results Projects

OBJECTIVES

By the end of the session, participants will be able to:

- Understand the basic elements of the Rapid Results Approach;
- Understand how Rapid Results Initiatives are different from “100 day projects”;
- Apply the Rapid Results Approach to selected NAIP/RAIP challenges;
- Create a Rapid Results goal;
- Create a chart for tracking results achieved during the RRI; and
- Identify and plan for next steps in the Rapid Results Process.

This session is based on tools and methodologies developed by the Rapid Results Institute Inc., (www.rapidresults.org) and Schaffer Consulting LLC (www.schafferresults.com).

EXAMPLES OF RAPID RESULTS INITATIVES

- Can anything significant and sustainable be achieved in 100 days?

- Can you think of examples of 100 day achievements?

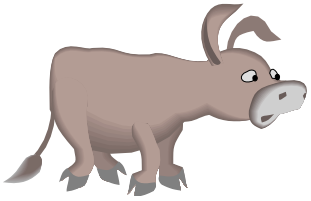
Eritrea: HIV/AIDS	Weekly # of users of vct centers in Asmara increased by 80% in 100 days
Kenya: Water	Water ministry completed two irrigation projects in 120 days versus 18 months
AfDB: Procurement	Time to procure small value goods reduced by 90% in 105 days
Burundi: Payment Systems	Time needed for teachers to receive first paycheck after being hired reduced from 1 year to 3 months
Nicaragua: Agricultural Development	Sales of “grade a” milk among 60 small producers is tripled in 120 days
Madagascar: Family Planning	Within 50 days, # of weekly new regular users of contraceptives in four districts increased from 50 to 250

WHAT IS THE RAPID RESULTS APPROACH?

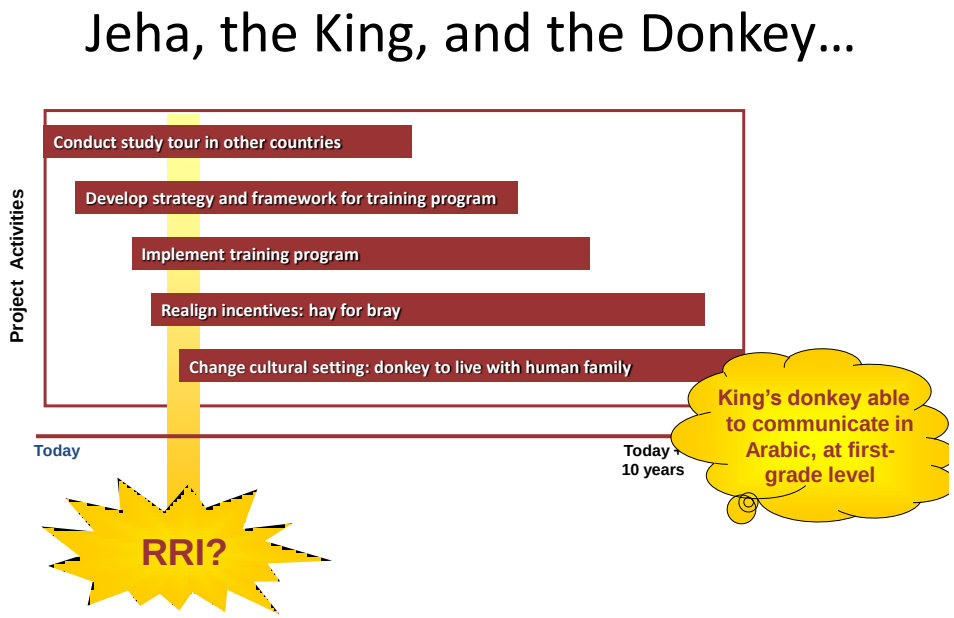
- A package of tools and methodologies that helps organizations improve performance.
- An approach that uses specially-focused short-term projects (Rapid Results Initiatives) to build capacity quickly and in sustainable ways
- An approach that uses techniques from multiple disciplines:
  - Capacity building
  - Experiential learning
  - Management coaching
  - Change management

- First developed for use in Fortune 500 companies by Schaffer Consulting (www.schafferresults.com)
- Adapted for use in public and non-profits in developing countries by The Rapid Results Institute (www.rapidresults.org)

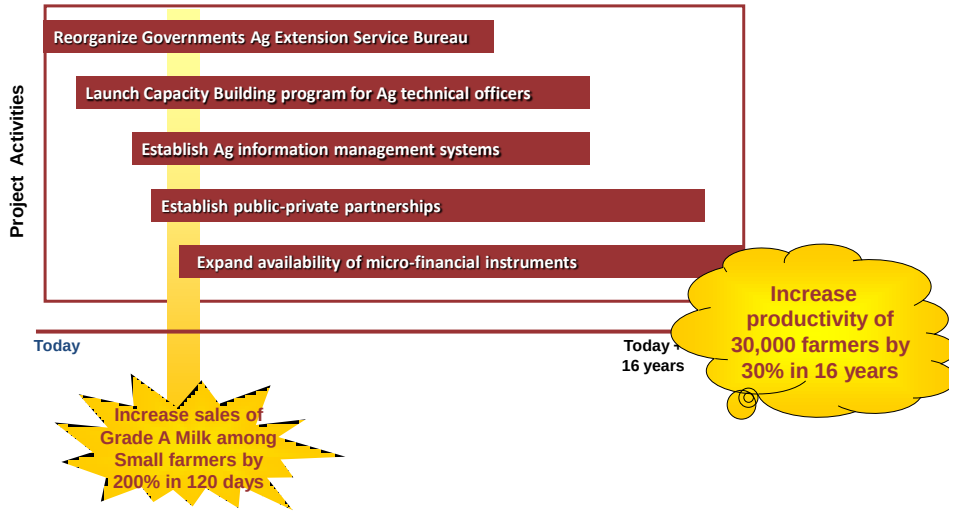
JEHA, THE KING AND THE DONKEY

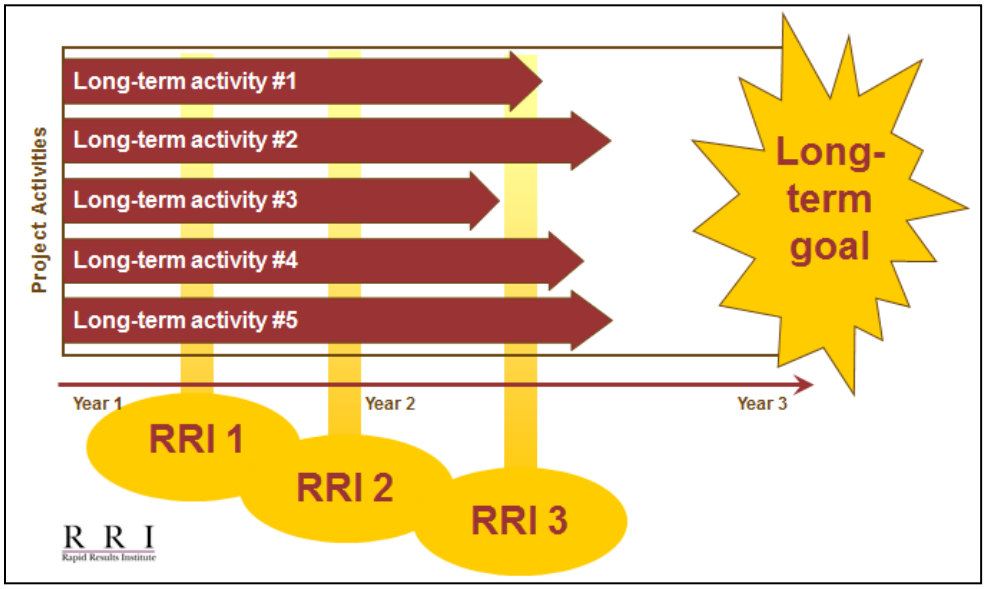


- What might the King have asked for in the first stages of the project, say in the first 100 days, which would have allowed the King to see if Jeha was actually being successful and putting maximum effort into his task?"



An Example from Nicaragua





THREE UNIQUE ELEMENTS OF A RAPID RESULTS INITIATIVE

- Ambitious but realistic goals:
  - Goals that can only be achieved through innovation versus "just by working harder"
- Encouraging innovation from below:
  - Front-line workers create their own action plans
  - Experimentation is encouraged
- Coaching Support: Specially trained facilitators
  - Help teams think creatively
  - Help strengthen team work

HOW WE WILL USE RRA….

- To accelerate implementation of NAIPs/RAIPs
- To build capacity of organizations involved in improving agricultural productivity

YOUR COUNTRY'S RAPID RESULTS FOCUS AREAS:

Senior Leaders identified the following areas where RRA will be applied

- Please write down the Rapid Results Focus areas here:

"WHY RAPID?"/"WHY RESULTS?"

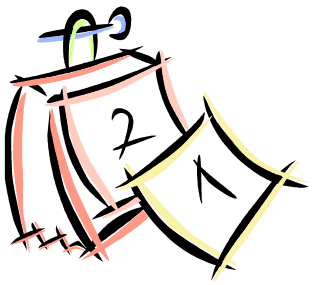
- "Based on our discussion about 'Jeha, the King and the Donkey,' what are the advantages of having near-term deadlines?"

- What is the difference between a "result" and an "activity?

- Which is more of a Results Goal?"

	A or B	Why?
Example 1		
Example 2		
Example 3		

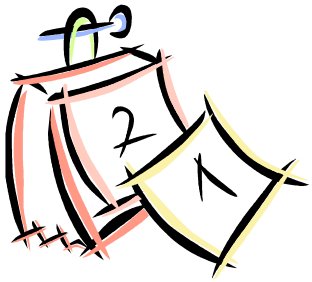
- Why is it important to maintain a focus on Results??



- Characteristics of an RRI:

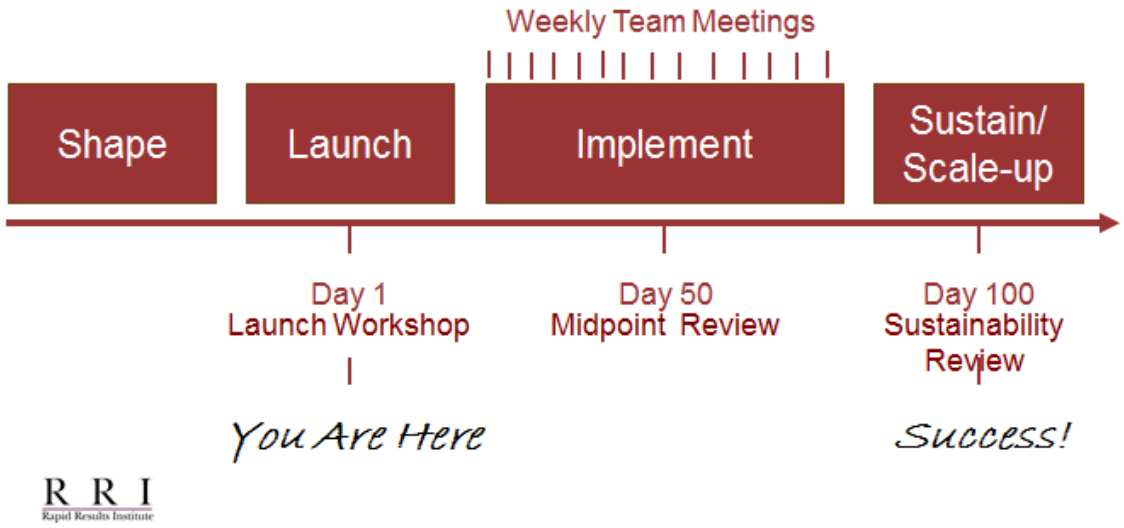
RRIs ARE:	RRIs ARE NOT:
▪ Highly ambitious yet achievable ▪ Easily-measured/clearly defined ▪ Urgent and important ▪ Highly visible	▪ Do the same, faster ▪ Projects to achieve first 100-day step in long-term plan ▪ Picking the "low hanging fruit"/"quick wins" ▪ New program, new budget ▪ One-shot campaign ▪ Top down

RRI
Rapid Results Institute



THE PHASES OF AN RRI

- There are four phases in an RRI:



- What happens at weekly/fortnightly team meetings?
  - Update chart tracking results
  - Brainstorm solutions to obstacles
  - Update action plan
  - Identify and discuss activities that need to be completed before next meeting
- What are the Midpoint and Sustainability Reviews?
  - Formal presentations to Senior Leaders and Stakeholders
  - Days 50 and 100
  - Teams review results achieved to date and lessons learned
  - Discussion on what innovations need to be scaled-up and/or sustained

ROLES & RESPONSIBILITIES IN AN RRI

ROLE	RESPONSIBILITY
SR. LEADER	▪ Provides the team with a performance challenge ▪ Holds the team accountable for achieving its goal ▪ Provides team with the needed support and resources ▪ Helps Team Leader solve extraordinary problems
TEAM LEADER	▪ Provides day-to-day management of RRI project ▪ Leads and organizes team meetings ▪ Tracks and ensures team progress ▪ Motivates team members ▪ Reinforces accountability
TEAM MEMBER	▪ Use their knowledge, skills, and background to help the RRI succeed ▪ Complete action steps thoroughly and on time ▪ Participate actively in goal-setting, planning, reviewing progress, and documenting ▪ Communicate with the Team Leader and other Team Members about obstacles, successes, and lessons learned
COACH	▪ Helps Team Leader improve ability to manage team and project ▪ Helps facilitate group discussions ▪ Helps team engage in creative problem solving

- Who does what? (Senior Leader, Team Leader, Team Member or Coach?)
  - Creates RRI goal? _____
  - Manages the team? _____
  - Holds team members accountable? _____
  - Reviews/approves team's action plan? _____
  - Supports the team? _____
  - Creates challenge statement for the team? _____

DEVELOPING OUR RAPID RESULTS GOALS

STEP 1) REVIEWING CHALLENGE STATEMENTS: Please review your team's "challenge note." As a group, discuss the following questions:

- What is the Senior Leader asking us to do?
- What have we done in the past in this area?
- What would we be proud to present to Senior Leaders as major achievements in this area in 100 days?

STEP 2) DEVELOPING OUR GOALS: As a group, please review RRI goal template.

- Performance target
  - What is ambitious, but realistic?
  - What can be achieved within your current budget in the 100 day time frame?
  - What level of success would make you proud to present to key stakeholders?
- Time: 60 to 120 days from tomorrow
  - Given what you think you need to accomplish to achieve the goal, is 100 days realistic? Too easy?
  - Adjust the time frame between 60 and 120 days to reach the right balance (ambitious but realistic). Please calculate exact end date.

STEP 3) REFINING OUR GOALS: Please fill in the missing values in the template:

- PREFORMANCE TARGET: As a group, decided what your performance target will be?
  - Please write it here:_____
- TIME: As a group, decide on what the deadline for achieving this performance target should be? Choose between 60 and120 days from tomorrow.
  - Please write the exact date here: / /
- FINALIZED RAPID RESULTS GOAL: Write down Rapid Results Goal here:

  _____

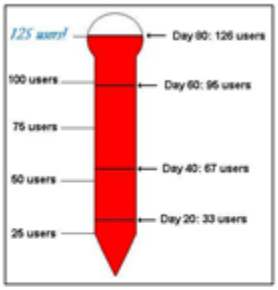
  _____

  _____

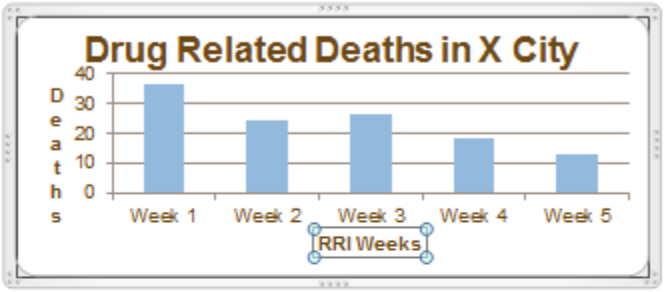
DEVELOPING A TRACKING CHART

- STEP 1: As a team, decide which type of chart is most appropriate for you your goal?

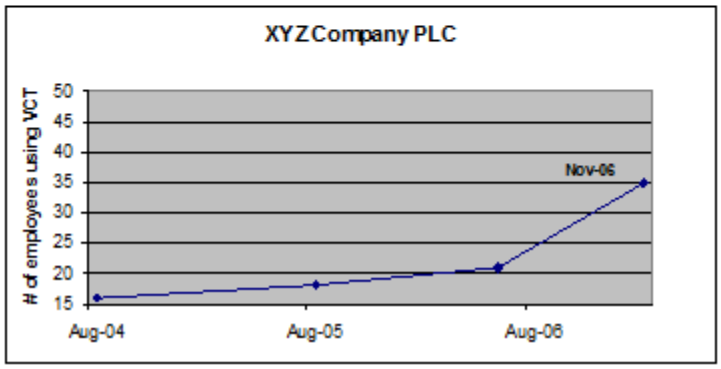
Thermometer



Bar Chart



Line Graph



RRI
Rapid Results Institute

- STEP 2: Identify which two variables you are tracking (time is usually one of them)
  - Variable 1: _____
  - Variable 2: _____
- STEP 3: Identify tracking period and intervals
  - How soon after day 1 will we take our first measurement? _____
  - How much time between each measurement? _____
  - When will your last measurement be? _____

- STEP 4: Draw your tracking chart on a flip chart
- STEP 5: Please decide as a group:
  - Where will the chart be posted (should be in a public place)? _____
  - Who will be responsible for updating it? _____
  - How often will they update it? _____

NEXT STEPS

- Next Steps that will take place during Module II:
  - Action planning
  - Review of goal and action plan with senior leaders
- After Module II: Weekly/fortnightly team meetings:
  - Where will your first team meeting be: _____
  - What time and day will the meeting be held: _____
- After Module II: Reviews with senior leaders
  - Informal: Monthly between Team Leader and Sr. Leaders
  - Formal: midpoint review (day 50) and sustainability review (day 100)

FOR MORE INFORMATION ON THE RAPID RESULTS APPROACH SEE:

- **Local Empowerment through Rapid Results**. Nadim Matta and Peter Morgan; Stanford Social Innovation Review. Summer, 2011.
- **"Why Good Projects Fail Anyway"** by Nadim F Matta and Ronald N Ashkenas. Harvard Business Review, September 2003 (included as attachment).
- **"Eritrea: Rapid Results Initiative on HIV/AIDS"** World Bank Findings, Africa Region Number 101, June 2004. Available at: www.worldbank.org/afr/findings/infobeng/infob101.pdf
- "**Rapid Results: Enhancing Capacity While Achieving Results"** World Bank Newsletter January 7th, 2004 (included as attachment)
- **"Accelerating Food Fortification in Kenya: A Results-based approach to forming public-private partnerships."** By Daniel Manitsky and Milla McLachlan. Available at: http://www.fortaf.org/manapp
- **Rapid Results!** Robert H. Schaffer and Ron Ashkenas, Jossey-Bass, 2005
- ***High-Impact Consulting*****,** Robert H. Schaffer, 2nd edition, Jossey-Bass, 2002

SESSION 8 WRAP UP

- What is the focus area for your Rapid Results Approach team?

- How will the implementation of your RRI support the achievement of the NAIP/RAIP?

- Share your ideas with the members of your RRI team.

Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation

OBJECTIVE

By the end of this session, participants will have worked collaboratively to develop innovative, detailed action plans to achieve Rapid Results goals.

This session is based on tools and methodologies developed by the Rapid Results Institute Inc., (www.rapidresults.org) and Schaffer Consulting LLC (www.schafferresults.com).

ELEMENTS OF A RAPID RESULTS ACTION PLAN

Rapid Results Action Plans:

- Contain creative/innovative ideas.
  - This is your opportunity to:
    - Try new things
    - Set clear accountabilities
- Have specific "due dates"
- Have one (and only one) person assigned as the responsible party
- Are "Living Documents" that change overtime, reflecting new learning and experience.

> "If your action plan is the same at day 100 as it was at day 1, you haven't learned anything"
>
> *-Rapid Results Coach*
>
> Your action plan should change throughout the 100 days as you learn which experiments work and which do not.

To ensure that the information and indicators identified are useful, consider the following:

Simplicity is important – demystify indicators and analysis

- Help identify who we are talking about – people not numbers
- Evidence-based analysis is essential
- Three building blocks of a Rapid Results Action Plan

3 Building Blocks

- The Goal:
  - Team's common purpose
- Milestones:
  - Critical accomplishments/ events to manage
- Action steps:
  - Specific steps to be taken
  - Assigned to individuals
  - Explicit deadlines

R R I
Rapid Results Institute

DAY THREE WRAP UP

Before you leave, ***PLEASE*** complete the evaluation form for Day 3 and leave it at the front of your table.

WOW! PLEASE CONGRATULATE YOURSELF FOR ALL OF THE GREAT WORK THAT YOU'VE ACCOMPLIHSED.

WE LOOK FORWARD TO SEEING YOU FOR OUR FINAL DAY TOMORROW!

DAY FOUR

"Teamwork is the catalyst that yields excellence from shared strengths."

- Dr. John Azu

Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation (Continued)

OBJECTIVE

By the end of this session, participants will have worked collaboratively to develop innovative, detailed action plans to achieve Rapid Results goals.

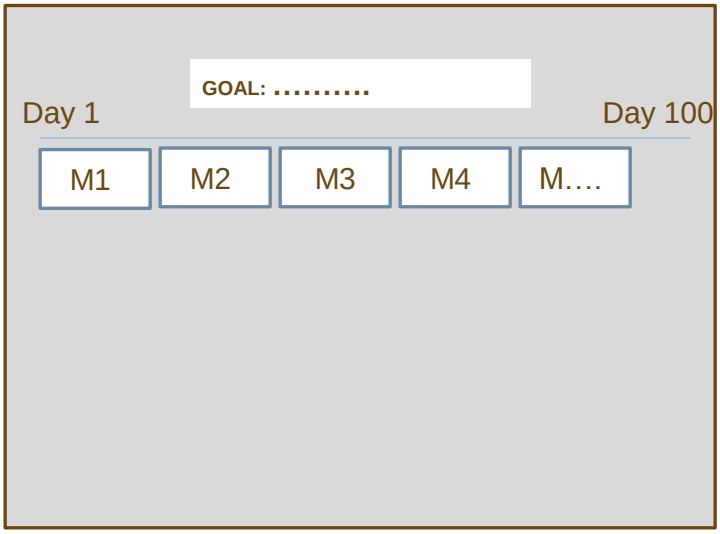
This session is based on tools and methodologies developed by the Rapid Results Institute Inc., (www.rapidresults.org) and Schaffer Consulting LLC (www.schafferresults.com).

Steps to Create a Rapid Results Action Plan:

1. Developing RRI Milestones using the following process:

2. Identify Action Steps for each Milestone
3. Establish Accountabilities
4. Review and Revise the Work

Developing Milestones



© Rapid Results Institute, Inc. 2011

MILESTONES TEMPLATE

RRI TEAM: _____

RRI GOAL:

_____

_____

_____

Milestone Title	Start Date	End Date

IDENTIFYING ACTION STEPS

Below is a template for Identifying Action Steps;

MILESTONE TITLE:

Action Step	Start Date	End Date	Person Responsible

ESTABLISHING ACCOUNTABILITIES

In order to establish accountabilities, Rapid Results Team Leaders must assign one person to be responsible for the completion of each action step for each Milestone of the action plan.

- It must be a person, not an office (e.g., the “IT department”)
- The person assigned must be on the team

REVIEWING AND REVISING OUR WORK

INSTRUCTIONS

- Three team members to the left of the Team Leader:
  - Please review the action plan of a neighboring team
    - Is it realistic?
    - Is it missing any milestones or action steps?
    - Are there any areas where key details are missing/where the plan is too vague?
- Work with your host team to revise the action plan, as needed.

RECORDING OUR ACTION PLANS

INSTRUCTIONS

As a team decide:

- Who will type up action plan?
- By what date will he/she distribute to the team?

Please also send to the team coach!

Team Scribe: Be sure you have the email addresses of all your teammates!

CONGRATULATIONS!

You have just completed a process that usually takes weeks (if not months!) in a matter of hours!

SESSION 9 WRAP UP

- What do you need to do to improve your RRI action plan?

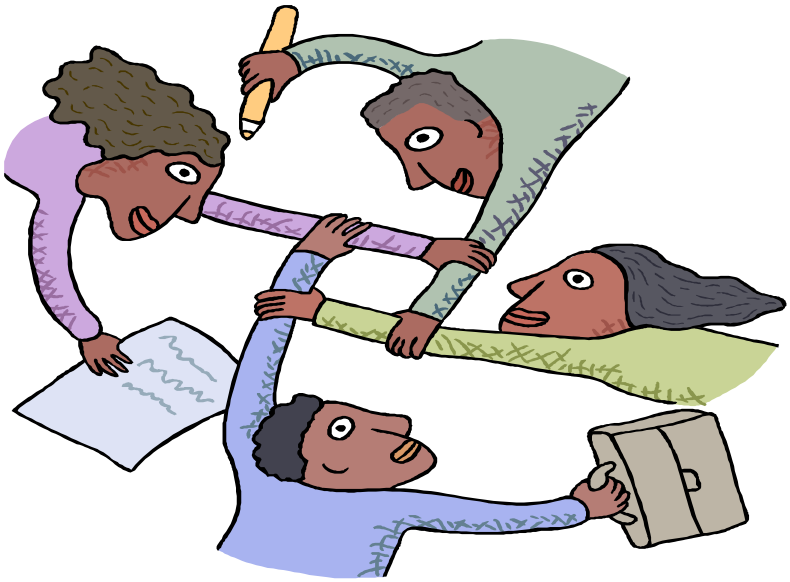
- How will you assure accountability for the implementation your RRI action plan?

- Share your ideas with the members of your RRI team.

Session 10: Teambuilding – Success Factors for Effective Implementation

OBJECTIVES:

- Identify factors for effective teambuilding and program implementation; and
- Identify strategies for effective teambuilding for each of the identified success factors.



TEAM LEADERSHIP

Think of a team – sports team, musical team, work team, etc. – that you were once a part of that was especially effective.
What were the characteristics of that team that made it effective?
What common themes about teams can you identify?

DEFINITION OF A TEAM

WHAT'S A TEAM?[1]

A team is…

A small group of people (typically fewer than twenty) with complementary skills committed to a common purpose and set of specific performance goals (Katzenbach & Smith, The Wisdom of Teams, 1993).

A team has:

- Explicit goals/vision/mission that requires collaboration to accomplish. This is the direction setting a team needs to do to know what it is doing and for what end results.
- A sense of shared responsibility and accountability for achieving goal. Everyone needs to believe that their work contributes to the achievement of the goal and they need to feel responsible to their team members for completing their portion of the work.
- A scope of work and resources to carry out the work. Knowing exactly what is expected, by when it is to be done, and parameters for doing the work helps a team see the final product they are to produce.
- A designated leader and defined membership.
- Clear roles and norms of behavior. Everyone needs to know what their role is and how to work together. The norms need to be agreed upon so everyone feels committed to them.

[1] Adapted from: "When Teams Work Best" by Frank LaFasto and Carl Larson.

Which of the elements might be the weakest on your team?

Describe the impact these weaknesses have had on your team??

TEAMWORK ACTIVITY: HELIUM POLE

Objective: The objective of this activity is to have the team lower a very lightweight pole to the ground in complete unison.

INSTRUCTIONS

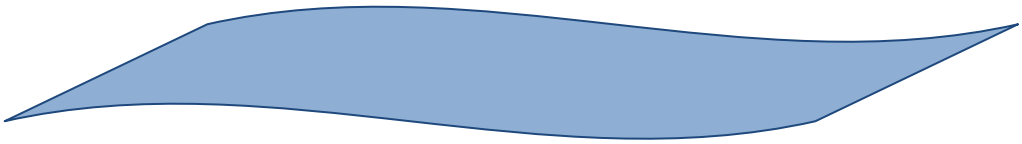
Form two lines facing each other elbow to elbow, with approximately one foot between the two lines.

RULES OF THE HELIUM POLE ACTIVITY

- Each person will hold out both hands at waist level with the index finger pointing towards the person across from them.
- The index finger is the only finger to come in contact with the pole. The finger must stay in constant contact with the pole. If contact is lost by anyone, the whole team must start over. This should be self-managed.
- The finger must stay parallel to the ground.
- The pole is placed on the fingers.
- No curling, wrapping or angling of the finger around the pole is allowed.

TEAMWORK ACTIVITY: HELIUM POLE – NOTE-TAKING PAGE

Take a few minutes to discuss the elements of a team and what you want to be mindful of in this upcoming challenge. Write down the element you want to pay attention to during the upcoming task.



The team element I want to pay attention to during this task is:

HELIUM POLE DEBRIEF SHEET

1. What did your team do that contributed to that success? Or create barriers?

2. Specifically, how well did members of your team hear each other's ideas? Were all the ideas and perceptions being shared and heard?

3. Was there clear leadership and willingness from others to follow? If so, how could you tell?

4. What behaviors were displayed here that may occur in the workplace?

TEAM EFFECTIVENESS FACTORS

SMALL GROUP ACTIVITY

There have been many studies about the effectiveness of teams. One researcher, Cynthia Cantu, identified the following team effectiveness factors:

- Teamwork
- Collaborative Decision-Making and Problem Solving
- Leadership Support – Support that leaders and supervisors provide to team members
- Trust and Respect
- Recognition and Rewards
- Customer Focus

Before you leave the workshop today, we would like for you to explore how you can apply these factors as you work in teams to implement the NAIP/RAIP. The instructions for this task are as follows:

1. Please select the factor that you would like most to explore and then stand by the flipchart with the name of that factor.

2. In your small group, have a brainstorming discussion about ways that you can apply your selected factor as you work to implement the NAIP/RAIP.

3. Record your strategies on flipchart and to be prepared to give a three minute presentation to the large group.

4. You have **15 minutes** to complete this task.

TEAM EFFECTIVENESS FACTORS

NOTES PAGE

SESSION 10 WRAP UP

- What will you do to assure the success of your RRI team?

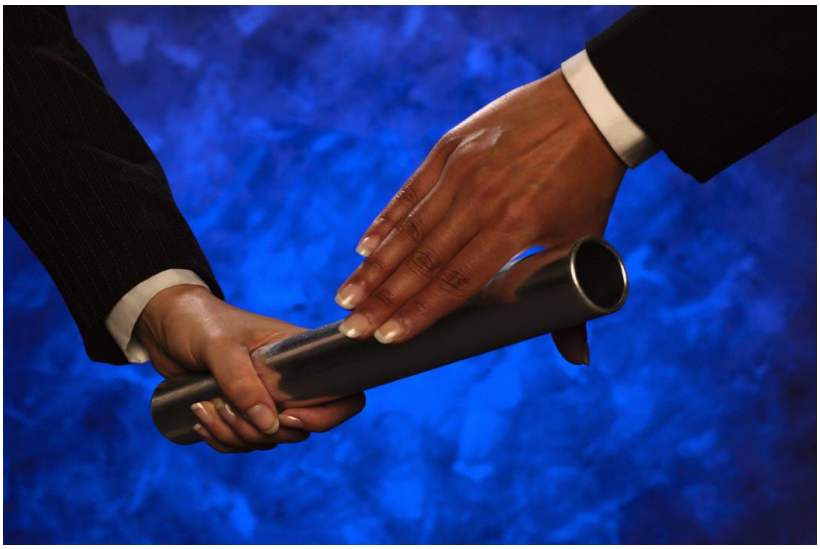
- Share your ideas with the person next to you.

Session 11: Next Steps for the Group, Resources and Skill Development Needed

OBJECTIVES

By the end of this session, participants will be able to:

- Prepare for presentations to Senior Leaders;
- Identify technical supports needed;
- Discuss the Coach's role; and
- Move immediately into the implementation phase of their RRI.



PRESENTATIONS TO SENIOR LEADERS

- Typical Presentation
  - The Goal: Why is it ambitious, but realistic?
  - The Action Plan:
    - Review of Milestones (only)
    - What elements of the plan are creative/innovative?
  - Special Authorizations (be reasonable)

- As a team, identify:
  - Who will confirm and communicate the day and time of the meeting:

    _____

  - Where the meeting will take place:

    _____

  - Who will prepare the presentation

    _____

  - Who will present (Team Leader +?)

    _____

TECHNICAL TRAINING NEEDS

- Based on your goal and work plan, what technical training needs will be essential to your success?

THE COACH'S ROLE

- What is the Coach's Role after this training? Identify 2-3 things the Coach should and shouldn't do.

Things the Coach Should do	Things the Coach Shouldn't do

THE FIRST TEAM MEETING

- Make sure there is consensus in your group about the first team meeting:
  - Where is it? _____
  - When is it? _____
  - What action steps need to be completed by then (and by whom)?

Action Step	Person Responsible

  - When/where will the tracking be posted?

    _____

  - When is the first update of the tracking chart?

    _____

Session 12: Wrap Up and Closure

OBJECTIVES

By the end of this session, participants will have

- Reviewed and refined their individual/ institutional/team action plans;
- Identified the support required to help them move their plans forward;
- Identified key learning from the training, and
- Given and received feedback on their leadership during the week.

ACTION PLANNING REVIEW

In your action planning groups, consider all you heard yesterday and look again at your plans. Are they **REAL?**

R- relevant

E- exciting

A – actionable

L – long-lasting

Please consider any modifications with your partners and make them in the template.

Next identify what support you will need:

- Immediate support
- Long-term support
- Personal support
- Organizational support
- Resources (human and material).

Again, please make any modifications to the template.

KEY LEARNING FROM THE TRAINING OBJECTIVES

What are the most important things you have learned (or re-learned) this week?

_____

_____

_____

_____

_____

_____

LEADERSHIP FEEDBACK

Look around the room and remember what others have done to lead the total group, the table group, the action planning group, or any other small group.

Think specifically and jot down a note about one or two other persons.

_____

_____

When the facilitator directs, please enter the middle of the room and give your feedback to the individuals you have identified above.

Again, please be as specific as possible. You might use the formula, “I really appreciated you when you….. because it (identify impact)……”

Thank you for your participation in the Module 2 Workshop and good fortune as a Champion of Change for Food Security in Africa!

Scaling up for Food Security in Africa

Champions for Change II

Module 2 Workshop

WELCOME!

Please complete the Pre-Training Survey

If you have questions, check with one of the workshop facilitators.

Thank You!

Day One

"It always seems impossible until it's done."

Nelson Mandela

Session 1:
Introductions and Overview

Session 1: Objectives

By the end of the session, participants will be able to:

- Share personal perspectives on leadership;
- Understand the objectives, content and format of the Module 2 Workshop;
- Share expectations for the workshop; and
- Establish or build upon relationships with the workshop participants.

Module 2: Workshop Purpose

- To ensure that country and regional teams and a select group of dynamic champions trained in Module 1 possess the requisite skills to move the NAIP/RAIP implementation process forward;
- To support NAIP/RAIP implementation, strengthen involvement and broaden the inclusiveness of the teams and their supporters in order to create better program results; and
- To insure that organizational and unit action plans in support of NAIPs and RAIPs are followed and show tangible, positive results.

Module 2: Workshop Objectives

After participating in the Module 2 intervention, implementation teams of champions will be able to:

- Identify and develop strategic coordination mechanisms for CAADP and NAIPs/RAIPs
- Identify and agree to the most critical steps for CAADP NAIP/RAIP implementation

Module 2: Workshop Objectives (continued)

- Appreciate the necessary steps and activities in successful program and project design
- Identify and develop strategic coordination mechanisms for CAADP and NAIPs/RAIPs
- Identify and agree to the most critical steps for CAADP NAIP/RAIP implementation

Introductions

Please introduce yourself by sharing your:

- Name
- Position
- Job Location
- One word that describes your feelings about food security in your country or region

Module 2: Agenda – Day One

Morning

- Session 1: Introductions and Overview
- Session 2: NAIP/RAIP Overview

Afternoon

- Session 3: Success Stories in Agricultural Productivity – Characteristics of Effective Projects
- Session 4: Project Management Overview

Module 2: Agenda – Day Two

Morning

- Session 5: Project Design
- Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks

Afternoon

- Session 6: NAIP/RAIP Support Mechanisms – Concurrent Tracks (continued)
- Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation

Module 2: Agenda – Day Three

Morning

- Session 8: Design and Implementation of Rapid Results Projects

Afternoon

- Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation

Module 2: Agenda – Day Four

Morning

- Session 10: Teambuilding – Success Factors for Effective Implementation
- Session 11: Next Steps for the Group, Resources and Skill Development Needed
- Session 12: Wrap Up and Closure

Getting Started Activity

- Look at the quotes on leadership posted around the room.
- Stand next to the quote that you like the best.
- With others in your group, discuss why you selected the quote.
- Select one person to summarize your discussion for the whole group.
- You have ***10 minutes*** for your discussion.

Guidelines for Working Together

- Participate fully
- Respect other views and opinions
- Truly listen to one another
- Share discussion time and encourage others to participate
- Express yourself in the language you prefer
- Respect confidentiality
- Turn off your cell phones
- Start and end on time
- Have fun
- Other?

Your Expectations…

Again,

“Welcome” to the Module 2 Workshop!

Session 2: NAIP/RAIP Overview

Session 2 Objectives

By the end of the session, participants will be able to:

- **Describe NAIP/RAIP objectives and conceptual frameworks;**
- **Describe the primary strategies and approaches that have been identified in the NAIP/RAIP;**
- **Describe the implementation status of the NAIP/RAIP;**
- **Describe the country/region programs and projects that are currently being planned and/or implemented; and**
- **Identify the successes and challenges related to NAIP/RAIP implementation.**

OVERVIEW OF CAADP COUNTRY / REGION PROGRAMS AND PROJECTS

USAID FROM THE AMERICAN PEOPLE

SEE FEED CHANGE FUTURE

Africa Lead Scaling up for food security in Africa

LUNCH

SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS

Session 3 Objectives

By the end of this session, participants will be able to:

- Learn about and celebrate the accomplishments of participants and their respective constituencies; and
- Identify essential characteristics of successful agricultural productivity and/or food security projects.

Small Group Activity

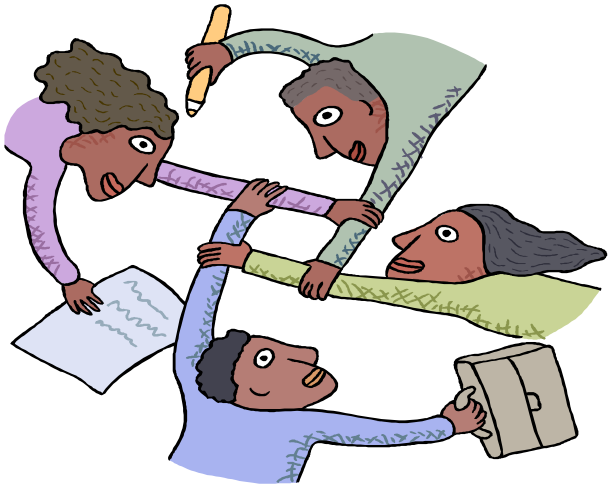
- Briefly introduce yourselves to one another;
- Create a list of successful agricultural productivity and/or food security projects of which you are aware;
- Identify the reasons that these projects were/are successful; and
- Identify indicators of the success of these projects.

CHARACTERISTICS OF SUCCESSFUL PROJECTS

- **Brainstorm** the characteristics of successful projects – based on your prior discussion of successes and your knowledge of successful projects in general.
- **Do not restrict** your discussion to the list of successful projects that you developed in the previous activity.
- **Record** your responses on flipchart.
- You have ***7 minutes*** to complete this task.

Thought for Lunch

There is no “I” in team



SESSION 4: PROJECT MANAGEMENT OVERVIEW

Session 4 Objectives

By the end of this session, participants will be able to:

- Identify the components of the project cycle; and
- Understand the basic requirements of project management.

Definition of a Program --Redux

A program is a coherent framework of action to achieve certain global objectives, comprising separate sets of activities (grouped under different components) which are oriented towards the attainment of specific objectives. It therefore consists of interventions on a larger scale than a project and may actually include several projects whose specific objectives are linked to the achievement of the higher level common objectives.

Definition of a Project--Redux

A project can be considered to be any series of activities and tasks that:

- Have a specific objective to be completed within certain specifications
- Have defined start and end dates
- Have funding limits (if applicable)
- Consume human and nonhuman resources (i.e., money, people, equipment)
- Are multifunctional (i.e., cut across functional lines)

Table Group Task

- Talk among yourselves and determine the steps of the project cycle, from beginning to end. Someone in the group should take notes.
- Once you have determined what the steps are, write the name of each one on a different footprint and lay the footprints out in a time sequence on the flipchart.
- Use the glue stick to fasten them down.
- You do not have to use all 10 footprints.
- You have ***20 minutes*** to complete the task.

Project Planning

- Definition of work requirements
- Definition of quantity and quality of work
- Definition of resources needed

Project Monitoring

- Tracking progress
- Comparing actual outcome to predicted outcome
- Analyzing impact
- Making adjustments

Successful Project Management

Can be defined as having achieved the project objectives:

- Within time
- Within cost
- At the desired performance/technology level
- While utilizing the assigned resources effectively and efficiently
- Accepted by the customer(s)

DESIGNING A MANAGEMENT STRUCTURE

Consider:

- Matching the structure to the technical complexity and scale of the program
- Optimizing efficiency of decision making and execution
- Striking a balance among the interests of major stakeholders
- Ensuring accountability both for the use of resources and for achieving results
- Assessing the capacity and track records of different organizations
- Finding the best model that enhances long-term sustainability

Typical Operational Requirements

- Managing funds, hiring staff, and procuring goods and services
- Preparing and executing a work plan that incorporates milestones and results
- Interacting continuously with beneficiaries (e.g. through farmer training courses)
- Recruiting and hiring specialized consultants for analytical studies
- Delivering regular progress reports backed up by program data

Key Oversight Responsibilities

- Monitoring performance and results against the program work plan
- Providing technical direction on work plan priorities and execution strategies
- Approving award of contracts and grants above designated threshold levels
- Carrying out periodic financial and regulatory compliance audits
- Scheduling and supervising external evaluations (mid-program and post-program)
- Digesting evaluation findings and taking corrective action, where required

SESSION WRAP UP AND CLOSURE

How can you insure that agricultural programs and projects will be managed effectively in your country or region?

Session 5: Project Design

Session 5 Objectives

By the end of the session, participants will be able to:

- Recite the definition of a project;
- Describe the elements of the logical framework matrix; and
- Identify the basic questions that should be answered in a project action plan.

What is a Program Design?

- A justification for the investment (analysis of relevance and feasibility)
- A documented record which supports effective management, accountability and transparency
- The basis on which an implementation agreement(s) and resultants contract(s) or grants are prepared
- Usually includes:
  - A complete situational analysis
  - A plan and framework to guide implementation and M&E
  - An assessment of risks and a risk management plan
  - Identification of stakeholders and their interest/influence
  - Other assessments such as environmental impact, gender analysis, socio-economic analysis, governance assessment, conflict assessment etc.

Identifying the Development Problem

- **Development "hypothesis"**
  - A development hypothesis is a narrative description of causal/plausible linkages between actions and results, and results and overall objectives
- **"Theory of Change" approach**
  - Use of if/then statements to link possible actions to outcomes
- **Various situational analyses undertaken**
  - Stakeholder analysis
  - Capacity analysis
  - Gender and other social analyses
  - Economic impact analysis
  - Environmental impact
  - Sustainability analysis

Steps in Formulating a Design

- **Define high-level goals and create a Results Framework**
- **Select the delivery mechanism (instrument) for funding**
- **Logical framework analysis**
  - Analyze the problem and define objectives for a solution
  - Demonstrate linkages between activities > outcomes > objectives
  - Specify critical assumptions that drive “if-then” causal logic
  - Analyze stakeholder impacts (winners, losers, spoilers)
  - Test alternative designs
  - Identify risks (impact, probability) and mitigation measures
- **Develop a Performance monitoring plan (PMP)**
- **May prepare Terms of Reference (TORs) for the implementing organization, or a complete Request for Applications (RFA), or Request for Proposals (RFP)**

Qualities of a Good Program Design Document

Situational Analysis

Are the development problem and its root causes clearly presented, and thoroughly analyzed?

How well does the program fit the host government's and Funding agencies' development agendas?

Does the program design incorporate lessons from past experience in this sector, inside and outside the

Program Description

Are the development strategy and the mechanism for delivery appropriate for this type of program?

Are the goal, purpose, outcomes, and activities adequately described with persuasive causal logic?

Are relevant indicators, measurement techniques, and data collection protocols specified?

Management and Financing

Are the proposed management structure for the program and coordination mechanisms well thought out and convincing?

Are the program's cost elements realistic, and how do the costs match up against estimated program benefits?

Feasibility, Risks and Key Assumptions

Are key stakeholders identified, together with their respective importance and levels of influence on the program?

Are risks to the program's success well analyzed, in terms of impact and probability, with adequate description of how these risks will be mitigated?

Why Use Logical Framework Analysis?

- Takes the results of a problem analysis and maps them into an organizing framework
- Establishes a logical hierarchy of the means by which desired program objectives will be reached
- Establishes how objectives, outputs and activities can best be monitored and evaluated
- Forces program designers to think through all of the critical assumptions that underpin their logic
- Differentiates between levels of control and predictability
- Cells in the matrix can be expanded or disaggregated to provide a greater level of detail

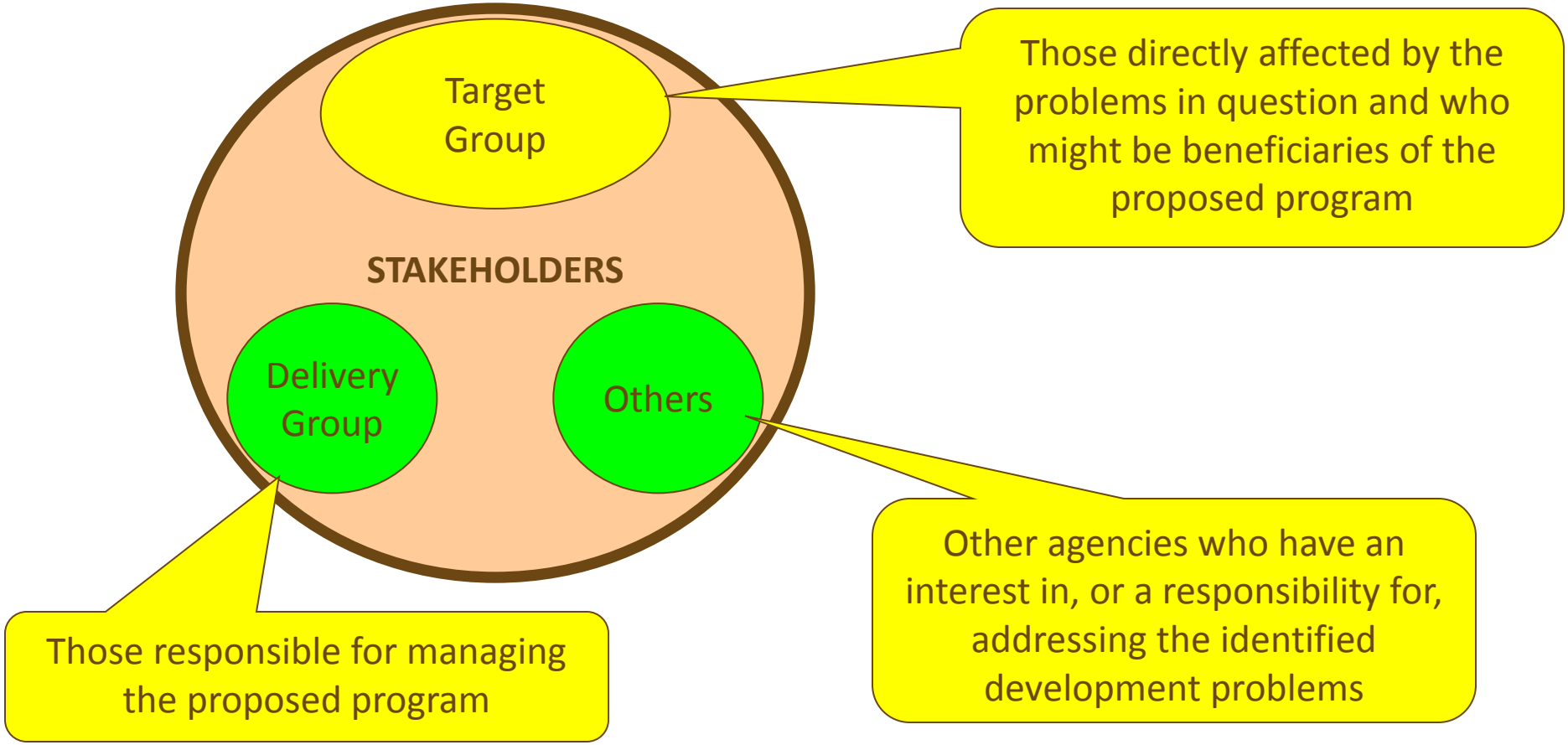
Process vs. Product

- The **"Process"** is logical framework analysis, involving:
  - Rigorous problem analysis
  - Developing a hierarchy of objectives
  - Selecting a preferred implementation strategy
  - Ideally, this process takes place in an interactive group exercise with stakeholders

- The "**Product"** is the logical framework matrix which summarizes:
  - What the project intends to do and how
  - Relationships between activities, results, and critical goals
  - How outputs and outcomes will be monitored and evaluated
  - Key assumptions that shape the design

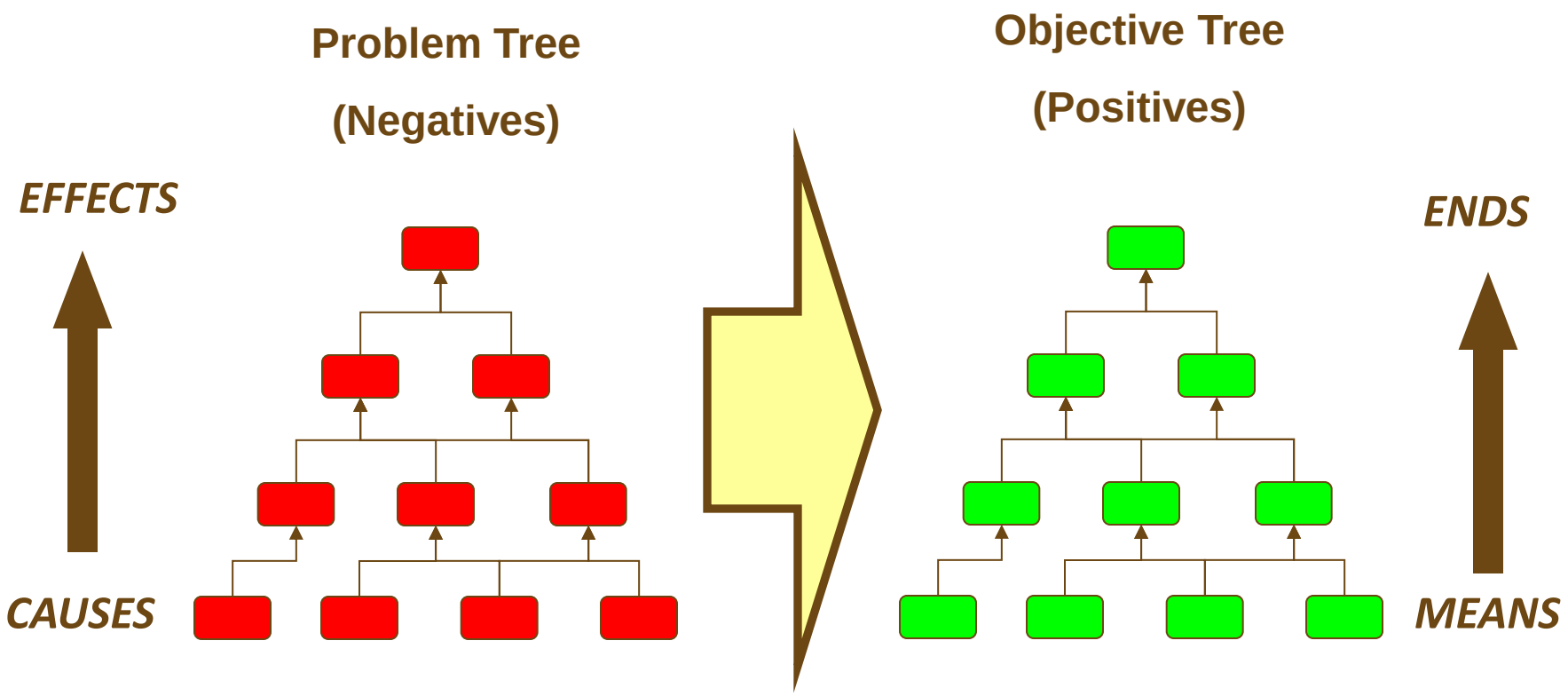
The **Process** is equally as important as the **Product**

Establishing an Inclusive Design Team

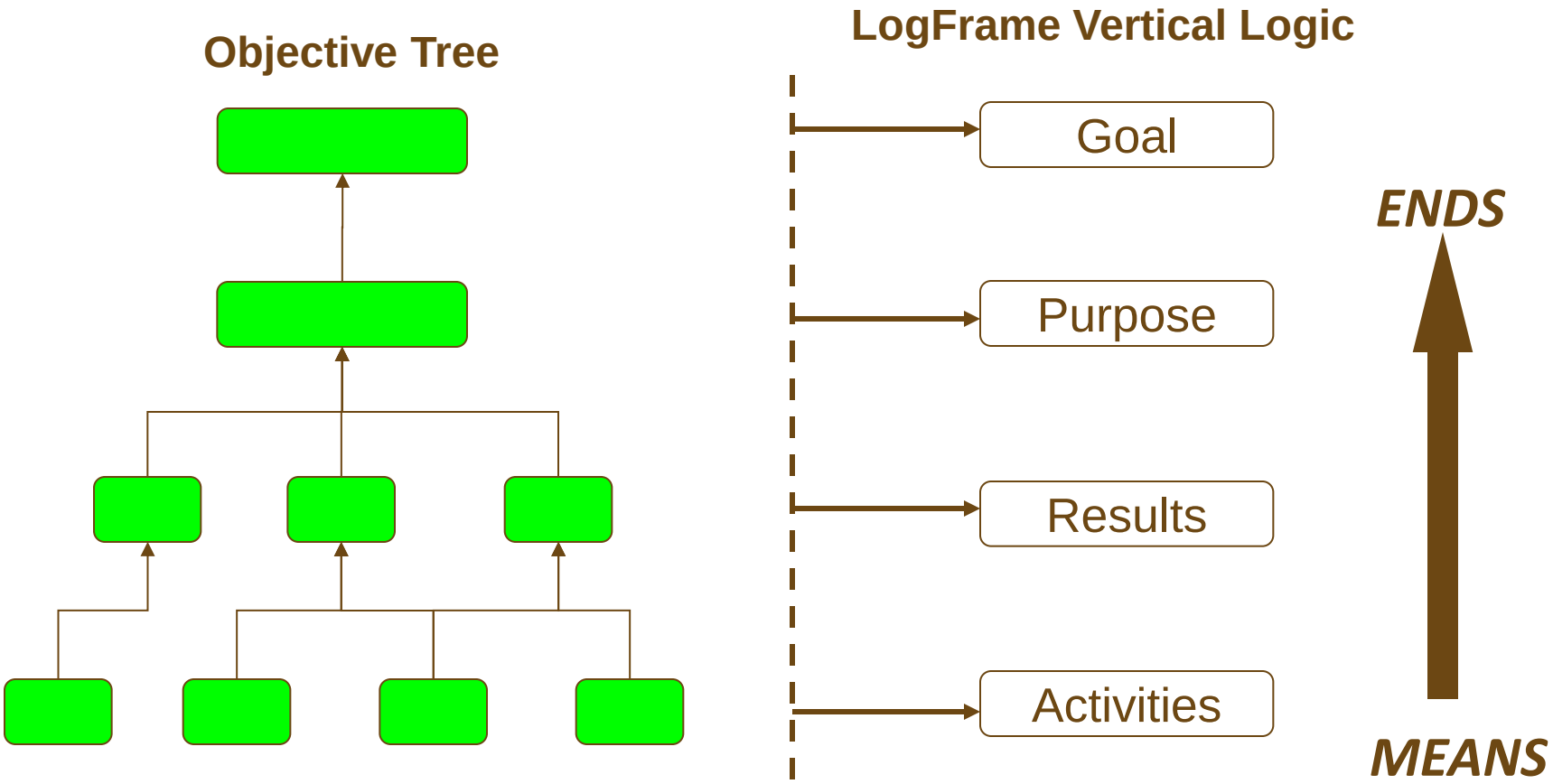


Note: Full stakeholder analysis may be conducted in advance

Problem & Objective Analysis



Developing a LogFrame Matrix



Terminology

- **Goal (sometimes "ultimate objective") –** The greater **WHY**. Relates to sectoral or national objectives to which the program is designed to **contribute** (but not in itself achieve or be solely accountable for). **The Goal usually does not change, even if the program strategy changes.**
- **Purpose (sometimes "project objective" or "outcome') – WHY** the program is being carried out and what developmental impact is anticipated at the end of its life. **There can be only be one purpose.** The implementation team is not solely accountable for the Purpose.
- **Results (sometimes "outputs") – WHAT** the program is supposed to deliver: specific results and measurable products (goods and services). The implementation team is directly accountable for Results.
- **Activities – HOW?** Specific tasks undertaken to achieve the required results. These may not all be listed in the LogFrame matrix but will e incorporated in an activity schedule (e.g. Gantt chart format) with responsibilities and associated time frames (i.e. a work plan).

The **vertical logic** identifies what the program intends to accomplish and clarifies the relationships in Column 1

Program Description	Indicators	Means of Verification	Assumptions
Goal			
Purpose			
Results			
Activities			

The **horizontal logic** defines how project objectives specified in Column 1 will be measured (Column 2) and the means by which the measurement will be verified (Column 3).

Project Description	Indicators	Means of Verification	Assumptions
Goal	Indicators	MoVs	
Purpose	Indicators	MoVs	Assumptions
Results	Indicators	MoVs	Assumptions
Activities			Assumptions

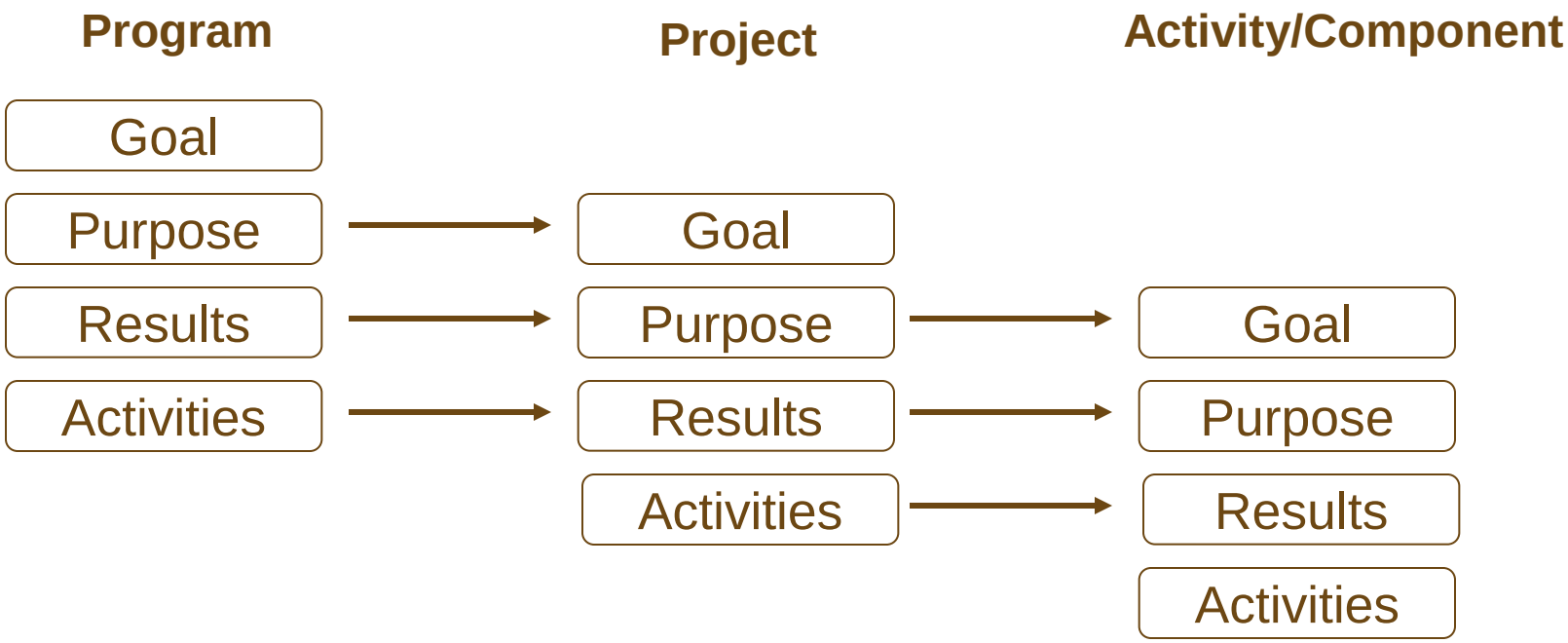
The Critical Role of Assumptions

- An **assumption** is a **positive** statement of a condition that must be met in order for the program's objectives to be achieved.
- A **risk** is a **negative** statement of a condition or event that might prevent objectives being achieved.
- Assumptions
  - Conditions which could affect the progress of the program, but over which the managers have no control (e.g. price changes, weather changes, shifts in government fiscal policies, political instability)
  - A good analysis will classify assumptions in three categories:
    1. **Those that will likely hold true**
    2. **Those that may possibly hold true**
    3. **Those that involve substantial uncertainty and may not hold true**

Validate Internal Consistency of the LogFrame with IF/THEN Testing

Project Description			
Goal			
Purpose	**THEN?**		
Results	**IF**		**AND**
	THEN?		
Activities	**IF**		**AND**

Nested LogFrames at Multiple Levels



Some Final Observations About LogFrames

- Most donor agencies (USAID, AusAID, DFID, EC and others) formally endorse or require the use of a LogFrame as a standard practice for design
- Common criticisms and comments:
  - Time consuming and complicated to use
  - Obliged to summarize complex ideas into simple phrases
  - Often regarded as a bureaucratic requirement rather than a set of building blocks for a rigorous design
  - Creates pressure to establish ambitious quantitative targets
  - Limited utility as a management tool during implementation
  - However, an invaluable framework for impact evaluation

CONTENTS OF A PROJECT DESIGN

- **Background and justification:** What is the situation that gives rise to the program/project? What is the socio-economic context in which the program/project will take place? How does it fit in with development (economic, social, political) priorities?
- **Target groups and institutional framework:** For whose benefit is the program/project undertaken? Who are the partners? What are their responsibilities? Is the division of labor clear?
- **Development objective, immediate objective and performance measures:** What are the changes the program/project is expected to bring about or contribute to? How will success be assessed?

CONTENTS OF A PROJECT DESIGN (continued)

Outputs, activities and inputs: What will the program/project produce or deliver? What will the program/project staff do? What funds, expertise, equipment, etc. are needed?

Assumptions and prior obligations: Can we control everything? What are the external factors that may affect implementation and the performance of the program/project? What conditions must be satisfied by the partners before the program/project starts?

Reporting, monitoring and evaluation plans: When will the project be evaluated and by whom? How will the partners be informed and involved?

Session 7: Monitoring and Evaluation for NAIP/RAIP Implementation

Objectives

By the end of the session, participants will be able to:

- Define the terms **monitoring** and **evaluation**;
- Describe the purpose and functions of monitoring and evaluation in the project management cycle;
- Describe the results framework concept;
- Describe CAADP M&E common indicators and country review processes, i.e. M&E requirements, and social accountability tools, approaches, and methods;

Objectives (continued)

By the end of the session, participants will be able to:

- Support the tracking and reporting of measurable outcome and results indicators for agriculture development, consistent with the NAIP/RAIP;
- Explore strategies for applying the Strategic Analysis and Knowledge Support System (SAKSS) concept; and
- Begin development of an M&E plan to monitor progress of the primary goals of the NAIP/RAIP.

Different Focal Questions

1. **MONITORING**

   "Is the organization implementing the program RIGHT?"

   [i.e. Performing in line with the **PLAN 's** metrics for time, cost, and technical design. Most of these data can be found in progress reports that measure inputs and outputs as On Plan, Ahead, or Behind]

---

2. **EVALUATION**

   "Is the organization implementing the RIGHT program?"

   [i.e. Are program results helping to achieve the **PURPOSE** and do they validate the logic of the original design? Is the program proving to be a good investment? Most of these data require direct observations and in-depth analysis using various statistical tools & data collection methods]

Monitoring

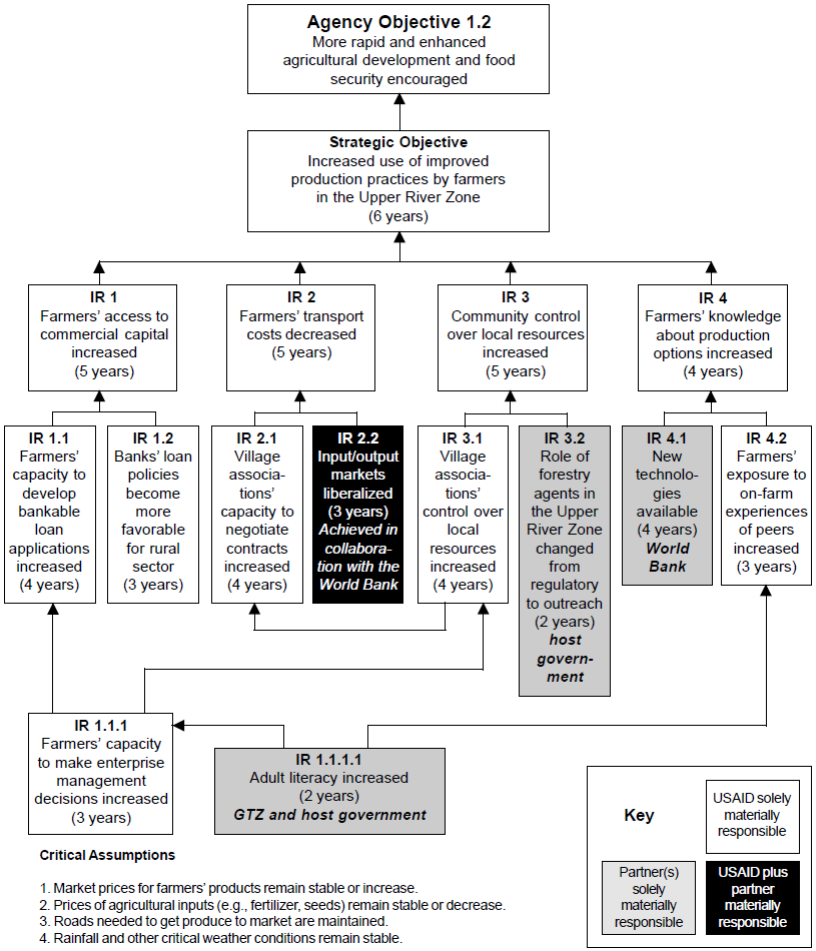
- Monitoring is the tracking of actual progress for scheduled activities in comparison to plan
- Implementing organization should create a Performance Monitoring Plan (PMP) to facilitate tracking
- Oversight should be routinely performed by the funding agency and stakeholders, by examining:
  1. Time-phased project work plans (e.g. Gantt Chart)
  2. Key milestones – including completion date for each activity
  3. Quality standards - required for acceptance of each deliverable
  4. Activity reports from program implementers
  5. Technical reports from specialist consultants or contractors

Evaluation

- Evaluation is an attempt to measure changes that have occurred as a result of program interventions
- Attribution is critical, and sometimes difficult to prove
- Objectivity and credibility depend on the independence of the evaluator(s), who must be free of conflicts of interest
- Mid-program (formative) or post-program (impact) evaluations
- Stakeholders provide input but do not determine conclusions
- Ideal measurements, when data are available, compare:
  1. AFTER -- the program compared to Before (i.e. the Baseline)
  2. WITH -- the program compared to Without (i.e. a Control Group) or
  3. BOTH -- (using both a Baseline and a Control Group)

Upper River Zone Results Framework

Figure 1. Upper River Zone Results Framework



Critical Assumptions

1. Market prices for farmers' products remain stable or increase.
2. Prices of agricultural inputs (e.g., fertilizer, seeds) remain stable or decrease.
3. Roads needed to get produce to market are maintained.
4. Rainfall and other critical weather conditions remain stable.

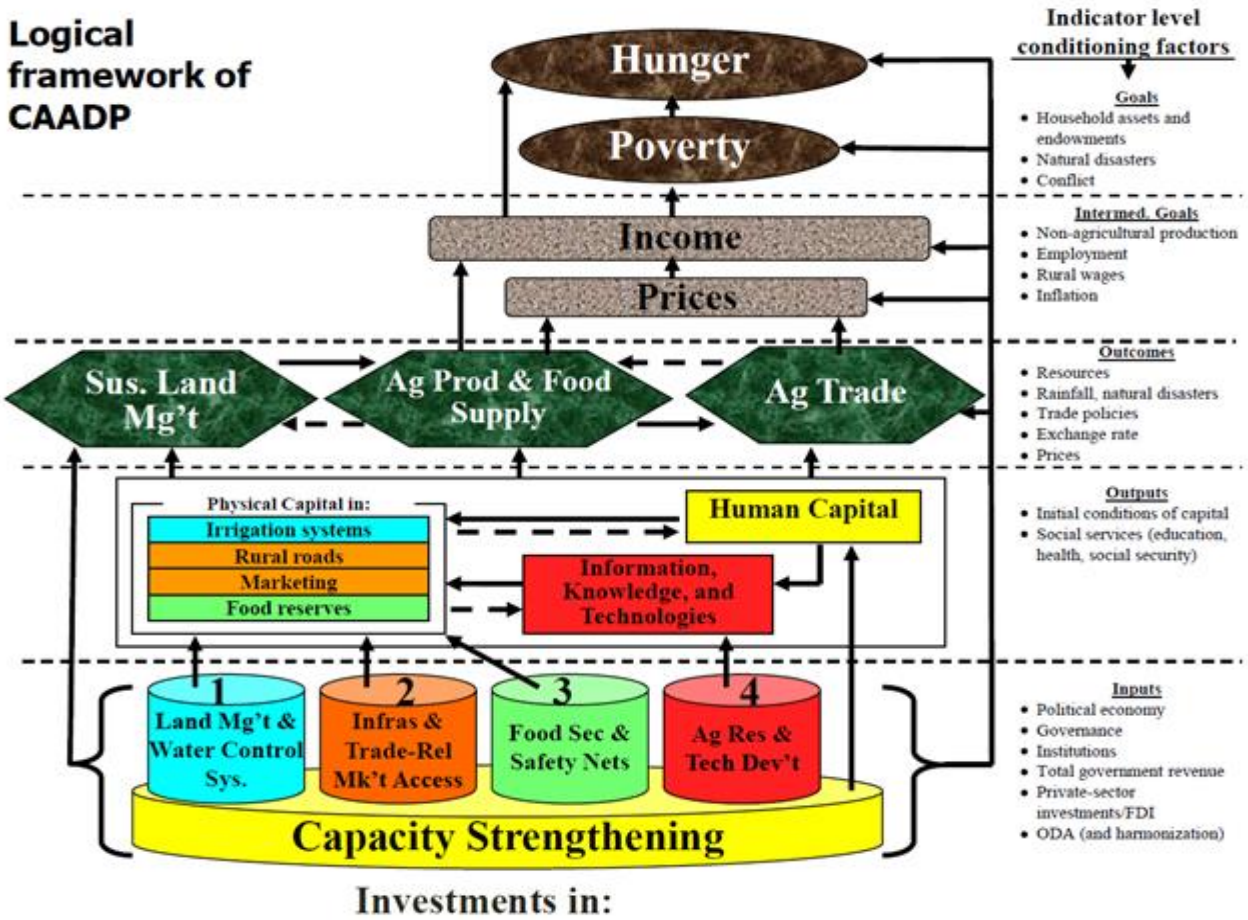
USAID FROM THE AMERICAN PEOPLE

SEE FEED CHANGE FUTURE

Africa Lead Scaling up for food security in Africa

Logical Framework ("logframe")

Impact (Goal)	**The Greater 'Why':** Increased private sector employment, exports, and tax revenues for the government
Purpose	**Why**: Changes in the regulatory environment that favor investment, job creation, and pro-poor economic growth initiatives
Output (Result)	**What**: Improved capacity to formulate and implement regulations
Activities	**How**: Study situation, develop policy options, train government personnel in "better regulation" techniques
Inputs	Consultants, New IT Equipment, Budget Support


Logical framework of CAADP
Hunger
Poverty
Income
Prices
Sus. Land Mg't
Ag Prod & Food Supply
Ag Trade
Physical Capital in:
Irrigation systems
Rural roads
Marketing
Food reserves
Human Capital
Information, Knowledge, and Technologies
1
Land Mg't & Water Control Sys.
2
Infras & Trade-Rel Mk't Access
3
Food Sec & Safety Nets
4
Ag Res & Tech Dev't
Capacity Strengthening
Investments in:
Indicator level conditioning factors
Goals
• Household assets and endowments
• Natural disasters
• Conflict
Intermed. Goals
• Non-agricultural production
• Employment
• Rural wages
• Inflation
Outcomes
• Resources
• Rainfall, natural disasters
• Trade policies
• Exchange rate
• Prices
Outputs
• Initial conditions of capital
• Social services (education, health, social security)
Inputs
• Political economy
• Governance
• Institutions
• Total government revenue
• Private-sector investments/FDI
• ODA (and harmonization)

Results Framework Activity: Table Group Task

Scenario: "You work for a small nonprofit organization in the country of Ugeriabique that aims to help subsistence farmers increase their incomes by increasing crop yields. You are in charge of a new program in the arid northeastern part of the country, where small farmers utilize less than half the water for irrigation than farmers in other parts of the country, and yields are suffering. Recent studies suggest that better irrigation is key to improving agricultural production in the area."

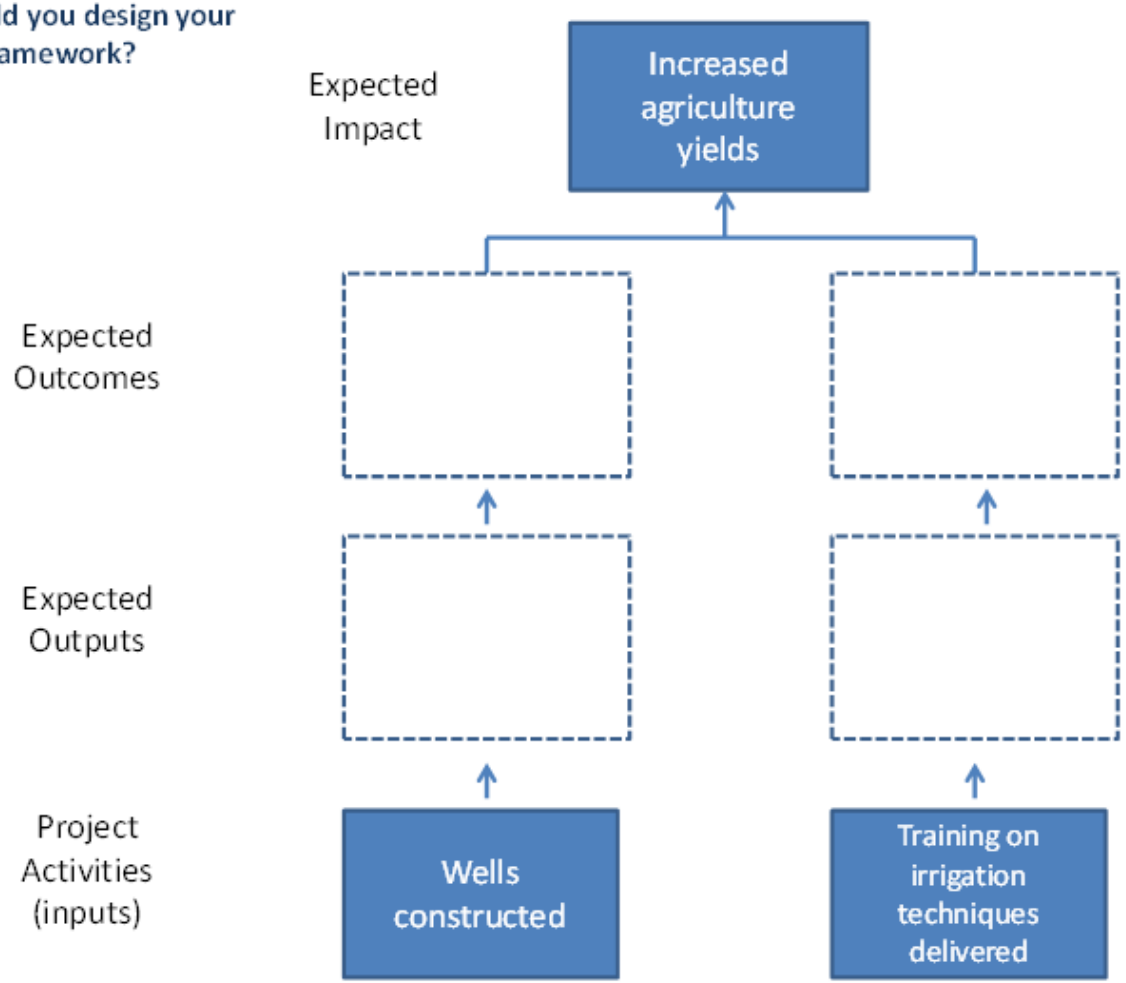
"A mysterious donor has agreed to generously fund your project to build wells and provide training on irrigation methods to 1,000 farmers. How will you build your Results Framework?"

Results Framework Activity: Table Group Task (continued)

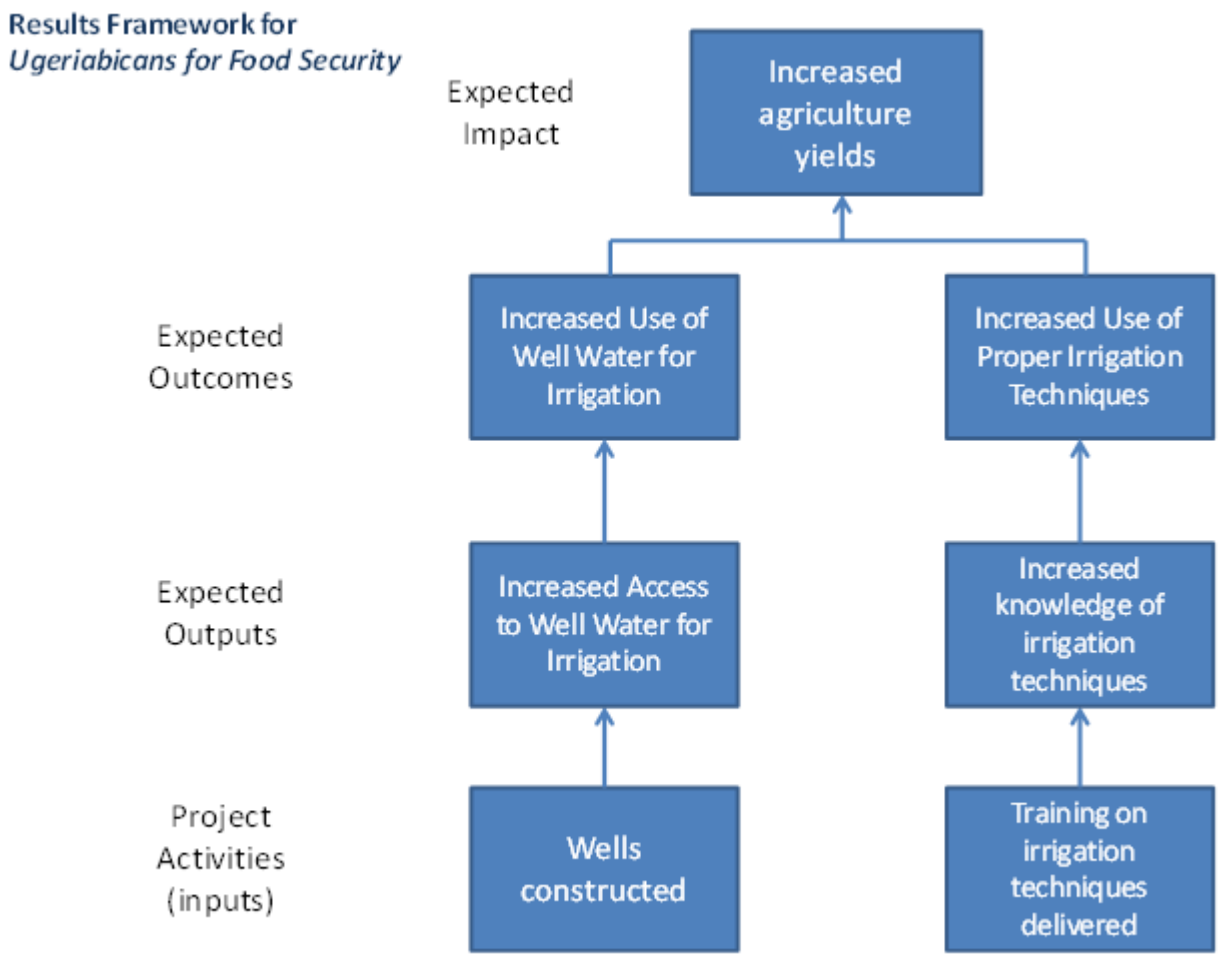
Using the PowerPoint version of the template (provided / see next slide), develop a results framework for the scenario. You have ***30 minutes*** to complete this task.

Results Framework Template

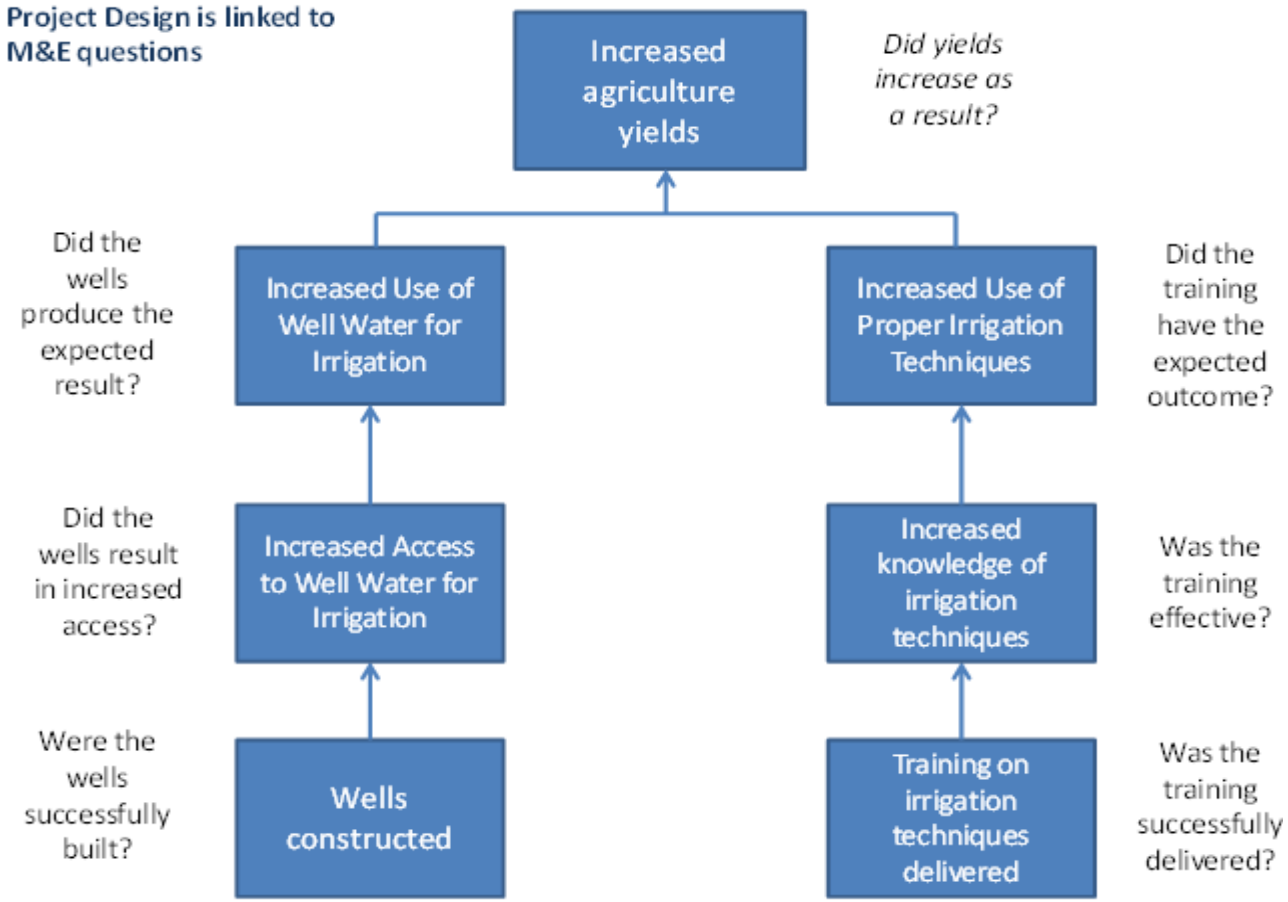
How would you design your Results Framework?



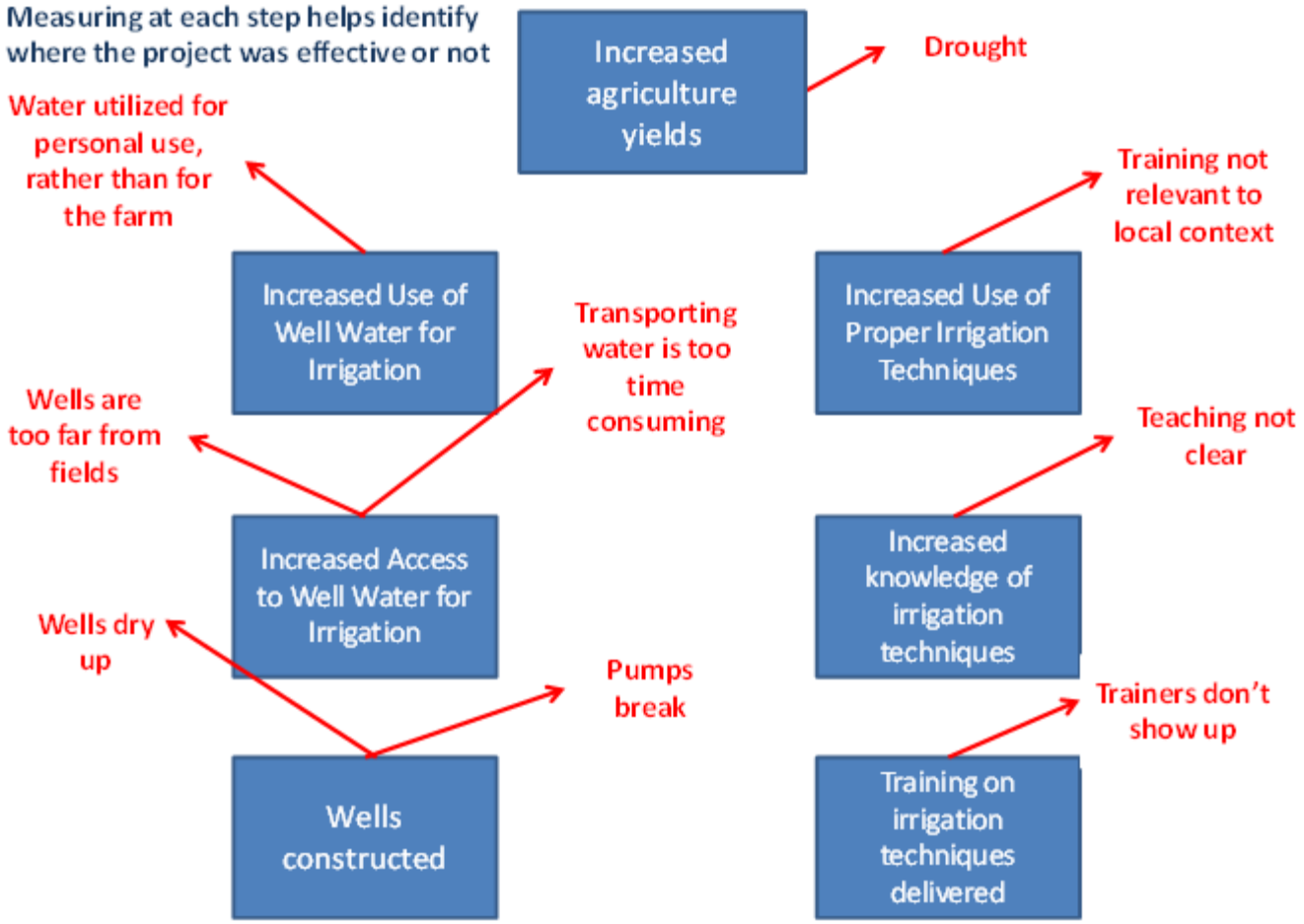
Results Framework for Ugeriabicans for Food Security



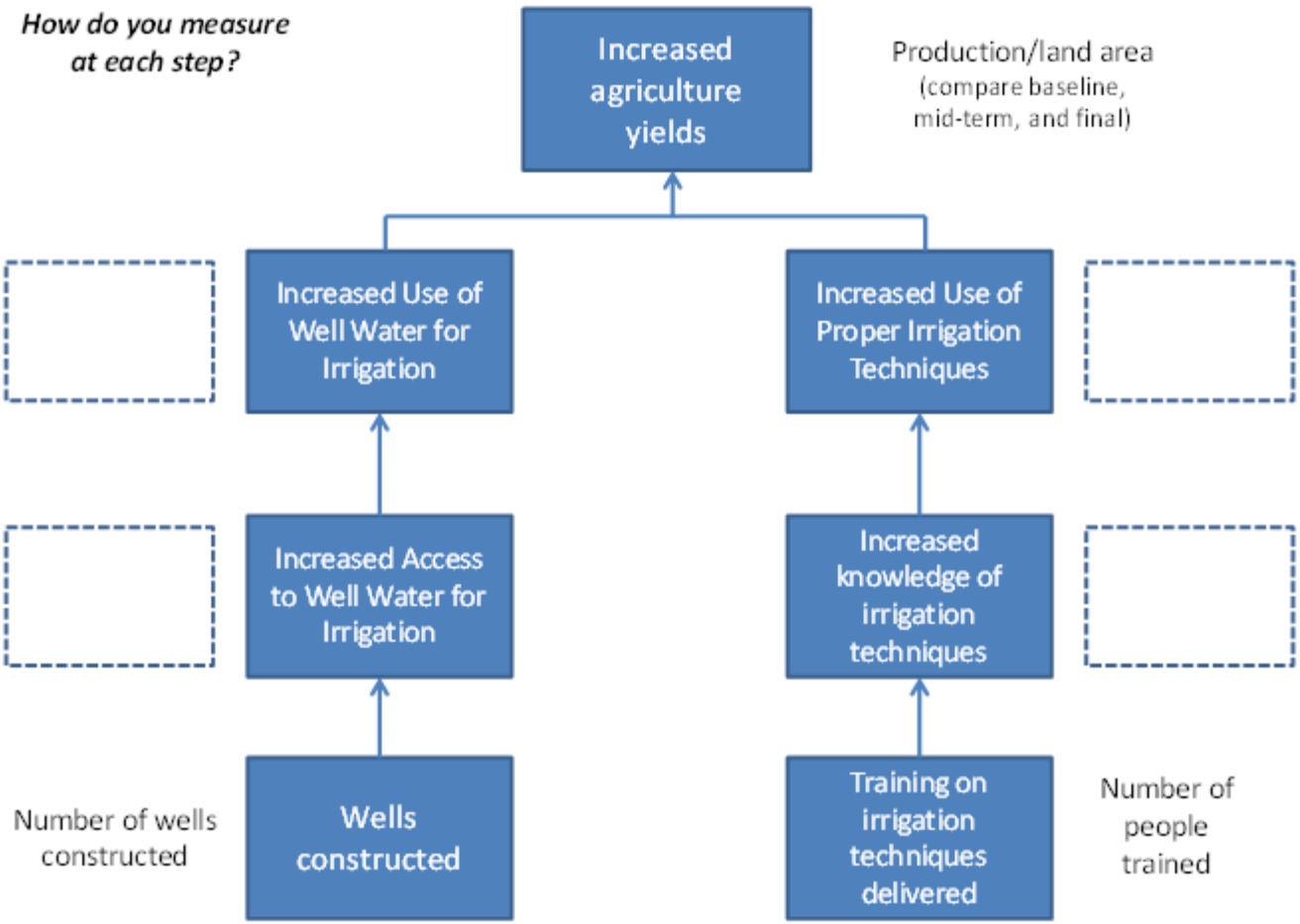
Project Design is Linked to M&E Questions



Measuring Project Effectiveness

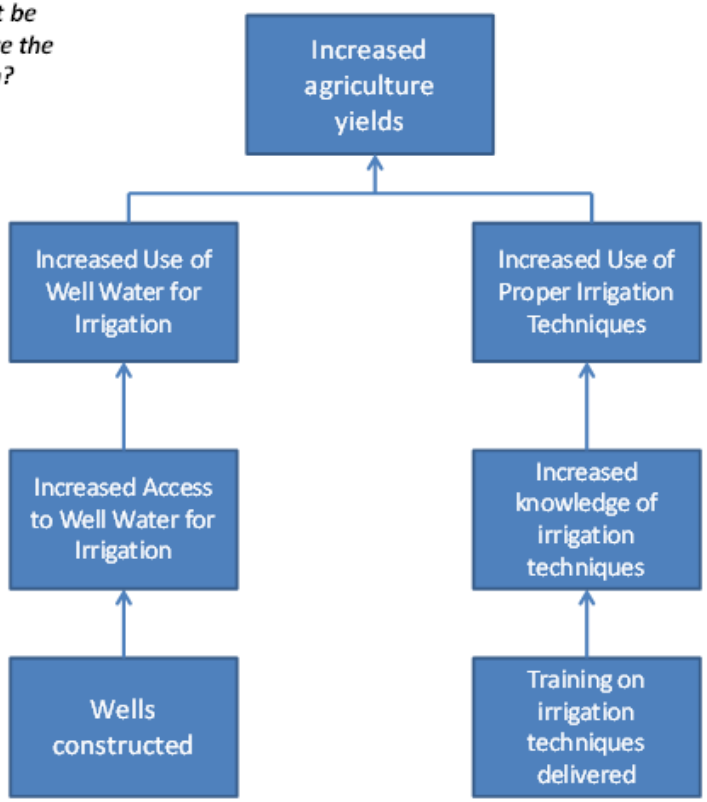


How do you measure?



What else might be needed to improve the project design?

What else might be needed to improve the project design?



Yes, we have built wells. Is there a gap in the design because there are not resources available for well maintenance?

Indicators

- Observable or measurable characteristics used to determine whether stated objectives have been achieved (at any level).
- Answer these questions:
  - How can we tell whether or not we have met the objective?
  - How do we verify achievement?
- Form the basis for a monitoring and evaluation system.
- Should not be confused with Means of Verification (MoV), which is the expected **source** of the information needed for each indicator.

Process vs. Impact Indicators

Process (Output)	Impact (Outcome)
Shows what is being done	Shows changes resulting from what is being done
Often routinely collected to measure efficiency and/or effectiveness	Shows progress toward meeting higher level goals/objectives
Necessary but not sufficient to show long-term effect	Examples: decrease in child mortality; decrease in HIV prevalence; improved understanding; changed behavior
Examples: # of people trained, # of training sessions conducted, quality of meetings conducted, etc.	

Qualitative vs. Quantitative Indicators

Qualitative Indicators	Quantitative Indicators
Examples – Level of participation – Opinion and behaviour – Satisfaction – Attitudinal change – Evidence of consensus **Can be more meaningful and provide a richer view** **May be more expensive, difficult to measure**	**Examples** – Growth rate of GDP – Climate data – Improved crop yields – Price changes – School graduation rate **Easier to measure and interpret with reliance on precise numbers** **But may not tell the whole story**

Good Indicators Are…

- Direct, relevant and specific to the objective being measured
- Uni-dimensional – they should only measure one phenomenon at a time
- Precise – avoid the use of subjective terms like “successful” when it can be defined by the indicator itself
- Practical – the data can be collected in a reasonable period of time and at a low cost
- Meaningful – even if they don’t capture everything we’d like to know

A Selection of the CAADP Common Indicators

- Input indicators. What is the overall level of effort invested?
  - Processes, policies, strategies, institutions, expenditures, etc.
- Output indicators. What is the level of provision, utilization and coverage of investment programs?
  - Access to infrastructure/services, adoption of technologies, etc.

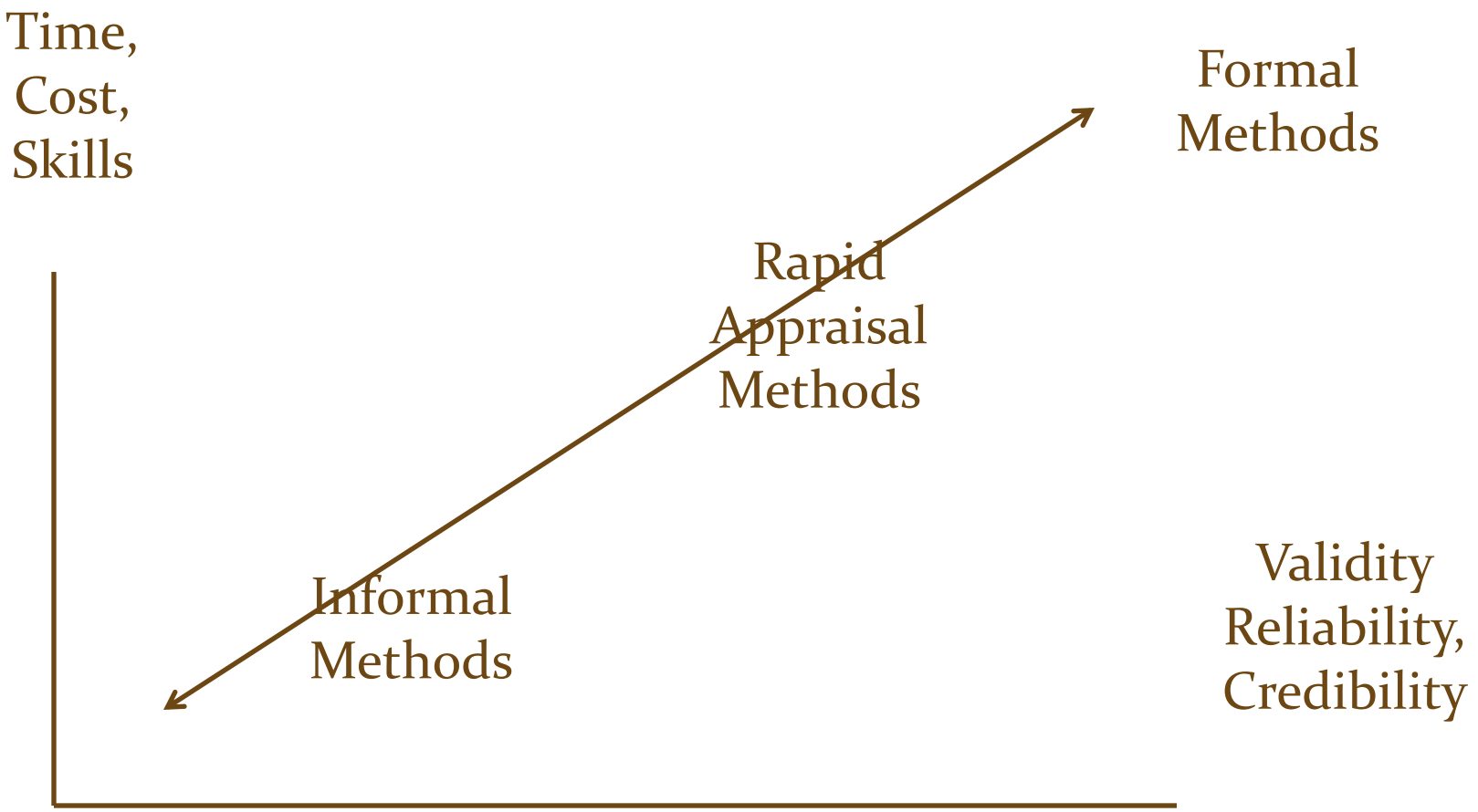
A Selection of the CAADP Common Indicators (continued)

- Outcome indicators. What is the effect on assets and activities that affect goals?
  - –Yields, production, trade, prices/wages, etc.
- Impact indicators. What was the ultimate impact on higher-level goals?
  - –Growth, income, poverty, food security, hunger, etc.
- Conditioning indicators. How confident are we that any observed effect is due to the intervention?
  - –Resources, rainfall, prices/wages, employment, policies, etc.

Data Collection Methods

- Primary vs. Secondary
- Qualitative vs. Quantitative
  - Qualitative: Interviews, Focus Groups, Direct or Participant Observation, Participatory Mapping, Document review
  - Quantitative: Sample surveys, Direct measurement, Secondary quantitative records
- Important Issues
  - Unit of analysis (individuals, families, communities, clinics, wells)
  - Data disaggregation needs (by gender, age, ethnic groups, location)
  - Sampling techniques for selecting cases
  - Techniques or instruments for acquiring data on these selected cases (structured questionnaires, direct observation forms, scales to weigh infants)

Data Collection Tradeoffs



SAKSS and ReSAKSS Nodes

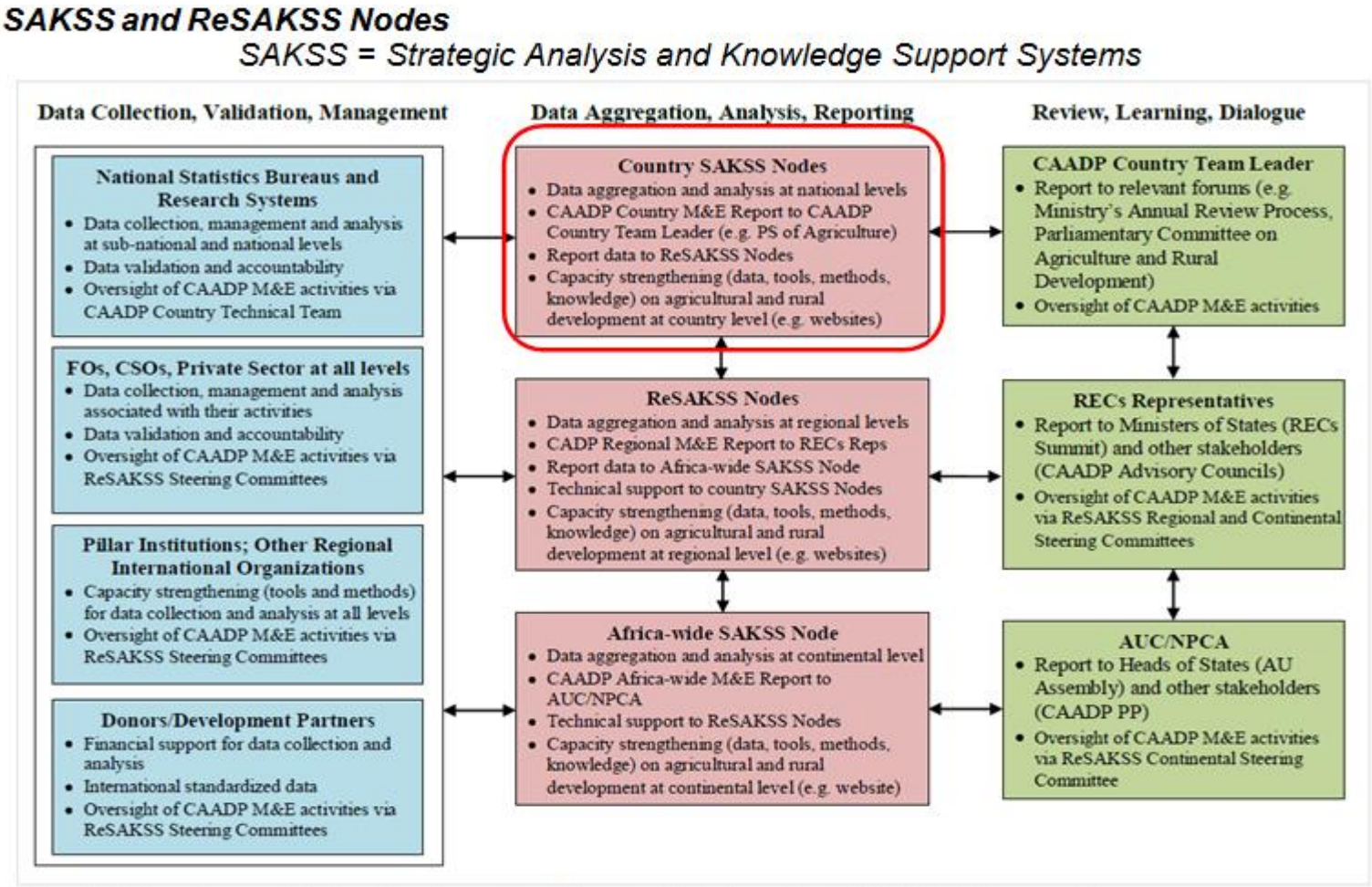


Figure 5. Roles and responsibilities of partners and collaborators in implementing CAADP M&E Framework

www.resakss.org

Elements of the M&E Plan

Plans for Data Collection

- *Performance Indicators and their Definitions*
- *Data Source*
- *Methods of Data Collection*
- *Frequency and Schedule of Data Collection*
- *Responsibilities for Acquiring Data*

Elements of the M&E Plan

Plans for Data Analysis, Reporting, Review and Use

- *Data Analysis Plans*
- *Plans for Complementary Evaluations*
- *Plans for Communicating and Using Performance Information*
- *Budget*

Africa Lead Indicator Tracking Sheet (As of Oct. 5, 2011)

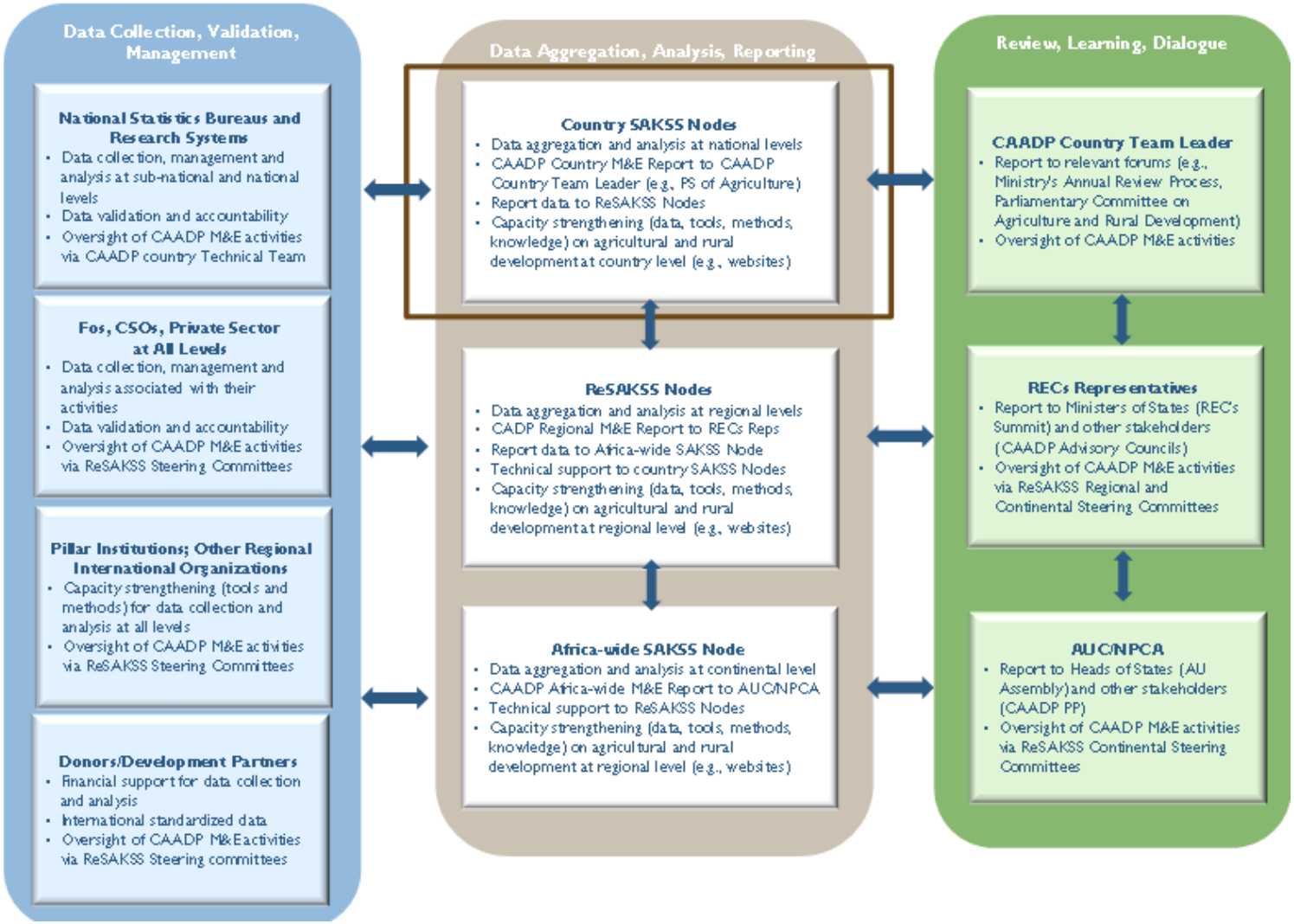
Indicators	Disaggregation	Q4 Target	Q4 Actual	Future Targets/QR5
2.0.1 Percentage of Task 2 trainees demonstrating increased technical and managerial skills and knowledge in their institutions	Country, gender			(Data collection on this indicator to begin Q6 – Jan 2012)
2.1.1 Number of Task 2 participants trained	Gender, type of training	100	▪ 95 (29 women) ▪ 3 interns (0) ▪ 27 ad hoc (6) ▪ 65 NSA (23)	150
2.1.4 Percent of Task 2 trainees reporting high quality instruction	Country, sector, gender	70%	100% (equal by country, sector, gender)	80%
2.3.1 Number of courses identified, vetted and placed in database		200	375	450

USAID FROM THE AMERICAN PEOPLE

SEE FEED CHANGE FUTURE

Africa Lead Scaling up for food security in Africa

Roles and Responsibilities of Partners and Collaborators in Implementing CAADP M&E Framework



Guiding Principles for CAADP M&E

When designing M&E systems for CAADP in-country, consider / do the following:

- Data for who?
- Ensure and respect country autonomy
- Facilitate coordination and compilation of comprehensive information systems.
- Establish strong leadership and coordination
- Build trust at all levels
- Ensure that measures are understood by a wide range of stakeholders

Guiding Principles for CAADP M&E (continued)

When designing M&E systems for CAADP in-country, consider / do the following:

- Measure progress – success breeds success
- Provide regular feedback on progress
- Measure what means something to policy makers
- Use the CAADP M&E framework to:
    - facilitate tracking progress between countries/regions
    - ensure comprehensive, inter-ministerial and inter-sectoral information
- Focus on household food security – beyond national food stock monitoring

Guiding Principles for CAADP M&E (continued)

REMEMBER . . .

- Simplicity is important – demystify indicators and analysis
- Help identify who we are talking about – people not numbers
- Evidence-based analysis is essential
- It is imperative that M&E be considered and planned for ***throughout*** the project design and implementation process

JOURNALING / WRAP UP

Please take about five minutes to respond to the following questions:

1. How will you apply project design concepts as you work to implement and/or support agricultural productivity and/or food security projects?
2. What are the most important lessons that you learned from your concurrent session?
3. How can you insure that monitoring and evaluation plans are developed and implemented that will adequately monitor progress towards achievement of the goals of the NAIP/RAIP?

JOURNALING / WRAP UP

After you have answered the questions, take a few minutes to share your ideas with the person next to you.

Before you leave, ***PLEASE*** complete the evaluation form for Day 2 and leave it at the front of your table.

Thanks for your GREAT work!

Have a GREAT evening!

Session 8: Design and Implementation of Rapid Results Projects

Developed for Africa Lead

by The Rapid Results Institute, Inc.

Objectives

By the end of this session, participants will be able to:

- Understand the basic elements of the Rapid Results Approach
- Understand how Rapid Results Initiatives are different from “100 day projects”
- Apply the Rapid Results Approach to selected NAIP/RAIP challenges
- Create a Rapid Results goal
- Create a chart for tracking results achieved during the RRI
- Identify and plan for next steps in the Rapid Results Process

© Rapid Results Institute, Inc. 2011

The Rapid Results Approach

Can anything significant and sustainable be achieved in 100 days?

Can anyone think of examples of 100 day achievements?

© Rapid Results Institute, Inc. 2011

Examples of Rapid Results Initatives

Eritrea: HIV/AIDS	Weekly # of users of VCT centers in Asmara increased by 80% in 100 days
Kenya: Water	Water Ministry completed two irrigation projects in 120 days versus 18 months
AfDB: Procurement	Time to procure small value goods reduced by 90%, in 105 days
Burundi: Payment Systems	Time needed for teachers to receive first paycheck after being hired reduced from 1 year to 3 months
Nicaragua: Agricultural Development	Sales of "Grade A" milk among 60 small producers is tripled in 120 days
Madagascar: Family Planning	Within 50 days, # of weekly new regular users of contraceptives in 4 districts increased from 50 to 250

USAID FROM THE AMERICAN PEOPLE

© Rapid Results Institute, Inc. 2011

RRI Rapid Results Institute

What is the Rapid Results Approach?

A package of tools and methodologies which helps organizations improve performance

Uses specially-focused short-term projects (Rapid Results Initiatives) to quickly build capacity in sustainable ways

Uses techniques from multiple disciplines:

- Capacity building
- Experiential learning
- Management coaching
- Change management

© Rapid Results Institute, Inc. 2011

What is the Rapid Results Approach?

First developed for use in Fortune 500 companies by Schaffer Consulting (www.schafferresults.com)

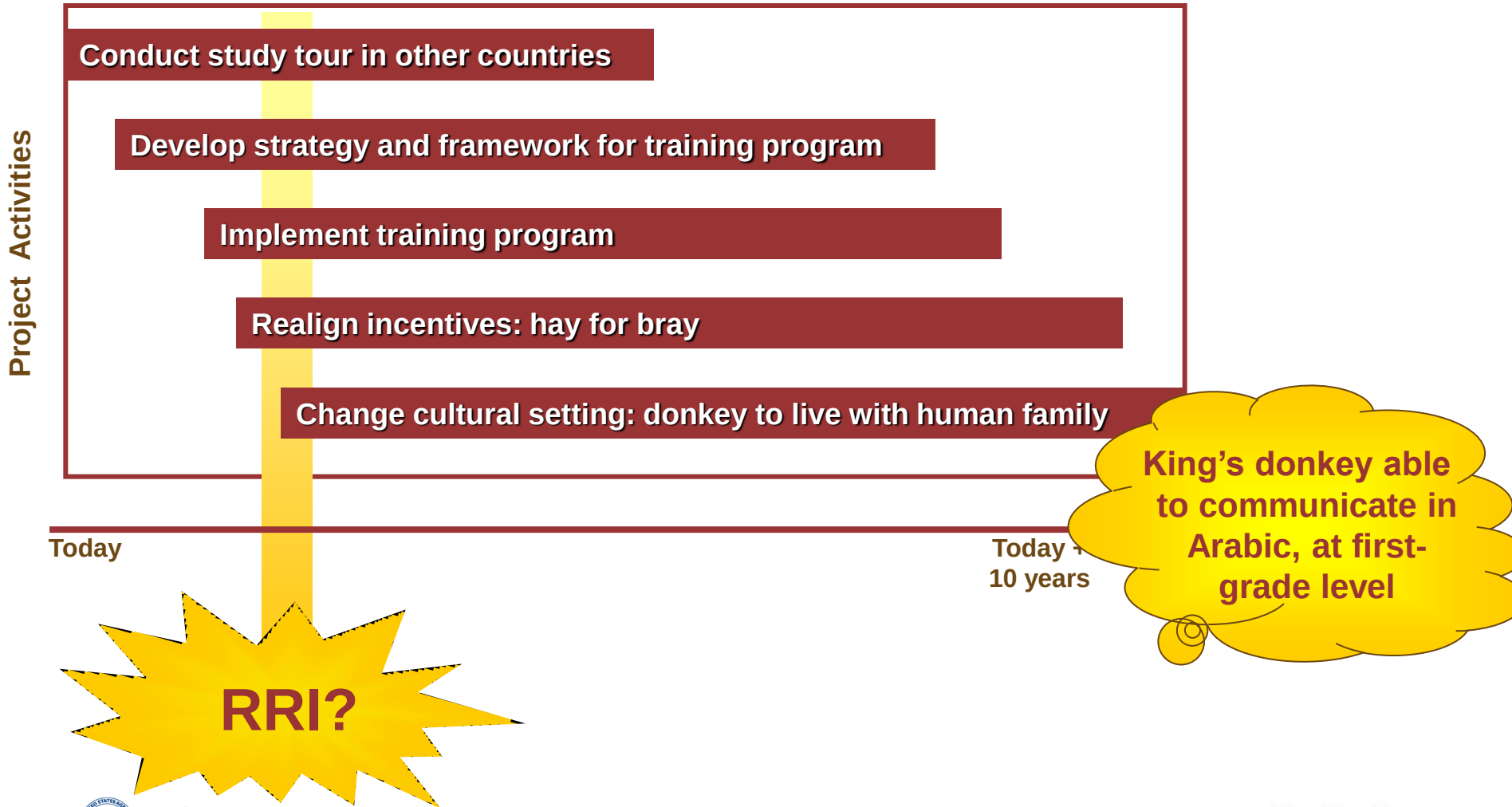
Adapted for use in public and non-profits in developing countries by The Rapid Results Institute (www.rapidresults.org) -

© Rapid Results Institute, Inc. 2011

Jeha, the King and the Donkey

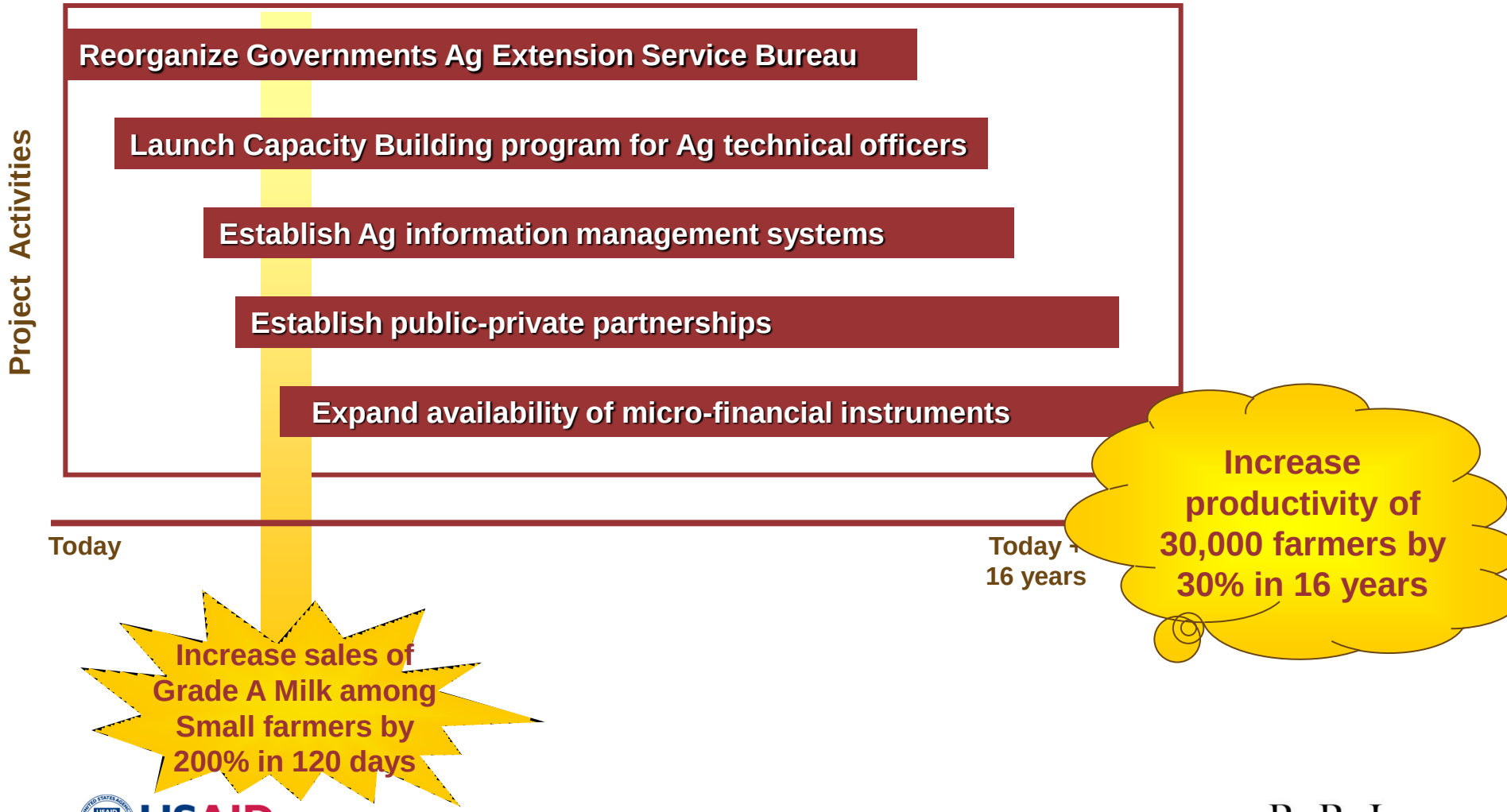
© Rapid Results Institute, Inc. 2011

Jeha, the King, and the Donkey…



© Rapid Results Institute, Inc. 2011

An Example from Nicaragua

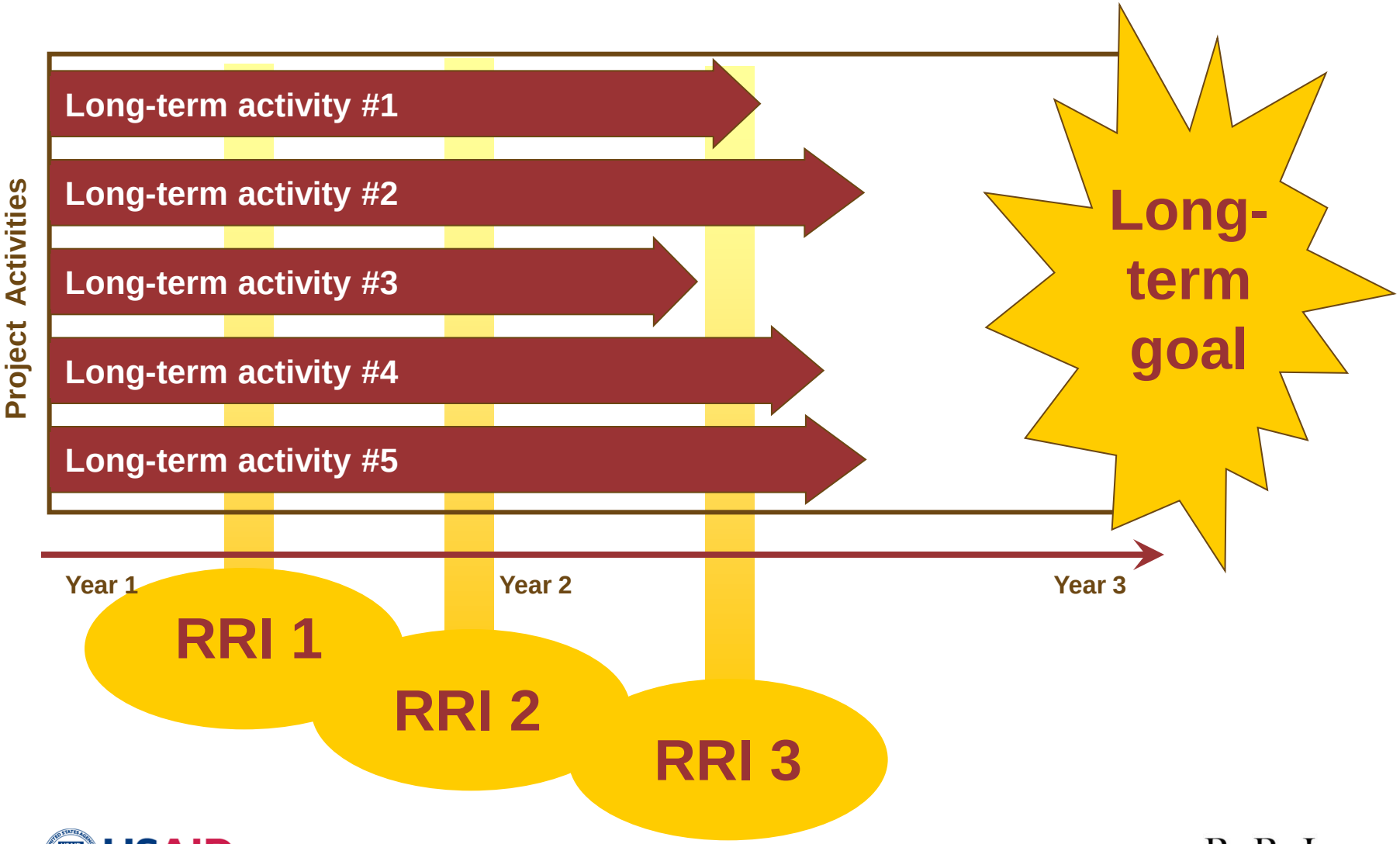


USAID FROM THE AMERICAN PEOPLE

© Rapid Results Institute, Inc. 2011

RRI Rapid Results Institute

RRIs and Long-term Goals



© Rapid Results Institute, Inc. 2011

THREE UNIQUE ELEMENTS OF AN RRI

Ambitious but realistic goals:

- Goals that can only be achieved through innovation versus “just by working harder”

Encouraging innovation from below:

- Front-line workers create their own action plans
- Experimentation is encouraged

Coaching Support: Specially trained facilitators

- Help teams think creatively
- Help strengthen team work

© Rapid Results Institute, Inc. 2011

RR Initiatives vs 100-day projects

Are Rapid Results Initiatives just projects with 100 day deadlines?

© Rapid Results Institute, Inc. 2011

RR Initiatives vs. 100-day projects

RRIs are designed to

- build permanent capacity for improved performance
- improve teamwork, creative thinking and management skills among RR participants
- produce local innovations and improvements to procedures and policies

© Rapid Results Institute, Inc. 2011

How do RRIs do this?

Ambitious but realistic goals:

- Goals that can only be achieved through innovation, versus “just by working harder”

Encouraging innovation from below

- Front-line workers create their own action plans
- Experimentation is encouraged

Coaching Support: Specially trained facilitators

- Help teams think creatively
- Help strengthen team work

© Rapid Results Institute, Inc. 2011

Please work in your table groups to identify two questions about Rapid Results

How we will use RRA….

- To accelerate implementation of NAIPs/RAIPs
- To build capacity of organizations involved in improving agricultural productivity

© Rapid Results Institute, Inc. 2011

How we will use RRA…

Our discussions with Senior Leaders identified the following areas where RRA will be applied:

- <<TBD>>
- <<TBD>>
- <<TBD>>

© Rapid Results Institute, Inc. 2011

Next Steps For RR Work

Following the break, RR Team(s) will:

- Continue discussion of the Rapid Results Approach
- Apply the Rapid Results Approach to NAIP/RAIP challenges
    - Develop RR Goals
    - Develop RR Tracking Charts

© Rapid Results Institute, Inc. 2011

Agenda

Discuss	Why “Rapid”?
	Why “Results”?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

© Rapid Results Institute, Inc. 2011

Key Takeaways

In your groups identify two key things you've taken away from Session 8, so far . . .

© Rapid Results Institute, Inc. 2011

Why “Rapid”

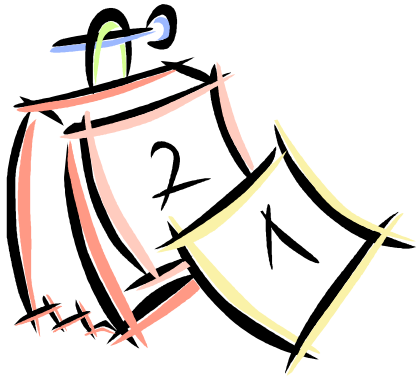
Based on our discussion about “Jeha, the King and the Donkey,” what are the advantages of having near-term deadlines?

© Rapid Results Institute, Inc. 2011

Why “Rapid”

Near-term deadlines (60-120 days) create…

- a feeling of urgency
- increased accountability
- opportunity for innovation/ experimentation



© Rapid Results Institute, Inc. 2011

Why “Results”?

In your groups, discuss:

- What is the difference between a “result” and an “activity”?

© Rapid Results Institute, Inc. 2011

Why “Results”?

In the following pairs of goals, identify the one that is more “results-oriented”

© Rapid Results Institute, Inc. 2011

Which is More of a “Result Goal”?

A

- Reduce crime rate in central business district

B

- Train police officers in Central Business District in new crime control techniques

© Rapid Results Institute, Inc. 2011

Which is More of a "Result Goal"?

A

- Develop strategy to reduce malaria cases by 20% in the next 100 days

B

- Reduce new cases of malaria from 36 cases to 25 cases per month in 100 days

© Rapid Results Institute, Inc. 2011

Which is More of a "Result Goal"?

A

- Increase average math and science scores for girls by 15%

B

- Build 5 new schools for girls focused on mathematics and science education

© Rapid Results Institute, Inc. 2011

Why “Results”?

Focus on results creates:

- broader space for learning, innovation & discovery
- more ownership of the solutions
- sense of accomplishment and pride
- confidence that we are on the right track

© Rapid Results Institute, Inc. 2011

Characteristics of an RRI

RRIs ARE:

Highly ambitious yet achievable

Easily-measured / Clearly defined

Urgent and important

Highly visible

RRIs ARE NOT:

Do the same, faster

A project to achieve first 100-day step in long-term plan

Picking the “low hanging fruit” / “quick wins”

New program, new budget

One-shot campaign

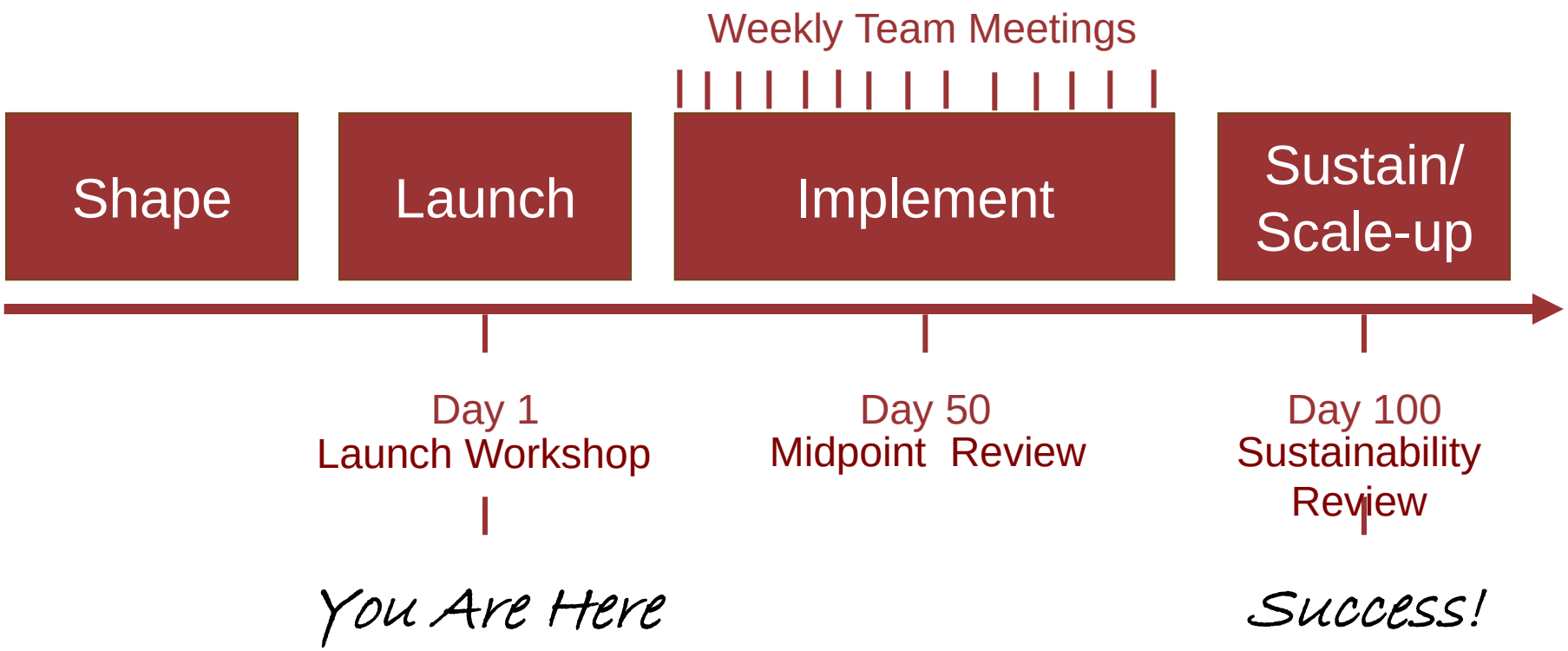
Top down

© Rapid Results Institute, Inc. 2011

What questions do you have about what is meant by “Rapid” and “Results”?

© Rapid Results Institute, Inc. 2011

The Phases of an RRI



© Rapid Results Institute, Inc. 2011

Implementation: Days 2-100

What happens at weekly/fortnightly team meetings?

- Update chart tracking results
- Brainstorm solutions to obstacles
- Update action plan
- Identify and discuss activities that need to be completed before next meeting

© Rapid Results Institute, Inc. 2011

Implementation: Days 2-100

What are the Midpoint and Sustainability Reviews?

- Formal presentations to Senior Leaders and Stakeholders
- Days 50 and 100
- Teams review results achieved to date, lessons learned
- Discussion on what innovations need to be scaled-up and/or sustained

© Rapid Results Institute, Inc. 2011

Roles and Responsibilities

Senior Leader

Team Leader

Team Members

Coach

© Rapid Results Institute, Inc. 2011

Senior Leader

- Provides the team with a performance challenge
- Holds team accountable for achieving their goal
- Provides team with the needed support and resources
- Helps Team Leader solve extraordinary problems

© Rapid Results Institute, Inc. 2011

Team Leader

- Provides day-to-day management of RRI project
- Leads and organizes team meetings
- Tracks and ensures team progress
- Motivates team members
- Reinforces accountability

© Rapid Results Institute, Inc. 2011

Team Members

- Use their knowledge, skills, and background to help the RRI succeed
- Complete action steps thoroughly and on time
- Participate actively in goal-setting, planning, reviewing progress, and documenting
- Communicate with the Team Leader and other Team Members about obstacles, successes, and lessons learned

© Rapid Results Institute, Inc. 2011

The Coach

- Helps Team Leader improve ability to manage team and project
- Helps facilitate group discussions
- Helps team engage in creative problem solving

© Rapid Results Institute, Inc. 2011

Who Does What?

Leader, Team Leader, Team Member or Coach?

Creates RRI goal?

Manages the team?

Holds team members accountable?

Reviews/approves team action plan?

(Senior Leader)

Supports the team?

(Senior Leader, Coach)

Creates challenge statement for the team?

(Senior Leader)

© Rapid Results Institute, Inc. 2011

Please work in your groups to identify your most burning question about your role in an RRI?

© Rapid Results Institute, Inc. 2011

Agenda

Discuss	Why “Rapid”?
	Why “Results”?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

© Rapid Results Institute, Inc. 2011

Rapid Results Goal Setting

Step 1: Review our Challenges

Step 2: Develop our goals

Step 3: Review and refine our goals

© Rapid Results Institute, Inc. 2011

Step 1: Reviewing our Challenge (II)

Please review your team's "challenge note". As a group, answer the following questions:

- What is the Senior Leader asking us to do?
- What have we done in the past in this area?
- What would we be proud to present to the Senior Leaders as major achievements in this area in 100 days?

© Rapid Results Institute, Inc. 2011

Step 2: Developing our Goals

As a group, please ***review*** the templates and decide which template you would like to use for your goal

- Which template resonates most with the team?
- Which template most directly addresses the challenge given to you by Senior Leaders?
- Which template produces the most opportunities for innovation and experimentation?

If none on the templates fit, please ask your coach for guidance on creating a new one.

© Rapid Results Institute, Inc. 2011

Templates for RRI Goals

<<TBD>>

© Rapid Results Institute, Inc. 2011

Step 3: Refining our Goals

Please fill in the missing values in the template:

- Performance target:
  - What is ambitious, but realistic?
  - What can be achieved within your current budget in 100 day time frame?
  - What level of success would make you proud to present to key stakeholders?

- Time: 60-120 days from today
  - Given what you think you need to accomplish to achieve the goal, is 100 days realistic? Too easy?
  - Adjust the time frame between 60 and 120 to reach the right balance (ambitious but realistic). Please calculate the exact end date.

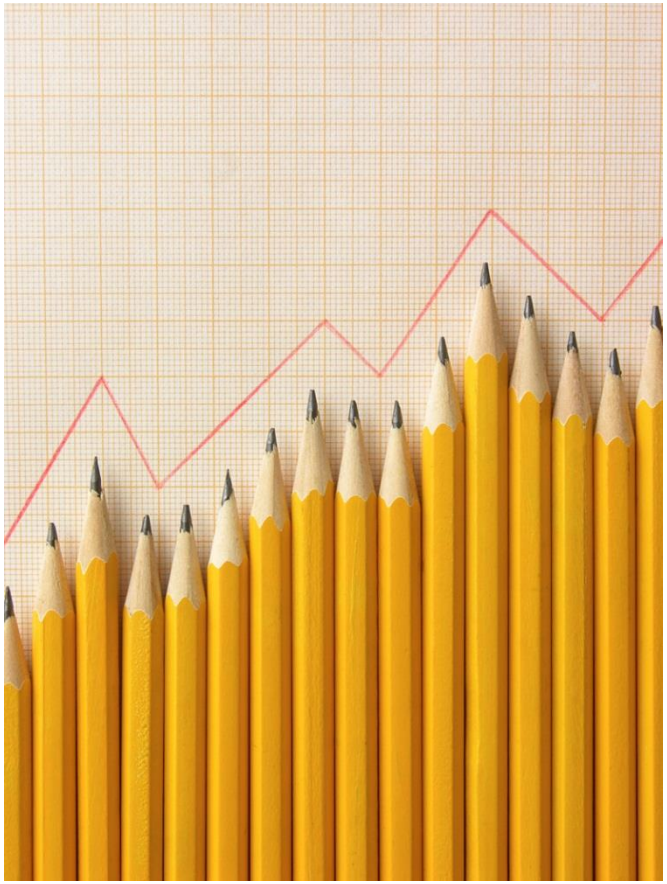
© Rapid Results Institute, Inc. 2011

Agenda

Discuss	Why “Rapid”?
	Why “Results”?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

© Rapid Results Institute, Inc. 2011

Developing a Tracking Chart

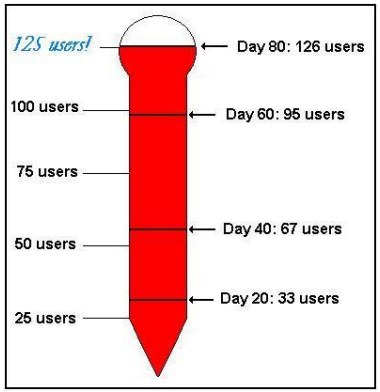


Why is it important to have a tracking chart for a project?

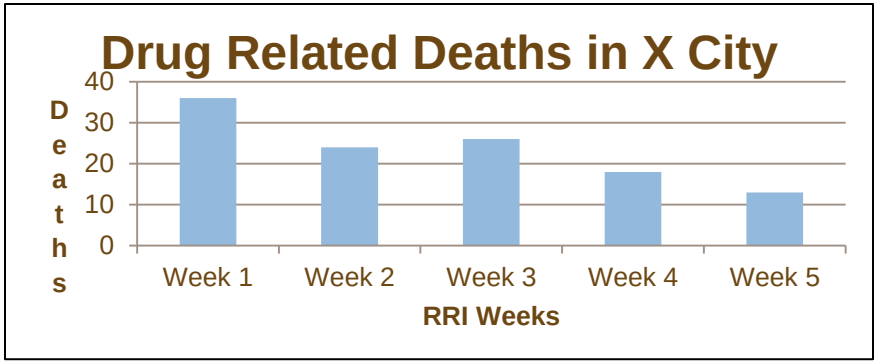
© Rapid Results Institute, Inc. 2011

Common Types of Tracking Charts

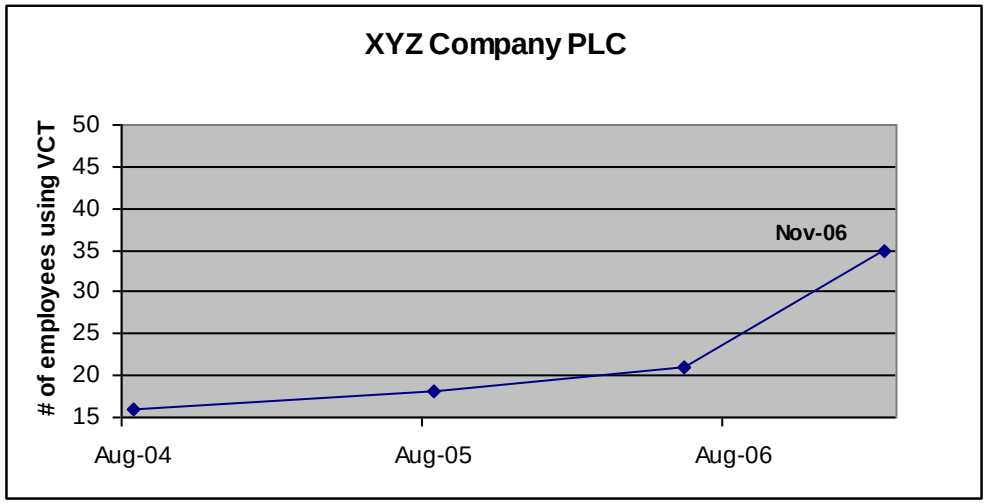
Thermometer



Bar Chart



Line Graph



© Rapid Results Institute, Inc. 2011

Tracking Charts

Step 1: As a team, decide which type of chart is most appropriate for you your goal?

- Line graph
- Bar chart
- Thermometer

© Rapid Results Institute, Inc. 2011

Tracking Charts

Step 2: Identify which two variables you are tracking (time is usually one of them)

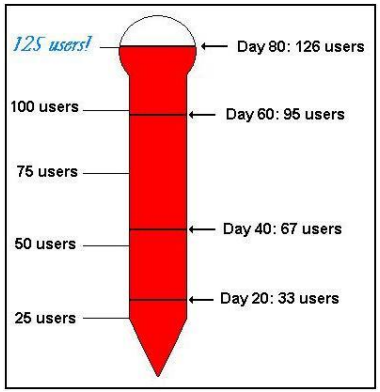
Step 3: Identify tracking period and intervals

- How soon after day 1 will you take your first measurement?
- How much time between each measurement?
- When will your last measurement be?

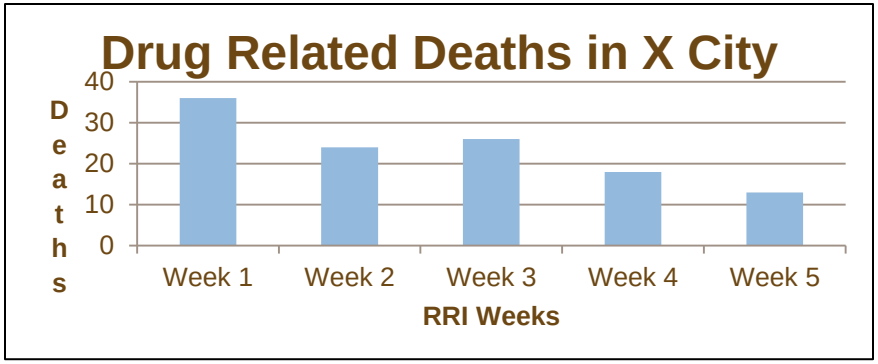
© Rapid Results Institute, Inc. 2011

Step 4: Draw Your Tracking Chart

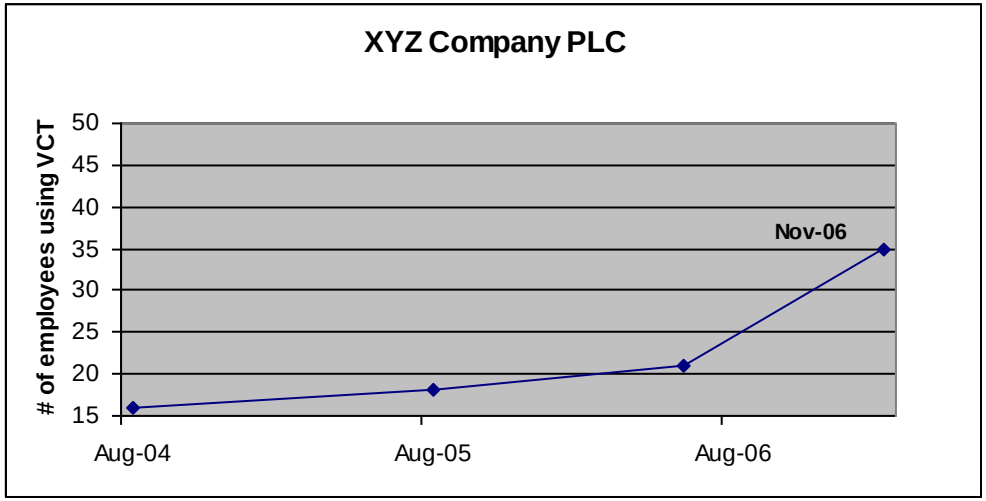
Thermometer



Bar Chart



Line Graph



© Rapid Results Institute, Inc. 2011

Tracking Charts

Step 5: Please decide as a group

- Where will it be posted?
- Who will be responsible for updating it?
- How often will they update it?

© Rapid Results Institute, Inc. 2011

Agenda

Discuss	Why “Rapid”?
	Why “Results”?
	Phases of an RRI
	Roles and Responsibilities in an RRI
Apply	Developing our Rapid Results Goals
	Developing our Tracking Charts
Imagine	Discussing Next Steps

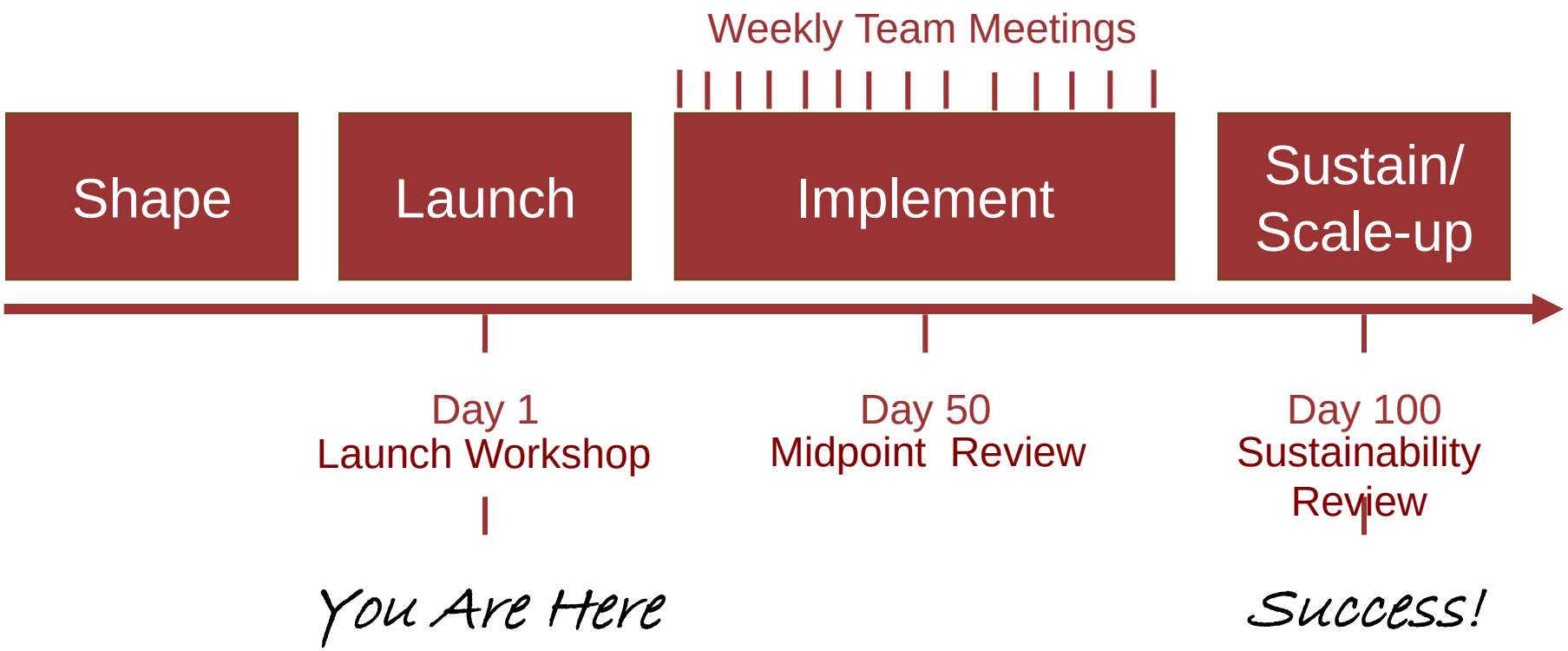
© Rapid Results Institute, Inc. 2011

Next Steps: Module 2

- Action Planning
- Review of Goal and Action Plan with Senior Leaders

© Rapid Results Institute, Inc. 2011

The Phases of an RRI



© Rapid Results Institute, Inc. 2011

Next Steps: After Module 2

Weekly/Fortnightly team meetings:

- Please take a minute to decide where/when the first meeting will be

Reviews with Senior Leaders:

- Informal: Monthly between Team Leader and Sr. Leaders
- Formal: Midpoint Review (Day 50) and Sustainability Review (Day 100)

© Rapid Results Institute, Inc. 2011

What questions do you have?

© Rapid Results Institute, Inc. 2011

LUNCH BREAK

Congratulations on really great work . . .

Take a break!

After lunch, we'll develop detailed action plans to accomplish our NAIP/RAIP Rapid Results goals.

© Rapid Results Institute, Inc. 2011

Session 9: Rapid Results Action Planning for NAIP/RAIP Implementation

Developed for Africa Lead

by The Rapid Results Institute, Inc.

Objectives

Work collaboratively to develop innovative, detailed action plans that achieve our Rapid Results goals

© Rapid Results Institute, Inc. 2011

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

© Rapid Results Institute, Inc. 2011

Rapid Results Action Plans

Please discuss in your groups: What makes a “good” action plan good, and a “bad” action plan bad?

© Rapid Results Institute, Inc. 2011

Rapid Results Action Plans

- Contain creativity / innovative ideas
  - This is your opportunity to:
    - » Try new things
    - » Set clear accountabilities

- All action steps:
  - Have a specific “due date”
  - Have one (and only one) person assigned as responsible
  - Are “Living Documents

© Rapid Results Institute, Inc. 2011

Living Documents

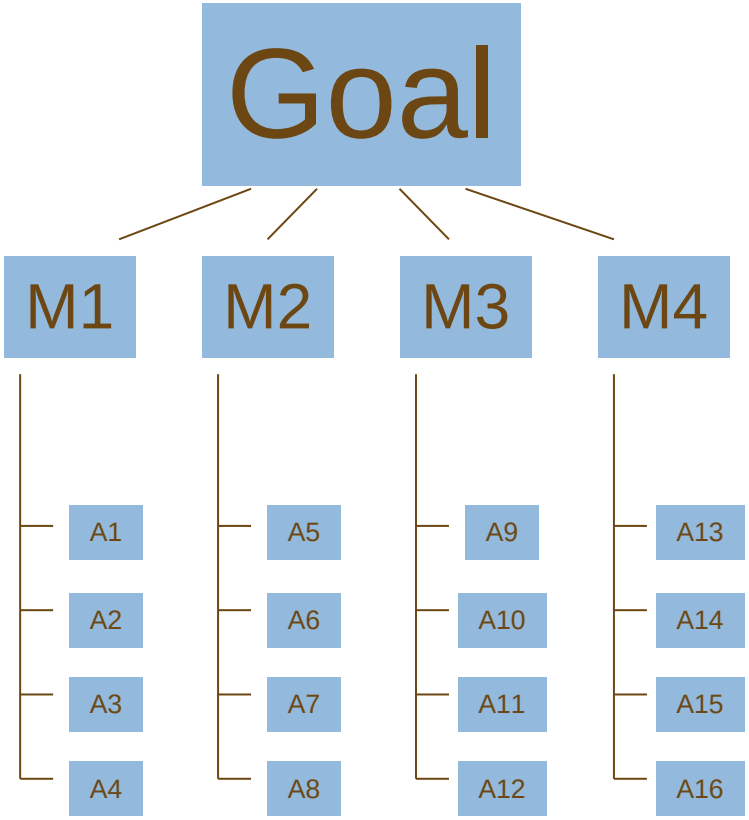
"If your action plan is the same at day 100 as it was at day 1, you haven't learned anything"

-Rapid Results Coach

Your action plan should change throughout the 100 days as you learn what experiments work and which do not

© Rapid Results Institute, Inc. 2011

Rapid Results Action Plans



3 Building Blocks:

The Goal:

– Team's common purpose

Milestones:

– Critical accomplishments/ events to manage

Action steps:

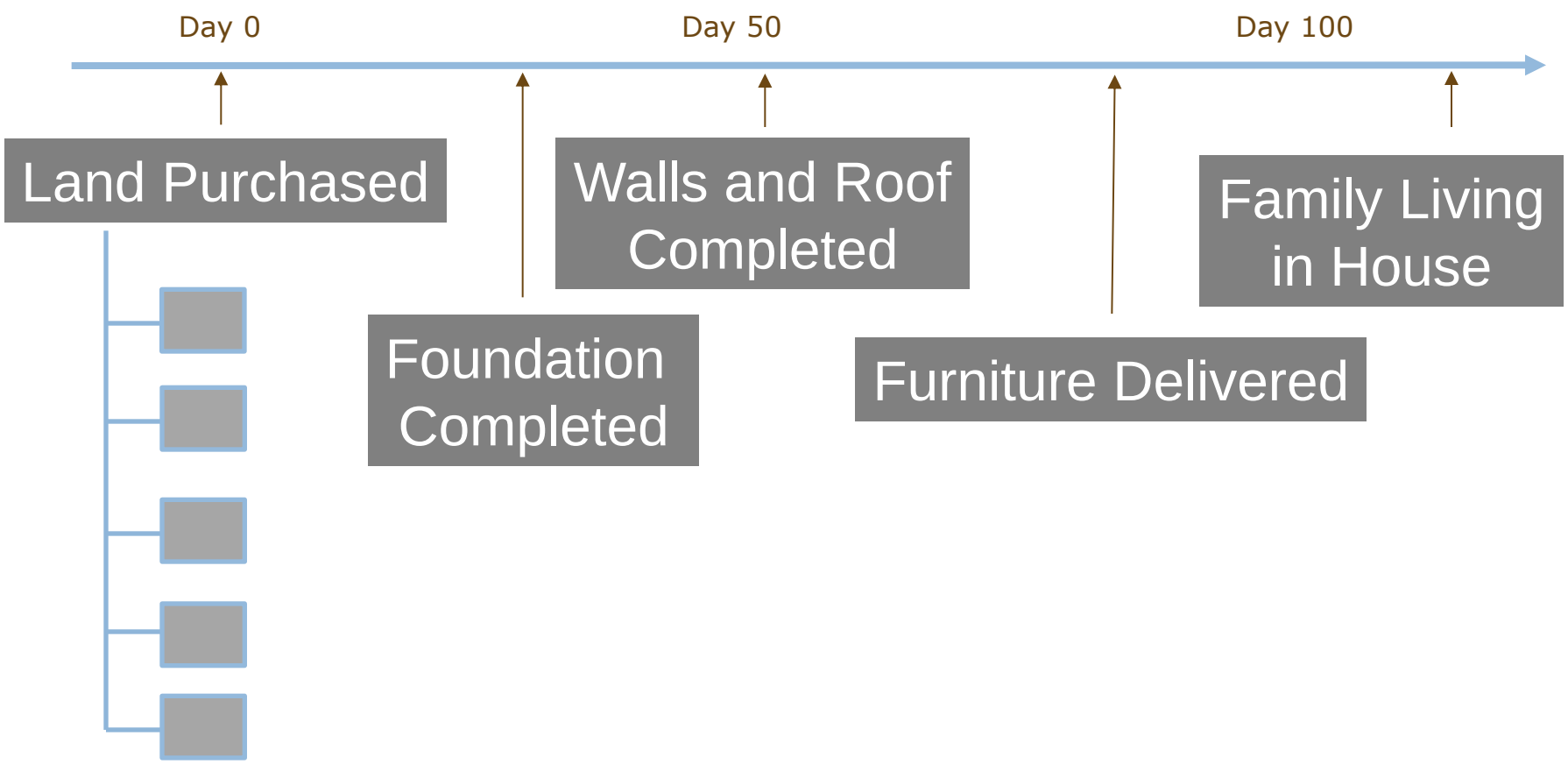
– Specific steps to be taken

– Assigned to individuals

– Explicit deadlines

© Rapid Results Institute, Inc. 2011

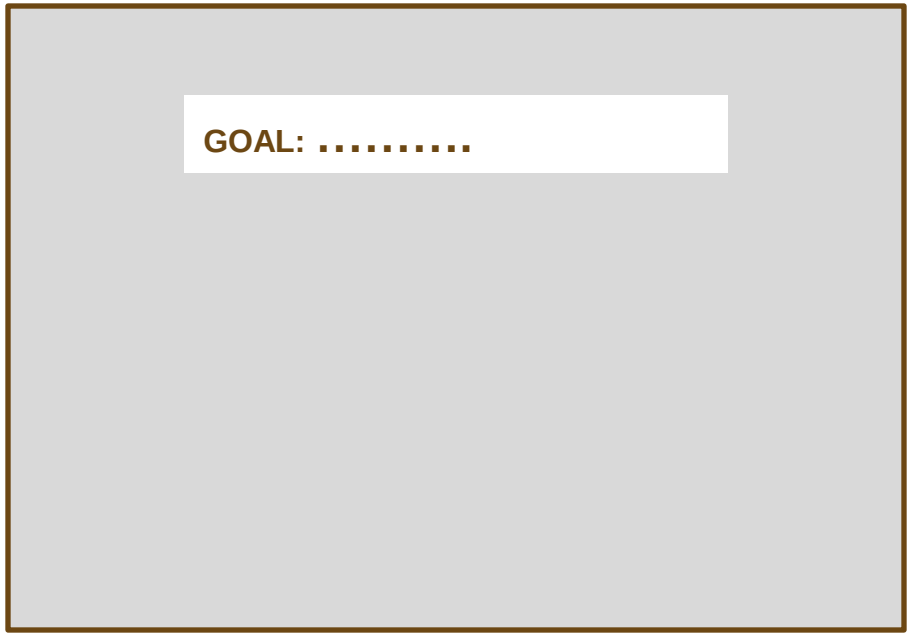
Example: RRI Action Plan



© Rapid Results Institute, Inc. 2011

The Goal

Please write your goal, in small print on the top of your flip chart



© Rapid Results Institute, Inc. 2011

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

© Rapid Results Institute, Inc. 2011

Developing Milestones

In groups of 2-3 identify the top 5-7 “major activities” that need to be completed to achieve your goal.

- Write one activity per sticky note
  - Each small group should hand in 5-7 sticky notes
- Make sure they are concrete
  - Bad: Have good team work
  - Good: Build foundation for house

© Rapid Results Institute, Inc. 2011

Developing Milestones

Combine all the sticky notes together at the center of the table

Help your Team Leader group the notes into common themes

Give each “Theme” a title that is in past tense

© Rapid Results Institute, Inc. 2011

Developing Milestones

Give each theme a title

- Should be in past test
- Should be specific: include details

Bad:	Better:	Best:
Build Foundation	Foundation Built	30” x 30” concrete foundation built

© Rapid Results Institute, Inc. 2011

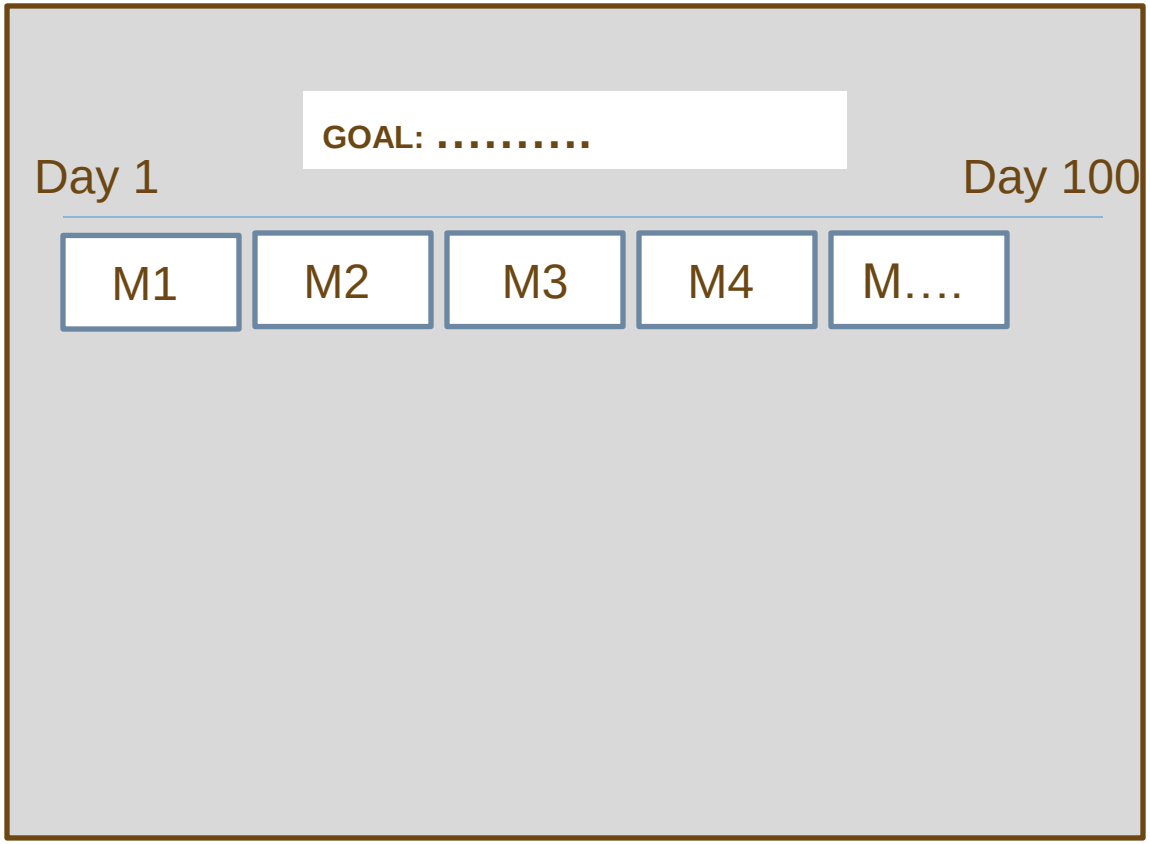
Developing Milestones

These themes are your milestones

Please place them in order on your flip chart

© Rapid Results Institute, Inc. 2011

Developing Milestones



© Rapid Results Institute, Inc. 2011

Developing Milestones

As a team, review your milestones

- Do you need to add in any milestones?
- Are any of the milestones vague? Can you add in more details?

© Rapid Results Institute, Inc. 2011

Refining Milestones

The three team members to the right of Team Leader: Please switch tables.

- Take 10 minutes to review the milestones of another team
  - Are they in past tense?
  - Do they need more detail?
- Discuss and review with your “host team” and revise as needed

© Rapid Results Institute, Inc. 2011

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

© Rapid Results Institute, Inc. 2011

Identifying Action Steps

Please look at your first milestone

- Identify 5-10 action steps needed to achieve this milestone
- One action step per sticky note

© Rapid Results Institute, Inc. 2011

Identifying Action Steps

5-10 Action Steps: Do not make action steps too small or big: It should be something that 1-3 people can do.

To Small:

Find Shovel

Just Right:

Excavate pit for North Wall

Too Big:

Excavate 30’ x 30’ pit

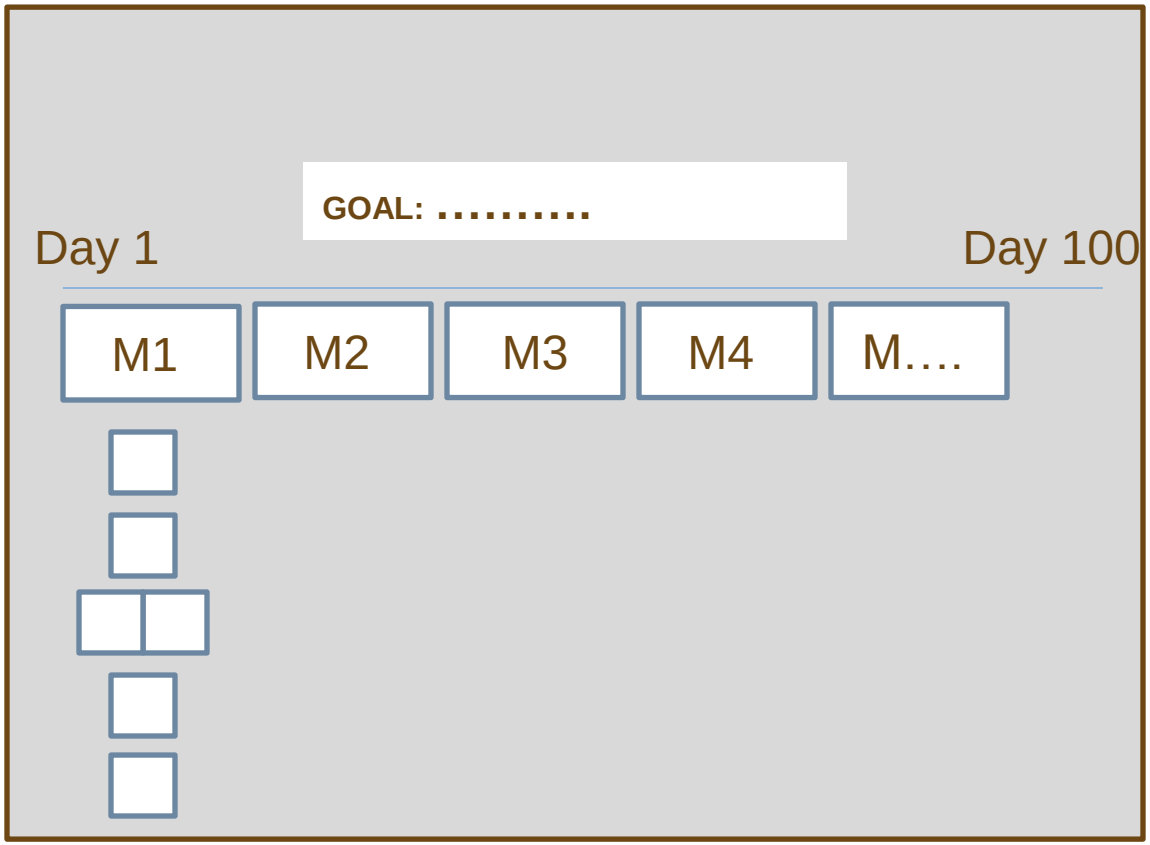
© Rapid Results Institute, Inc. 2011

Identifying Action Steps

Place action steps, in order under the first milestone

© Rapid Results Institute, Inc. 2011

Identifying Action Steps



© Rapid Results Institute, Inc. 2011

Identifying Action Steps

Repeat process for other milestones. Remember:

- One action step per sticky note
- Action steps should not be too small or to big
- Try for 5-10 action steps per milestone

© Rapid Results Institute, Inc. 2011

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

© Rapid Results Institute, Inc. 2011

Establishing Accountabilities

Assign a person responsible for each Action step

- Start with Milestone 1.
- It must be a person, not an office (e.g. “IT department”).
- The person assigned must be on the team.

© Rapid Results Institute, Inc. 2011

Establishing Accountabilities

The person assigned to an action step…

- Is NOT responsible for doing ALL the work associated with the Action Step

Instead, they are responsible for

- Coordinating efforts of other Team Members
- Keeping Team Leader informed on action step status
- Ensuring the action step is completed on time

© Rapid Results Institute, Inc. 2011

Establishing Accountabilities

Assign a due date to each action step

- Action Step X: Completed by XX/XX/XX
- Start with Milestone 1

© Rapid Results Institute, Inc. 2011

Agenda

Presentation	Elements of a Rapid Results Action Plan
Group Work	Developing RRI Milestones
	Identifying Action Steps
	Establishing Accountabilities
	Reviewing and Revising our Work

© Rapid Results Institute, Inc. 2011

Things to Add in

Please add a sticky note for each of the following:

- First week: Presentation to Senior Leaders (if not taking place tomorrow)
- First week: First team meeting
- Midpoint: Midpoint Review (calculate exact date)
- Endpoint: Sustainability Review (calculate exact date)

© Rapid Results Institute, Inc. 2011

Reviewing & Refining Our Action Plans

3 team members to the left of the Team Leader:

- Please review the action plan of a neighboring team
  - Is it realistic
  - Is it missing any milestones or action steps?
  - Are there any areas where key details are missing/where the plan is too vague

Work with your host team to revise the action plan, as needed

© Rapid Results Institute, Inc. 2011

Recording Our Plans

As a team decide

- Who will type up action plan?
- By what date will he/she distribute to the team?

Please also send to the team coach!

Team Scribe: Be sure you have the email addresses of all your teammates!

© Rapid Results Institute, Inc. 2011

Congratulations!

Be proud: You just completed a process that usually takes weeks (if not months!) in a matter of hours!

© Rapid Results Institute, Inc. 2011

Session 11: Next Steps for Rapid Results Teams, Resources and Skill Development Needed

Developed for Africa Lead

by The Rapid Results Institute, Inc.

Objectives

By the end of this session, participants will be able to:

- Prepare for presentations to Senior Leaders;
- Identify technical supports needed;
- Discuss the Coach's role; and
- Move immediately into the implementation phase of their RRI.

© Rapid Results Institute, Inc. 2011

Presentation to Senior Leaders

Typical Presentation:

- The Goal: Why is it ambitious, but realistic?
- The Action Plan
  - Review of Milestones (only)
  - What elements of the plan are creative / innovative?
- Special Authorizations (be reasonable)

© Rapid Results Institute, Inc. 2011

Presentations to Senior Leaders

As a team, identify:

- Who will confirm and communicate day and time of meeting
- Where the meeting will take place
- Who will prepare the presentation
- Who will present (Team Leader +?)

© Rapid Results Institute, Inc. 2011

Technical Training Needs

Based on your goal and work plan: What technical training needs will be essential to your success?

- Take 5 minutes to identify your top three training needs.

© Rapid Results Institute, Inc. 2011

The Coach's Role

What is the Coach's Role after this training? Identify 2-3 things the Coach should and shouldn't do.

© Rapid Results Institute, Inc. 2011

The Coach's Role

- Help Team Leader create agendas for team meetings
- Facilitate team meetings (when needed)
- Help team develop creative options when it encounters obstacles
- Liaise with technical training resources (DAI)

© Rapid Results Institute, Inc. 2011

The First Team Meeting

Team Leader: Make sure there is consensus in your group about the first team meeting:

- Where is it?
- When is it?
- What action steps need to be completed by then (and by whom)?
- When/where will the tracking chart be posted?
- When is the first update of the chart ?

© Rapid Results Institute, Inc. 2011

SESSION 12:

Wrap up and Closure

Objectives

By the end of this session, participants will:

- Have reviewed and refined their individual/ institutional/team action plans;
- Have identified the support required to help them move their plans forward;
- Have identified key learning from the training, and
- Given and received feedback on their leadership during the week.

Action Plan Review

- R- relevant
- E- exciting
- A – actionable
- L – long-lasting

Action Plan Support

- Immediate support
- Long-term support
- Personal support
- Organizational support
- Resources (human and material)

Key Learning

SESSION 1: INTRODUCTIONS AND OVERVIEW

SESSION 2: NAIP/RAIP OVERVIEW

SESSION 3: SUCCESS STORIES IN AGRICULTURAL PRODUCTIVITY – CHARACTERISTICS OF EFFECTIVE PROJECTS

SESSION 4: PROJECT MANAGEMENT OVERVIEW

SESSION 5: PROJECT DESIGN

Key Learning

SESSION 6: NAIP/RAIP SUPPORT MECHANISMS –

CONCURRENT TRACKS

Concurrent Session: Track 1 – Stakeholder Participation and Building and Managing Partnerships

Concurrent Session: Track 2 – Financial Management

Concurrent Session: Track 3 – Managing the Donor-Recipient Relationship

Concurrent Session: Track 4 – Managing People to Achieve Results

Concurrent Session: Track Reports

Key Learning

SESSION 7: MONITORING AND EVALUATION

SESSION 8: DESIGN AND IMPLEMENTATION OF RAPID RESULTS PROJECTS

SESSION 9: RAPID RESULTS ACTION PLANNING FOR NAIP/RAIP IMPLEMENTATION

Key Learning

SESSION 10: TEAMBUILDING – SUCCESS FACTORS FOR EFFECTIVE IMPLEMENTATION

SESSION 11: NEXT STEPS FOR RAPID RESULTS TEAMS, RESOURCES AND SKILL DEVELOPMENT NEEDED

Leadership Feedback

"I really appreciated your leadership when you…"

Be as specific as possible.

Identify the impact.

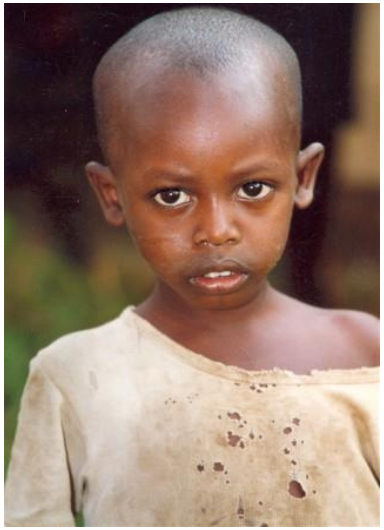
USAID FROM THE AMERICAN PEOPLE

SEE FEED CHANGE FUTURE

Africa Lead
Scaling up for food security in Africa

Her future and the future of Africa's children depends on you . . .

ARE YOU READY?



CONCURRENT SESSION: TRACK 1 – STRATEGIC INFLUENCING FOR STAKEHOLDER PARTICIPATION AND COLLABORATION

Objectives	By the end of the session, participants will be able to: ▪ Identify stakeholders involved in the agricultural productivity process; ▪ Describe strategies for stakeholder analysis and stakeholder mapping; ▪ Apply a framework for strategic influencing with different audiences; and ▪ Analyze an audience and craft a message that meets their needs.
Total Time	3 hours, 30 minutes
Materials	▪ CS1.1, Stakeholder Analysis and Stakeholder Mapping ▪ CS1.2, Strategic Influencing Framework ▪ CS1.3, Strategic Influencing Skills ▪ CS1.4, Getting Buy-in and Support: Message Development – Knowing the Audience ▪ CS1.5, Getting Buy-in and Support: Crafting Messages for the Media ▪ CS1.6, Building and Maintaining Collaboration. ▪ CS1.7, Effective Collaboration - Discussion ▪ CS1.8, Strategic Influencing – Individual Planning Worksheet

Procedure		Steps	
			PW, pp. 1-16
5 min		**INTRODUCTION** **WELCOME** participants to Concurrent Session Track 1 – Strategic Influencing for Stakeholder Participation and Collaboration. **SAY** that, in this session, we will ask you to reflect on some of the strategic priorities from the NAIP or RAIP identified in Sessions 2 and 3 on the first day of the workshop or to focus on the agricultural productivity challenge statement that you may have received from a senior leader in your organization. We will explore how to align different audiences behind a strategic priority. Bringing about change – enhancing agricultural productivity in your country/region – is not just about what we do; it is also about who we reach out to and who we influence to back and support the changes we are trying to bring about. **Note:** Facilitators will need to work with country/region CAADP representatives in advance of the workshop, or at the beginning of the workshop, to identify strategic priorities from the NAIP/RAIP. Alternatively, facilitators will review challenge statements that may have been provided by senior leaders of organizations to the Rapid Results Initiative (RRI) teams attending the Module 2 workshop. It will be helpful for participants, individually, to focus on specific agricultural productivity strategic priorities during this concurrent session. **PRESENT** the session objectives (see PowerPoint slides) and steps in the session to meet these goals.	PW, p. 1
30 min		**PRESENTATION ON STAKEHOLDER ANALYSIS AND STAKEHOLDER MAPPING** (Adapted from Georgetown University, Business Development Workshop, MSFS 747, Stakeholder and Risk Analysis, October 3, 2011, Professor Tony Barclay) **REFER** participants to CS1.1, Stakeholder Analysis and Stakeholder Mapping, and **PRESENT** the following stakeholder analysis and mapping concepts and strategies using PowerPoint slides. **FACILITATE** discussion and **RESPOND** to questions throughout this presentation. **Note:** For the three "Stakeholder Mapping" slides in the slide deck which follows, if possible, substitute the information on these slides with examples that are specific to the NAIP/RAIP. If the Kenya Maize Development Program (KMDP) slides are used, briefly describe the KMPD, as follows: ▪ The Kenya Maize Development Program (KMDP) is a USAID-funded effort, led by ACDI/VOCA, which was funded under a cooperative agreement to increase rural household incomes. KMDP works to boost	PW, pp. 2-5

Procedure	Steps
	household incomes by raising productivity, improving the effectiveness of smallholder organizations and increasing access to agricultural markets and business support services. The program involves a diverse consortium of partners within the maize value chain, including the Cereal Growers Association of Kenya, Farm Input Promotions Africa Ltd. (FIPS), and the Kenya Agricultural Commodity Exchange (KACE). ***What is a Stakeholder?*** • Any individual, community, group, or organization with an **interest** in the outcome of a program as a result of being affected positively or negatively by its outcome • Any individual, community, group, or organization with the potential to **influence** the program positively or negatively, by its actions, statements, or other behavior. • Stakeholders are typically diverse and numerous. ***Why do a Stakeholder Analysis?*** • Identify the interests of all stakeholders who may either affect or be affected by the proposed program • Uncover potential conflicts or risks that could jeopardize the feasibility of the program • Disaggregate larger groupings to capture the concerns of less powerful (e.g. women) or marginalized (ethnic minorities) • Ensure that the design doesn't overlook or sidestep negative consequences ("Do No Harm" principle) • Identify potential participants for a collaborative LogFrame or Results Framework analysis in the design process • Analyze key existing relationships (or opportunities to build new ones) that will facilitate implementation

Procedure	Steps

Stakeholder Mapping for the Kenya Maize Development Program (KMDP): Step 1

Draw a box with three columns:

Stakeholder Group	Interest in Program	Effect on Program
Medium-Scale Farmers	Expected to increase their production if farm-gate prices rise	+
Informal Traders	Trading margins will be reduced by liberalization	-
Wholesale Traders	Benefit from lower haulage costs	+
Local *Posho* Millers	Market niche won't change	o
Large-Scale Farmers	Can expand market reach to grain deficit areas of the country	+
Poor Urban Consumers	Will pay lower maize meal prices	+
National Cereals Board	Must compete in the market based on price and service	-

Stakeholder Mapping (KMDP): Step 2

Draw a box with three columns:

Stakeholder Group	Importance to Program	Influence on Program
Medium-Scale Farmers	5	2
Informal Traders	3	1
Wholesale Traders	4	3
Local *Posho*Millers	2	1
Large-Scale Farmers	3	4
Poor Urban Consumers	4	4
National Cereals Board	1	5

TELL participants that exploring a stakeholder's "importance" to the program is one way of assessing that stakeholder's potential "impact" on the program.

EXPLAIN to participants that Step 2 of the mapping exercise uses a five-point scale, with five indicating a high level of importance or influence and one indicating a low level of importance or influence.

Procedure	Steps

Stakeholder Mapping (KMDP) : Step 3

Draw a 4 x 4 matrix:

High Importance, Low Influence **e.g. Medium-Scale Producers**	***High Importance, High Influence*** **e.g. Wholesalers**
Low Importance, Low Influence e.g. Local *Posho* Millers	*Low Importance, High Influence* e.g. NCPB Officials

ASK participants how they might use information, such as that in the 4 x 4 matrix, to achieve the strategic priorities of the NAIP/RAIP.

SHARE the suggestions for working with different types of stakeholders described in the following slide:

Using the Stakeholder Map

Each subset is likely to require a different approach:

- For high importance/low influence groups, stakeholder interests may need special measures to mitigate adverse impacts
- With high importance/high influence groups, program designers and managers must develop good working relationships
- High influence/low importance groups may be able to interfere with the program, and thus require a different type of engagement (direct or indirect)
- Low importance/low influence groups require a limited level of monitoring from the program, to ensure that assumptions about them remain valid

Procedure		Steps	
10 min		**APPLYING STAKEHOLDER ANALYSIS AND STAKEHOLDER MAPPING TO THE STRATEGIC PRIORITIES OF THE NAIP/RAIP** **INTRODUCTION** **TELL** participants to turn in their binder to Document CS1.2, GETTING BUY-IN AND BUILDING ALLIANCES, and **GIVE** them a couple minutes to read through it. Then **ASK**: What point(s) would you especially underscore because you already do it and it works? **EXPLAIN** that for the next activity they will be working in small groups and that each group will focus on either (1) an agricultural productivity strategic priority identified by a senior leader from their organization ***or*** a strategic priority from the NAIP/RAIP. **Trainer Note: ASSIGN** or **ALLOW** participants to self-select an agricultural productivity strategic priority, as referenced above. Participants may work on strategic priorities individually or in small groups.	PW, p. 6
		STRATEGIC ALLIANCES – SMALL GROUP TASK **REFER** participants to CS1.3, STRATEGIC ALLIANCES – SMALL GROUP TASK and **GIVE** small groups the following task:	PW, p. 7
		PowerPoint Slide ***Strategic Alliances – Small Group Task*** 1. For the strategic priority assigned to your small group, complete Step 1 of the Stakeholder Mapping process: ▪ Identify at least four stakeholder groups for your assigned strategic priority. ▪ For each stakeholder group, state briefly that group's interest in the strategic priority. ▪ For each stakeholder group, identify their likely effect on the accomplishment of the strategic priority, positive (+) or negative (-). 2. For the strategic priority assigned to your small group, complete Step 2 of the Stakeholder Mapping process: ▪ For each stakeholder group, identify their ***importance*** to the accomplishment of the strategic priority (on a 5-point scale, with 5 being high and one being low), and ▪ For each stakeholder group, identify their level of ***influence*** on the strategic priority (on a 5-point scale, with 5 being high and one being low)	

Procedure		Steps	
		3. For the strategic priority assigned to your small group, complete Step 3 of the Stakeholder Mapping process: ▪ Draw a 4 x 4 matrix, placing each of your stakeholder groups in one of the following categories: High Importance/Low Influence, High Importance/High Influence, Low Importance/Low Influence or Low Importance/High Influence. Record on flipchart Be prepared to share with the full group some highlights of your discussion. You have ***1 hour*** to complete this set of tasks.	
15 min		***BREAK***	
20 min		After the tea/coffee break, **ASK** each group to share highlights of their small group discussions. **ALLOW** the other groups to ask clarifying questions and give tips and advice for influencing potential allies from their own experiences. **PROVIDE** your own positive feedback and any additional suggestions not yet mentioned.	
20 min		**TARGET GROUPS REQUIRING LOTS OF OUTREACH** **SAY** that we have been talking about alliance building and how, for a variety of reasons, some individuals and groups could require lots of outreach. ASK participants for examples of individuals and/or groups which might require lots of outreach. **ASK:** ▪ What lessons and strategies can you share with us about reaching out to different audiences through presentations, speaking engagements and interviews with local media? Then, **ASK** participants to turn in their binder to Document CS1.4, GETTING BUY-IN AND SUPPORT: MESSAGE DEVELOPMENT – KNOWING YOUR AUDIENCE. **USE** the PowerPoint Slides with key points to **HIGHLIGHT**, as follows: ▪ ***Knowing Your Audience: What's In It for Them?*** [WIIFM] ➢ Different audiences have serious concerns of their own. Sit in their seats and imagine how they would answer the question – What's in it for me (WIIFM)? Then, ❑ List the primary benefits of your talk to the particular audience. ❑ Try to determine their needs so you can include them in your meeting. ❑ Get inside their minds and discover their interests and values. Then acknowledge them. ❑ Decide where you might have mutual benefits and point them out.	PW, pp. 8-9

Procedure		Steps	
		■ ***Remember…*** ➢ The power in speaking to "what's in it for them" is to remind you that your audience is made up of real people with legitimate interests. Your most persuasive meetings will address those interests and concerns. **ASK** participants to turn in their binder to Document CS1.5, GETTING BUY-IN AND SUPPORT: CRAFTING MESSAGES FOR THE MEDIA. See the PowerPoint Slides with key points to **HIGHLIGHT**, as follows: ■ ***Prepare "Commercials" in advance*** ➢ For any interview, you should prepare messages in advance for anticipated questions. You should also prepare "commercials" – positive messages that are timely for the given audience. ➢ Interject your commercials between the reporter's questions. In other words, you respond to the question, and then say: "I would like to add another important point," followed by your commercial. ■ ***Voice Tone and Body Language*** ➢ Well-crafted messages will help you communicate more effectively. Voice tone and body language will add or detract from the power of your words. ➢ **ASK** participants for reactions to the suggestions in the article about voice tone and body language.	PW, pp. 10-12
25 min		**PRINCIPLES OF EFFECTIVE COLLABORATION – INTERACTIVE PRESENTATION AND DISCUSSION** **SAY**, as individuals and groups come "on board" and commit to partner with us to achieve our objectives, we will need to pay particular attention to how we will build and sustain these working relationships. **ASK** participants to turn in their binder to Document CS1.6, PRINCOPLES OF EFFECTIVE COLLABORATION. **HIGHLIGHT** the collaboration wheel metaphor and very briefly clarify the 10 components (PowerPoint) to assure all participants understand what they mean. **Ten Essential Components of Collaboration** ■ Vision and Desired Outcomes ➢ Partnerships need members and leaders who can develop compelling visions with a strong sense of purpose that defines the specific outcomes to be achieved ■ Strong, shared leadership ➢ Leaders need to demonstrate their eagerness to build shared ownership of the problem and outcomes ➢ They must model trust-building actions.	PW, pp. 13-14

Procedure		Steps	
		■ Attention to process ➢ Partnerships need to reach agreement on guidelines on communication, decision making, conflict resolution, and giving and receiving feedback ■ Alliance Structure ➢ Shared problem definition and approach ➢ Power equity ■ Trust, respect, and commitment ➢ People doing what they say they will do ➢ Sharing successes with others ➢ Taking responsibility for mistakes ■ Credit and recognition ■ Mutual accountability ➢ Partnerships with agreed-upon norms and sanctions are better able to hold members accountable ■ Resources ➢ Partners need to recognize their interdependence and complementarily ➢ Partners need to see that together the alliance will create new value – something the partners could not do on their own. ■ Explicit decision making processes ➢ Members must establish clear agreements on the way partners will make decisions ➢ The decision-making process must allow for active participation and consensus building ■ Communication linkages ➢ It is wise to create multiple communication links among the partners at senior levels as well as at operational levels **REFER** participants to CS1.7, EFFECTIVE COLLABORATION – DISCUSSION, then **ASK** participants at their tables to take a few minutes to discuss the following question: From your experience, what one or two components would you especially underscore as important, and why?	PW, p. 15

Procedure		Steps	
		PowerPoint Slide ***Collaborative Relationships*** Discuss for a few minutes at your table: ▪ From your experience, what one or two components would you especially underscore as important, and why? 5-6 minutes	
10 min		After 5-6 minutes, **TAKE** a few examples from different tables. **ACKNOWLEDGE** participant contributions and **RECORD** these most important components on flipchart. **Individual Planning Worksheet** **PROVIDE HIGHLIGHTS** of the session and **ASK** participants to complete Document CS1.8, STRATEGIC INFLUENCING – INDIVIDUAL PLANNING WORKSHEET.	PW, p. 16
15 min		**Closing** **ASK** participants to share responses to questions #4 and #5. **ADVISE** participants that we will engage in detailed action planning later in the workshop and **ASK** them to remember and incorporate their individual action plan items, as appropriate, during that process.	

CONCURRENT SESSION: TRACK 1 – STRATEGIC INFLUENCING FOR STAKEHOLDER PARTICIPATION AND COLLABORATION

Objectives	By the end of the session, participants will be able to: ▪ Identify stakeholders involved in the agricultural productivity process; ▪ Describe strategies for stakeholder analysis and stakeholder mapping; ▪ Apply a framework for strategic influencing with different audiences; and ▪ Analyze an audience and craft a message that meets their needs.

CS1.1 STAKEHOLDER ANALYSIS AND STAKEHOLDER MAPPING

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, Stakeholder and Risk Analysis, October 3, 2011, Adjunct Professor Albert H. (Tony) Barclay, Ph.D.)

What is a Stakeholder?

- Any individual, community, group, or organization with an **interest** in the outcome of a program as a result of being affected positively or negatively by its outcome
- Any individual, community, group, or organization with the potential to **influence** the program positively or negatively, by its actions, statements, or other behavior.
- Stakeholders are typically diverse and numerous.

Why do a Stakeholder Analysis?

- Identify the interests of all stakeholders who may either affect or be affected by the proposed program
- Uncover potential conflicts or risks that could jeopardize the feasibility of the program
- Disaggregate larger groupings to capture the concerns of less powerful (e.g. women) or marginalized (ethnic minorities)
- Ensure that the design doesn't overlook or sidestep negative consequences ("Do No Harm" principle)
- Identify potential participants for a collaborative LogFrame or Results Framework analysis in the design process
- Analyze key existing relationships (or opportunities to build new ones) that will facilitate implementation

Stakeholder Mapping for the Kenya Maize Development Program (KMDP): Step 1

Draw a box with three columns:

Stakeholder Group	Interest in Program	Effect on Program
Medium-Scale Farmers	Expected to increase their production if farm-gate prices rise	+
Informal Traders	Trading margins will be reduced by liberalization	-
Wholesale Traders	Benefit from lower haulage costs	+
Local *Posho* Millers	Market niche won't change	o
Large-Scale Farmers	Can expand market reach to grain deficit areas of the country	+
Poor Urban Consumers	Will pay lower maize meal prices	+
National Cereals Board	Must compete in the market based on price and service	-

Note: *The Kenya Maize Development Program (KMDP) is a USAID-funded effort, led by ACDI/VOCA, which was funded under a cooperative agreement to increase rural household incomes. KMDP works to boost household incomes by raising productivity, improving the effectiveness of smallholder organizations and increasing access to agricultural markets and business support services. The program involves a diverse consortium of partners within the maize value chain, including the Cereal Growers Association of Kenya, Farm Input Promotions Africa Ltd. (FIPS), and the Kenya Agricultural Commodity Exchange (KACE).*

Stakeholder Mapping (KMDP): Step 2

Draw a box with three columns:

Stakeholder Group	Importance to Program	Influence on Program
Medium-Scale Farmers	5	2
Informal Traders	3	1
Wholesale Traders	4	3
Local *Posho*Millers	2	1
Large-Scale Farmers	3	4
Poor Urban Consumers	4	4
National Cereals Board	1	5

Exploring a stakeholder's "importance" to the program is one way of assessing that stakeholder's potential "impact" on the program.

Step 2 of the mapping exercise uses a five-point scale, with five indicating a high level of importance or influence and one indicating a low level of importance or influence.

Stakeholder Mapping (KMDP): Step 3

Draw a 4 x 4 matrix:

High Importance, Low Influence **e.g. Medium-Scale Producers**	***High Importance, High Influence*** **e.g. Wholesalers**
Low Importance, Low Influence e.g. Local *Posho* Millers	*Low Importance, High Influence* e.g. NCPB Officials

How might you use information, such as that in the 4 x 4 matrix, to achieve the strategic priorities of the NAIP/RAIP?

Using the Stakeholder Map

Each subset is likely to require a different approach:

- For high importance/low influence groups, stakeholder interests may need special measures to mitigate adverse impacts
- With high importance/high influence groups, program designers and managers must develop good working relationships
- High influence/low importance groups may be able to interfere with the program, and thus require a different type of engagement (direct or indirect)
- Low importance/low influence groups require a limited level of monitoring from the program, to ensure that assumptions about them remain valid

CS1.2 GETTING BUY-IN AND BUILDING ALLIANCES[1]

A great vision for change is not enough. As a leader, you must be able to attract the right supporters for the strategic priority and get buy-in from individuals and groups who might be in a position to help or harm the change initiative at later stages. Below are some suggested actions you might take to get buy-in and begin to build alliances who will support and help carry out the strategic priority.

1. Reach deeply into, across, and outside your immediate sphere of influence to identify key influencers and get them interested and supportive.
2. Get the support of power holders–those who possess resources, information, and credibility that can be invested in the change to begin building momentum.
3. Speak to many people, gather information, and plant ideas for the change. Meet with people one-on-one before convening larger meetings in order to prepare people for the change.
4. Communicate and over-communicate the vision and positive outcomes for the change to different audiences using different methods and media.
5. Widen the coalition over time and move people toward more active support. Show the benefits of the change and how it fits what people need.

[1] Adapted from *Leadership for Change*, by Rosabeth Moss Kanter

CS1.3 STRATEGIC ALLIANCES – SMALL GROUP TASK

INSTRUCTIONS

- For the strategic priority assigned to your small group, complete Step 1 of the Stakeholder Mapping process:
  - Identify at least four stakeholder groups for your assigned strategic priority.
  - For each stakeholder group, state briefly that group's interest in the strategic priority.
  - For each stakeholder group, identify their likely effect on the accomplishment of the strategic priority, positive (+) or negative (-).
- For the strategic priority assigned to your small group, complete Step 2 of the Stakeholder Mapping process:
  - For each stakeholder group, identify their ***importance*** to the accomplishment of the strategic priority (on a 5-point scale, with 5 being high and 1 being low).
  - For each stakeholder group, identify their level of ***influence*** on the strategic priority (on a 5-point scale, with 5 being high and 1 being low).
- For the strategic priority assigned to your small group, complete Step 3 of the Stakeholder Mapping process:
  - Draw a 4 x 4 matrix, placing each of your stakeholder groups in one of the following categories: High Importance/Low Influence, High Importance/High Influence, Low Importance/Low Influence or Low Importance/High Influence.
- Record each step on flipchart.
- Be prepared to share some highlights of your discussion with the full group.
- You have 1 hour to complete this set of tasks.

CS1.4 GETTING BUY-IN AND SUPPORT: MESSAGE DEVELOPMENT[2]

AUDIENCE ANALYSIS

In general, whether talking to a group or individual you should prepare by answering a basic set of questions about each potential audience. If you don't know the answers, you will want to contact others who are familiar with the person or group to get some background information. Your main goal is to deliver the information you want to get across in a way that speaks to the unique needs of the individual or group.

- What level of knowledge do they have about the strategic priority or change initiative?
- What will be their general attitude?
  - Friendly...Receptive...Neutral...Unpredictable...Resistant...Hostile
- What do they expect or hope to hear from you?
- What information may be new or surprising to them?

WIIFMS

In addition, every person with whom you communicate is tuned in to their own personal receiving station WIIFM (What's In It For Me?). The people with whom you interact have serious concerns of their own. Sit in their seats and imagine how they will listen to what you have to say:

- Consider how the information will benefit them.
- Try to determine their needs so you can include, even link them to the information you are trying to get across.
- Get inside their minds and discover their interests, values so you can acknowledge them.
- Decide where you might have mutual interests and point them out.
- In sum, describe the positive outcomes waiting for them at the end if they support and help achieve your vision.

Remember…

The power in speaking to "what's in it for them" is to remind you that your audience is made up of real people with legitimate interests. Your most persuasive communication will address those interests and concerns.

[2] TRG, Inc. Revised 2009

COMMUNICATION GOAL

Decide what your goal is for the meeting or presentation. Here are some questions which might help you define your goal:

- Why are you meeting with this audience?
- What do you hope they will take away with them after the meeting?
- What outcomes do you want?
- What specific actions do you want to see happen as a result of this meeting?
- Two months from now, what do you want people to remember?
- Your goal should be related to your audience analysis and to "what's in it for them."

CS1.5 GETTING BUY-IN AND SUPPORT: CRAFTING MESSAGES FOR THE MEDIA[3]

The fundamental problem with any media interview is that you typically have a short time to communicate your point of view. It is a challenge. It is hard work. But it can be done. Be concise without losing the power and substance of your message.

Practice being clear and to the point. Craft your messages to their most powerful essence. Professional speakers say that they can talk for an hour on a subject without much preparation, but they would want a week to prepare a five-minute talk on the same subject.

So…

- Respect the needs of the reporter.
- Remember the concerns of the larger audience. You are speaking through the report to that audience (your messages are to them and not to the reporter!).
- Speak from personal experience.
- Be honest and direct.
- Include a carefully considered example. Provide one strong statistic.
- Eliminate jargon and complex sentences.
- Use memorable words and phrasing. Help the audience "see" what you are talking about. Use examples to keep your listeners engaged and to make you more memorable.
- And it's OK to have fun. Use your sense of humor when appropriate, but keep in mind the safest humor is self effacing.

[3] Revised 2008. Training Resources Group, Inc.

PREPARE "COMMERCIALS" IN ADVANCE

For any interview, you should prepare messages in advance for anticipated questions. You should also prepare "commercials" – positive messages that are timely for the given audience. These messages should be interjected between the reporter's questions. In other words, you respond to the question, and then say: I would like to add another important point, followed by your commercial.

VOICE TONE AND BODY LANGUAGE

Well-crafted messages will help you communicate more effectively. If you are being interviewed on radio or television, your voice tone and body language will add or detract from the power of your words.

Some suggestions for radio and television interviews:

- Stay standing during the interview if possible, because standing will keep you energized. Staying energized keeps your voice from going flat.
- Maintain an "open body" stance by keeping your hands at your sides so they are able rise freely giving energy, expression and emphasis to your words (e.g., do not fold arms; put them in pockets; behind back, etc.).
- If seated, do not cross your legs. Crossed legs tend to wiggle, which will distract from your messages.
- Look around at people near you. Many of us when listening or thinking have a natural facial expression in which our mouths are turned downward, like a frown. So in television interviews, try to remember to smile once in a while to demonstrate enthusiasm and to help convey your positive messages.

Some suggestions for face-to-face print interviews:

- The face-to-face print interview may cause you to relax too much. Seemingly benign chitchat can become fodder for big stories. Behave as if the microphones are on and the cameras are running, even as you stroll down a sidewalk with the reporter.
- Body language is also important even though the reporter will turn your words into a printed article. You are communicating. The impression you make will influence the story they write. Be animated, enthusiastic, and show your commitment. The way you deliver the message determines how you get quoted.

INTERVIEWING THE REPORTER…

Before the interview is the time for you to exert your rights as a spokesperson. It is your turn to ask questions. Be bold (not rude). This is your primary opportunity to develop a rapport with the reporter. Reporters know the more you prepare, the better the interview. You needn't ask all the questions below, but ask those that you feel will be most helpful.

WHO IS THIS REPORTER?

What is the style? How are officials usually treated? Read, watch, or listen to try to understand how this reporter operates.

WHO ELSE IS THE REPORTER INTERVIEWING?

This may review the angle and what types of questions (or accusations) you may have to answer.

WHO IS THE ULTIMATE AUDIENCE?

In order to develop appropriate messages for this interview, you must know who the readers, listeners, or viewers will be.

WHAT IS THE TOPIC OF THE INTERVIEW?

Determine how much the reporter knows. If necessary, send background information ahead.

WHEN IS THE INTERVIEW TO TAKE PLACE?

Set some time limits; 20-30 minutes should be plenty of time. Choose to do the interview at a time when you are at your best. Keep in mind that reporters often have late afternoon deadlines to meet.

WHERE WILL THE INTERVIEW TAKE PLACE?

If you have a choice, find an interesting place – not behind your desk – especially if it is television. For print, don't put any barriers between you and the reporter. Do the interview where you can be comfortable.

WHY IS THE INTERVIEW BEING DONE?

Try to get some idea of what is on the reporter's mind – what their ultimate purpose is and why you were called.

REMEMBER…

- The print reporter needs quotes just as the television reporter needs sound bites. Make your messages quotable.
- Stay simple and don't ramble. Keep the readership in mind – the reporter is the conduit to that audience.
- Prepare and practice your commercials!

CS1.6 PRINCIPLES OF EFFECTIVE COLLABORATION

TEN ESSENTIAL COMPONENTS OF COLLABORATION

1. Vision and Desired Outcomes
   - Partnerships need members and leaders who can develop compelling visions with a strong sense of purpose that defines the specific outcomes to be achieved
2. Strong, shared leadership
   - Leaders need to demonstrate their eagerness to build shared ownership of the problem and outcomes
   - They must model trust-building actions.
3. Attention to process
   - Partnerships need to reach agreement on guidelines on communication, decision making, conflict resolution, and giving and receiving feedback
4. Alliance Structure
   - Shared problem definition and approach
   - Power equity
5. Trust, respect, and commitment
   - People doing what they say they will do
   - Sharing successes with others
   - Taking responsibility for mistakes
6. Credit and recognition
7. Mutual accountability
   - Partnerships with agreed-upon norms and sanctions are better able to hold members accountable
8. Resources
   - Partners need to recognize their interdependence and complementarity
   - Partners need to see that together the alliance will create new value – something the partners could not do on their own.
9. Explicit decision making processes
   - Members must establish clear agreements on the way partners will make decisions
   - The decision-making process must allow for active participation and consensus building

10. Communication linkages

- It is wise to create multiple communication links among the partners at senior levels as well as at operational levels

CS1.7 EFFECTIVE COLLABORATION – DISCUSSION

INSTRUCTIONS

Discuss for a few minutes at your table:

- From your experience, what one or two components of collaboration would you especially underscore as important, and why?
  - Take about 5 minutes for this discussion.

CS1.8 STRATEGIC INFLUENCING – INDIVIDUAL PLANNING WORKSHEET

- Think back over the presentations and discussions about Strategic Influencing. What were your most important insights?

- What conclusions about outreach and influencing strategies for different audiences are especially relevant to your organization, facility or department?

- Based on these conclusions and your own situation, what influencing opportunities in your community will you need to think about and develop strategies for?

- What audiences will most likely be most important to reach?

- How will you engage your staff and/or colleagues in this effort?

Concurrent Session Track 1: Strategic Influencing for Stakeholder Participation and Collaboration

Concurrent Session Track 1 Objectives

By the end of the session, participants will be able to:

- *Identify stakeholders involved in the agricultural productivity process;*
- *Describe strategies for stakeholder analysis and stakeholder mapping;*
- *Apply a framework for strategic influencing with different audiences; and*
- *Analyze an audience and craft a message that meets their needs.*

What is a Stakeholder?

- Any individual, community, group, or organization with the potential to influence the program positively or negatively, by its actions, statements, or other behavior.
- Any individual, community, group, or organization with an interest in the outcome of a program as a result of being affected positively or negatively by its outcome.
- Stakeholders are typically diverse and numerous, but mapping their importance + influence establishes three levels: Key, Primary, and Secondary Stakeholders.

Why do a Stakeholder Analysis?

- Identify the interests of all stakeholders who may either affect or be affected by the proposed program
- Uncover potential conflicts or risks that could jeopardize the feasibility of the program
- Disaggregate larger groupings to capture the concerns of less powerful (e.g. women) or marginalized (ethnic minorities)
- Ensure that the design doesn't overlook or sidestep negative consequences (Do No Harm principle)
- Identify potential participants for a collaborative LogFrame analysis in the design process
- Analyze key existing relationships (or opportunities to build new ones) that will facilitate implementation

Stakeholder Mapping (KMDP): Step 1

Draw a box with three columns:

Stakeholder Group	Interest in Program	Effect on Program
Medium-Scale Farmers	Expected to increase their production if farm-gate prices rise	+
Informal Traders	Trading margins will be reduced by liberalization	-
Wholesale Traders	Benefit from lower haulage costs	+
Local *Posho* Millers	Market niche won't change	0
Large-Scale Farmers	Can expand market reach to grain deficit areas of the country	+
Poor Urban Consumers	Will pay lower maize meal prices	+
National Cereals Board	Must compete in the market based on price and service	-

Stakeholder Mapping (KMDP): Step 2

Draw a box with three columns:

Stakeholder Group	Importance to Program	Influence on Program
Medium-Scale Farmers	**5**	**2**
Informal Traders	**3**	**1**
Wholesale Traders	**4**	**3**
Local *Posho*Millers	**2**	**1**
Large-Scale Farmers	**3**	**4**
Poor Urban Consumers	**4**	**4**
National Cereals Board	**1**	**5**

Stakeholder Mapping (KMDP): Step 3

Draw a 4 x 4 matrix:

High Importance, Low Influence **e.g. Medium-Scale Producers**	***High Importance, High Influence*** **e.g. Wholesalers**
Low Importance, Low Influence e.g. Local *Posho* Millers	*Low Importance, High Influence* e.g. NCPB Officials

Using the Stakeholder Map

- Each subset is likely to require a different approach:
- For high importance/low influence groups, stakeholder interests may need special measures to mitigate adverse impacts
- With high importance/high influence groups, program designers and managers must develop good working relationships
- High influence/low importance groups may be able to interfere with the program, and thus require a different type of engagement (direct or indirect)
- Low importance/low influence groups require a limited level of monitoring from the program, to ensure that assumptions about them remain valid

Getting Buy-In and Building Alliances

- Turn in your participant workbook to Document CS1.2, *Getting Buy-In and Building Alliances*
- Take 2-3 minutes to read this document.
- What point(s) would you underscore?

Building Strategic Alliances – Small Group Task: Step 1

For the strategic priority assigned to your small group, complete Step 1 of the Stakeholder Mapping process:

- *Identify at least four stakeholder groups for your assigned strategic priority.*
- *For each stakeholder group, state briefly that group's interest in the strategic priority.*
- *For each stakeholder group, identify their likely effect on the accomplishment of the strategic priority, positive (+) or negative (-).*

Building Strategic Alliances – Small Group Task: Step 2

For the strategic priority assigned to your small group, complete Step 2 of the Stakeholder Mapping process:

- *For each stakeholder group, identify their importance to the accomplishment of the strategic priority (on a 5-point scale, with 5 being high and one being low), and*
- *For each stakeholder group, identify their level of influence on the strategic priority (on a 5-point scale, with 5 being high and one being low)*

Building Strategic Alliances – Small Group Task: Step 3

For the strategic priority assigned to your small group, complete Step 3 of the Stakeholder Mapping process:

Draw a 4 x 4 matrix, placing each of your stakeholder groups in one of the following categories:

- *High Importance/Low Influence*
- *High Importance/High Influence*
- *Low Importance/Low Influence, or*
- *Low Importance/High Influence.*

Building Strategic Alliances – Small Group Task: General Instructions

For the three steps of the Building Strategic Alliances process:

- Record your responses on flipchart.
- Be prepared to share some highlights of your discussion with the full group .

You have ***1 hour*** to complete this set of tasks.

Getting Buy-In and Support: Message Development

AUDIENCE ANALYSIS

Preparation requires answering a basic set of questions about each potential audience, as follows:

- What level of knowledge do they have about the strategic priority or change initiative?
- What will be their general attitude?

  Friendly....Receptive….Neutral....Unpredictable....

  Resistant...Hostile

- What do they expect or hope to hear from you?
- What information may be new or surprising to them?

Getting Buy-In and Support: Message Development

WIIFMs

Every person with whom you communicate is tuned in to their own personal receiving station WIIFM (What's In It For Me?). Sit in their seats and imagine how they will listen to what you have to say:

- Consider how the information will benefit them.
- Try to determine their needs so you can include, even link them to the information you are trying to get across.
- Get inside their minds and discover their interests, values so you can acknowledge them.
- Decide where you might have mutual interests and point them out.
- In sum, describe the positive outcomes waiting for them at the end if they support and help achieve your vision.

COMMUNICATION GOAL

Decide what your goal is for the meeting or presentation. Here are some questions which might help you define your goal:

- Why are you meeting with this audience?
- What do you hope they will take away with them after the meeting?
- What outcomes do you want?
- What specific actions do you want to see happen as a result of this meeting?
- Two months from now, what do you want people to remember?

Your goal should be related to your audience analysis and to "what's in it for them."

Getting Buy-In and Support: Crafting Messages for the Media

The fundamental problem with any media interview is that you typically have a short time to communicate your point of view. **So….here are some suggestions to help you plan:**

- Respect the needs of the reporter.
- Remember the concerns of the larger audience.
- Speak from personal experience.
- Be honest and direct.
- Include a carefully considered example. Provide one strong statistic.
- Eliminate jargon and complex sentences.
- Use memorable words and phrasing.
- Use your sense of humor when appropriate.

Getting Buy-In and Support: Crafting Messages for the Media

PREPARE "COMMERCIALS" IN ADVANCE

For any interview:

- Prepare messages in advance, to respond to anticipated questions.
- Prepare "commercials" – positive messages that are timely for the given audience.
- Interject your positive messages between the reporter's questions.

Getting Buy-In and Support: Crafting Messages for the Media

Voice Tone and Body Language

Some suggestions for radio and television interviews:

- Stay standing during the interview, if possible, because standing will keep you energized.
- Maintain an “open body” stance by keeping your hands at your sides so they are able rise freely giving energy, expression and emphasis to your words
- Do not fold arms; put them in pockets; behind back, etc.
- If seated, do not cross your legs. Crossed legs tend to wiggle, which will distract from your messages.
- Look around at people near you, and smile.

Getting Buy-In and Support: Crafting Messages for the Media

Voice Tone and Body Language

Some suggestions for face-to-face print interviews:

- Behave as if the microphones are on and the cameras are running – even as you stroll down a sidewalk with the reporter.
- Body language is important, even though the reporter will turn your words into a printed article. The impression you make will influence the story they write.
- Be animated, enthusiastic, and show your commitment.

The way you deliver the message determines how you get quoted.

Getting Buy-In and Support: Crafting Messages for the Media

INTERVIEWING THE REPORTER…

- Before the interview is the time for you to exert your rights as a spokesperson.
- It is your turn to ask questions. Be bold (not rude).
- This is your primary opportunity to develop a rapport with the reporter.

Getting Buy-In and Support: Crafting Messages for the Media

Reporters know – the more you prepare, the better the interview. Ask the questions, below, that you feel will be most helpful.

- *Who is this reporter?*
- *Who else is the reporter interviewing?*
- *Who is the ultimate audience?*
- *What is the topic of the interview?*
- *When is the interview to take place"*
- *Where will the interview take place?*
- *Why is the interview being done?*

PRINCIPLES OF EFFECTIVE COLLABORATION

TEN ESSENTIAL COMPONENTS OF COLLABORATION

- Vision and Desired Outcomes
- Strong, Shared Leadership
- Attention to Process
- Alliance Structure
- Trust, Respect, and Commitment
- Credit and Recognition
- Mutual Accountability
- Resources
- Explicit Decision Making Processes
- Communication Linkages

COLLABORATIVE RELATIONSHIPS – DISCUSSION

Discuss for a few minutes at your table:

From your experience, what one or two components of collaboration would you especially underscore as important, and why?

Take about ***5 minutes*** for this discussion.

STRATEGIC INFLUENCING – INDIVIDUAL PLANNING WORKSHEET

Think back over the presentations and discussions about Strategic Influencing.

- What were your most important insights?
- What conclusions about outreach and influencing strategies for different audiences are especially relevant to your organization, facility or department?
- Based on these conclusions and your own situation, what influencing opportunities in your community will you need to think about and develop strategies for?
- What audiences will most likely be most important to reach?
- How will you engage your staff and/or colleagues in this effort?

CONCURRENT SESSION: TRACK 2 – FINANCIAL MANAGEMENT

The materials for this session were adapted from the course entitled Field Financial Management, which was developed by the Center for Development Excellence (CDE). CDE is a wholly owned subsidiary of Development Alternatives International (DAI) of Bethesda, Maryland.

Objectives	By the end of the session, participants will be able to: ▪ Describe the factors that influence rules and regulations for donor funding; ▪ Explain the impact of donor rules and regulations on awardees financial management practices; ▪ Define the term "financial management"; ▪ Identify the six cornerstones of the financial management cycle; ▪ Identify the high risk areas for USG and other donor awards ▪ Explain financial management processes for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.
Total Time	4.5 hours ***Note:*** The presentations and activities included in this session, as outlined, will require approximately 4.5 hours. Approximately 4 hours has been allotted for this session. The facilitator will have to delete or reduce the time of some of the segments.
Materials	**PowerPoint Slides** ▪ Concurrent Session: Track 2 **Participant Manual** ▪ CS2.1 Foundations of Good Financial Management ▪ CS2.2 Attributes of Good Financial Management ▪ CS2.3 Cornerstones of Good Financial Management ▪ CS2.4 Cost Analysis and Cost Realism ▪ CS2.5 Introduction to High Risk Areas of USG Awards ▪ CS2.6 Exercise: Cost Type ▪ CS2.7 Indirect Costs ▪ CS2.8 Indirect Cost Rate Proposal ▪ CS2.9 Staff Costs ▪ CS2.10 Allowability of Costs

	■ CS2.11 Exercise: Cost Principles – Allowability ■ CS2.12 Reporting ■ CS2.13 Federal Financial Report Form – SF 425 **Other Resources** ■ **Preparation**

Procedure		Steps	
			PW, pp. 1-29
5 min		**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that this is a session about sound financial management and that we will focus on principles and practices that support the correct use of financial resources. Specifically, we will explore the management of funds and other resources provided by donor agencies. While most of the guidance and examples used relate to United States Government (USG) funding, they generally apply to most donors. **Explain** that this session is not about bookkeeping or accounting.	PW., p. 1
15 min		**BACKGROUND TO DONOR RULES AND REGULATIONS** Through a guided discussion **DISCUSS** the background to USG rules and regulations and why there are rules. **ASK** the following questions: ***Note:*** *To widen the breadth of the discussion, the question can be framed to ask about* ***donor*** *rules and regulations.* **ASK** participants to shout out where they think the US Government gets the money to pay for development assistance. **KEEP TAKING RESPONSES** until someone says . . . 'The American People'. **ASK** who gets to decide how and where that money is spent. **KEEP GOING** until you get a clear consensus that the US Congress has a central role. **ASK** who else has an indirect say over how aid money is spent. If no-one says it after a couple of minutes, **SUGGEST** that the 'media' has a powerful influence; TV and newspaper articles on how AID funds are spent and especially on fraud or misuse of funds encourage Members of Congress to insist on ever stricter rules and regulations in award contracts. **ALLOW** only a brief discussion of the rights and wrongs of this but **POINT OUT** that it is the same in every donor country and either is or would certainly be the same in the participants own country if they are a donor. The main thing to point out is that difficult to follow rules and regulations are not necessarily the fault of the agency that awarded the funds. **EMPHASIZE** that: ▪ The USG is acting on behalf of the US people just as implementers are acting on behalf of beneficiaries. ▪ USAID, CDC and other USG Government donors do not have as much control over rules and regulations as people think. ▪ Often, donor staffs dislike the rules and regulations they have to apply –	

Procedure		Steps	
		but they must implement them.	
20 min		**IMPACT OF RULES AND REGULATIONS** **BREAK UP** into groups of four. Referring to the previous discussions, **ASK** what impact this is likely to have on awardees financial management practices (each group should try to list as many as possible). **ALLOW** 7 minutes for group discussions. While the groups are working, **STICK UP** two blank flip chart sheets, one headed 'Organization' and one headed 'Flexibility'. After 5 minutes **INVITE** each group in turn to give their top two impacts ensuring that repetition is minimized. As the impacts are shouted out **SORT** them into the different flipchart sheets. Anything about defining procedures adding staff or improving internal controls goes under the organization heading. You may need to suggest a few ideas for the flexibility sheet, such as regularly reviewing systems, procedures, and job descriptions, or strong internal communications systems to keep up with any changes to rules, limits and restrictions. **SHARE** a summary of the impact of rules and regulations, emphasizing the following: ▪ Organizations have to be prepared to implement a USG award. ▪ Organizations have to remain flexible as rules or regulations can change during the life of a project ▪ An organizations 'own' procedures are not always detailed enough to comply with USG (and other donor) requirements	
15 min		**FOUNDATIONS AND ATTRIBUTES OF GOOD FINANCIAL MANAGEMENT** **INTRODUCE** the topic of financial management by reiterating that we are not talking about accounting. **ASK** for suggestions from participants as to what financial management is. After a few minutes **ENCOURAGE** participants to boil it down to something like 'correct use of financial resources'. From here, **WRITE** the definition of *financial management* on a flipchart sheet the "Financial management is the **disciplined** and **consistent** employment of financial resources", underlining the words *disciplined* and *consistent*. Guided Discussion: **ASK**: "When thinking about financial management what does it mean to be ***disciplined***? ***consistent***?" **WRITE** the words *Disciplined* and *Consistent* on separate flip charts. ASK for examples of an attribute of financial management that could be considered ***disciplined*** – record appropriate examples. Add attributes that have not been discussed.	PW., pp. 2-4

Procedure		Steps	
		ASK for examples of an attribute of financial management that could be considered *consistent* – record appropriate examples. Add attributes that have not been discussed. **REFERENCE** section CS2.2 – Attributes of Good Financial Management, on page 3 and 4 of the participant manual.	
20 min		**CORNERSTONES OF GOOD FINANCIAL MANAGEMENT** **DIRECT** participants to pages 6 through 8 of the participant manual and **SUGGEST** they take a few minutes to review section CS2.3 – Cornerstones of Good Financial Management. **EXPLAIN** to participants that six cornerstones comprise the financial management cycle. **ASK** the participants which activities of the financial management cycle (e.g., purchasing, payments, internal controls, etc) they believe are most risky, and why. **FACILITATE** brief discussions of the activities that participants identify. **MAKE SURE** that you cover purchasing and internal controls. For purchasing, **REVIEW** the ten questions that should be answered affirmatively before a purchasing decision is made. The importance of internal controls is often overlooked. **EMPHASIZE** the value of internal control processes and measures such as the procedure manual, internal audit, cash management, authority levels, division of duties and compliance with relevant laws. **SUMMARIZE** by emphasizing the following points: ■ Financial management is not only accounting ■ This session is not about accounting ■ Principles/foundations of good Financial Management Discipline and Consistency ■ Six cornerstones of the financial management cycle ➢ Purchasing ➢ Payments ➢ Cost Allocations ➢ Internal Controls ➢ Reporting ➢ Documentation	PW., pp. 6-8 PW., p. 9
10 min		**COST ANALYSIS AND COST REALISM** **INFORM** participants that we are going to look at costs and timekeeping in detail, but that first we need to get a few things straight about the process and the work that goes into awards. **ASK** participants to tell you where financial management begins. **LEAD** the	PW., pp. 10-11

Procedure		Steps	
		discussion towards the 'financial plan' or 'budget'. **WRITE** the heading 'Cost Analysis' on one flipchart and the heading 'Cost Realism' on another flipchart – both of which are in the front of the room. ASK participants for descriptions of both of these terms, in their own words, and **WRITE** two or three of these descriptions on the flipcharts under the appropriate headings. **ADVISE** participants that the USG and other donors require an extraordinary level of detail in budgets and proposals before signing an award. **SHARE** the following guidance about the importance of proposals and budgets: • Proposals and budgets are reviewed very carefully by each agency and form the basis of the contract or grant agreement eventually signed. • The time between the original proposal and actual implementation can be several months, sometimes running into years. • It can be tempting for organizations to use the proposal and budget as more of a guide than a fixed template. Donors, however, usually rely almost entirely on the content of proposals and budgets to define what they want to achieve. • Every grant award is subject to cost analysis and cost realism evaluation. **INVITE** participants to read page 10-11 of the participant workbook (**ALLOW** 6 minutes). **ASK** if anyone has had any experience similar to those described in the first paragraph on page 11 in the participant workbook: "The agency views each awardee as a single entity. It does not make allowances for the fact that the head office and field office may have different ideas or that the team that wrote the proposal and agreed on the budget may have all left and the new team wants to do things differently, or for that matter, that the business development department perhaps did not fully understand the real challenges of implementation that the award presents." **USE** the PPT slide entitled ***Cost Analysis and Cost Realism*** to review specific aspects of cost analysis and cost realism that donors consider as they make award decisions and monitor project performance. **SUMMARIZE** the issues raised in the participant workbook. **CONCLUDE** this segment by reading, in a very definitive and commanding tone, the last paragraph of page 11 in the participant workbook, which states: "The proposal and budget form the single promise your organization makes to the agency. Everyone in the organization is bound by its limitations and committed to achieving its objectives in the manner defined using the funds specified."	
15 min		***BREAK***	

Procedure		Steps	
30 min		**INTRODUCTION TO HIGH RISK AREAS OF USG AWARDS** **INTRODUCE** the session by asking participants to name the areas of USAID awards that they think are most challenging. **WRITE** all of the areas mentioned on a flipchart. **ENCOURAGE** participants towards the following areas: ▪ Allowability of costs ▪ Timekeeping ▪ Managing NICRA ▪ Sub-awards ▪ Auditing, and ▪ Reporting If other areas are mentioned and are relevant to the session, **TELL** participants that you will address these areas if time allows. **INFORM** participants that we will now move on to the high risk areas as decided earlier (point to the flipchart with the list of challenging areas. **WRITE** on the flipchart in big writing the word 'COST' and I**NFORM** participants that we need to make sure we all agree on definitions. Alongside '**COST', WRITE** the definition of 'TOTAL COST' from page 12 of the participant workbook. Underneath '**COST', WRITE** 'DIRECT COSTS' and **INVITE** participants to share a definition (do not permit simply reading from the manual). **WRITE** the definition that is closest to the one we use in the manual**. DO THE SAME** for 'INDIRECT COSTS'. **SUMMARIZE** this segment by reading out the definitions on the flipchart and **ASK** if everyone agrees. **REFER** to page 12 of the participant workbook and **USE** PPT slides 7 & 8 to **HIGHLIGHT** additional details and USG reference documents. **POINT OUT** that definitions and meanings provided by USG in official regulations do not change depending on whether it is assistance (grant/cooperative agreement) or acquisition (contract). **ADVISE** participants that, while the examples shown are specific to USG, they should expect similar requirements from other donors.	PW., p. 12
25 min		**EXERCISE – COST TYPE** **SHOW** slide No.9 **REFER** participants to the exercise on page 13 of the participant manual. **TELL** participants that the objective of this exercise is to distinguish direct and indirect costs. **EXPLAIN** the task, as follows: Review the list of expenses on the table and decide which type of cost (direct	PW., p. 13

Procedure		Steps	
		or indirect) each expense items falls under. Identify the reason and/or additional information needed to determine the type of cost. **ADVISE** participants that they have 15 minutes to complete this task in their respective table groups. ■ **Allow** a maximum of 15 minutes to complete. Congratulate them and inform that we will now look at some of the problems with indirect costs.	
15 min		**INDIRECT COSTS** ■ **REFER** participants to page 14 of the participant workbook and **USE** PPT slide #10 to lead a discussion on the problems with indirect costs, the solutions provided by USG and a description of NICRA, how it is calculated and how it works. – If time permits and the group is lively and capable, write up the following example on a flipchart or whiteboard. Move in stages lighter to darker.	PW., pp. 14-15

Expenditure type	Amount	Direct
Project manager salary	10,000	10,000
Country Office Finance Manager salary	10,000	
Program team monitoring and evaluation expenses	1,000	
Dailand Country Office electricity	500	
Fuel for project car	4,000	4,000
Security costs for Cedestia project office	10,000	10,000
	35,500	24,000

Option 1 - 'Directize' all costs

Expenditure type	Amount	Direct

Procedure	Steps			
	Project manager salary	10,000	10,000	
	Country Director salary	10,000	3,333	one third
	Program team monitoring and evaluation expenses	1,000	333	one third
	Dailand Country Office electricity	500	167	one third
	Fuel for project car	4,000	4,000	
	Security costs for Cedestia project office	10,000	10,000	
		35,500	27,833	-
	Overhead costs recovered Option 1		3,833	
	Option 2 NICRA			
	Total Direct cost Cedestia Health Project	24,000		
	Total Direct Costs, Other Ace Development Projects	48,000		
	Total	72,000		
	Total indirect costs	11,500		
	NICRA (provisional)	0.16		
	Overhead costs recovered Option 2		3,833	
	INFORM participants that in this scenario Ace Developments has three projects of equal size in Dailand.			
	REFER participants to page 15 and repeat in a solemn and dominating tone "NO NICRA, NO INDIRECT COSTS"			
	ASK how many organizations present have a NICRA. If all do, then **ASK** if all their partner organizations do. It is likely that some or most will not have a NICRA, in which case they must directize their indirect costs i.e. allocate a reasonable proportion of them to each project.			

Procedure		Steps	
20 min		**STAFF COSTS** **ASK**, "What is usually the biggest indirect cost on development projects?" **SUGGEST** 'staff costs', if no one else does. **DISPLAY** slide #11, ***How do you report Timekeeping?*** **PROVIDE** a brief summary of "effort reporting" (timekeeping) and timesheets, and **ASK** for questions. **ASK** participants to share any interesting anecdotes or stories about using timesheets or any problems they had for not using them. Always REINFORCE the correct message at the end of each anecdote, particularly if someone suggests a clever way to avoid doing it properly. If available, SHARE sample timesheets. **REFER** participants to page 16 of the participant manual for further information.	PW., p. 16
40 min		**ALLOWABILITY OF COSTS** **INTRODUCE** the topic of Allowability of Costs **ASK** which document contains the rules and regulations for this area – OMB Circular A-122 (for non-profits) and FAR 31.2 for commercial organizations. **INTRODUCE** the concept of the "Allowability Test" and write it on the Flipchart **TELL** participants that the "Allowability Test" poses seven questions that allow you to determine if a cost is allowable. **DISPLAY** slide #12, ***What costs are allowable and what are not?*** **WALK THROUGH** each of the seven questions: ■ Is the cost reasonable? ➢ Is the cost comparable to what other organizations are paying for the same item or service? ➢ Have you followed your organization's procurement policies with regard to getting bids and reaching a fair price? ■ Can you allocate the cost to this specific award? ➢ Is the cost required to advance the work under the award? ■ Is the cost consistent? ➢ Have you been consistent in assigning costs across all the work your organization does, regardless of the source of funding? ➢ For example, do you pay the same consultants the same rates for similar activities under your USAID-funded awards as you do in projects funded by other donors? ■ Can the cost be incurred within the contract period (or as specifically allowed under the contract)? ■ Is the cost excluded or unallowable under USG regulations?	PW., pp. 17-20

Procedure		Steps	
		■ Does the cost conform to the rules and regulations of the program? ➢ Is the cost in compliance with limitations and exclusions contained in the terms and conditions of your award? ➢ Have the individuals responsible for the expenditure acted ethically in carrying out the procurement? ■ Is the cost in accordance with generally accepted accounting principles and practices appropriate to the particular circumstances? **DISPLAY** slide #13, ***Document Your Major Purchases*** **ADVISE** participants that they should review the seven allowability questions, in advance, for all major purchases made during the procurement. **Or** **ALLOW** five to ten minutes to review the circular and find the relevant sections. **ASK** the questions and **RECORD** the correct ones (as per page 38) on flipchart as participants state them. **DO NOT PERMIT** reading from the participant workbook. **CONCLUDE** this segment by answering any questions and reiterating the importance of documentation; not just of the payments but also for the procurement process or for deciding whether costs are allowable. **ADVISE** participants that this level of review might prove invaluable when the auditor arrives and no one can remember. ASK participants where one could find examples of unallowable costs (A-122 for non-profits and FAR 31.2 for commercial organizations). **INVITE** participants to share some examples of unallowable costs, along with the specific reference and **WRITE** these examples on flipchart. Or **WALK THROUGH** some of the unallowable costs – and **POINT OUT** that the agreement might also include program specific unallowable costs. **SHOW** slide #14, ***Exercise: Cost Principles - Allowability*** **REFER** participants to pages 21-23 in the participant workbook. **BREAK** participants into groups of 3 or 4 **ALLOW** participants 15 minutes in total to respond to the seven questions of the "Allowability Test". REVIEW the answers and **ENCOURAGE** debate. **HAND OUT** the answer sheet and **ALLOW** participants time to digest the correct answers. **ANSWER** any questions arising. Note: This exercise will demonstrate time and again that even experienced finance managers who have worked with A-122 over many years make wrong decisions regarding allowability. This is almost always due to a failure to appreciate how specific and precise the rules are.	PW., pp. 21-23

Procedure		Steps	
15 min		**REPORTING** **TELL** participants that the purpose of this segment is to identify the relevant forms that have to be completed, describe the importance of these forms and reports and to help participants feel confident in completing them. **ASK** if anyone has had specific problems with reporting. **TAKE** two or three examples and discuss each example briefly. **ENCOURAGE** the sharing of solutions. **DIRECT** participants to pages 25-26 in the participant workbook REPORTING, and **ALLOW** up to five minutes for participants to read these pages. **ASK** for any questions or clarifications and **RESPOND** as necessary. **SHOW** slide #15, ***Complying with USG Requirements*** and **SHARE** information about USG Federal Financial reporting periods. **REMIND** participants about the use of the case study and that this is a very simplified scenario. **DIRECT** participants to the blank report form SF 425 on page 28 of the participant manual. **REVIEW** this and discuss form SF425. **RESPOND** to any questions that may arise with regard to form SF 425. There will almost certainly be participants who are very familiar with the form. **ALLOW** them to respond to questions and to share their experience	PW., pp. 25-26

CONCURRENT SESSION: TRACK 2 – FINANCIAL MANAGEMENT

The materials for this session were adapted from the course entitled Field Financial Management, which was developed by the Center for Development Excellence (CDE). CDE is a wholly owned subsidiary of Development Alternatives International (DAI) of Bethesda, Maryland.

Objectives	By the end of the session, participants will be able to: ▪ Describe the factors that influence rules and regulations for donor funding; ▪ Explain the impact of donor rules and regulations on awardees financial management practices; ▪ Define the term "financial management"; ▪ Identify the six cornerstones of the financial management cycle; ▪ Identify the high risk areas for USG and other donor awards ▪ Explain financial management processes for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation.

CS2.1 FOUNDATIONS OF GOOD FINANCIAL MANAGEMENT

Good Financial Management is the responsibility of all staff. There are clearly areas that are more relevant to finance staff, and other areas that are under the control of non-finance staff. This concurrent session will uncover and explore financial management principles and tools you can use to optimize compliance with USAID financial rules and regulations – as you implement projects.

In its widest sense, financial management is about making sure that funds are used properly. Funds are used properly when the right amount is spent on the right product at the right time with the right evidence to prove it. Financial Management is not only about accounting –it also includes budgeting, controlling, reporting – and a critical element is how you – as program and operational staff – oversee and manage the process by which the funds are allocated, used, and reported to the financial staff.

This concurrent session is not an accounting course. You are not here to learn about accounting aspects of project management. Your organization has a number of well-qualified and skilled accounting staff to deal with all of that for you.

During this course technical accounting terms will be used minimally - but it is inevitable that with so many important documents to consider accounting related words or phrases will be used that have a specific and not always obvious meaning.

The foundations of good financial management - Discipline and Consistency – are an important place to begin building a solid appreciation of the attributes that form good financial management. In fact, the foundations described on the following pages are necessary for good management, whether it be financial, human resource or program.

CS2.2 ATTRIBUTES OF GOOD FINANCIAL MANAGEMENT

Discipline	Consistency
Always Do The Right Thing ▪ It is usually one of the least convenient options to take, it will usually take time, and it will usually make you appear to have less authority than you might want others to believe you have. ▪ Doing the right thing is the mark of the true professional.	**Coding** ▪ This is how your finance colleagues make sense of everything that goes on. The person making the spending commitment (not the payment) is responsible for assigning the correct budget and analysis codes to the transaction. If this is done inconsistently, reports become meaningless and financial management is impossible.
Never Guess, Always Check ▪ Rules, regulations and procedures have been carefully written to meet compliance requirements of the donor. Because each donor is different and individual awards from the same donor can have project specific rules, guessing is dangerous.	**Review** ▪ All transactions should be reviewed. This provides an opportunity to correct errors and to amend coding decisions. This should be done early to ensure financial reports are accurate.
No Short-Cuts ▪ Cutting corners with procedures might seem like a good idea at the time, and of course, the paperwork can always be put in order later on. In almost every case however, the paperwork is not put in place and the transaction or decision is selected for closer review by the auditor. The few minutes, hours, or days saved at the time is never worth the worry of having your decision-making questioned by the donor.	**Decision Making** ▪ Decision-making should be based on the budget agreed in the award and your organization's analysis coding requirements.
Follow Procedure ▪ Always have a procedure manual handy. If none exists, lobby your colleagues to have one prepared that covers all aspects of financial decision making.	**Authority** ▪ Authority levels should be clearly defined and maintained over different periods and different projects.
Ask If Unsure ▪ You often only get one chance to make a commitment decision and you often cannot take it back later if you have made a mistake without incurring a financial or other cost. Unbudgeted expenditure such as cancellation fee for a hotel workshop booking is usually disallowable.	**Reporting** ▪ Without a consistent approach to financial management decisions, reports become almost meaningless and will almost certainly lead to incorrect and potentially disallowable expenditure.

Discipline	Consistency
Peer Review ▪ It is good practice to ask a colleague to review financial decisions either at the time or soon after to make sure proper procedure has been followed and correct documentation received.	**Project By Project** ▪ All projects should follow the same procedures. To put it another way, ensure that your organization's internal procedures meet the requirements of all of your donors. Mistakes happen too easily when officers have to use different procedures for different projects.
Do Not Make Promises You Cannot Keep ▪ When talking to partners, suppliers and consultants, be very careful not to commit your project or organization financially or otherwise until you are absolutely certain that a) You have the authority, b) The necessary resources are available, and c) The proper procedure has been followed.	**Period By Period** ▪ Procedures and rules need to be applied consistently across time periods. If last year's evaluation workshop was charged out equally to all projects, do not charge this year's to central overheads.
Respect Authority Levels ▪ Remember, any agreements you make that exceed your formal authority level are not legally enforceable and you may be asked to personally fund any losses suffered because of it. Accepting a particular level of authority means that you are personally responsible for decisions made, if you chose to delegate that authority either officially or unofficially to another person, you are still responsible for the actions and decisions made by that person.	**Partner By Partner** ▪ Treat each partner in exactly the same way. The rules must be applied impartially.
Read The Contract ▪ The particular contract and other identified documents contain all you need to know. Know where to find a copy of any document you might need and refer to them before making commitments or spending decisions if you are at all unsure.	**Officer By Officer** ▪ Ensure that all officers with budgetary responsibility are fully aware of their responsibilities and have been trained in all relevant procedures.

Notes:

CS2.3 CORNERSTONES OF GOOD FINANCIAL MANAGEMENT

Discipline and Consistency lay the foundation for a good financial management structure to be built upon. There are six cornerstones that shape the financial management structure:

Purchasing	When you make a purchase you make a commitment to spend the donor's money on goods or services. Get this right by asking yourself these questions and only proceeding when the answers to all of them are **YES:** 1. Is the thing I want to spend money on included in the budget? 2. Is the cost the same or less than in the budget? 3. Is there enough unspent money in the budget line? 4. Do I have all the competitive quotes needed? 5. Is the supplier the best in terms of price and quality? 6. Do I have a written explanation for why I did not choose any lower bids? 7. Am I sure that the supplier is not in any way related to me or any of my colleagues? 8. Does the purchase comply with any award specific restrictions on procurement processes? or 9. Do I have a waiver for this specific transaction if needed? 10. Do I have a complete document trail for each stage in the purchase to date?
Payment	Payment is the latter stage of the purchasing process carried out by finance staff; however, the **agreement** about when and how to pay is often part of the negotiations for the purchase which is often carried out by non-finance staff, Suppliers and consultants typically want payment as quickly as possible (often in advance) and, in many countries, in cash. It can be very tempting for the person negotiating the purchase (e.g. the price of a workshop with a local hotel or a consultancy contract) to use advance payments and payments in cash as bargaining tools. However most suppliers work with a range of clients and are used to dealing with different payment regimes (The UN for example never pays in cash). Cash payments are a particular problem as they involve extra work and do not leave an external trail of evidence (unlike payments by checks or bank transfer). For cash flow reasons, it is usually better to pay after purchase delivery or at least to limit any advance payment to a percentage of the total cost. The organizational finance manual should stipulate the percentage that may be paid in advance and the procedure for doing so.

Cost Allocation	Each cost must be allocated to a particular cost center code. A cost center can be a location, project, or a budget line within a project. The cost center or cost centers that the purchase is allocated to should be agreed on as soon as possible. It will often be obvious but sometimes a particular purchase may have to be split across different centers and this may involve some negotiation with other colleagues who may have to give their approval. These codes enable finance staff to record essential details of the transaction. Changing cost allocations at a later stage means increasing the chance of an error and almost assuring that the supporting documentation does not agree with the final recorded detail in the accounting system. This will present problems during the audit stage. The transaction may simply be disallowed or the auditor may take it as evidence that procedures are lax.
Internal Controls	Internal controls are organizational processes and measures such as the procedure manual, internal audit, cash management, authority levels, division of duties and compliance with relevant laws. These are fundamental to good financial management and all donors insist that a range of internal controls are in place before signing awards. They are designed to ensure that assets are well looked after, fraud and mistakes are difficult, accounts are accurate, laws and regulations are not broken, and staff are protected. Internal controls are critical to ensuring projects are compliantly implemented: ▪ They exist to protect you from making a mistake, and ▪ The donor relies on their existence and your ability to follow them
Reporting	Funders rely on reports to know and understand what you have been doing with the funds they have awarded. Reports are usually written weeks or even months after the events occurred and it can be difficult to convey the full picture of an event or the circumstances surrounding a particular decision in the formats provided. On the other hand narrative and financial reports are the main means that your organization has to explain how brilliant you are and how, despite the inevitable obstacles and difficulties, you have managed to achieve the successes you have. It can be tempting to focus only on the successes, ignoring the things that didn't go well or things that did not happen at all. The problem with that approach is that nothing can be truly hidden. The finance report shows clearly what has been attempted, completed and not done at all. Both reports must tell the same story. Narrative Report "A narrative representation of the income and expenditures compared to budgets and plans for a defined period." A financial report is "A financial representation of activities, deeds and inactions compared to plans and expectations for a defined period."

Documentation	Trust is a wonderful thing. It works best when there are two people who know each other quite well and the issue at stake is personal to one or both of them. With donor funds, there are always more than two people involved and only two of them have a personal stake in either the investment or the outcome. You are neither of those people. Both the parties to an award contract are acting as agents for others. The donor is acting on behalf of all the people who paid money through taxation or donations and the implementer is acting on behalf of the beneficiaries who will benefit from the work you are doing. Neither the beneficiaries nor the individual donors can be present during the implementation to see things for themselves. However, both want to know that the funds have been used responsibly. Therefore, we have to keep documentary evidence of every financial transaction as proof that the purchases actually happened and the goods or services paid for were actually received.

SUMMARY

What Is It?	Basic Principles of Good Financial Management
What Does It Mean?	The foundations and cornerstones of good financial management, if used, will provide a framework to ensure the project is compliantly implemented.
Why Is It Important To Me?	As someone involved in spending or committing donor funds, you have to be accountable for the actions and decisions you take. These will help you make better decisions and more effective actions.
What Do I Need To Know?	Keep disciplined and consistent, particularly in relation to: purchasing, payments, cost allocation, internal controls, reporting and documentation
Where Can I Get More Info?	For USG-specific information, the link below is an excellent starting point (but be prepared, the US Government takes financial management very seriously indeed and the quantity of information in its original format can be a little overwhelming). www.**usaid**.gov/policy/ads/600/620.pdf

CS2.4 COST ANALYSIS AND COST REALISM

You may have been involved in writing project proposals and budgets. This will have given you an insight into the extraordinary level of detail that the USG requires to see before signing an award. Proposals and budgets are reviewed very carefully by each agency and form the basis of the contract or grant agreement eventually signed. The time between the original proposal and actual implementation can be several months, sometimes running into years, and often only head office staff has lead roles in the process. One result is that the people implementing the project may not have a deep understanding of the project design or of the reasoning behind many of the key program and budget decisions.

It can be tempting in those circumstances to use the proposal and budget as more of a guide than a fixed template. However, if we look at things from the donor's side, a different picture emerges.

The agency deals with hundreds and maybe even thousands of organizations like yours. It doesn't have time or resources to treat every awardee individually. Therefore, it relies almost entirely on the content of proposals and budgets to define what it wants to achieve. That is the reason so much care is taken in setting the program plan and the financial plan (budget). For instance every grant award is subject to cost analysis and cost realism evaluation.

COST ANALYSIS	COST REALISM
A line-item by line-item analysis of the applicant's costs	Review and evaluation of an applicant's costs if the costs are: ▪ Realistic for the work to be performed ▪ Reflect a clear understanding of the requirements ▪ Consistent with the technical elements of the application
USAID prefers ▪ Personnel who work on the award full time ▪ Limited number of staff charged to program administration ▪ Modest year-on-year salary increases	Compares applicant's labor rates with competitors and external indexes
Questions can be asked related to: ▪ Applicant's overuse of expats and TCNs vs. CCNs ▪ Utilization of headquarters-based backstoppers ▪ International travel ▪ Acquisition of vehicles ▪ Off-site indirect cost rate	Reviews applicant's indirect costs Cross-checks applicant's budget with technical approach

The agency views each awardee as a single entity. It does not make allowances for the fact that the head office and field office may have different ideas or that the team that wrote the proposal and agreed on the budget may have all left and the new team wants to do things differently, or for that matter, that the business development department perhaps did not fully understand the real challenges of implementation that the award presents.

The proposal and budget form the single promise your organization makes to the agency. Everyone in the organization is bound by its limitations and committed to achieving its objectives in the manner defined using the funds specified.

CS2.5 INTRODUCTION TO HIGH RISK AREAS OF USG AWARDS

COST

Understanding some key terms and rules is important and will help you make better decisions. Perhaps the most important term in this section is 'Cost'. The word cost appears again and again in the rules and regulations of federal government awards. It appears in the distinction between direct and indirect costs, in the NICRA (Negotiated Indirect Cost Recovery Agreement), in cost allocations and cost pools. However, the most significant place this word appears is after “Disallowed” - this means that the expenditure may not be paid for by an award.

DESCRIPTIONS

Total Cost:

- “The total cost of an award [contract] is the sum of allowable direct costs and allocable indirect costs less any applicable credits” - Ref: OMB A-122, Att. A, Section A.1 and FAR 31.201-1(a)

Direct Costs:

- “...Incurred specifically for the award [contract]”

Indirect Costs:

- “Overhead cost: “Benefits both the award [contract] and other work and can be distributed in reasonable proportion to the benefits received.”
- General & Administrative (G&A): “Necessary to the overall operation of the organization [business].”
- Organizations may also adopt administrative service centers. - Ref: OMB A-122, Att. A, Section 4.a, FAR 31.201-4.

Indirect cost definitions can sometimes cause confusion. Here is a helpful definition provided by another donor.

“Indirect costs are overhead expenses incurred by the applicant organization as a result of the project but that are not easily identified with the specific project. Generally, indirect costs are defined as administrative or other expenses that are not directly allocable to a particular activity or project; rather they are related to overall general operations and are shared among projects and/or functions. (Indirect costs are sometimes referred to as “overhead costs” and more recently by the government as “facilities and administrative costs.”) Examples include executive oversight, accounting, grants management, legal expenses, utilities, technology support, and facility maintenance.”

- Excerpted from the Bill & Melinda gates Foundation *Indirect-Costs Guidelines*

CS2.6 EXERCISE: COST TYPE

INSTRUCTIONS

Using this case study, decide which type of cost (direct or indirect) the following expense items fall under, identify the reason and/or additional information needed to determine the type of cost

Objective: To distinguish direct and indirect costs

Time: 15 minutes

Expense	Direct or Indirect	Reasoning or Any Further Information You Need to Determine Cost Type
Salary of Cedestia-based project officer		
Salary of the Country Director		
Project stationery locally bought		
Fuel for project vehicle for trip to the Dailand Country Office		
Country Office driver salary		
Accommodation cost for visit of Ace Development CEO visit to the Cedestia project office		
Rent for Dailand Country Office		
Rent for Cedestia Project office		
Loan from Project Office cash box to Country Office staff member to cover travel expenses while on M&E mission		
Bank charges incurred by Country Office when transferring funds to Project Office		

CS2.7 INDIRECT COSTS

Indirect costs can present problems for donors as well as implementers. The United States Government, like most donors, recognizes these difficulties and provides different ways to overcome them:

- An organization may agree on a fixed percentage rate which will be used to cover all the relevant indirect costs; or
- The US Government may require the organization to decide on a suitable basis for charging indirect costs directly to a project or award.

Both can be quite complicated and are explained in detail below.

INDIRECT COSTS DEFINED

FAR 31.203(b) defines Indirect Costs as:

- "After direct costs have been determined and charged directly to the contract or other work, indirect costs are those remaining to be allocated to intermediate or two or more final cost objectives."
- Organizations will generally try to allocate as much of its costs as direct as this is often seen as the quickest and surest way to recover them from the donor. Indirect costs are thus "remaining" or "residual" costs.

NICRA

The fixed percentage rate used by the USG is set in the **N**egotiated **I**ndirect **C**ost **R**ecovery **A**greement, or NICRA. This rate is set annually and applies to all Federal Government awards the organization has.

Indirect Cost Recovery (ICR) rates are not calculated at the project or award level. Each organization which elects to use this method will have a single NICRA agreed each year which is applicable to all USG contracts awards in all countries in which it operates. A detailed description of acceptable methods of calculating an ICR rate and how it is managed is beyond the scope of this course, but more information can be found at (http://www.usaid.gov/business/regulations/BestPractices.pdf)

ADVANTAGES OF AN APPROVED ICR RATE

- Administrative ease of cost recovery
- Allows recovery of bid & proposal costs on applications/proposals lost
- Eliminates need to negotiate non- program costs on each award
- Simplifies recovery of small-dollar costs

At its simplest the ICR is calculated by working out the percentage of indirect costs to total direct costs. This rate is then applied to the total direct cost of a project to arrive at the amount of contribution the donor will make to cover the indirect costs incurred by the organization in implementing its award.

CS2.8 INDIRECT COST RATE PROPOSAL

USAID's "Indirect Cost Guide for Non-profit Organizations" requires the indirect cost rate proposal to contain:

1. Indirect cost pool* schedules detailing cost-element by cost-element, including identification of unallowable costs
2. Schedule of labor cost for all employees, identifying annual salary, title, and whether they are charged direct or indirect
3. Detailed breakdown of the allocation base by cost element
4. Narrative explanation of the allocation base by cost element
5. Reconciliation of indirect costs and base to the audited financial statements
6. For forecasted rates, provide a narrative explanation of assumptions made to adjust historical cost
7. Explanation of any cost accounting practice changes that occurred during the applicable period

NO NICRA, NO INDIRECT COSTS

*Cost Pools – these are categories of indirect expenses where individual expense types are grouped together.

For most NGOs there will be only one cost pool - often referred to as 'overheads' or 'core' costs.

Large NGOs and for-profit organizations may well have several cost pools to reflect their more complicated structure and to ensure that all costs are eventually charged to awards on a reasonable and justifiable basis.

CS2.9 STAFF COSTS

EFFORT REPORTING (TIMEKEEPING)

The existence of a system for keeping accurate and true records of the amount of time or effort expended by staff on a particular award is one of the most important presumptions the USG makes regarding awardees.

TIMEKEEPING SYSTEMS: KEY POINTS

- Employees are responsible for preparing their own timecard/sheet
- Employees should be provided with instructions how work is to be charged
- Timecards/sheets must be prepared in ink or on a spreadsheet
- Time record must be completed as work is performed
- All (supervised) hours worked must be recorded
- Timecard/sheet or spreadsheet signed by employee and supervisor only after it is filled out
- Corrections are to be made by cross-out and new entry with no erasures or whiteouts
  - Corrections are to be initialed by employee and supervisor
  - An explanation provided for corrections

The USG makes a clear distinction between charges to awards for salaries and wages, whether treated as direct or indirect costs, which must be based on documented payrolls approved by a responsible official of the organization; and the distribution of salaries and wages to individual awards, which must be supported by personnel activity reports. These reports are required for employees who are charged to an award and those whose compensation is included in the calculation of the organization's NICRA. In addition, nonprofessional employees must also be supported by the by records indicating the total number of hours worked each day.

The format of personnel activity forms (PARs) is not prescribed and can appear quite different from organization to organization. However, the essential information required is standard and great care is taken by federal agencies to ensure that whatever format is used meets the federal government standard.

CS2.10 ALLOWABILITY OF COSTS

The most important concept in procurement under USAID-funded awards is to understand what costs are and are not allowable. Even though your budget has been approved, it does not mean that everything that could be purchased on all of the line items in that budget are allowable. Before procuring any goods or services under the award, it is important to make sure each item passes the allowability test.

The allowability test poses seven questions that are key to determining whether you can purchase an item. These questions apply to all costs associated with the award, including direct and indirect costs.

- Is the cost reasonable?
  - Is the cost comparable to what other organizations are paying for the same item or service?
  - Have you followed your organization's procurement policies with regard to getting bids and reaching a fair price?
- Can you allocate the cost to this specific award?
  - Is the cost required to advance the work under the award?
- Is the cost consistent?
  - Have you been consistent in assigning costs across all the work your organization does, regardless of the source of funding?
  - For example, do you pay the same consultants the same rates for similar activities under your USAID-funded awards as you do in projects funded by other donors?
- Can the cost be incurred within the contract period (or as specifically allowed under the contract)?
- Is the cost excluded or unallowable under USG regulations?
- Does the cost conform to the rules and regulations of the program?
  - Is the cost in compliance with limitations and exclusions contained in the terms and conditions of your award?
  - Have the individuals responsible for the expenditure acted ethically in carrying out the procurement?
- Is the cost in accordance with generally accepted accounting principles and practices appropriate to the particular circumstances?

For major purchases, document your review of these questions during the procurement. Put the questions on a form, along with a place to fill in the item, budgeted amount, date, and who in your organization filled out the form. Record the answers, making any necessary notes, and then file the forms for future reference in case of an audit.

For Non-Profit organizations, OMB Circular A-122 defines specific unallowable costs such as:

*As an indirect cost

USAID Agreement Officer authorized to make after-the-fact approvals of expenditures

For Non-Profit organizations, OMB Circular A-122 defines specific unallowable costs such as:

- Alcoholic beverages
- Bad debts
- Excessive compensation
- Contingency provisions
- Contributions
- Depreciation on land or fully depreciated assets
- Salary supplements for HGE require prior approval
- Entertainment costs
- Fines and penalties
- Avoidable foreign taxes
- Certain fringe benefits
- Goods or services for personal use*
- Housing and personal living expenses*
- Idle facilities
- Institution-provided vehicles*
- Insurance – defect and malpractice
- Interest, fund-raising and investment management costs
- Legal proceedings costs
- Lobbying
- Losses on other sponsored agreements
- Certain memberships
- Professional service costs to prosecute claims against the U.S.
- Selling and Marketing

For Commercial organizations, specific unallowable costs are contained in FAR 31.2

- Alcoholic beverages
- Bad debts
- Congressional lobbying
- Contingencies
- Entertainment
- Executive lobbying
- Fines and penalties
- First class air travel unless authorized
- Goodwill (acquired)
- Gains or losses on disposition of capital assets
- Idle facilities
- Retroactive insurance
- Legal fees defending fraud
- Long-term leases
- Losses on other contracts
- Organization costs
- Product advertising
- Promotional items
- Social club memberships
- Professional costs to sue the U.S. government
- Certain taxes

In addition, the contract or agreement may contain details of other program-specific unallowable costs or further limitations on what or how you may spend the funds.

There is an additional category of constraint set by federal law whereby certain items are restricted, meaning they are only allowable with specific written permission (for example, vehicles), while other items are prohibited and you cannot purchase them under any circumstance (for example, abortion equipment).

Remember, even if an item you wish to purchase is not on the unallowable list, you must still work out whether the specific purchase passes the allowability test above by examining the specific circumstances of the purchase and your program to make sure the cost is reasonable and relevant to your program.

RESTRICTED COMMODITIES

Restricted commodities are items you may purchase with USAID funds, but for which you need prior written approval from the AO. The most common restricted commodities include:

- Agricultural commodities
- Motor vehicles
- Pharmaceuticals
- Pesticides
- Used equipment
- USAID-owned excess property
- Fertilizer

A waiver may be granted if all three of the following conditions are met:

- Item is of U.S. source/origin.
- You have identified the item and incorporated it into the program description or amendments to the award.
- You have incorporated the costs related to the item into the approved budget of the award.

Note: Even if you meet all three criteria, approval is not automatic; you still need to request approval from the AO):

If the AO approves, he or she will provide written authorization. If you procure the item prior to receiving written authorization, you risk paying for it yourself.

CS2.11 EXERCISE: COST PRINCIPLES – ALLOWABILITY

INSTRUCTIONS

Indicate whether the following costs are Allowable (A), Unallowable (U), or Require Prior Agreement (P).

Objective: To distinguish direct and indirect costs

Time: 15 minutes

Costs	A/U/P
Cost of in-town lunches with Ministry or potential donor officials	
Transfer of grant funds among direct cost categories exceeding 10% of the total budget	
After-hours use of COP's assigned vehicle for personal trips	
VAT taxes on commodities (assume NGO has neither sought nor obtained	
a certificate of exemption nor pursued the refund)	
Undocumented labor distribution of project's professional staff	
Charging joint or common costs indirectly without a NICRA (Negotiated Indirect Cost Rate Agreement)	
"Speed" or "transaction facilitation" payments made to host country customs' officials	
Cost of year-end party	
Gifts to project support staff	
Cost of 13th or 14th month salary	
Cost of primary education of ex pats' children	
10% contingency for unforeseen events	
Cost of monthly membership in a health club	
Uncollectible amount by prime grantee from sub-grantee	
Interest expense on operating funds	

Costs	A/U/P
First class air travel by NGO's Executive Director	
Legal fees to defend a NGO from an unsuccessful bidder's protest	
Cost overrun on another U.S. Government award	
Cost of non-profit organization's annual picnic	
Profit on a USAID grant or cooperative agreement	
Per diem for non-profit's employees in excess of Federal Travel Regulation's "lodging plus" rates	
Repayment to grantor agency for prior year's disallowed cost	
Cost of tickets to sporting events for project's employees	
Annual membership cost in American Airlines' Admiral's Club	
Fine paid to the host country's taxing authority for failing to register the NGO	
Cost of a visa expediting service	
Cost to repossess a sub-grantee's personal property at closeout	
Cost of first-class train travel (assume the NGO has a policy authorizing such class of travel)	
Cost of newspaper job advertisements	
Overtime premium pay for non-profit organization's professional support staff to complete required reports	
Actual indirect costs in excess of provisional indirect cost rate	
Cost of alcoholic beverages	
The purchase price and operating costs of a luxurious vehicle	
Cost of staff time to prepare grant applications	
Legal fees to prosecute a case against USAID	
Salary cost of Executive Director's relative performing no useful work	

Costs	A/U/P
Costs incurred beyond the amount of the grant	
Cost of providing lunches for employees at company-provided training events	
Loss on foreign currency conversion	
Payments to local vendors in U.S. currency	
Salary payments to TCNs in U.S. dollars on a contract/subcontract(without prior Mission Director/AA approval)	
Salary supplements to Host Government Employees (HGE). Per diem or honoraria paid to HGEs	

Notes:

CS2.12 REPORTING

COMPLYING WITH USG REQUIREMENTS

STANDARD FINANCIAL REPORTS

In recent years, the Federal Government has streamlined the financial reporting requirements for awards with the introduction of the Federal Financial Report (FFR) – Sometimes referred to by its document reference number of SF 425. Some older awards may have to be modified before this form can be used. An FFR must be completed each quarter for each award. The report is due 30 calendar days after the end of the quarter covered in the report as follows:

Reporting period	**Due Date**
▪ October 1 – December 31	30 January
▪ January 1 – March 31	30 April
▪ April 1 – June 30	30 July
▪ July 1 – 30 September	30 October

Please note that it is possible for any particular award to contain slightly different instructions regarding reporting requirements to those outlined below. You should always consult your award agreement if in any doubt about forms to use or dates.

Briefly, the changes are as follows:

- Federal Financial Report (FFR) replaces the SF 269 and 272, and is used to report disbursements, cost share, program income and cash-on-hand.
  - ☑ See 72 Fed. Reg. 69236, December 7, 2007

Standard Financial Reports To be replaced:

- SF 269 reports outlays, cost share, program income earned, and indirect costs incurred
- SF 272 reports any excess funds in the possession of the recipient.

To remain:

- SF 270 requests draw-downs (advances and reimbursements)
- SF 1034 Public Voucher
  - ☑ See: 22 CFR 226.52

The report is reproduced below.

It is clear that much of the information needed for this report will come from your finance department.

In order to get some of that information your finance department depends on you, the decisions you make and the records you keep.

Financial Federal Report: SF 425

Guidance on completing the report can be found at:

http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/ffr_instructions.pdf

Further support in completing this form can be found at:

http://www.ngoconnect.net/c/document_library/get_file?p_l_id=17776&folderId=43508&name=DLFE-4803.pdf

CS2.13 FEDERAL REPORT FORM – SF 425

FEDERAL FINANCIAL REPORT
(Follow form instructions)

1. Federal Agency and Organizational Element	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	Page 1	Of	Pages

3. Recipient Organization (Name and complete address including ZIP code)

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type ☐ Quarterly ☐ Semi-Annual ☐ Annual ☐ Final	7. Basis of Accounting ☐ Cash ☐ Accrual

8. Project/Grant Period From: (Month, Day, Year)	To: (Month, Day, Year)	9. Reporting Period End Date (Month/Day/Year)

10. **Transactions**	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal Funds Authorized	
e. Federal Share of Expenditures	
f. Federal Share of Unliquidated Obligations	
g. Total Federal Share (sum of lines e and f)	
h. Unobligated Balance of Federal Funds (line d minus g)	
Recipient Share:	
i. Total Recipient Share Required	
j. Recipient Share of Expenditures	
k. Remaining Recipient Share to Be Provided (line i minus j)	
Program Income:	
l. Total Federal Program Income Earned	
m. Program Income Expended in Accordance with the Deduction Alternative	
n. Program Income Expended in Accordance with the Addition Alternative	
o. Unexpended Program Income (line l minus line m or line n)	

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
				g. Totals:			

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension):
	d. Email Address:
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year):

14. Agency use only:

Standard Form 425
OMB Approval Number: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503.

Notes:

Concurrent Session Track 3: FINANCIAL MANAGEMENT

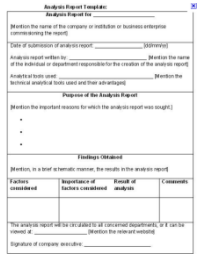
Concurrent Session Track 3 Objectives

By the end of the session, participants will be able to:

- Understand the factors that influence rules and regulations for donor funding
- Explain the impact of donor rules and regulations on awardees financial management practices
- Define the term “financial management
- Identify the six cornerstones of the financial management cycle
- Identify the high risk areas for USG and other donor awards
- Explain financial management processes for planning, estimating, budgeting and controlling costs associated with NAIP/RAIP implementation

By the end of the session, you will:

- Have experience practicing Financial Management Techniques
- Tools and Templates you can use to optimize compliance with USAID financial Rules and Regulations



Analysis Report Template

Analysis Report for _____

[Mention the name of the company or institution or business enterprise commissioning the report]

Date of submission of analysis report _____ [dd/mm/yy]

Analysis report written by _____ [Mention the name of the individual or department responsible for the creation of the analysis report]

Analytical tools used _____ [Mention the technical analytical tools used and their advantages]

Purpose of the Analysis Report

[Mention the important reasons for which the analysis report was sought.]

- .
- .
- .

Findings Obtained

[Mention, in a brief schematic manner, the results in the analysis report]

Factors considered	Importance of factors considered	Result of analysis	Comments

The analysis report will be circulated to all concerned departments, or it can be viewed at _____ [Mention the relevant website]

Signature of company executive: _____

This session is NOT:

- An accounting course

What is Financial Management?

In the widest sense, it is making sure funds are used properly.

Financial Management is not only about accounting, it also includes:

- Budgeting
- Controlling
- Reporting
- Evaluating

Who is responsible for good Financial Management?

All Staff are responsible for good Financial Management

What are Good Attributes of Financial Management?

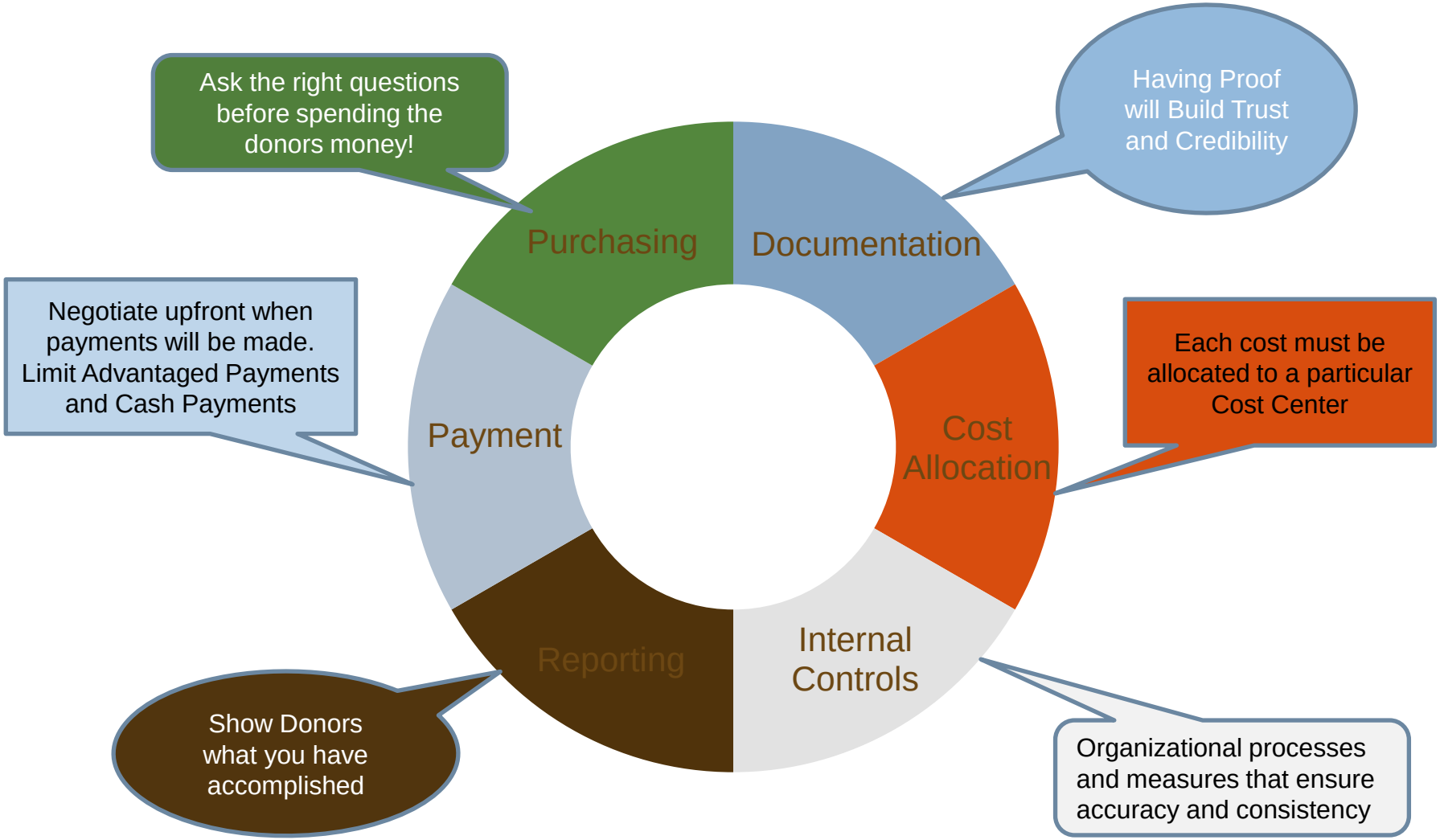
Be Disciplined

- Always do the Right Thing
- Never Guess, Always Check
- No Short Cuts
- Follow Procedure
- Ask if Unsure
- Peer Review
- Do Not Make Promises you Cannot Keep
- Respect Authority Levels
- Read the Contract

Be Consistent

- Coding
- Review
- Decision Making
- Authority
- Reporting
- Project By Project
- Period by Period
- Partner by Partner
- Office By Officer

6 Cornerstones of Financial Management



Cost Analysis versus Cost Realism

Cost Analysis

GOAL: A line-item by line-item analysis of the applicant's costs

USAID prefers:

- Personnel who work on the award full time
- Limited number of staff charged to program administration
- Modest year-on-year salary increases

Questions asked can be related to:

- Applicant's overuse of expats and TCNs vs. CCNs
- Utilization of headquarters-based backstoppers
- International travel
- Acquisition of vehicles
- Off-site indirect cost rate

Cost Realism

- Review and evaluate an applicant's costs if the costs are:
  - Realistic for the work to be performed
  - Reflect a clear understanding of the requirements
  - Consistent with the technical elements of the application
- Compares applicant's labor rates with competitors and external indexes
- Reviews applicant's indirect costs
- Cross-checks applicant's budget with technical approach

What are Direct and Indirect Costs?

Total Costs = Allowable Direct Costs + Allocable Indirect Costs Less Applicable Credits

Allowable Direct Costs

Definition – "Incurred specifically for the award (contract)"

Examples:

- A
- B
- C

Allowable Indirect Costs

Definition – "Overhead expenses incurred by the applicant organization as a result of a project, but that are not easily identified with the specific project or activity"

Generally Speaking, there are two types of Indirect Costs

Overhead Costs	• "Benefit the award and the other work and can be distributed in reasonable proportion to the benefits received"
General and Administrative	• "Necessary to the overall operation of the organization (business)

Quick Example of Direct versus Indirect Costs

Situation: You are a Financial Manager at a Hospital. What are the direct and indirect costs for a patient?

Total Costs = Allowable Direct Costs + Allocable Indirect Costs Less Applicable Credits

Allowable Direct Costs

- Doctor Fees
- Cost of Medication
- Cost of Food
- Cost of Clothes
- Anything else?

Allowable Indirect Costs

- Cost of Cleaning Service
- Cost of Electricity
- Cost of Water Usage
- Cost of Hospital Administration
- Anything else?

Exercise: Cost Type

Objective:	To Distinguish direct and indirect costs
Instructions:	Using the case study decide which type of cost (direct or indirect) the following expense items fall under, identify the reason and/or additional information needed to determine the type of cost.
Time:	15 Minutes

A Popular Indirect Costing Method

Negotiated **I**ndirect **C**osts **R**ecovery **A**greement

1) NICRA is the fixed percentage rate used by the USG
2) NICRA's rate is set annually and applied to all Federal Government awards

How are Indirect Cost Rates Calculated?

Indirect Cost Recovery (ICR) Rates are not calculated at project or award level. Organizations using this method will have a single NICRA agreed each year which is applicable to all award for the organization.

KEY ADVANTAGES TO AN APPROVED ICR RATE

- Administrative easy of Recovery
- Allows Recovery of bid & proposal costs on applications/proposals lost
- Eliminates need to negotiate non-program costs on each award
- Simplifies recovery of small-dollar costs

How do you report Timekeeping?

Importance of Timekeeping

- Keeping accurate and true records of the amount of time or effort expended by staff on a particular award
- One of the most important presumptions the USG makes regarding awardees.

Best Practices to record Employee Effort

Step 1

- Employees are given instructions on how to charge their work

Step 2

- Employee prepare their own time sheet (in ink or computer) immediately after completion of work
  - Ensure all hours are recorded

Step 3

- Timesheet signed by employee AND supervisor after it is completed
  - If there was an error, do not erase. Cross out and add addition in.

What costs are allowable and what are not?

Ask yourself these 7 questions to determine if you can purchase the item.
(These questions apply to all costs associated with the award, including direct and indirect costs)

1) • Is the cost reasonable?

2) • Can you allocate the cost to this specific award?

3) • Is the cost consistent?

4) • Can the cost be incurred within the contract period (or as specifically allowed under the contract)?

5) • Is the cost excluded or unallowable under USG regulations?

6) • Does the cost conform to the rules and regulations of the program?

7) • Is the cost in accordance with generally accepted accounting principles and practices appropriate to the particular circumstances?

Document Your Major Purchases

For all major purchases document your review of the previous questions during the procurement.

Name	Item	Date	Budgeted Amount

Question	Response
1) Is the cost reasonable?	
2) Can you allocate the cost to this specific award?	
3) Is the cost consistent?	
4) Can the cost be incurred within the contract period (or as specifically allowed under the contract)?	
5) Is the cost excluded or unallowable under USG regulations?	
6) Does the cost conform to the rules and regulations of the program?	
7) Is the cost in accordance with generally accepted accounting principles and practices appropriate to the particular circumstances?	

Exercise: Cost Principles - Allowability

Objective: To distinguish allowable and unallowable costs

Instructions: Indicate whether the following costs are Allowable (A), Unallowable (U), or Require Prior Agreement (P).

Time: 15 Minutes

Complying with USG Requirements

Federal **F**inancial **R**eport

The Federal Government has streamlined the financial reporting requirements for awards with the introduction of the Federal Financial Report (FFR)

Reporting period		Due Date
October 1 – December 31	→	30 January
January 1 – March 31	→	30 April
April 1 – June 30	→	30 July
July 1 – 30 September	→	30 October

Exercise: Completing a Federal Report

Objective: ????????

Instructions: Complete a Federal Financial Report for the Cedestia Project the period 1 January 2013 to 31 March 2013.

Time: 15 Minutes

CONCURRENT SESSION: TRACK 3 – MANAGING THE DONOR-RECIPIENT RELATIONSHIP

Objectives	By the end of the session, participants will be able to: ▪ Identify donor perspectives on the donor-recipient relationship; ▪ Work effectively with donors to achieve greater alignment and harmonization of agriculture development programs; ▪ Explore the impact of well managed and poorly managed donor-recipient conflict; ▪ Appreciate what it takes to create successful negotiations; ▪ Practice negotiation and conflict resolution skills; and ▪ Identify ways to strengthen negotiations and conflict resolution skills when working with donors.
Total Time	3.5 hours
Materials	**PowerPoint Slides** ▪ Concurrent Session: Track 3 **Participant Manual** ▪ CS3.1 Exploring the Donor-Recipient Relationship ▪ CS3.2 Challenging Situations with Donors ▪ CS3.3 Donor Principles for Agriculture and Rural Development Programs ▪ CS3.4 The Paris Declaration's Six Areas of Donor Commitment – Small Group Task ▪ CS3.5 The Paris Declaration's Six Areas of Donor Commitment – Large Group Discussion ▪ CS3.6 How Funding Agencies Translate Strategy into Programs and Projects ▪ CS3.7 Negotiations and Conflict Resolution – Individual Task ▪ CS3.8 The Nature of Workplace Conflict ▪ CS3.9 Negotiations and Conflict Resolutions – Interactive Discussion ▪ CS3.10 Negotiations and Conflict Resolution – The Point of Contention Model ▪ CS3.11 Thomas – Kilman: Five Conflict Handling Modes ▪ CS3.12 Negotiations and Resolving Conflicts: An Overview

- CS3.13 Managing Challenging Situations with Donors – Small Group Task
- CS3.14 Managing Challenging Situations with Donors – Large Group Presentations and Discussion
- CS3.15 Communicating Non-Defensively
- CS3.16 Wrap Up

Other Resources

- Joint Donor Principles for Agriculture and Rural Development Programs: Incentives for Change
- The Paris Declaration on Aid Effectiveness (March, 2005)
- Accra Agenda for Action (September 2008)
- The "Rome Principles", as stated in the Declaration of the World Summit on Food Security (2009)
- The Mutual Accountability Framework for the Comprehensive Africa Agriculture Development Program.

Preparation

Procedure		Steps	
5 min		**INTRODUCTION** **PRESENT** the learning objectives of this session. **SAY** that during this session, participants will consider strategies for working effectively with multiple donors to achieve greater effectiveness of agriculture development programs. Participants will explore donor and recipient perspectives on the donor-recipient relationship and methods for communicating and negotiating with donors and prospective donors.	PW, p.1
50 min		**EXPLORING THE DONOR-RECIPIENT RELATIONSHIP** **ASK** participants to quickly name the donors who are supporting our country/region food security projects. **RECORD** the names of these donors on flip chart in the front of the room where all participants can see. Quickly **DIVIDE THE ROOM IN HALF** and **ASK** one side of the room (in their table groups) to conduct a 3 minute brainstorm on "what you want/need/expect from your donors, and why" and the other side of the room, "what your donors want/need/expect from you, and why." Quickly **GET RESPONSES** from the two sides of the room and **RECORD** them on two separate flipcharts – "What we (recipients) want/need/expect from our donors" and What donors want/need/expect from us, and why."). ***Note:*** Have two columns on each flipchart – one column for "what's expected" and one column for "why". **ASK** participants to look at the two lists and to identify any similarities. **FLAG** any similarities by placing a check mark or asterisk, using the same color marker, next to similar items on each list (Note: You will need many different colors of markers). ***Note:*** Participants are likely to find some similarities among the two lists. Both donors and recipients, for example, may be looking for things like reliability, timeliness, consistency, transparency, efficiency or effectiveness. Next, **ASK** participants to look for items that are unique to each list, i.e., things that donors are looking for that recipients are not looking for and vice-versa. **FLAG** any unique items that are identified from either the donor or recipient perspectives by placing a check mark or asterisk next to them using a black marker. ***Note:*** There are likely to be things on the lists that are unique to either the donor or recipient perspective. Donors, for example, may want/need/expect prompt and thorough reporting, fiscal accountability, tangible results, etc. Recipients, on the other hand may want/need/expect financial support, technical guidance, respect for the	PW, p.2

Procedure		Steps	
		country's priorities, cultural values, etc. **SAY** that this quick analysis gives us a "snapshot" of the donor-recipient relationship by helping us to identify the common wants/needs/expectations of both groups, and also some of the wants/needs/expectations that each group has uniquely. **COMMENT** (if their data supports this comment) that both donors and recipients share many things in common and that both groups need one another in order to meet their long term objectives. **ASK** participants to take a half-minute, individually, to think about what motivates donors to provide money and/or other resources. After about 30 seconds, **SOLICIT** responses from the group. **RECORD** responses on a flipchart with the heading "What motivates donors?" **EMPHASIZE** that the donor-recipient relationship is reciprocal. Just as recipients depend upon donors for financial, material and technical support, donors also depend upon recipients. Donors and recipients work together to achieve long term goals that are deemed to be mutually beneficial. While donors may have altruistic motives for providing support, they also benefit by developing reliable and lucrative trading partners and by establishing and strengthening strategic alliances that provide economic and political advantages and promote security. **REMIND** participants of their discussions, on day one, about the alignment of regional and district initiatives to the NAIP/RAIP. **INDICATE** that successful coordination and negotiation with donors requires that country/regional representatives be very clear about their objectives; what they expect to achieve on behalf of their country/region as part of the donor-recipient relationship. **DISTRIBUTE** 5x8 inch index cards to each table group, enough for each participant. **ASK** participants, individually, to briefly describe a challenging situation that they have experienced with a donor in recent years. ADVISE them not to mention names of organizations or individuals and that they should not put their name on the card. Also, ASK them to describe only the situation and not to describe any aspects of the solution. **TELL** participants that we will ask them to review these situations later in the session and that we will use some of their situations for discussion and practice. **GIVE** participants 7-8 minutes to complete this task. **ASK** participants to keep their cards so that we can refer to them later in the session.	PW, p.3

Procedure		Steps	
30 min		**DONOR PRINCIPLES FOR AGRICULTURE AND RURAL DEVELOPMENT PROGRAMS** **EXPLAIN** to participants that over the past several years world leaders and members of the donor community have come together in various forums to explore strategies for increasing aid effectiveness. In one such initiative, members of the Global Donor Platform for Rural Development have been working to develop a set of donor principles for effective assistance in agriculture and rural development. **TELL** participants that the work of the platform is in keeping with the Paris Declaration on Aid Effectiveness (March, 2005). **ELABORATE** by describing the five central tenets of the Paris Declaration, as follows: 1. Ownership: *Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.* 2. Alignment: *Donor countries align behind these objectives and use local systems*. 3. Harmonization: *Donor countries coordinate, simplify procedures and share information to avoid duplication.* 4. Managing for results: *Developing countries and donors shift focus to development results and results get measured.* 5. Mutual accountability: *Donors and partners are accountable for development results.* **SAY** that the world leaders who signed on to the Paris Declaration affirmed their commitment to increase the effectiveness of the aid that they provide in the following **SIX AREAS OF DONOR COMMITTMENT**: i. Strengthening partner countries' national development strategies and associated operational frameworks (*e.g.*, planning, budget, and performance assessment frameworks). ii. Increasing alignment of aid with partner countries' priorities, systems and procedures and helping to strengthen their capacities. iii. Enhancing donors' and partner countries' respective accountability to their citizens and parliaments for their development policies, strategies and performance. iv. Eliminating duplication of efforts and rationalizing donor activities to make them as cost-effective as possible. v. Reforming and simplifying donor policies and procedures to encourage collaborative behavior and progressive alignment with partner countries' priorities, systems and procedures. vi. Defining measures and standards of performance and accountability of partner country systems in public financial management, procurement, fiduciary safeguards and environmental assessments, in line with broadly accepted good practices and their quick and widespread application.	PW, p.4

Procedure		Steps	
		MENTION that Ministers of developing and donor countries responsible for promoting development and Heads of multilateral and bilateral development institutions endorsed a statement in Accra, Ghana, on 4 September 2008 to accelerate and deepen implementation of the Paris Declaration on Aid Effectiveness. **ASSIGN** one of the **SIX AREAS OF DONOR COMMITMENT** to each table group. **Note:** If there are fewer than six table groups (which is likely), facilitators may assign more than one donor commitment area to some table groups. **ASK** each table group to respond to the following questions for their assigned donor commitment area: ■ What has been your experience in working with donors around this area of commitment? (For example: How have donors responded to this area of commitment?) ■ What can you do, as recipients or prospective recipients, to help donors be responsive in this particular area? **TELL** participants that they have 15 minutes to complete this task. **ASK** them to record their responses to each question on flipchart and to identify a spokesperson who will share a five minute (or less) summary of their responses with the large group. After 15 minutes **FACILIATE** a brief series of report outs, giving each table group five minutes to report on their assigned donor commitment area.	PW, p.5
		THANK participants for their participation and **ASK** them, in the large group, to respond to the following questions: ■ In which of the donor commitment areas have donors and recipients experienced the most success? ■ Which of the donor areas are the most difficult or challenging? ■ What have you learned about working successfully with donors? ■ What will you do differently when working with donors, based upon these discussions? **RECORD** responses on flipchart. **REFERENCE** other donor initiatives and guidelines, such as: The “Rome Principles”, as stated in the Declaration of the World Summit on Food Security (2009). The Mutual Accountability Framework for the Comprehensive Africa Agriculture Development Program. **Note:** Have copies of these and other documents available for review on participant tables or on a resource table in the training room. **SUGGEST** that we take a 15 minute break. **TELL** participants that when we return we’ll explore negotiation strategies.	PW, p.6

Procedure		Steps	
15 min		***BREAK***	15 min
		Levels of Donor Development Strategy **Country-based strategies may include the following:** • **Agency level planning** ○ US Government prepares a 5-year Joint Strategic Plan (Dept. of State and USAID) ○ Other donor agencies (e.g., DIFID, GIZ, JICA) follow different models – no common standard • **Regional and pillar/sectoral level planning** ○ Regional and/or sectoral priorities, goals, approaches etc. ○ Issues of particular importance, region- or sector-wide ○ Provides management approaches and planning parameters for country-level plans • **Country level planning** (U.S. Perspective) ○ Country Assistance Strategy, Mission Strategic Plan (3 or 5 year) ○ Annual Operational Plans • **Program planning** ○ Specific to a sector with objectives specified in the country plan USAID SEED FEED CHANGE FUTURE AfricaLead	PW, p.7
		Mechanisms for Donor Development Assistance • Stand-alone projects via implementing agents • Sector programs and "program-based" aid • Concessionary and non-concessionary loans • Targeted technical assistance for discrete purposes • Balance of payments or general budget support • Commodity support • Food aid and other humanitarian assistance USAID SEED FEED CHANGE FUTURE AfricaLead **Note:** *Concessionary loans are loans that are extended on terms substantially more generous than market (non-concessionary) loans. The concession is achieved either through interest rates below those available on the market or by grace periods, or a combination of these. Concessionary loans typically have long grace periods (Adapted from: IMF, 2003, External Debt Statistics: Guide for Compilers and Users – Appendix III, Glossary, IMF, Washington, DC.).*	PW, p.8

Procedure		Steps	
		Note: *Commodity support, in the agriculture development context, usually refers to commodity donations, support for development of or access to food storage facilities, or training and information in areas such as food distribution, management, pricing or marketing (Information derived from the U.S. International Food Assistance Report, 2010, U.S Department of Agriculture and U.S. Agency for International Development).*	
		Factors Influencing Choice of Donor Assistance Mechanism	PW, p.9
		• Donor agency's accountability for how funds will be used • Degree of emphasis on host country ownership • Level of confidence in partner agencies / concerns about corruption, fraud, etc • Timeline of program and predictability of funding • Requirements to coordinate actions among multiple donors • Degree of urgency for fast-paced implementation? • Tolerance for transaction costs being higher when program management is "country-owned"	
		USAID FROM THE AMERICAN PEOPLE · SEE FEED CHANGE FUTURE · AfricaLead Scaling up for food security in Africa	

Procedure		Steps	
		Stand-Alone Donor Project Characteristics • Project may be one of several instruments funded by the donor, in line with umbrella agreement with the host country • Donor and/or host government select an implementing agency using their procurement rules and procedures • The lead project implementer typically deploys full time and short-term expertise (own staff or recruited) • Implementer typically leads and manages a consortium of local and international partners • Implementer is accountable to client for results and budget • Usually a project office and supporting infrastructure are put in place only for the duration of project funding	PW, p.9
		Donor Sectoral or "Program Based" Aid • Sector programs often involve the pooling of resources under a larger umbrella to achieve sector-wide goals • Formalized donor coordination and harmonization of reporting, budgeting, financial management and procurement • Sector programs are typically managed by a Program Management Unit (PMU), secretariat, or government agency • They rely substantially on host country government for implementation, management, M&E, reporting etc. • Procurement decisions may be made by host country entity or PMU (and host-country procurement rules may apply)	PW, p.10

Procedure		Steps	
		Donor Budget Support Characteristics • Two types: (1) general budget support and (2) sector-specific budget support • Funds are transferred to host country's national treasury and managed in accordance with their own procedures • Funds tend not to be earmarked for a specific use • Funds may bridge public sector budget or balance of payment shortfalls • Conditions focus on overall policy and budget priorities often outlined by country development strategies (e.g., Poverty Reduction Strategy Papers, or PRSPs) • Host country government retains control over resources	PW, p.10
15 min		**NEGOTIATIONS AND CONFLICT RESOLUTION** **INTRODUCTION** **WELCOME** participants back from the break. **SAY**, we have explored perspectives on the donor-recipient relationship. During the second half of this session, we will explore strategies for negotiating with donors and managing conflicts when they occur. **SAY** that to get into the right mindset you would like them to think back to a challenging situation that they have experienced with a donor in recent years; the one that they described on an index card earlier in the session. **TELL** them to get the challenging situation in their minds. Then **ASK** them to think about the "feelings" they had in the midst of this challenging situation. **GIVE** them a minute to think about these feelings. **ASK** them to tell you what some of these feelings were. **SUMMARIZE** what they tell you – feelings of anger, frustration, sadness, worry, fear, etc. **SAY** that all these feelings that can get in the way of good donor-recipient relations – and that often these feelings are indicators of fundamental conflicts between donors and recipients. For this reason, we will spend some time exploring the nature of conflicts and strategies that we can use to negotiate our way through them. **EXPLAIN** that we are not going to talk about armed conflict or the kinds of conflict that require psychologists to sort out. Rather, we will explore the commonly occurring conflicts that arise in the workplace or among stakeholders in the midst of a change process. These commonly	PW, p.11

Procedure		Steps	
		occurring conflicts, if not addressed early on, can spin away into much more serious challenges. We also will be talking about conflict as the "clash of ideas" that, if managed well, can be quite positive – the best kinds of solutions, the best kinds of collaboration can come from the healthy debate and clash of ideas. When these clashes are dealt with openly and constructively, the process can be energizing and even fun. **COLLECT** the challenging situation cards from participants. Once collected, review the cards and identify from five to eight situations (depending upon the number of table groups) that are compelling and that could be used to practice negotiation skills later in the session. **SHARE** the following definitions and concepts (PPT) being sure to give examples of the different types of conflicts so people understand the differences: ■ Conflict may occur . . . ➢ When two or more people have different: ➢ Wishes ➢ Needs ➢ Ideas ➢ Opinions ■ Conflict is . . . ➢ Neither good nor bad in itself; it simply is a part of life. ➢ Resolved either positively or negatively, based on how it is managed. ■ Conflicts often occur over differences in these areas . . . ➢ Facts – perception of data ➢ Methods – how something is to be done ➢ Goals – what is to be achieved ➢ Vision – idea of the future ➢ Values – beliefs **EXPLAIN** that conflicts that arise over facts (different perceptions of data) are much easier to manage than are those that involve values. When working with differences over facts you can look up or get some objective information that will clarify the situation. When working with differences over methods, people can usually compromise on how to do something if they agree what should be the final outcome. Differences over goals are harder to manage but they can be managed if the parties involved strive to find common goals for their work together. Differences over vision may be even more difficult to manage as individuals may be strongly invested in their ideas about future and the future of the program. When individuals have differences over values, they may have a strong tendency to protect and defend deeply held beliefs that help define who they are as people and cultures. Differences over values are often the most difficult to resolve. **EXPLAIN** that given the above definition of conflict we need to think	PW, p.12

Procedure		Steps	
		about how we are willing to engage in conflict that will result in the best chance of our different interests being heard and, we hope, met. **ASK**: What does it mean to "manage conflict?"	
30 min		**NEGOTIATIONS AND CONFLICT RESOLUTION – INTERACTIVE DISCUSSION** **SHOW** a flipchart with a line down the middle from top to bottom. On one side put the heading "Well Managed Conflict" and on the other side the heading "Poorly Managed Conflict." **START** with the "poorly managed conflict" side of the chart and **ASK** participants: "What are the outcomes when a conflict is poorly managed?" **FILL** that side of the chart. Examples might include: lingering hard feelings, low morale, escalating conflict, spilling out to other parts of the organization, work doesn't get done, etc. etc. Then **GO TO** the other side of the chart and ask: "What are the outcomes when a conflict is well managed?" **FILL OUT** the chart, until at some point participants start saying "the opposite of everything on the other side." **MAKE** the following points: ■ Look at these two sides of the flipchart. There is a very stark difference between the two sides. ■ You, as managers and implementers of change who work with donors and prospective donors, have a big responsibility to make sure the "picture" of your operating environment looks like the "well-managed conflict" side of the chart, and not the "poorly managed conflict" side of the chart. ■ When you engage with other leaders, managers, implementers, coworkers, subordinates, donors, etc, you should be thinking about this chart. ■ For the next hour, we all should be thinking about and discussing the questions: ➢ What can I do to move my operating environment clearly into the "well managed conflict" side of the chart if it is not there now? ➢ What can I do to maintain my operating environment on the "well managed conflict" side of the chart if it is there now? Ask participants to turn in their binder to the paper, Document CS3.10, *Negotiations and Conflict Resolution – The Point of Contention Model.* Explain that a very useful tool in determining what a conflict is about is the Point of Contention Model. It is difficult to know how to manage a conflict until you first figure out what is the real point of contention. Say that, just like the onion example in the paper, you may need to peel back the layers of the conflict before you really understand what the issues are. A clue is: how low or high are the emotions driving the conflict? Ask for a participant to volunteer the challenging situation with a donor they were thinking back to at the start of the session – not to give names, etc., but just describe briefly the situation.	PW, p.13-14 PW, p.15

Procedure		Steps	
		Ask the other participants: "What do you think is the point of contention?" Get some examples of what participants think it is and where it falls on the chart – fact or method or goal or vision or values. Then ask the volunteer: "What emotions were present? With one party or both parties?" If the emotions being described are high, challenge the participants to figure out the point of contention. ***Trainer note:*** *In many cases, what might seem like a conflict over method (how to approach an activity) turns out to be a conflict more at the goal level or even vision level. However, emotions that involve "anger" or "resentment" are oftentimes a values conflict. The surface conflict may be about what budget or level of effort might the activity require, but listening to the emotions helps to peel back the onion to find that, for example, one party may be feeling unheard, not fairly treated, or disrespected. This then becomes the point of contention to help manage.*	
10 min		**UNDERSTANDING THE THOMAS-KILMANN CONFLICT-HANDLING MODEL** **PROVIDE** background information on the Thomas-Kilmann conflict-handling model, as follows: There are two basic dimensions of behavior when it comes to handling conflict: ASSERTIVENESS - The extent to which the individual attempts to satisfy his or her own concerns. COOPERATIVENESS - The extent to which the individual attempts to satisfy the other person's concerns. The 5 conflict handling modes of Thomas-Kilmann conflict model stem from the interaction of these two dimensions of behavior. Discuss each mode and its related skills in greater detail. ▪ Competing (slides 35 & 36) ▪ Accommodating (slides 37 & 38) ▪ Avoiding (slides 39 & 40) ▪ Collaborating (slides 41 & 42) ▪ Compromising (slides 43 & 44) **REFERENCE** the material in the workbook that discusses underuse and overuse of the various modes. And, **REFERENCE** the additional materials in the book about methods/tips for Collaborating.	PW, p.16-17
35 min		**NEGOTIATIONS – COLLABORATIVE, WIN-WIN – PLENARY DISCUSSION** **SAY** that before we look at when to appropriately use what handling mode, it is important to make the following points concerning *negotiations* (on power point)*:*	PW, pp.18-26

Procedure		Steps	
		■ We said that all handling modes are appropriate in certain situations. With negotiations, the key to success is to shift the situation to a "win-win" even if it looks like a "win-lose" situation. Almost all negotiations have at least some elements of win-win. ■ Successful negotiations often depend on finding the win-win aspects in any situation. Only shift to a win-lose mode if all else fails. ■ All negotiations involve two levels: a **rational decision making** (substantive) process and a **psychological** (emotional) process. The outcome of a negotiation is as likely to be a result of both. For many of us it is the psychological aspects that are more difficult: ➢ How comfortable each feels about conflict ➢ How each perceives the other ➢ Assumptions each makes about the other ➢ Trust ➢ How important winning is ➢ How important is it to avoid conflict ➢ How much one likes or dislikes the other ➢ How important is it to not look naïve or uninformed ■ Win-Win Negotiations: ➢ Orient yourself toward a win-win approach: your attitude going into negotiations plays a huge role in the outcome ➢ Plan and have a concrete strategy – be clear on what is important to you and why it is important. ➢ Know your BATNA (Best Alternative to a Negotiated Alternative) ➢ Separate people from the problem ➢ Focus on interests, not positions: consider the other party's situation ➢ Create Options for Mutual Gain ➢ Generate a variety of possibilities before deciding what to do ➢ Aim for an outcome based on some objective standard ➢ Pay a lot of attention to the flow of negotiation ➢ Take the intangibles into account – communicate carefully ➢ Use Active Listening Skills – rephrase, ask questions, and then ask some more **TELL** participants that Document CS3.12, *Negotiations and Conflict Resolution – An Overview,* goes into detail about the above points. **EXPLAIN** to participants that we will use some of the "Challenging situations that they have experienced with donors" cards that they completed earlier to help them practice determining which handling mode or combination of modes might be the best option in which situations.	PW, p.27

Procedure		Steps	
		DISTRIBUTE one challenge situation card to each table group. **GIVE** participants 10 minutes to discuss the situation at their tables. Tell them to be prepared to report out the handling mode or combination of modes that they selected and also to describe their reason(s) or rationale(s) for the mode(s) they selected. For example, "In the situation described on our card, the first conflict handling mode option might be to ***avoid***, because . . . . , later followed by ***collaborate***, because . . . . ." After 10 minutes, **ASK** a representative from one table to read their situation and share their response. Then, **ASK** the large group: ■ What is the point of contention in this situation (e.g., facts, methods, goals, values or beliefs)? ■ Is the point of contention the same for both/all parties of the conflict? ***Trainer Note:*** *Suggest (if not mentioned by the participants) that the point of contention for the donor may be in the goal or vision area, e.g., the results to achieve, but it could also be into the values area, e.g., values of quality and competency. The point of contention for the recipient may be in the values area, e.g., values of fairness and respect (e.g., respect for the individual's position or authority, cultural values, etc.).* **REPEAT** this process until all tables have had an opportunity to present and discuss their assigned situation with the large group.	PW, p.28
		After the final table reports, **WRAP UP** this discussion by asking participant to turn to Document CS3.15, *Communicating Non-Defensively,* the homework assignment for today). **EXPLAIN** that you want to say a few words about "you statements" and "I statements." **ASK**: ■ Why are "you statements" less effective than "I statements" when one is handling a conflict situation? **EMPHASIZE** that people often react to "you statements" by feeling blamed. **SAY** that most of them are familiar with I-statements. They look something like this: "I feel upset [emotion] that I did not receive your budget on time [specific behavior]. Because it is late, I will have to rewrite my proposal [tangible impact]." **NOTE** the point in the article that one research project suggested that non-blaming messages that describe a tangible impact results in the other person trying to resolve the problem as much as 90% of the time.	PW, pp.29-32

Procedure		Steps	
		ASK: ■ Does this ring true for you? **TAKE** a few responses and **SUGGEST** that participants take another look at the *Communicating Non-Defensively* article in the context of our work together today. In closing, **ASK** participants: ▪ "Why are "you statements" less effective than "I statements" when one is handling a conflict situation? ▪ "What will you do to enhance your agency's donor-recipient relationships when you return to work?" **TAKE** a few comments from the group and **ENCOURAGE** their intentions to use the skills explored during this concurrent session.	PW, p.33

CONCURRENT SESSION: TRACK 3 – MANAGING THE DONOR-RECIPIENT RELATIONSHIP

Objectives	By the end of the session, participants will be able to: ▪ Identify donor perspectives on the donor-recipient relationship; ▪ Work effectively with donors to achieve greater alignment and harmonization of agriculture development programs; ▪ Explore the impact of well managed and poorly managed donor-recipient conflict; ▪ Appreciate what it takes to create successful negotiations; ▪ Practice negotiation and conflict resolution skills; and ▪ Identify ways to strengthen negotiations and conflict resolution skills when working with donors.

CS3.1 EXPLORING THE DONOR-RECIPIENT RELATIONSHIP

INSTRUCTIONS

- Name the donors who are supporting food security projects in our country/region.

- What do you want/need/expect from your donors, and why?

- What do your donors want/need/expect from you, and why?

- What motivates donors to provide money and/or other resources?

CS3.2 CHALLENGING SITUATIONS WITH DONORS

INSTRUCTIONS

- Briefly describe a challenging situation that you have experienced with a donor in recent years, using the index card provided.
- Do not mention names of organizations or individuals
- Do not put your name on the card.
- Describe only the situation.
- Do not to describe any aspects of the solution.

The workshop facilitators will ask participants to review these situations later in the session. They may use some of your situations for discussion and practice.

CS3.3 DONOR PRINCIPLES FOR AGRICULTURE AND RURAL DEVELOPMENT PROGRAMS

THE FIVE CENTRAL TENETS OF THE PARIS DECLARATION ON AID EFFECTIVENESS:

1. Ownership: *Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.*
2. Alignment: *Donor countries align behind these objectives and use local systems*.
3. Harmonization: *Donor countries coordinate, simplify procedures and share information to avoid duplication.*
4. Managing for results: *Developing countries and donors shift focus to development results and results get measured.*
5. Mutual accountability: *Donors and partners are accountable for development results.*

THE PARIS DECLARATION'S SIX AREAS OF DONOR COMMITMENT:

1. Strengthening partner countries' national development strategies and associated operational frameworks (*e.g.*, planning, budget, and performance assessment frameworks).
2. Increasing alignment of aid with partner countries' priorities, systems and procedures and helping to strengthen their capacities.
3. Enhancing donors' and partner countries' respective accountability to their citizens and parliaments for their development policies, strategies and performance.
4. Eliminating duplication of efforts and rationalizing donor activities to make them as cost-effective as possible.
5. Reforming and simplifying donor policies and procedures to encourage collaborative behavior and progressive alignment with partner countries' priorities, systems and procedures.
6. Defining measures and standards of performance and accountability of partner country systems in public financial management, procurement, fiduciary safeguards and environmental assessments, in line with broadly accepted good practices and their quick and widespread application.

CS3.4 THE PARIS DECLARATION'S SIX AREAS OF DONOR COMMITMENT – SMALL GROUP TASK

INSTRUCTIONS

1. In your table group, respond to the following questions for your assigned donor commitment area:
   - What has been your experience in working with donors around this area of commitment? (For example: How have donors responded to this area of commitment?)
   - What can you do, as recipients or prospective recipients, to help donors be responsive in this particular area?
2. Record your responses to each question on flipchart.
3. Identify a spokesperson who will share a five minute (or less) summary of your table group's responses with the large group.

You have ***15 minutes*** to complete this task.

CS3.5 THE PARIS DECLARATION'S SIX AREAS OF DONOR COMMITMENT – LARGE GROUP DISCUSSION

INSTRUCTIONS

Be prepared to discuss the following questions in the large group:

- In which of the donor commitment areas have donors and recipients experienced the most success?

- Which of the donor commitment areas are the most difficult or challenging?

- What have you learned about working successfully with donors?

- What will you do differently when working with donors, based upon these discussions?

CS3.6 HOW FUNDING AGENCIES TRANSLATE STRATEGY INTO PROGRAMS AND PROJECTS

(Adapted from Georgetown University, Business Development Workshop, MSFS 747, How Funding Agencies Translate Strategy into Programs and Projects, September 12, 2011, Professor Tony Barclay)

It will be important to keep the following donor strategies and perspectives in mind when you solicit donor support and engage with donors throughout the funding cycle.

Levels of Donor Development Strategy

Country-based strategies may include the following:

- **Agency level planning**
  - US Government prepares a 5-year Joint Strategic Plan (Dept. of State and USAID)
  - Other donor agencies (e.g., DIFID, GIZ, JICA) follow different models – no common standard
- **Regional and pillar/sectoral level planning**
  - Regional and/or sectoral priorities, goals, approaches etc.
  - Issues of particular importance, region- or sector-wide
  - Provides management approaches and planning parameters for country-level plans
- **Country level planning** (U.S. Perspective)
  - Country Assistance Strategy, Mission Strategic Plan (3 or 5 year)
  - Annual Operational Plans
- **Program planning**
  - Specific to a sector with objectives specified in the country plan

Mechanisms for Donor Development Assistance

- Stand-alone projects via implementing agents
- Sector programs and "program-based" aid
- Concessionary and non-concessionary loans
- Targeted technical assistance for discrete purposes
- Balance of payments or general budget support
- Commodity support
- Food aid and other humanitarian assistance

Note: Concessionary loans are loans that are extended on terms substantially more generous than market (non-concessionary) loans. The concession is achieved either through interest rates below those available on the market or by grace periods, or a combination of these. Concessionary loans typically have long grace periods (Adapted from: IMF, 2003, External Debt Statistics: Guide for Compilers and Users – Appendix III, Glossary, IMF, Washington, DC.).

Note: Commodity support, in the agriculture development context, usually refers to commodity donations, support for development of or access to food storage facilities, or training and information in areas such as food distribution, management, pricing or marketing (Information derived from the U.S. International Food Assistance Report, 2010, U.S Department of Agriculture and U.S. Agency for International Development.

Factors Influencing Choice of Donor Assistance Mechanism

- Donor agency's accountability for how funds will be used
- Degree of emphasis on host country ownership
- Level of confidence in partner agencies / concerns about corruption, fraud, etc
- Timeline of program and predictability of funding
- Requirements to coordinate actions among multiple donors
- Degree of urgency for fast-paced implementation?
- Tolerance for transaction costs being higher when program management is "country-owned"

Stand-Alone Donor Project Characteristics

- Project may be one of several instruments funded by the donor, in line with umbrella agreement with the host country
- Donor and/or host government select an implementing agency using their procurement rules and procedures
- The lead project implementer typically deploys full time and short-term expertise (own staff or recruited)
- Implementer typically leads and manages a consortium of local and international partners
- Implementer is accountable to client for results and budget
- Usually a project office and supporting infrastructure are put in place only for the duration of project funding

Donor Sectoral or "Program Based" Aid

- Sector programs often involve the pooling of resources under a larger umbrella to achieve sector-wide goals
- Formalized donor coordination and harmonization of reporting, budgeting, financial management and procurement
- Sector programs are typically managed by a Program Management Unit (PMU), secretariat, or government agency
- They rely substantially on host country government for implementation, management, M&E, reporting etc.
- Procurement decisions may be made by host country entity or PMU (and host-country procurement rules may apply)

Donor Budget Support Characteristics

- Two types: (1) general budget support and (2) sector-specific budget support
- Funds are transferred to host country's national treasury and managed in accordance with their own procedures
- Funds tend not to be earmarked for a specific use
- Funds may bridge public sector budget or balance of payment shortfalls
- Conditions focus on overall policy and budget priorities often outlined by country development strategies (e.g., Poverty Reduction Strategy Papers, or PRSPs)
- Host country government retains control over resources

CS3.7 NEGOTIATIONS AND CONFLICT RESOLUTION – INDIVIDUAL TASK

INSTRUCTIONS

- Think back to a challenging situation that you have experienced with a donor in recent years; the one that you described on an index card earlier in this session.

- Think about the “feelings” that you had when you were in the midst of this challenging situation.

- Write down words that describe your feelings, e.g., excited, angry, frustrated, motivated, energized, worried, etc.

CS3.8 THE NATURE OF WORKPLACE CONFLICT

Conflict May Occur:	Conflict:
When two or more people have different: ▪ Wishes ▪ Needs ▪ Ideas ▪ Opinions	▪ Is neither good, nor bad in itself; it simply is a part of life. The outcome of a conflict situation is positive or negative, based on how it is managed.

Common Categories or Areas of Conflict:
▪ Facts – perception of data ▪ Methods – how something is to be done ▪ Goals – what is to be accomplished ▪ Vision – ideas of the future ▪ Values – beliefs

What does it mean to “manage conflict?”

CS3.9 NEGOTIATIONS AND CONFLICT RESOLUTION – INTERACTIVE DISCUSSION

INSTRUCTIONS

Quickly indicate whether the outcomes below occur when there is good or poor conflict management by placing an (X) in the appropriate column.

Result or Outcome	Good Conflict Management	Poor Conflict Management
1. People in isolated "camps"—taking sides, lots of energy is wasted		
2. Direct conversation between the parties moves toward resolution		
3. Issues are "dealt with"		
4. Agreements are met—parties do what they say		
5. Indirect conversations with others, not with the persons directly involved		
6. Trust is higher as a result of dealing with each other in a successful manner		
7. Minimum of negative feelings are generated		
8. Work team functions after the conflict		
9. If conversation does occur, issues are unresolved or go unrecognized—all issues not dealt with clearly		
10. Trust decreases		
11. Leftover feelings of anger, fear, desire for revenge		
12. People say one thing, do another		

When you are done compare your responses to the ones on the next page!

TIPS FOR MANAGING CONFLICT:

Outcomes of Good vs. Poor Management of Conflict	
Good Management	**Poor Management**
1. Direct conversation between the parties moves toward resolution 2. Issues are "dealt with" 3. Work team functions after the conflict 4. Agreements are met—parties do what they say 5. Minimum of negative feelings are generated 6. Trust is higher as a result of dealing with each other in a successful manner	1. People in isolated "camps"—taking sides, lots of energy is wasted 2. Indirect conversations with others, not with the persons directly involved 3. If conversation does occur, issues are unresolved or go unrecognized—all issues not dealt with clearly 4. Leftover feelings of anger, fear, desire for revenge 5. People say one thing, do another 6. Trust decreases

- What can I do to move my operating environment clearly into the "well managed conflict" side of the chart if it is not there now?

- What can I do to maintain my operating environment on the "well managed conflict" side of the chart if it is there now?

CS3.10 NEGOTIATIONS AND CONFLICT RESOLUTION – THE POINT OF CONTENTION MODEL

It is difficult to manage the conflict until the point of contention is clear. The point of contention can fall in any of the following areas:

- Low Emotion
  - ❑ FACTS
  - ❑ METHODS
  - ❑ GOALS
  - ❑ VISION
- High Emotion
  - ❑ VALUES

If you believe the point of contention is in facts or methods, but yet emotions are high in one or both parties, then keep looking for the point of contention. Think of an onion when you think about the point of contention – you may need to peel back several layers before you find it. What may at first seem to be a dispute over a method (e.g., how to approach a problem) may actually be a values conflict. For example, one party believes the other party is not treating him or her fairly or with respect.

CS3.11 THOMAS – KILMAN: FIVE CONFLICT HANDLING MODES[1]

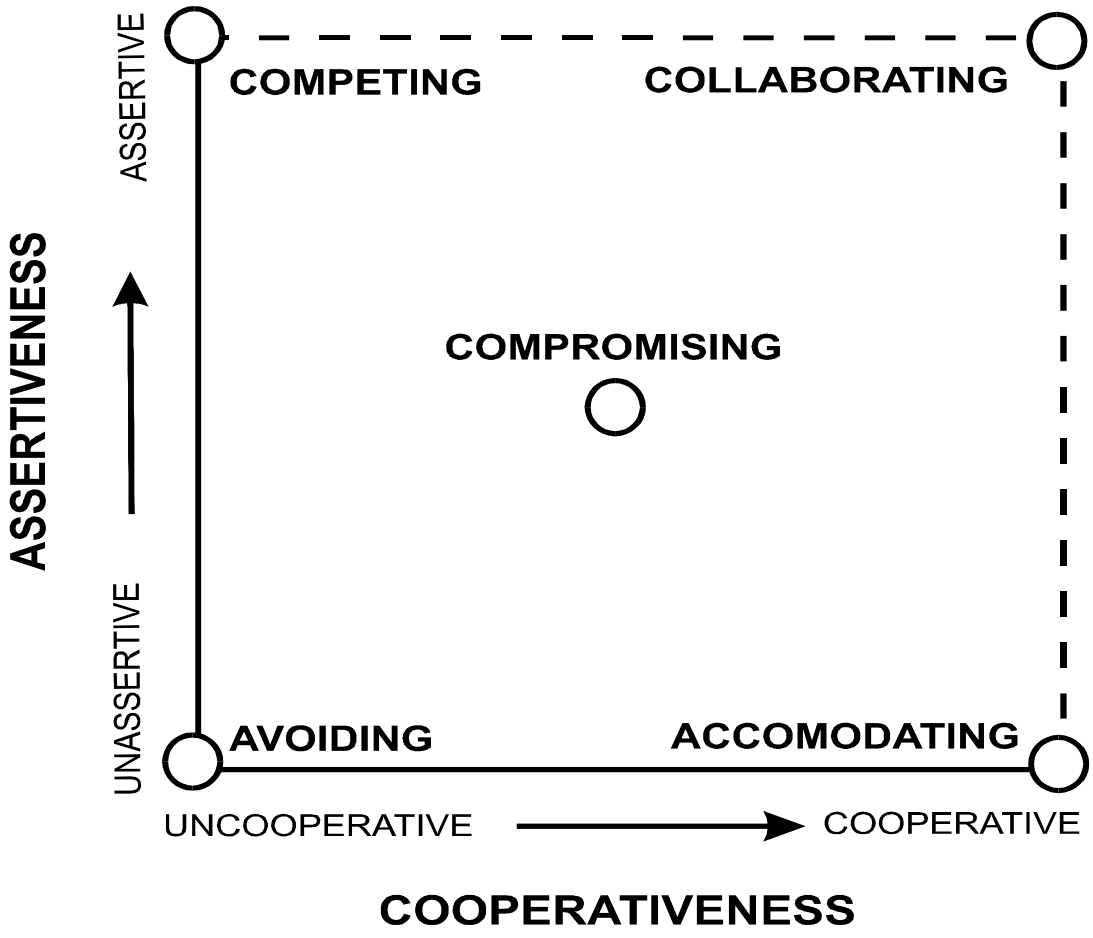
FIVE CONFLICT HANDLING MODES

COMPETING ▪ Assertive and Uncooperative ▪ Standing up for your rights ▪ Defending a position you believe is right ▪ Trying to win ▪ Asserting your own concerns		**COLLABORATING** ▪ Assertive and Cooperative ▪ Exploring disagreement to learn from others ▪ Agreeing to resolve instead of competing ▪ Looking for solutions that meet the needs of both parties (A win-win)
	COMPROMISING ▪ Intermediate in both assertiveness and cooperativeness ▪ Splitting the difference ▪ Exchanging concessions ▪ Seeking quick middle ground	
AVOIDING ▪ Unassertive and Uncooperative ▪ Diplomatically sidestepping ▪ Postponing ▪ Withdrawing ▪ Disengaging		**ACCOMMODATING** ▪ Unassertive and cooperative ▪ Selfless generosity ▪ Obeying when you would rather not ▪ Yielding ▪ Putting other's concerns over your own

[1] Thomas-Kilman CONFLICT MODE Instrument, Copyright 1974, 2002, 2007.

Thomas - Kilman

FIVE CONFLICT HANDLING MODES[2]



[2] Thomas-Kilman CONFLICT MODE Instrument, Copyright 1974, 2002, 2007.

CS3.12 NEGOTIATIONS AND RESOLVING CONFLICTS: AN OVERVIEW

Excerpts from paper prepared by Professor E. Wertheim

College of Business Administration

Northeastern University

"In a successful negotiation, everyone wins. The objective should be agreement, not victory."

"Every desire that demands satisfaction and every need to be met is at least potentially an occasion for negotiation; whenever people exchange ideas with the intention of changing relationships, whenever they confer for agreement, they are negotiating."

"The key to successful negotiation is to shift the situation to a "win-win" even if it looks like a "win-lose" situation. Almost all negotiation has at least some elements of win-win. Successful negotiations often depend on finding the win-win aspects in any situation. Only shift to a win-lose mode if all else fails."

COLLABORATIVE OR WIN-WIN NEGOTIATIONS:

Keys to Successful Negotiations

- Orient yourself towards a win-win approach: your attitude going into negotiation plays a huge role in the outcome
- Plan and have a concrete strategy...be clear on what is important to you and why it is important
- Know your BATNA (Best Alternative to a Negotiated Alternative)
- Separate people from the problem
- Focus on interests, not positions; consider the other party's situation:
- Create Options for Mutual Gain:
- Generate a variety of possibilities before deciding what to do
- Aim for an outcome based on some objective standard
- Pay a lot of attention to the flow of negotiation
- Take the Intangibles into account; communicate carefully
- Use Active Listening Skills; rephrase, ask questions and then ask some more

ORIENT YOURSELF TOWARDS A WIN-WIN APPROACH

Many studies support the view that how you approach a negotiation will play a key role in how the negotiation proceeds. You have a much better chance of coming to an outcome involving mutual gains if you approach the negotiation wanting to reach this kind of outcome. It is critical

to constantly reinforce your interest in the other side's concerns and your determination to find a mutually satisfactory resolution.

Even in what appears to be win-lose situations, there are often win-win solutions; look for an integrative solution. This includes trying to create additional alternatives such as low cost concessions that might have high value to the other person; frame options in terms of the other person's interests; look for alternatives that allow your opponent to declare victory.

Plan – Do Some Thinking Ahead of Time

Before the negotiation, it is helpful to plan. Know whether you are in a win-win or win-lose situation. Be sure of your goals, positions, and underlying interests. Try to figure out the best resolution you can expect, what is a fair and reasonable deal and what is a minimally acceptable deal. What information do you have and what do you need? What are your competitive advantages and disadvantages? What is the other's advantages and disadvantages? Give some thought to your strategy.

It is very important to be clear on what is important to you. Be clear about your real goals and real issues and try to figure out the other person's real goals and issues. Too many negotiations fail because people are so worried about being taken advantage of that they forget their needs. People who lose track of their own goals will break off negotiations even if they have achieved their needs because they become more concerned with whether the other side "won."

Equally important is to be clear and communicate why your goals, issues, and objectives are important to you. The other side needs to know why issues are important to you, not just that they are important.

It is important to be clear about your reservation position (or best alternative).

It is important to know your competitive advantage – your strongest points. Also you need to know the advantages to the other's argument. Similarly, know your weaknesses and the other's weaknesses.

In most conflict resolution or negotiation situations you will have a continuing relationship with the other person so it is important to leave the situation with both sides feeling they have "won." It is very important that the other person doesn't feel that he or she "lost." When the other person loses, the results are often lack of commitment to the agreement or even worse, retaliation. The most common failure is the failure of negotiating parties to recognize (or search for) the integrative potential in a negotiating problem; beneath hardened positions are often common or shared interests.

Know your BATNA (Best Alternative to a Negotiated Agreement)

Going into any negotiation it is important to be very clear on your BATNA – the course of action you would take if you do not reach an agreement. If you are negotiating over salary, your alternatives might include a specific job elsewhere, a longer job search, or remaining at your current job. This is important because the negotiation needs to aim to match or do better than your BATNA. The BATNA establishes a threshold for the settlement.

Determining your BATNA is not always easy. You have to establish a concrete value for various alternatives. For example, what is the value of keeping a current job or taking a new one at $5,000 higher salary that involves a move?

In simple negotiations, there may be just one issue but often negotiations involve multiple issues making the determination of BATNA's even more difficult.

In the planning process it is also important (and difficult) to estimate the other side's BATNA. A goal of negotiation is to come as close to the other person's BATNA as you can and you need to estimate the BATNA to do this. Skilled negotiators also often try to influence the other person's BATNA. This happens when you convince the other person that his alternatives are not as good as the other perceives them to be.

Separate People from the Problem

It is critical to address problems, not personalities, and avoid the tendency to attack your opponent personally. If the other person feels threatened, he defends his self-esteem and makes attacking the real problem more difficult. Try to maintain a rational, goal oriented frame of mind. If your opponent attacks you personally, don't let him hook you into an emotional reaction. Let the other blow off steam without taking it personally. Try to understand the problem behind the aggression.

Make sure you send signals that you know the conflict is about the issues at hand and not personal. This will help to prevent the other side from getting defensive.

Find Underlying Interests

A key to success is finding the "integrative" issues – often they can be found in underlying interests. We need to be very clear about our interests and this may not be as easy as it would appear. Equally important is the need to find out the other person's key interests.

We are used to identifying our own interests, but a critical element in negotiation is to come to understanding the other person's underlying interests and underlying needs. With probing and exchanging information we can find the commonalities between us and minimize the differences that seem to be evident. Understanding these interests is the key to "integrative bargaining." The biggest source of failure in negotiation is the failure to see the "integrative" element of most negotiation. Too often we think a situation is win-lose when it is actually a win-win situation. This mistaken view causes us to often use the wrong strategy. Consider a situation where your boss rates you lower on a performance appraisal than you think you deserve. We often tend to see this as win-lose – either he/she gives in or I give in. There is probably a much higher chance of a successful negotiation if you can turn this to a win-win negotiation.

A key part in finding common interests is the problem identification. It is important to define the problem in a way that is mutually acceptable to both sides. This involves depersonalizing the problem so as not to raise the defensiveness of the other person. Thus the employee negotiating a problem with a supervisor is likely to be more effective by defining the problem as "I need to understand this issue better" or "I don't understand this" rather than "You haven't been clear."

Use an Objective Standard if Possible

Try to have the result be based on some objective standard. Make your negotiated decision based on principles and results, not emotions or pressure. Try to find objective criteria that both parties can use to evaluate alternatives. Don't succumb to emotional please, assertiveness, or stubbornness.

Pay attention to the Flow of Negotiation – Negotiation Is A Sequence of Events, Not an Incident

There is a tendency to think about conflict or the negotiating situation as an isolated incident. It is probably more useful to think about negotiation as a process, or a complex series of events over time involving both external factors and internal social and psychological factors.

A negotiation usually involves a number of steps including the exchange of proposals and counter proposals. In good-faith negotiation, both sides are expected to make offers and concessions. Your goal here is not only to try to solve the problem, but to gain information that will enable you to get a clearer notion of what the true issues might be and how your "opponent" sees reality.

Such an approach suggests the importance of perception – conflict is in the eye of the beholder. Thus, situations which to an outside observer should produce conflict may not if the parties either ignore or choose to ignore the conflict situation. Conversely, people can perceive a conflict situation when in reality there is none.

Next, once aware of the conflict, both parties experience emotional reactions to it and think about it in various ways. These emotions and thoughts are crucial to the course of the developing conflict. For example, a negotiation can be greatly affected if people react in anger perhaps resulting from past conflict.

Then based on the thoughts and emotions that arise in the process of conflict resolution, we formulate specific intentions about the strategies we will use in the negotiation. These may be quite general (e.g., plan to use a cooperative approach) or quite specific (e.g., use a specific negotiating tactic).

Finally, these intentions are translated into behavior. These behaviors in turn elicit some response from the other person and the process recycles.

This approach suggests we pay particular attention to these generalizations:

- Conflict is an ongoing process that occurs against a backdrop of continuing relationships and events.
- Conflict involves the thoughts, perceptions, memories, and emotions of the people involved; these must be considered.
- Negotiations are like a chess match – have a strategy; anticipate how the other will respond; how strong is your position, and situation; how important is the issue; and how important will it be to stick to a hardened position.
- Begin with a positive approach. Try to establish rapport and mutual trust before starting and try for a small concession early.

- Pay little attention to initial offers. These are points of departure. They tend to be extreme and idealistic. Focus on the other person's interests and your own goals and principles, while you generate other possibilities.

THE INTANGIBLES: OTHER ELEMENTS THAT AFFECT NEGOTIATION

It is important to communicate very carefully. Subtle verbal and body language can make a difference in how your negotiation progresses. Spend more time listening than talking and make direct eye contact. Use the word "and" instead of "but." This helps to send the signal that you are interested in the other party and are seeking common ground.

Intangibles are often the key factors in many negotiations. Some of these intangibles are:

- **Communications**

  Be careful about using the phone, e-mail, and other non-visual communication vehicles when negotiating. A lack of facial expressions, vocal intonation, and other cues can result in a negotiation breakdown. Constantly reiterate your interest in the other side's concerns and your determination to find a mutually satisfactory resolution.

- **Personalities**

  Be conscious of aspects of your personality such of your own needs and interpersonal style as well as the other person's personality. These factors will play a key role and understanding yourself will be an important factor

- **Your own personality and style**

  How much you trust the person; how free with your emotions; and how much you want to conceal or reveal.

- **Physical space**

  Sometimes where the negotiation takes place can be important. Are we negotiating in a space we are uncomfortable and the other party is comfortable?

- **Past interaction**

  If there is a history of conflict resolution with this person, think about how this history might affect the upcoming negotiation.

- **Time pressure**

  Think about whether time pressure will affect the negotiation and whether you need to try to change this variable.

- **Subjective utilities**

  Be aware that people place very different values on elements of a negotiation. For example, in negotiating for a job, you may place a high value on location and relatively lower value on salary. It is important to be aware of your subjective utilities and try to ascertain the other person's subjective utilities. It is difficult to know in advance or even during the negotiation what a particular outcome will mean to the other party. Finding out what is "valued" is one of the key parts of negotiation.

Be an Active Listener – Ask A Lot of Questions, and Test for Accuracy

Good communication skills are critical although it is easy to forget them in the "heat of battle."

- **Try to avoid…**

  Talking at the other side, focusing on the past, or blaming the other person.

- **Be an "active listener and test for accuracy**

  Doing so involves continuously checking to be sure you understand the other person. Focus on the future; talk about what is to be done; tackle the problem jointly. Constantly ask questions about whether you understand the other side; restate the other's position to make sure you are hearing him or her correctly

How Can I Change What Seems Like A "Win-Lose" Situation to A "Win-Win"…or What if The Other Person Doesn't Play by These Rules?

There are many advantages to trying to shift a win/lose situation to a win/win. Yet we will be in situations where the other person either doesn't wish to reach a "win-win" or doesn't realize it is in his or her best interest to achieve a collaborative solution. In these situations it is necessary for us to open lines of communication, and try to increase trust and cooperativeness.

Sometimes conflicts escalate, the atmosphere becomes charged with anger, frustration, resentment, mistrust, hostility, and a sense of futility. Communication channels close down or are used to criticize and blame the other. We focus on our next assault. The original issues become blurred and ill-defined and new issues are added as the conflict becomes personalized. Even if one side is willing to make concessions often hostility prevents agreements. In such a conflict, perceived differences become magnified, each side gets locked into their initial positions and each side resorts to lies, threats, distortions, and other attempts to force the other party to comply with demands.

It is not easy to shift this situation to a win-win but the following lists some techniques that you might use:

- reduce tension through humor, let the other "vent," acknowledge the other's views, listen actively, make a small concession as a signal of good faith
- increase the accuracy of communication; listen hard in the middle of conflict; rephrase the other's comments to make sure you hear them; mirror the other's views
- control issues: search for ways to slice the large issue into smaller pieces; depersonalize the conflict – separate the issues from the people
- establish commonalities: since conflict tends to magnify perceived differences and minimize similarities, look for greater common goals (we are in this together); find a common enemy; focus on what you have in common
- focus less on your position and more on a clear understanding of the other's needs and figure out ways to move toward them
- make a "yes we can" proposal; refine their demand; reformulate; repackage; sweeten the offer; emphasize the positives

- find a legitimate or objective criteria to evaluate the solution (e.g., the blue book value of a car)

Some Tricks that Skilled Negotiators Use

We constantly make trade-offs in negotiations. An important ingredient of negotiation is assessing the trade-offs. In general, we start by identifying the best and worst possible outcomes, and then specify possible increments that trade-offs can reflect, and finally, consider how the increments relate to the key issues.

If we pursue "win-win negotiations," we try to create gains for both parties. An example is offering something less valuable to us but more valuable to the other person. The following are ways of creating joint gains:

- Negotiators look **for differences**. For example, if you buy a car price may be of most importance and timing may be of lesser importance. To the dealer, closing the deal today (the last day of the month) may be more crucial than making a profit on the sale.
- Negotiators look for items to trade off, items that may be more important to one side than the other, and that can be traded for items in reverse preference to the other side.

When to Reveal Your Position

This depends on the other person. It is not a good idea to reveal your minimum position if the other person needs to feel he has worked hard to reach it; the other person may need to feel he or she has worked very hard to move you to your position.

Other Techniques You Can Use

- **Broadening the Pie:** Create additional resources so that both sides can obtain their major goals
- **Compensation:** One side gets what it wants and the other is compensated on another issue
- **Logrolling:** Each party makes concessions on low-priority issues in exchange for concessions on issues that it values more highly
- **Cost Cutting:** one party gets what it wants; the costs to the other are reduced or eliminated
- **Bridging:** Neither party gets its initial demands but a new option that satisfies the major interests of both sides are developed.

What if I Want "To Win" And I Don't Care About The Other Person's Interests

In this situation, strategy becomes important. In this mode, one seeks to gain advantage through concealing information, misleading, or using manipulative actions. Of course, these methods have serious potential for negative consequences. Yet even in this type of negotiation, both sides must feel that at the end the outcome was the best that they could achieve and that it is worth accepting and supporting.

Most critical in this mode is to set one's own opening target and resistance points and to learn what the other's starting points, target points, and resistance points are. Typically, the resistance point (the point beyond which a party will not go) is usually unknown until late in negotiation and is often jealously concealed by the other party. This is what you need to find out.

The range between resistance points is typically the bargaining range; if this number is negative, successful negotiation is usually impossible. For example, if you are willing to pay up to $3,000 and the seller is willing to go as low as $2800, there is a $200 positive spread or bargaining range if the negotiators are skillful enough to figure it out. The goal of a competitive bargaining situation is to get the final settlement to be as close to the other party's resistance point as possible. The basic techniques open to the negotiator to accomplish this include:

- Influence the other person's belief in what is possible (e.g., a car dealer telling you what your used car is worth)
- Learn as much as possible about the other person's position especially with regard to resistance points
- Try to convince the other to change his/her mind about their ability to achieve their own goals
- Promote your own objectives as desirable, necessary, ethical, or even inevitable.

Getting to Yes

All of us engage in many negotiations during a week but that doesn't mean we become better at it. To become better we need to become aware of the structure and dynamics of negotiation and we need to think systematically, objectively, and critically about our own negotiations. After engaging in a negotiation, reflect on what happened and figure out what you did effectively and what you need to do better.

There is no one "best" style; each of us has to find a style that is comfortable for us. Yet, everyone can negotiate successfully; everyone can reach agreements where all sides feel at least some of their needs have been satisfied. This involves a lot of alertness, active listening, good communication skills, great flexibility, good preparation, and above all it involves a sharing of responsibility for solving the problem, not a view that this is "their" problem.

To summarize the most important keys to successful negotiation:

- bargain over interests, not predetermined positions
- de-personalize the problem (separate the person from the problem)
- separate the problem definition from the search for solutions
- try to generate alternative solutions; try to use objective criteria as much as possible
- reflect on your negotiations; learn from your successes and mistakes

Final Advice

Be unconditionally constructive. Approach a negotiation with this: “I accept you as an equal negotiating partner; I respect your right to differ; I will be receptive.”

Some criticize this approach as being too soft. But negotiating by these principles is a sign of strength.

CS3.13 MANAGING CHALLENGING SITUATIONS WITH DONORS – SMALL GROUP TASK

INSTRUCTIONS

The purpose of this activity is to provide you with an opportunity to practice determining which conflict handling mode, or combination of modes, might be the best option for a given conflict situation.

1. Review the "challenging situations that you have experienced with donors" card that has been assigned to your table group.
2. Discuss the challenging situation, and be prepared to report out the handling mode or combination of modes that you selected.
3. Also, be prepared to describe your reason(s) or rationale(s) for the mode(s) you have selected. For example, "In the situation described on our card, the first conflict handling mode option might be to **avoid**, because . . . . , later followed by **collaborate**, because . . . . ."
4. Select a representative from your table group who will read your situation and briefly share your response with the large group.
5. You have ***10 minutes*** to complete this task.

CS3.14 MANAGING CHALLENGING SITUATIONS WITH DONORS – LARGE GROUP PRESENTATIONS AND DISCUSSION

INSTRUCTIONS

As you listen to the table group presentations, consider the following questions:

- What is the point of contention in this situation (e.g., facts, methods, goals or values)?

- Is the point of contention the same for both/all parties of the conflict?

CS3.15 COMMUNICATING NON-DEFENSIVELY

DEFENSIVENESS

Defensiveness is the need to justify our behavior and convince the other person of our good intentions. It happens to all of us at various times of our lives, and becomes the armor we put on to protect ourselves from shame, anxiety or loss of self-esteem. When we are defensive, we tend to affix blame rather than communicate our true feelings or concerns inadvertently expressing something we do not want to reveal – fear. We may lash out at the person who provokes these insecure feelings in us.

There does not have to be an actual attack to elicit feelings of being threatened. Sometimes, we may take things personally, and our defensiveness may get triggered by something as simple as a minor criticism or a disagreement with our viewpoint.

Because defensiveness interferes with effective communication, it costs organizations both time and money. It shifts the focus of those involved from their objectives. It strikes at productivity. It hampers team efforts. It stops the flow of ideas. It undermines morale and chips away at the trust and goodwill that helps drive organizations to success. Defensiveness is not something that can be ignored or smoothed over without harmful effects on everyone caught within its trap.

COMMON DEFENSIVE REACTIONS

When we feel we are under attack, whether it is real or perceived, we may seek to hide behind rules and procedures. Such rules and procedures may have been around for a long time and may have been created by leadership we respected. It may be easier to cite them than it is to listen to someone's concerns about the issues that triggered the attack. But rules often have little to do with what is bothering the other person. When we invoke them, we risk creating anger, without probing for a true resolution to the problem. The same is true when we turn to a second common defensive reaction – creating a diversion. It distracts for a time, and then the other party gets back on course, more upset than ever.

The most common defensive reaction is to counterattack. Some signs of counterattack are to:

- talk louder than the other person
- talk over them
- interrupt
- use words that provoke
- go after the other person's known weaknesses'
- make them feel uncomfortable by using phrases such as "how could you?" or "why did you?" or "if you cared about this organization at all, you would have…"

Such tactics may make us feel superior, but it does little to open up the lines of communication.

Common Causes of Defensiveness

Before we can learn to communicate non-defensively, it is important to understand the link between defensiveness and the way we feel about ourselves. Sometimes we feel we are not as intelligent, good-looking, successful, personable or savvy as the next person. But as one famous comedian (Will Rogers) once said, “Everyone is ignorant, only on different subjects.”

When we lack self-esteem, we feel vulnerable and open to attack instead of feeling in control and in command of our lives. In this mindset, it is easy to misunderstand someone’s communication, make assumptions about their intentions, and perceive they are out to get us personally. That, in turn, may unleash fears of appearing incompetent, dishonest, unfair or other negatives. A perceived attack strikes at the heart of our fragile self-perception. It gains even more of a thrust in settings where our careers and important relationships are at stake.

A perceived attack may also bring to the forefront insecurities left over from our childhood. That is why, in seeking to overcome our defenses, it is important to get to know ourselves better, accept our feelings, be willing to acknowledge and confront our weaknesses. As many a high-achiever knows, the difference between success and the lack of it is not in the weaknesses, but in the commitment to overcoming them.

Inappropriate Responses to Defensive Behavior

When we lack the communication skills needed to appropriately react to another person’s defensiveness, we often react in ways that can be equally destructive. One reaction is to fight back by shutting down. A common phrase we hear from people who have shut down is, “whatever you say.” When we hear that, we know they are no longer making an emotional investment in a situation whose outcome may be very important to everyone involved.

However, the most common way we respond to defensiveness is to become defensive ourselves. One person’s defensive retort leads to another without a constructive ending in sight. If left unresolved, this defensiveness will create a Defensiveness Chain.

The Defensiveness Chain

The Defensiveness Chain works this way. We perceive a comment or suggestion someone makes as an attack. We react defensively. The other person perceives our defensive reaction as a threat. That provokes more defensiveness. Like a virus out of control, this coupling of perceived attack and defensive reaction will replicate itself again and again, until it infects the entire organization.

Breaking the Defensiveness Chain

Blaming does not move us forward, but keeps us rooted in past behavior. At some point, someone has to take responsibility for getting off the defensive. It does not matter who started the Defensiveness Chain, the focus must be on stopping it.

It is up to each of us to take responsibility for the way we communicate with others. To effectively communicate, we need to learn to listen – that is, to concentrate fully on what the other person is saying and not our own emotional reaction – and learn to send appropriate messages that lessen the change the other person will respond defensively. That is what is known as Non-Defensive Communication.

THE FIVE SKILLS OF NON-DEFENSIVE COMMUNICATION

The Five Skills of Non-Defensive Communication provide us with specific tools that will help us let go of our defensiveness and reduce the risk of creating a defensive reaction in others. These tools are: Disengage, Empathize, Inquire, Disclose and Depersonalize.

1. *DISENGAGE*

When we disengage we focus on the results we want while we cool down. We can either physically remove ourselves from the situation or take an emotional time out. Disengaging is not the same as withdrawal, which is in effect a power play that involves resisting the other person's feelings. It is simply a way to keep defensiveness from escalating.

Disengaging means to set aside differences temporarily and being willing to address them at a later time. It is taking a time-out to reflect, to reduce the tension, and to let our emotions settle. At the same time, it is important to assure the other person they will get to have their say. Setting a specific time to renew the discussion is one way to communicate our intention to deal with the issues. The effect of this is to acknowledge the other person's point of view (and their worth) without saying we will agree with them. To effectively disengage, we need to assume two basic things: that our own competence is not in question and that we are not being personally attacked.

2. *EMPATHIZE*

To empathize is to put ourselves figuratively in the other person's place. That very act will help quench defensiveness because we acknowledge what the other person is feeling. When we feel the need to criticize people, correct their behavior, or motivate better performance, it helps to remember what it is like to be on the other side. We need to begin with positive feedback, be gentle in addressing other people's weaknesses, and communicate our awareness that they may be feeling uncomfortable. Chances are, they will be open to changing what needs to be changed. They will see the criticism the way we intended it – as a help, not as a way of putting them down personally.

It is also useful to empathize when we feel we are being personally attacked and are about to become defensive ourselves. Thinking of the other person, and what may have caused their behavior, helps us to look outward rather than inward and avoid escalating the situation. We are less apt to let go with a sharp, ego-deflating reply.

3. *INQUIRE*

When we inquire, we uncover the concerns of the other person. Asking questions allows us to focus on our tasks and not our disagreements. It is important that the questions express our need for information without accusation. Avoid questions that begin with why – "why did you do it this way?" Why questions often provoke a defensive reaction, because the person may think you are questioning their motivation or their integrity. Instead try questions that begin with what or when – or even the inclusive phrase, "How can we…?"

After we inquire, we need to listen carefully, giving the other person our complete attention. By being actively engaged, we can better understand his or her needs. We can paraphrase what the other person has said, nod our heads, or say other listening phrases, such as, "say more" and "I hear you" to show your interest. If we spend this time formulating our responses, we are not listening, and we may miss a golden opportunity to learn and grow. Effective listening can:

- Make Us More Competent
- Defuse anger in others
- Help us understand others
- Win respect and build self-esteem in others

Inquiring about the other person's concerns and listening actively can help build a foundation of mutual trust.

4. *DISCLOSE*

According to the dictionary, "to communicate" means to disclose, to have an interchange of ideas or information. When we disclose, we reveal our feelings, needs and goals to the other person. A powerful, non-defensive way to do this is through "I statements." Beginning disclosure with "I statements" says we are taking responsibility for our communication. The statements often begin with the words "I feel." It is helpful to then follow up "I feel" with words that describe our emotions, followed by a description of the precipitating event, and then its tangible or emotional impact.

An example is: "I feel (I statement) angry (emotion) that I had to look all over for the car keys. (Precipitating event) Because it took so much time I was late for my appointment." (Tangible impact).

An example of the workplace might be: "I feel (I statement) upset (emotion) that I did not receive your training budget on time (precipitating event). Because it was late, I will need to rewrite the proposal (tangible impact)."

Research shows that at least 90 percent of non-blaming messages that describe tangible effects result in the other person trying to resolve the problem.

To skillfully disclose our concerns to the other person, we also need to avoid the use of words and phrases that convey absolutes, such as "never," "always," and "absolutely certain." They will most often trigger a defensive response.

5. *DEPERSONALIZE*

The fifth non-defensive communication skill is to depersonalize. By evaluating behavior and not the person, by looking at our work as something we do and not what we are, we can free ourselves and others from the need to respond defensively. Sometimes the use of impersonal words and phrases can help. An introductory clause such as, "Isn't it interesting that some people think…" takes the conversation beyond the realm of the people involved and way from emotional trappings.

Depersonalizing, along with the other four skills of non-defensive communication, helps us to keep our minds open to each other's ideas. This creates a rapport and creativity that can help everyone in organizations work together more productively.

CS3.16 WRAP UP

Questions to consider

- Why are “you statements” less effective than “I statements” when one is handling a conflict situation?

- What will you do to enhance your agency’s donor-recipient relationships when you return to work?

Concurrent Session Track 3: Managing the Donor-Recipient Relationship

Concurrent Session Track 3 Objectives

By the end of the session, participants will be able to:

- *Identify donor perspectives on the donor-recipient relationship;*
- *Work effectively with donors to achieve greater alignment and harmonization of agriculture development programs;*
- *Explore the impact of well managed and poorly managed donor-recipient conflict;*

Concurrent Session Track 3 Objectives (continued)

By the end of the session, participants will be able to:

- *Appreciate what it takes to create successful negotiations;*
- *Practice negotiation and conflict resolution skills; and*
- *Identify ways to strengthen negotiations and conflict resolution skills when working with donors.*

Exploring the Donor-Recipient Relationship – Table Task

In your table group:

- Conduct a 3 minute brainstorm on your assigned topic, either:
  - ***"What we want/need/expect from our donors, and why."***

    or

  - ***"What our donors want/need/expect from us, and why."***
- Ask someone to take notes in your table group

Exploring the Donor-Recipient Relationship

What motivates donors to provide money and/or other resources?

Exploring the Donor-Recipient Relationship – Challenging Situations

- Describe a challenging situation that you have experienced with a donor in recent years.
- Do not to mention names of organizations or individuals.
- Do not put your name on the card.
- Describe only the situation, not the solution.
- You have ***7 minutes*** to complete this task.

The Paris Declaration on Aid Effectiveness (March 2005)

Five Central Tenets:

1. Ownership
2. Alignment
3. Harmonization
4. Managing for results, and
5. Mutual accountability

The Paris Declaration on Aid Effectiveness (March 2005)

Six Areas of Donor Commitment:

1. Strengthening partner countries' national development strategies and associated operational frameworks.
2. Increasing alignment of aid with partner countries' priorities, systems and procedures.
3. Enhancing donors' and partner countries' respective accountability to their citizens and parliaments.
4. Eliminating duplication of efforts and rationalizing donor activities to make them as cost-effective as possible.

The Paris Declaration on Aid Effectiveness (March 2005)

Six Areas of Donor Commitment (continued):

5. Reforming and simplifying donor policies and procedures to encourage collaborative behavior and progressive alignment with partner countries' priorities, systems and procedures.
6. Defining measures and standards of performance and accountability of partner country systems in public financial management, procurement, fiduciary safeguards and environmental assessments.

Six Areas of Donor Commitment – Table Group Task

Respond to the following questions for your assigned donor commitment area(s):

1. ***What has been your experience in working with donors around this area of commitment? (For example: How have donors responded to this area of commitment?)***
2. ***What can you do, as recipients or prospective recipients, to help donors be responsive in this particular area?***

You have ***15 minutes*** to complete this task.

Six Areas of Donor Commitment – Table Group Task (continued)

Please:

- Record your responses to each question on flipchart.
- Identify a spokesperson who will share a five minute (or less) summary of your responses with the large group.

Six Areas of Donor Commitment – Large Group Discussion

- In which of the donor commitment areas have donors and recipients experienced the most success?
- Which of the donor areas are the most difficult or challenging?
- What have you learned about working successfully with donors?
- What will you do differently when working with donors, based upon these discussions?

Other Donor Initiatives and Guidelines

- The “Rome Principles”, as stated in the Declaration of the World Summit on Food Security (2009).
- The Mutual Accountability Framework for the Comprehensive Africa Agriculture Development Program (CAADP).
- . . . .

BREAK

HOW FUNDING AGENCIES TRANSLATE STRATEGY INTO PROGRAMS AND PROJECTS

The content for the next several slides was adapted from course content developed by Professor Tony Barclay of Georgetown University for a course entitled Business Development Workshop, (MSFS 747), September 12, 2011.

Levels of Development Strategy

- Agency level planning
  - US Government prepares a 5-year Joint Strategic Plan (State and USAID)
  - Other donor agencies follow different models – no common standard
- Regional and pillar/sectoral level planning
  - Regional and/or sectoral priorities, goals, approaches etc.
  - Issues of particular importance region- or sector-wide
  - Provides management approaches and planning parameters for country-level plans
  - May refer to out-year budgets that will be requested from OMB and Congress
- Country level planning
  - Country Assistance Strategy, Mission Strategic Plan (3 or 5 year)
  - Annual Operational Plans
- Program planning
  - Specific to a sector with objectives specified in then country plan

Mechanisms for Development Assistance

- Stand-alone projects via implementing agents
- Sector programs and “program-based” aid
- Concessionary and non-concessionary loans
- Targeted technical assistance for discrete purposes
- Balance of payments or general budget support
- Commodity support
- Food aid and other humanitarian assistance

Factors Influencing Choice of Assistance Mechanism

- Donor agency's accountability for how funds will be used
- Degree of emphasis on host country ownership
- Level of confidence in partner agencies / concerns about corruption, fraud, etc
- Timeline of program and predictability of funding
- Requirements to coordinate actions among multiple donors
- Degree of urgency for fast-paced implementation?
- Tolerance for transaction costs being higher when program management is "country-owned"

Stand-Alone Project Characteristics

- Project may be one of several instruments funded by the donor, in line with umbrella agreement with the host country
- Donor and/or host government select an implementing agency using their procurement rules and procedures
- The lead project implementer typically deploys full time and short-term expertise (own staff or recruited)
- Implementer typically leads and manages a consortium of local and international partners
- Implementer is accountable to client for results and budget
- Usually a project office and supporting infrastructure are put in place only for the duration of project funding

Sectoral or "Program Based" Aid

- Sector programs often involve the pooling of resources under a larger umbrella to achieve sector-wide goals
- Formalized donor coordination and harmonization of reporting, budgeting, financial management and procurement
- Sector programs are typically managed by a Program Management Unit (PMU), secretariat, or government agency
- They rely substantially on host country government for implementation, management, M&E, reporting etc.
- Procurement decisions may be made by host country entity or PMU (and host-country procurement rules may apply)

Budget Support Characteristics

- Two types: (1) general budget support and (2) sector-specific budget support
- Funds are transferred to host country's national treasury and managed in accordance with their own procedures
- Funds tend not to be earmarked for a specific use
- Funds may bridge public sector budget or balance of payment shortfalls
- Conditions focus on overall policy and budget priorities often outlined by country development strategies (e.g. PRSPs)
- Host country government retains control over resources

Negotiations and Conflict Resolution – Individual Task

- Think back to a challenging situation that you have experienced with a donor in recent years; the one that you described on an index card earlier in this session.
- Think about the “feelings” that you had when you were in the midst of this challenging situation.
- Write down words that describe your feelings, e.g., excited, angry, frustrated, motivated, energized, worried, etc.

Conflict may occur . . .

When two or more people have different:

- Wishes
- Needs
- Ideas
- Opinions

Conflict is . . .

- Neither good nor bad in itself; it simply is a part of life.
- Resolved either positively or negatively, based on how it’s managed.

Conflicts often occur over differences in these areas . . .

- Facts – perception of data
- Methods – how something is to be done
- Goals – what is to be accomplished
- Vision – ideas of the future
- Values – beliefs

???

What does it mean to “manage conflict?”

Negotiations and Conflict Resolution – Interactive Discussion

Quickly indicate whether the outcomes below occur when there is good or poor conflict management by placing an (X) in the appropriate column.

Result or Outcome	Good Conflict Management	Poor Conflict Management
1. People in isolated "camps"—taking sides, lots of energy is wasted		
2. Direct conversation between the parties moves toward resolution		
3. Issues are "dealt with"		
4. Agreements are met—parties do what they say		
5. Indirect conversations with others, not with the persons directly involved		
6. Trust is higher as a result of dealing with each other in a successful manner		
7. Minimum of negative feelings are generated		
8. Work team functions after the conflict		
9. If conversation does occur, issues are unresolved or go unrecognized—all issues not dealt with clearly		
10. Trust decreases		
11. Leftover feelings of anger, fear, desire for revenge		
12. People say one thing, do another		

Tips for Managing Conflict

Outcomes of Good vs. Poor Management of Conflict	
Good Management	**Poor Management**
1. Direct conversation between the parties moves toward resolution 2. Issues are "dealt with" 3. Work team functions after the conflict 4. Agreements are met—parties do what they say 5. Minimum of negative feelings are generated 6. Trust is higher as a result of dealing with each other in a successful manner	1. People in isolated "camps"—taking sides, lots of energy is wasted 2. Indirect conversations with others, not with the persons directly involved 3. If conversation does occur, issues are unresolved or go unrecognized—all issues not dealt with clearly 4. Leftover feelings of anger, fear, desire for revenge 5. People say one thing, do another 6. Trust decreases

Negotiations and Conflict Resolution – The Point of Contention Model

- Low Emotion
- High Emotion

- ❑ **FACTS**
- ❑ **METHODS**
- ❑ **GOALS**
- ❑ **VISION**
- ❑ **VALUES**

Managing Conflict

- Be conscious of the fact that conflict exists in the workplace (and in our lives), and that:
  - it is normal (not unusual)
  - there are consequences if we don't manage it effectively

"This is a good place to start."

- We need strategies for dealing with conflict, which are more than simply ignoring it, or fighting it unproductively.

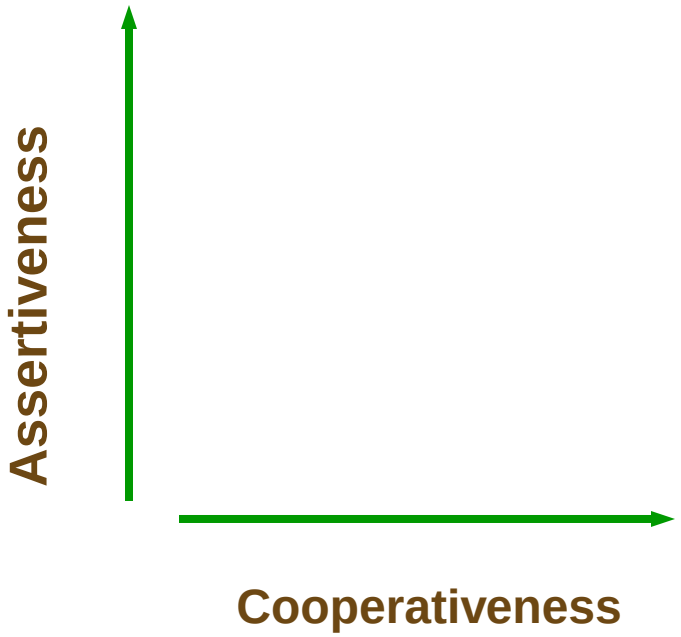
Thomas – Kilman: Five Conflict Handling Modes

COMPETING ▪ Assertive and Uncooperative ▪ Standing up for your rights ▪ Defending a position you believe is right ▪ Trying to win ▪ Asserting your own concerns		**COLLABORATING** ▪ Assertive and Cooperative ▪ Exploring disagreement to learn from others ▪ Agreeing to resolve instead of competing ▪ Looking for solutions that meet the needs of both parties (A win-win)
	COMPROMISING ▪ Intermediate in both assertiveness and cooperativeness ▪ Splitting the difference ▪ Exchanging concessions ▪ Seeking quick middle ground	
AVOIDING ▪ Unassertive and Uncooperative ▪ Diplomatically sidestepping ▪ Postponing ▪ Withdrawing ▪ Disengaging		**ACCOMMODATING** ▪ Unassertive and cooperative ▪ Selfless generosity ▪ Obeying when you would rather not ▪ Yielding ▪ Putting other's concerns over your own

Two basic dimensions of all conflict-handling modes

ASSERTIVENESS:

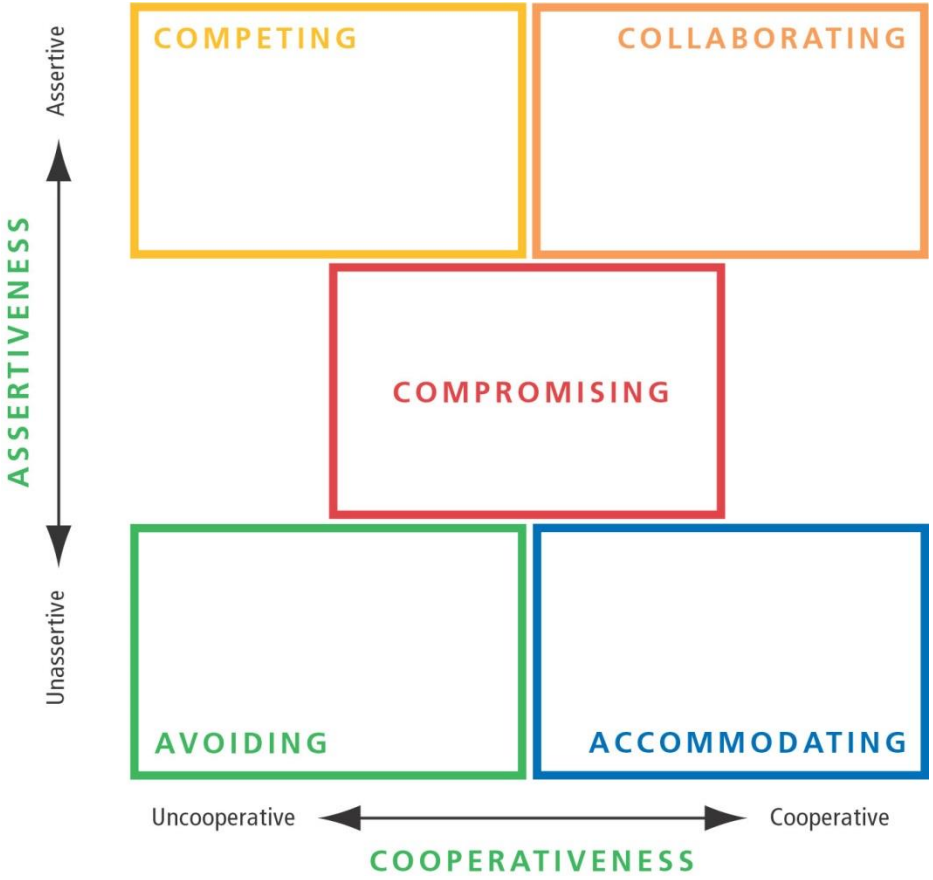
The extent to which the individual attempts to satisfy his or her own concerns.



COOPERATIVENESS:

The extent to which the individual attempts to satisfy the other person's concerns.

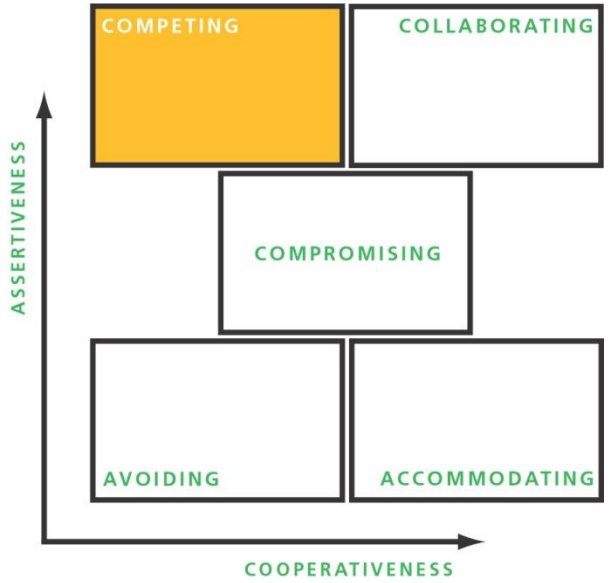
The Five Conflict-Handling Modes



From Thomas-Kilmann Conflict Mode Instrument by K. W. Thomas and R. H. Kilmann, 1974, 2000. Palo Alto, CA: Xicom, Incorporated, subsidiary of CPP, Inc. Copyright 1974, 2000 by CPP, Inc. Used with permission.

Competing

"My way or the highway"



When to use it:

Taking quick action

Making unpopular decisions

Standing up for vital issues

Protecting yourself

Competing Skills

What it looks like:

Arguing or debating

Using rank, position, or influence

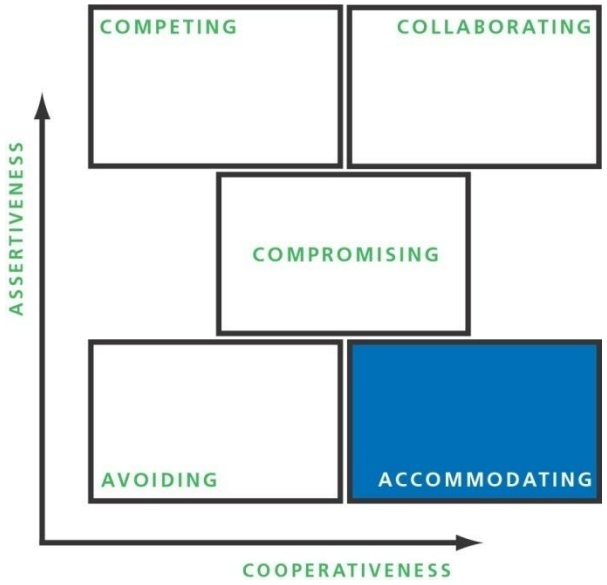
Asserting your opinions and feelings

Standing your ground

Stating your position clearly

Accommodating

"It would be my pleasure"



When to use it:

Showing reasonableness

Developing performance

Creating goodwill

Keeping "peace"

Accommodating Skills

What it looks like:

Forgoing your desires

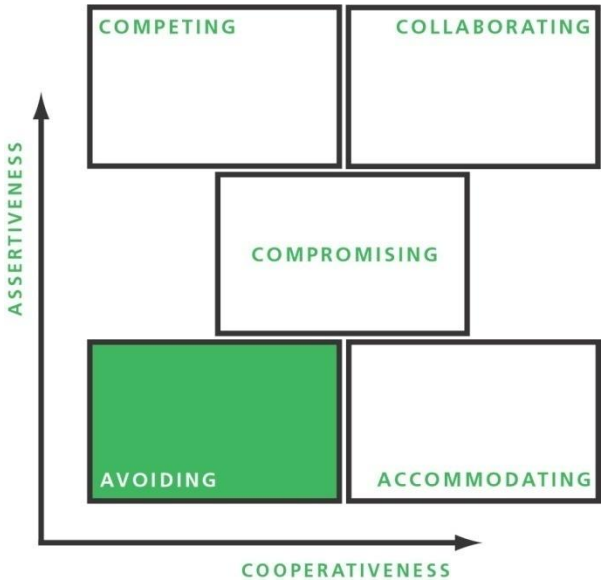
Selflessness

Obedience

Yielding to other’s wishes

Avoiding

"I'll think about it tomorrow"



When to use it:

Leaving unimportant issues alone

Reducing tensions

Buying time

Knowing your limitations

Allowing others ownership

Avoiding Skills

What it looks like:

Withdrawing

Sidestepping

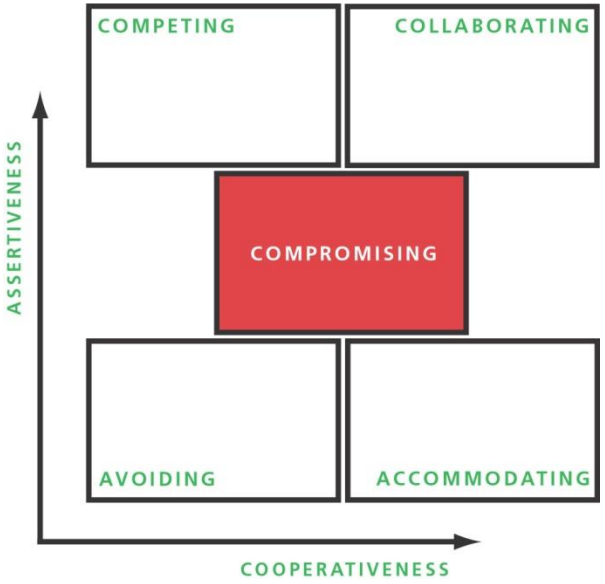
Requires:

Sense of timing

Ability to leave things unresolved

Compromising

"Let's make a deal"



When to use it:

Resolving issues of moderate importance

Reaching resolution with equal power and strong commitment

Creating temporary solutions

Dealing with time constraints

Backing up competing/ collaborating

Compromising Skills

What it looks like:

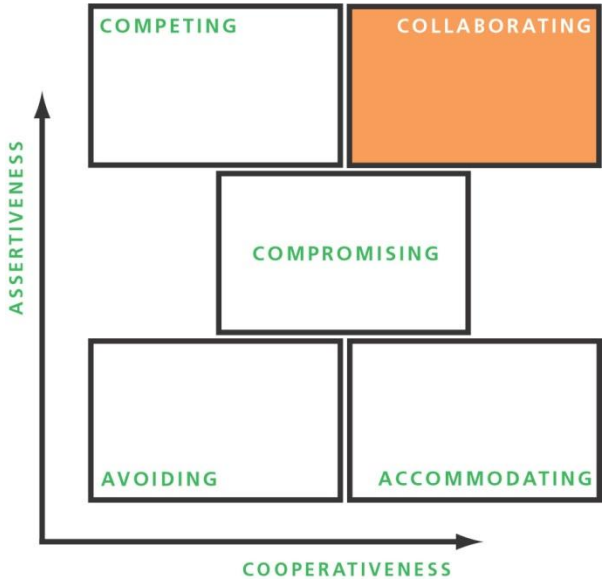
Negotiating

Finding a “middle ground”

Making concessions

Collaborating

"Two heads are better than one"



When to use it:

Integrating solutions

Learning

Merging perspectives

Gaining commitment

Improving relationships

Collaborating Skills

What it looks like:

Ability to listen, understand, and empathize

Non-threatening confrontation

Input analysis

Identifying underlying concerns

Negotiations – Getting to “Win-Win”

- All conflict handling modes are appropriate in certain situations.
- With negotiations, the key to success is to shift the situation to a “win-win”.
- Almost all negotiations have at least some elements of win-win.
- Successful negotiations often depend on finding the win-win aspects in any situation.
- Only shift to a win-lose mode if all else fails.

Negotiations – Two Levels

- All negotiations involve two levels:
  - a **rational decision making** (substantive) process, and
  - a **psychological** (emotional) process.
- The outcome of a negotiation is likely to be a result of **both**.
- For many of us, it is the psychological aspects that are most difficult:

Negotiations – Psychological Aspects

- How comfortable each feels about conflict
- How each perceives the other
- Assumptions each makes about the other
- Trust
- How important winning is
- How important is it to avoid conflict
- How much one likes or dislikes the other
- How important is it to not look naïve or uninformed
- . . . .

Negotiations – Tips for Getting to “Win-Win”

- Orient yourself toward a win-win approach
- Plan and have a concrete strategy
- Know your BATNA
- Separate people from the problem
- Focus on interests, not positions
- Create options for mutual gain
- Generate a variety of possibilities
- Aim for an outcome based on some objective standard
- Pay a lot of attention to the flow of negotiation
- Take the intangibles into account
- Use Active Listening Skills

Managing Challenging Situations With Donors – Small Group Task

- Review the “challenging situations that you have experienced with donors” card assigned to your table group.
- Discuss the challenging situation and identify the conflict handling mode (or combination of modes) that you believe are most appropriate.
- Be prepared to describe your conflict handling strategy and the reason(s) for the mode(s) you have selected.
- Select a representative who will read your situation and briefly share your response with the large group.
- You have ***10 minutes*** to complete this task.

CONCURRENT SESSION: TRACK 4 – MANAGING PEOPLE TO ACHIEVE HIGH PERFORMANCE

Objectives	By the end of the session, participants will be able to: ▪ Explain the Performance Management Cycle; ▪ Define delegation and practice delegation conversations; ▪ Identify ways to delegate more effectively; ▪ Identify ways to give feedback on an ongoing basis to further the performance management process; ▪ Deliver a clear and concise performance feedback message; and ▪ Describe the six step model for conducting a feedback conversation.
Total Time	4 hours
Materials	**PowerPoint Slides** ▪ Concurrent Session: Track 4 **Participant Manual** ▪ CS4.1 The Performance Management Cycle ▪ CS4.2 Goal Setting for your Facility or Department ▪ CS4.3 Performance Planning for your Staff ▪ CS4.4 Six Steps for a Delegation Conversation ▪ CS4.5 “What If” Situations for Delegation Conversations ▪ CS4.6 Performance Monitoring ▪ CS4.7 Case Scenario: Performance Monitoring Plan ▪ CS4.8 Giving Performance Feedback ▪ CS4.9 Elements of the Feedback Message ▪ CS4.10 Creating and Delivering a Feedback Message ▪ CS4.11 Six Steps for a Feedback Conversation ▪ CS4.12 Case Scenario: Performance Feedback ▪ CS4. 13 Practicing a Feedback Conversation **Other Resources** **Preparation**

Procedure		Steps	
			PW, pp. 1-24
10 min	1	**INTRODUCTION** **WELCOME** participants back from the break. **SAY** that the focus of this session will be on using the performance management cycle to help project implementers carry out their job responsibilities. Participants will practice specific skills for task delegation and delivering performance feedback. **SHARE** the following: *A Gallup Survey from 2001 found that most employees are at least partially guessing about what they need to do and how to do it. One out of five employees is waiting for information from his/her boss or otherwise lacks what it takes to do a good job.* **ASK** what the reasons might be for the results found in the survey. **TAKE** a few responses. **PRESENT** the session objectives and steps we will take to meet these objectives.	PW, p. 1
20 min	2	**INTRODUCTION TO THE PERFORMANCE MANAGEMENT CYCLE** **SAY** that in Module 1 we focused primarily on leadership skills; things like building a guiding coalition, communicating vision and helping people to adapt to change. This particular session of Module 2, by contrast, focuses more on management. Define performance management as "the daily operational efforts of a manager to get results through other people." **TELL** participants that performance management includes the linked skills of setting work goals, monitoring performance, delegating tasks, giving feedback, and ***coaching [decide whether to keep the reference to coaching; possibly address this concept in the project design and management track]***. **SUGGEST** that "good performance" is something desired by leaders and managers. We all want project implementers to be clear about the goals and objectives to be accomplished and to have the knowledge, skills and motivation to carry out their work responsibilities. **ASK** participants to brainstorm at their tables for a few minutes a list of the steps they take in managing the performance of others (**ENCOURAGE** them not to look in their Participant Manual – we want original thinking!). After a few minutes, **GET** the steps that the groups identified. **GO AROUND** to each table and **CHART** the steps (Begin with the first table and list the steps, then fill in with additional tables' comments). Then **ASK:**	PW, p. 2

Procedure		Steps	
		■ Which steps are most challenging? Why? ■ What are the biggest barriers to good performance from the people that they manage or supervise? **LEAD** a brief discussion on this and note which steps seem to be the most difficult. Then **ASK** participants to turn to CS4*.1 The Performance Management Cycle* in their binder and introduce the cycle as one way to visualize the process. **ACKNOWLEDGE** the steps already identified by the groups. **HIGHLIGHT** the five phases of performance management, as well as the need for ongoing coaching. 1. Goal Setting 2. Performance Planning 3. Delegating 4. Performance Monitoring 5. Performance Feedback **REFER** to the information in the Participant Workbook as you provide a brief overview of each step. **ASK:** What communication skills are required for the different phases? What other skills are needed? **SAY** that during this session, we will explore two of these steps in detail – delegating and performance feedback.	PW, p. 2
15 min	2	**INTRODUCTION TO DELEGATION** **ASK** participants to recall the information from the introduction to the Performance Management Cycle. **LEAD** a brief discussion on the role of delegation and **EMPHASIZE** the important link between delegation and staff performance and development. **ASK** participants to consider the impact that a manager's style can have on individual employee performance and development. **ASK** participants to think about their own experiences with delegation and how their supervisor currently handles it. Do they feel as if they are delegated tasks? Why or why not? Then **ASK** them to think about their role as a leader and manager and how often they delegate work to employees. **POSE** the following questions: ■ Why is delegation difficult? ■ What barriers to delegation have you experienced? **EXPLORE** with participants which of these barriers are real and which are perceived. **SAY** that we want to not just talk about delegation but also practice it.	

Procedure		Steps	
		ASK participants to turn in their Participant Manual to CS4*.4 Six Steps for a Delegation Conversation.* **PRESENT** each step and make certain that participants understand them clearly. 1. Set the climate and focus 2. State what the task is 3. Give reasons for the task/benefits to the individual 4. Get input: agreement, questions 5. Clarify support, role, authority, and next steps 6. Closure **TAKE** any questions participants might have and **MOVE** on to the task.	PW, p. 10
15 min	3	**PLANNING FOR A DELEGATION CONVERSATION: INDIVIDUAL TASK** **SAY** that you want participants to apply these six steps to one of the "What If" situations in the Participant Workbook. **POINT OUT** CS4*.5 "What If" Situations for Delegation Conversations.* **GIVE** them the individual task: ■ Select one of the four "what if" situations to work with. ■ Use the Six Steps to plan for a conversation with the individual in the "what if" situation as if it were to happen in 15 minutes. ■ As you develop your plan, keep in mind the employee's level of experience with the task and their apparent level of confidence or motivation. ■ Be ready to conduct your conversation using the appropriate behaviors. **ALLOW** 15 minutes for preparation.	PW, pp. 11-13
35 min	4	**PRACTICING FOR A DELEGATION CONVERSATION: TRIO TASK** **ASK** participants to team up with two other people (ideally, two people who are using different situations). **PRESENT** the following task: There will be three rounds of practice – 10 minutes per round. Each round as follows: ■ 2 minutes: set up the role-play and describe the situation you are using. Decide which of your partners will role-play the employee and which is the time-keeper and observer. ■ 5 minutes: practice the delegation conversation ■ 3 minutes: get feedback from the observer and employee ■ Did you use the six steps effectively? ■ What might you do to improve your performance? **KEEP TRACK** of time. After 10 minutes **REMIND** participants to move to	

Procedure		Steps	
		Round 2 and Round 3, changing roles **STOP** the trio practices and **LEAD** a plenary discussion. **ASK**: How well were you able to use the six steps? **GET** specific examples from participants. Then **ASK**: ▪ What was most challenging or difficult about this process? ▪ What are the strategies that worked well, that you want to remember? **TELL** participants that it is one thing to practice with a made up situation and another thing to practice with a real situation they are facing. We want them to remember that delegation is a powerful tool for employee development and for empowering staff to work productively. **POSE** this challenge to participants: ▪ Think of a delegation conversation that you need to have with someone (e.g., an employee or colleague) when you get back to your work setting after this course. ▪ Consider how you will use the Six Steps to plan for a conversation with that person. ▪ Then have the conversation! **EXPLAIN** that we will continue with an exploration of Performance Feedback.	
15 min		***BREAK***	
20 min	2	**INTRODUCTION TO PERFORMANCE FEEDBACK** **EXPLAIN** to participants that we will now explore another step in the Performance Management Cycle, Performance Feedback. **POSE** this question: How many of you receive clear and concise feedback about your work performance on a regular basis (at least monthly)? **TAKE** some responses. **ASK** participants who receive regular performance feedback what it is like to receive this information. **ASK** participants who do not receive regular performance feedback why they suppose that they do not receive this input. **TELL** participants that we will now explore strategies for giving and receiving performance feedback effectively and creating a culture where feedback is given and received freely and openly. **ASK** participants to turn in their Participant Manual to CS4*.8, Giving Performance Feedback.* Present the main points. Feedback may be: ▪ Positive → to reinforce good performance	PW, p. 18 PW, p. 18

Procedure		Steps	
		■ Corrective → to change or improve performance **PRESENT** the Guidelines for Giving Feedback: 1. Make specific statements. Support general statements with specific examples. 2. Use descriptive rather than judgmental language. 3. Be direct, clear, and to the point. 4. Direct feedback towards behavior that the person can control. 5. Encourage others to solicit feedback. 6. Consider the timing of feedback. 7. Make sure feedback takes into account the needs of both the receiver and giver. 8. Make sure your feedback is well planned. Briefly **REVIEW** the guidelines and **ASK** participants which they would like to discuss in greater detail. The first guideline is especially important to emphasize – for both positive and corrective feedback: *Make specific statements. Support general statements with specific examples.* **SAY** that we will learn a simple and effective model for making these specific feedback statements. **PRESENT** CS*4.9 Elements of the Feedback Message*: ■ **B**ehavior: Describe action/**behavior** – what the person did ■ **I**mpact**:** Tell how you and/or others reacted to the action/behavior and what the **impact** was on the team, the work, or on you ■ **C**onsequences: Say what the **consequence** of the action/behavior was, or describe what may happen in the future as a result of the action/behavior **REVIEW** the examples in the Participant Manual. **EMPHASIZE** the importance of beginning the feedback conversation with a clear and concise message about the behavior you want to discuss and its impact and consequences. **SAY** that by delivering such a clear and concise message, we are able to minimize the possibility that the conversation will go astray.	PW, p. 20
15 min	3	**CREATING AND DELIVERING A FEEDBACK MESSAGE: PAIR TASK** **ASK** participants to think of someone in their workplace to whom they would like to give feedback. The feedback can be positive or corrective. Then, **ASK** them to take a few minutes to prepare a feedback message for that person, using the **B**ehavior, **I**mpact, **C**onsequences model. **REFER** participants to CS4*.10 Creating and Delivering a Feedback Message in* the Participant Manual. **GIVE** participants about five minutes to prepare their feedback message. Once participants have prepared their messages, **ASK** them to form pairs.	PW, p. 21

Procedure		Steps	
		GIVE the following instructions: ■ Practice delivering your feedback message to your partner. ■ Your partner does not need to respond; we are only focusing on the delivery of the message. ■ Switch roles and allow your partner to practice. ***Trainer Note:*** *make certain that participants understand we are only* ***practicing delivering the message*** *and not the entire feedback conversation. We will practice a full conversation later. They should have time to give each other feedback and practice several times.* **TELL** participants to practice delivering the message several times, paying attention to the words they use and how they say them as well as to body language. **ADVISE** participants to get feedback from their partner about the effectiveness of their message and their delivery. **MONITOR** the time and observe the participants as they practice. At the end of the practice, **ASK** for a few comments from participants about the process.	
20 min	4	**SIX STEPS FOR A FEEDBACK CONVERSATION** **INTRODUCE** CS4*.11 Six Steps for a Feedback Conversation,* and briefly **REVIEW** each of the six steps. **EXPLAIN** that the **BIC** model for the feedback message will come into play during step 2. 1. Set the climate and focus 2. Give positive and corrective feedback (BIC) 3. Identify barriers and generate solutions 4. Plan for the future 5. Document agreements 6. Closure **SAY** that giving performance feedback can be a challenge, but good planning and lots of practice will make it easier. If you care about an employee's development and if you care about the results you are trying to get, you need to become very proficient in giving positive and corrective feedback. **TELL** participants that they will now have an opportunity to practice a feedback conversation in a situation in their workplace.	PW, p. 22
15 min	5	**PRACTICING A FEEDBACK CONVERSATION: INDIVIDUAL TASK** **Give** the following individual task: ■ Continue with the same real feedback situation for which you prepared the BIC feedback message. ■ Use the worksheet in CS4*.13 Practicing a Feedback Conversation* to plan for a complete feedback conversation.	

Procedure		Steps	
		After 15 minutes, ask participants to team up with the same person they worked with when they practiced delivering the feedback message.	
35 min	6	**PRACTICING A FEEDBACK CONVERSATION: PAIR TASK** Participants should now be ready to role-play the conversation with their partner. **GIVE** the following instructions. ▪ There will be two rounds of practice – 15 minutes per round. ▪ Each round as follows: ➢ 1 minute: set up the role-play and describe the situation. Your partner will role-play the employee. ➢ 7 minutes: practice the feedback conversation ➢ 5 minutes: debrief the conversation and discuss the following: ❑ Did you deliver a BIC message? ❑ Did you use the six steps effectively? **EXPLAIN** that the person holding the conversation should ***briefly*** (in one minute or less) describe the situation so that his/her partner can "get into character." ***Trainer Note:*** We do not want the role players to have a long conversation about the situation. The person holding the conversation should quickly describe the background and then they should begin the role play. **ADVISE** the person in the partner role that they should not be difficult during the role play. The point is to help their partner hold the conversation and to practice moving through the six step model. **MONITOR** the groups, help keep time, and listen in for some good examples. After 30 minutes, **STOP** the practice. **ASK:** ▪ What was it like to practice giving real feedback? ▪ How easily could you use the six step model? What was challenging? **TAKE** some responses and listen to the comments that the partners have to offer.	PW, p. 24
10 min	7	**REFLECTIONS AND CLOSE** **SUMMARIZE** highlights of Performance Feedback. **ASK** participants some reflection and application questions on the session: ▪ What were your most significant lessons from this session on performance feedback? ▪ What are three actions you plan to take in the next two weeks to apply in your work setting what you have learned here? ▪ **TAKE** some responses in the large group.	

Procedure		Steps	
		CLOSE	

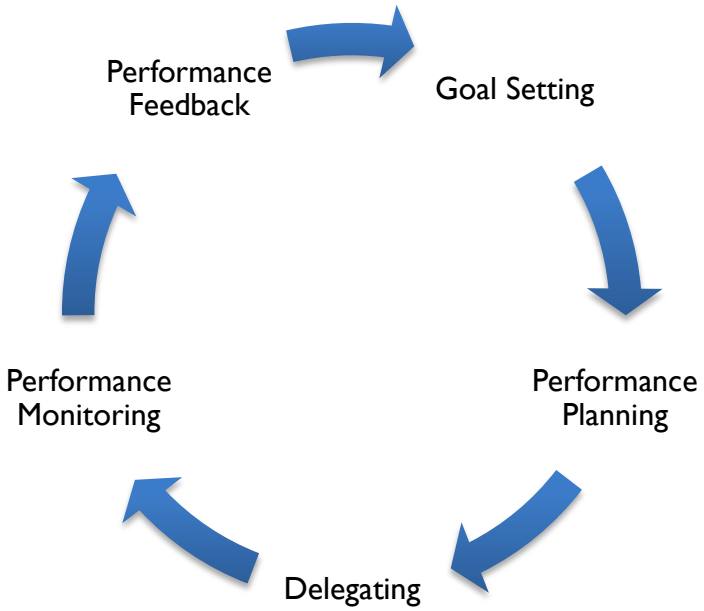
CONCURRENT SESSION: TRACK 4 – MANAGING PEOPLE TO ACHIEVE RESULTS

Objectives	By the end of the session, participants will be able to: ▪ Explain the Performance Management Cycle; ▪ Describe the importance of setting organizational, personnel, and personal goals; ▪ Practice goal setting and prepare to do performance planning with staff. ▪ Define delegation and practice delegation conversations; ▪ Define performance monitoring and practice developing a monitoring plan; ▪ Identify ways to delegate more effectively and strengthen performance monitoring in your facility or department.

CS4.1 THE PERFORMANCE MANAGEMENT CYCLE[1]

OVERVIEW

Managing the performance of individuals and teams requires a manager to set goals, plan, explain, clarify, test for agreement, monitor, and provide feedback. The diagram below shows a cyclical process of interdependent steps, with each step building from one to the next. It is also an iterative process: it allows for unexpected changes in requirements and resources, as well as changes in the manager's approach to the task and for individuals carrying out the assignment.



Each step builds on the work of the step preceding it. The sections below briefly describe these steps and their linkage to each other.

GOAL SETTING

An effective manager integrates organizational, personnel, and personal goals into an agenda that drives his or her planning and decision-making. The manager's agenda also describes long, medium and short-term goals. Long-term goals are necessarily broad, providing general direction towards a desired end state. Medium and short-term goals are more detailed descriptions of expected outcomes.

Particularly in times of organizational change (for example, agricultural productivity and food security in Africa), it is vital that the manager frequently and clearly explains, reiterates, and

[1] Revised 2011. Training Resources Group, Inc.

reviews the agenda. This is especially important when changes are being made in staffing, priorities, resources, or management style.

A manager is concerned with three types of goals:

Organizational	Descriptions of intended outcomes (e.g., the positive outcomes identified in the Course 1 session on visioning). They serve as the motivating force for individuals and teams. Organizational goals serve as targets and checkpoints by which a manager can measure progress. The goal statements must include measurable and/or observable outcomes with specific timelines.
Personnel	Include staff requirements – numbers and capabilities – necessary to obtain long-term goals. Accordingly, the manager's agenda should account for the development of employees so that the work unit will be prepared to address the goals and future demands when they arise. By defining the long, medium and short-term goals of the organization, the effective manager provides opportunities for subordinates to work in areas that prepare them for future assignments.
Personal	Also part of the manager's agenda. Allowing for personal career development needs is motivating for the manager in the same way as it is for employees. Strengthening managerial and technical skills distinguishes the effective manager from the manager who assumes his or her excellence, or who just doesn't care. An effective manager is aware of and acts on those factors that enhance one's willingness and ability to do the job.

2. Performance Planning

Performance planning ensures that an assignment or task is clearly understood and delegated.

The manager uses his or her goals to prepare for specific projects or tasks. The first step is to consider how the task fits into the overall vision, mission, and goals of the organization or program. *Explaining these links to the overall goals is a critical discussion point.*

In planning, the manager answers three of the classic Ws – What, Who, and When. In addition, the manager also should consider "How" to approach the person being assigned the task.

Specifically, the manager should consider:

What are the goals?

- What are the major tasks?
- How does this assignment fit into broader goals and strategies?
- What materials, personnel, contacts, and/or fiscal resources are required?
- What decisions should the individual be empowered to make?

Who should do it? Consider the following:

- Capabilities, strengths and weaknesses
- Workload (both current and anticipated)
- Work pairs and/or teaming

When does it need to be done? This thinking should not only include deadlines, but also the amount of time to be committed to the effort. Consider:

- Intermediate tasks
- Contingencies (What happens if….?)

How do you approach working with this person on the task?

- What is your relationship with this employee?
- What is the employee's personal work style and development level?
- What communication style would be most appropriate?
- What leadership style is needed from you?
- Is the same leadership style appropriate for all tasks?

This preparation can last a few minutes or several days, depending on the complexity of the assignment.

3. Delegating

The delegation conversation uses the planning from the previous step. Although the manager will have had more time than the employee to think about and become invested in the goals, the meeting should be approached with a willingness to consider other options and strategies. There are six suggested steps to take in this meeting:

1. Set the tone for the meeting
2. Describe the task or assignment
3. Elaborate on the reasons for the task:
    - Why this person was chosen for the task
    - Linkage to overall goals
    - Special factors – urgency, location, etc.
4. Get input – reactions, questions, options
5. Clarify support, roles, authority, timeframes, performance standards, and next steps
6. Summarize agreements and checkpoints

The outcomes for this meeting are **understanding, agreement,** and **commitment.** The conversation should provide both the manager and the individual with a clear path toward successfully completing the effort. Effectively carrying out the Performance Planning and

Delegating conversation steps ensures that the following occur towards successful completion of an assignment:

- Clarification and agreement on goals
- Outlining tasks
- Identification of progress checkpoints
- Delegation of authority
- Assignment of resources
- Agreement on a monitoring process
- Clarification of roles between manager and employee

The manager's primary responsibilities, from this point on, are to provide agreed upon support and to monitor performance and progress.

4. Performance Monitoring

On the surface, monitoring seems a somewhat simple role for the manager to carry out. In actuality, monitoring involves several factors, including:

- Individual and unit/team capabilities
- What should be monitored and how might this be observed?
- Where is the line between monitoring and micro-managing? What style should the manager choose?

The manager and the employee will all benefit from effective monitoring in the following ways:

- Providing information on team and individual capabilities (useful for the next work planning opportunity)
- Allowing for mid-course correction
- Providing an opportunity to reinforce good performance
- Ensuring that the manager's responsibility for results is fulfilled

Good monitoring is more than just checking on deadlines. It also involves reviewing quality, teamwork, and other performance factors. Additionally, good monitoring is:

- Built on the goals
- Tied to performance agreements – no surprises
- Mutual – the manager is open to being checked with as well as being the checker
- Regular, timely and consistent
- Planned
- Based on the appropriate development needs of the individual(s)

The effective manager uses monitoring not only as a checklist for progress but also to develop employees. The observations made during monitoring provide a basis for having an “end of assignment” performance feedback discussion.

5. Performance Feedback

Managers who provide ongoing feedback avoid the need for difficult discussions later on. The outcomes of effective performance feedback are:

- Reinforcement of good performance
- Guidelines and plans for improvements
- Revised work plans – when done during the effort
- Increased confidence of the performer

Performance feedback can be “on the spot” or a planned meeting. In either case, both the manager and the employee should have an opportunity to discuss the situation to assure understanding of the feedback and to provide a basis for future behavior.

Conclusion

When effectively carried out, the Performance Management Cycle provides benefits to the organization, the manager and the individual performers. Viewed as both a production and development process, results can be achieved while simultaneously preparing others for future assignments. Like any cyclical process of interdependent steps, each step should build from one to the next. When so executed, performance management provides a return on the manager’s invested time and effort.

CS4.2 GOAL SETTING FOR YOUR FACILITY, DEPARTMENT OR PROJECT

INSTRUCTIONS

An effective manager integrates organizational (including your facility or department), personnel, and personal goals into a plan that drives his or her planning and decision-making. This includes long, medium and short-term goals.

Particularly in times of organizational change (for example, agriculture sector reform), it is vital that the manager frequently and clearly communicates, explains, reiterates, and reviews the goals. Focus on setting goals for your facility, department or project. Write down one long, medium and short-term goal for your facility or department below. The goals should be linked together and support one another.

Long-Term Goal	
Medium-Term Goal	
Short-Term Goal	

CS4.3 PERFORMANCE PLANNING FOR YOUR STAFF

INSTRUCTIONS

Choose one goal that you set for your facility, department or project to focus on for this activity. Answer the questions below.

What is the goal you will share with your employee?

- **What** is the major task related to the goal?

Who should do the task?

When does it need to be done?

How will you approach working with the employee on the task?

CS4.4 SIX STEPS FOR A DELEGATION CONVERATION

1. Set the Climate and Focus

- Let the person know why you are meeting.

2. State What the Task Is

- Clearly describe what the task is and what you expect the person to do. (For example, "I want you to…")
- Let the person know what you have already decided (fixed) and what is still open for discussion (changeable).

3. Give Reasons for the Task/Benefits to the Individual

- Put the task in the perspective of overall goals, unit priorities, other work being done by this individual.
- Share what you perceived to be the benefits of this person doing this task. Avoid overselling – spending a lot of time trying to convince the person that he or she ought to do the job before you have clearly stated what the task is.

4. Get Input: Agreement, Questions

- Provide an opportunity for the individual to share ideas about the task, to discuss alternative approaches and impact of this new task on other assigned work, and to get questions answered.
- Ensure that the individual clearly understands the task and that there is agreement about what is expected.

5. Clarify Support, Role, Authority, and Next Steps

- Describe resources available, your role, and delegate decision authority.
- Confirm agreement on steps to be taken to accomplish the task.
- These could be intermediate steps ("So could you have a draft plan describing how you would approach this assignment to me by Tuesday?") or they might be all steps necessary to complete the task ("OK, you'll check with Cheryl in the accounting office and get the figures to me by the end of the day tomorrow.")

6. Closure

- Summarize agreements and checkpoints.
- Ask the individual to confirm all essential points.

CS4.5 "WHAT IF" SITUATIONS FOR DELEGATION CONVERSATIONS

INSTRUCTIONS

Read the situations below. Plan how you would use the six steps for a delegation conversation with the employee. As you develop your plan, keep in mind the employee's level of experience with the task and their apparent level of confidence or motivation.

SITUATION 1

What if a new irrigation system has just been introduced into one of the local farming regions? One of the project implementers is reluctant to learn the new system and equipment. He claims he does not have time to learn the new system and still perform his other job responsibilities. You have attended a training session on the new procedures and equipment and have experience with it. You have explained to him the benefits and importance of using the new system. So far your efforts have been ineffective.

- What is the task or situation?

- How will you use the Six Steps for a Delegation Conversation to plan your conversation?

SITUATION 2

What if a very capable employee who works for you has demonstrated strong ability on an important project and has also demonstrated excellent presentation skills. You have asked her to make a presentation to a group of senior ministry officials next week. The presentation is critical to gaining ministry support and funds, and you feel that she is the best one to make the presentation. However, she seems to lack confidence.

- What is the task or situation?

- How will you use the Six Steps for a Delegation Conversation to plan your conversation?

SITUATION 3

What if a mid-level manager has been transferred to your department/facility/project? This person comes with great academic credentials and several years experience as a manager. He is also very committed to the ministry and is highly motivated to help move the reform efforts forward. His responsibility will be to supervise one-third of your department. Since your department is in trouble, you cannot afford any more setbacks. As a new manager in your department/facility/project, this person needs extensive information about the department//facility/project programs and policies and procedures.

- What is the task or situation?

- How will you use the Six Steps for a Delegation Conversation to plan your conversation?

SITUATION 4

What if you are a project manager and you manage a team of 140 people. You have to prepare the budget for next fiscal year and you need some help putting together the initial set of figures. You are about to meet with one of your most experienced mid-level managers to assign her the task of gathering the budget data for the initial budget. She is good at data collection and analysis, and she is well-liked throughout the hospital. She is eager to help you with the budget.

- What is the task or situation?

- How will you use the Six Steps for a Delegation Conversation to plan your conversation?

CS4.6 PERFORMANCE MONITORING

Performance monitoring is the regular and systematic checking of progress on agreed upon tasks in the performance plan. The observations made during monitoring provide the basis for ongoing and "end of task" performance feedback.

- **Monitoring Involves Several Factors**
  - Determining what needs to be monitored
  - Determining what method to use
  - Making sure not to cross the line to become a micromanager
- **Reasons for Monitoring**

  It is an opportunity to:
  - Give positive feedback that reinforces good performance
  - Identify problems that can lead to mid-course adjustments
  - Identify employee strengths and weaknesses
  - Improve employee motivation
  - Ensure that staff stays focused on key tasks
  - Provide the basis for coaching
- **Key Questions**
  - How are job responsibilities going?
  - What is going well?
  - What is not going so well?
  - Is the employee on track to achieve the objectives and meet standards?
  - What changes are needed to get back on track?
  - How can the manager help?
  - Are there any changes needed in the objectives and job tasks?
- **How is Information Gathered During Performance Monitoring?**
  - Review of work products
  - Meetings to review status of tasks
  - Group meetings (when others are involved in the same task or project)
  - Informal communication (e.g., walking around, coffee chats, problem-focused conversations)
  - Conversations with other staff

- **Effective Monitoring**
  - Built on agreements made as part of the delegation conversation, and tied to the performance of those agreements. It is not a surprise!
  - A “two-way street.”
  - Regular, consistent, and timely
  - Takes your decision about “leadership style” into account
  - Focuses on more than “when.” Deadlines are relatively easy to monitor. What about quality?
  - Planned – at a specific time and place

CS4.7 CASE SCENARIO: PERFORMANCE MONITORING PLAN

INSTRUCTIONS

Read the case scenario below. Discuss the key elements that should be included in a performance monitoring plan and answer the questions at the end. Create a role-play between Dr. Johnson and William that demonstrates their meeting on the performance monitoring plan.

Dr. Robert Johnson is the senior operations senior manager in the MoA. He is 45 years old and, prior to becoming a manager in the MoA, he was a project manager of a large agricultural production company. He oversees eight (8) agricultural productivity/food security projects and a staff of 45 people. Dr. Johnson has the reputation of being capable and conscientious, but he often has a hard time delegating and monitoring tasks to his staff.

Recently, Dr. Johnson has been able to increase the budget of his agricultural productivity unity, primarily for quality assurance improvements in the eight agricultural productivity/food security projects.

Dr. Johnson has decided to assign three of his senior staff officers to develop a comprehensive training plan for the eight agricultural productivity/food security projects for the coming year. Janice is the agricultural extension officer. She has a degree in agriculture and 15 years of experience with the MoA. She is very skilled but she sometimes has an aggressive manner. Her colleagues find her communication style difficult to deal with. William is the training officer with 20 years experience with the MoA. He has never worked for another organization. He came to the ministry right out of the university and feels like he is an expert after his 20 years of experience. Margaret has been the innovations officer for the past five years and she is quite effective. She has two young children under the age of four and often has to take time off from work when she has childcare problems or when one of her children is sick. Work is not her main priority in life.

Dr. Johnson needs the help of all three employees but is most concerned about William. He seems to just go about his job like a robot. He has had long-term employment with the MoA and feels he knows what has to be done. But because he is so familiar with ministry operations, he is not open to doing things differently than he has in the past. He doesn't like to develop work plans, saying that he has done it all before and does not need a plan to tell him what to do.

This past month, in an effort to motivate William, Dr. Johnson decided to make him responsible for developing the district training plan. All of the agricultural productivity/food security projects have stated that training is a major need so this is a top priority. Dr. Johnson told William to involve Janice and Margaret in the process so he wouldn't have to do it all by himself. After a lot

of discussion, Dr. Johnson convinced William of the need to develop a training plan and to divide up the tasks between himself, Janice and Margaret.

After a few weeks, Dr. Johnson was reminded by his supervisor that he needs to develop a monitoring plan to keep track of staff performance. He forgot to develop a monitoring plan with William at the time he assigned the training plan task to him. He has been keeping track of William's performance by talking to Janice and Margaret and through several meetings with the team, but there is no plan in place.

Dr. Johnson has to develop a monitoring plan for William. It should include the following:

1. Ways to check on progress to date, including quality of the training plan
2. When to do "regular and timely" checking in
3. Match of leadership style for William's development level

CS4.8 GIVING PERFORMANCE FEEDBACK

The provision of clear and timely performance feedback is critical to the success of any organization. In order to be productive in the workplace, employees need to receive information regularly about how well they are performing. They need to hear about the things that they are doing well and about the things that they could be doing better. The need for this type of feedback information is especially critical in organizations that are undergoing rapid change, such as the food security initiatives that are under way in Africa.

Feedback is giving information to a person about his or her performance. The performance may be related to a task or to a behavior and it may be positive or corrective.

POSITIVE	CORRECTIVE
to reinforce good performance	to change or improve performance

When performance meets or exceeds expectations, the manager offers positive feedback. When performance does not meet expectations, the manager offers corrective feedback, focusing on the gap between expected performance and observed performance.

Feedback is best done as a specific, timely communication of information about performance. It is done on an ongoing basis, referring to agreements made in work plan conversations and on data collected during monitoring. Because this feedback is ongoing, it is usually focused on one aspect of performance, which keeps both parties from being overwhelmed by a conversation that includes several observations.

In either positive or corrective feedback, the manager offers specific, descriptive examples in a non-confrontational tone and offers the chance for the staff person to ask clarifying questions and to provide his/her perspective if so desired. In the case of corrective feedback, it may lead to a discussion about how to address the performance gap, and in some cases it may result in one or more coaching sessions.

Guidelines for Giving Feedback

1. Make specific statements. Support general statements with specific examples.
2. Use descriptive rather than judgmental language.
3. Be direct, clear, and to the point.
4. Direct feedback towards behavior that the person can control.
5. Encourage others to solicit feedback.
6. Consider the timing of feedback.
7. Make sure feedback takes into account the needs of both the receiver and giver.
8. Make sure your feedback is well planned.

There are two steps in the feedback process, 1) the feedback message and 2) the feedback conversation. Once you decide to share feedback with someone, whether as a manager, peer or subordinate, the first step in the process is to deliver a clear feedback message. After you

have delivered the message, you will want to have a conversation with the receiver in order to make sure that the message is clear, discuss barriers and solutions (if necessary) and explore next steps. Specific guidance for delivering a feedback message and conducting a feedback conversation is provided on the following pages.

CS4.9 ELEMENTS OF THE FEEDBACK MESSAGE

Behavior

Describe the action/behavior – what the person did

Impact

Tell how you and/or others reacted to the action/behavior and what the impact was on the team, the work, or on you

Consequences

Say what the consequence of the action/behavior was, or describe what may happen in the future as a result of the action/behavior

Positive Feedback Example

B	*"When you invited my input and gave me credit for my contributions…"*
I	*"…I felt encouraged, valued and comfortable in sharing my ideas…"*
C	*"…and as a result I believe we have a better product and I feel even more motivated."*

Corrective Feedback Example

B	*"When you repeatedly interrupted me and others...."*
I	*"... we were unable to complete our thoughts and presentations…"*
C	*"...and as a result we will have to have another meeting to finish our presentations."*

By beginning with a clear and concise feedback message, we can avoid having the conversation go astray. When you begin with a clear statement, you increase the likelihood that you will have a focused feedback conversation, and that the person receiving the message will understand your point of view. On the other hand, if you begin with a vague or open-ended comment or question, the conversation could go in many different directions and some of these directions may not be productive. Remembering the acronym ***BIC*** provides us with an easy way to remember the three elements of a feedback message, ***B***ehavior, ***I***mpact, ***C***onsequences.

CS4.10 CREATING AND DELIVERING A FEEDBACK MESSAGE

INSTRUCTIONS

Prepare to deliver a performance feedback message to someone in your workplace. The person that you select can be a boss, a peer or a subordinate. Take a few minutes now to prepare your feedback message, using the **B**ehavior, **I**mpact, **C**onsequences model, below, as a guide. When you have finished developing your feedback message, you will practice delivering it to another participant.

Behavior	**Describe** action/behavior – what the person did
Impact	**Tell** what the impact was on the team, the work, on you
Consequences	**Say** what the result/consequence of the action/behavior was

CS4.11 SIX STEPS FOR A FEEDBACK CONVERSATION

1. Set the Climate and Focus

- Let the person know why you are meeting.

2. Give Positive and Corrective Feedback

- Prepare for the conversation by reviewing performance agreements on objectives and standards, and determining the degree of success.
- Craft your BIC message.

3. Identify Barriers and Generate Solutions

- For those objectives and standards not met, discuss the factor that caused the employee not to meet the objective.
- Discuss what could have been done differently.
- Put emphasis on finding causes and identifying barriers.
- Generate possible solutions together.

4.Plan for the Future

- Agree on strategies for how problems will get resolved, and how the objective or standard will be achieved.

5. Document Agreements

- Document agreement on steps to be taken (Use a whiteboard or flipchart paper to facilitate this agreement).

6. Closure

- Summarize agreements and checkpoints.
- Ask the individual to confirm all essential points.

CS4.12 CASE SCENARIO: PERFORMANCE FEEDBACK

INSTRUCTIONS

Read the case scenario and make some notes on the question below.

Dr. Johnson agreed on a monitoring plan with **William**. The plan included specific areas that Dr. Johnson would monitor, including deadlines as well as the quality of the work and William's ability to work with other departments, especially to get the training requirements from the other departments. Dr. Johnson planned to hold a meeting with William, **Janice** and **Margaret** every two weeks to check on progress. William would share key interim products for Dr. Johnson to review. William also agreed that Dr. Johnson could check directly with Janice and Margaret to see how things were going.

Through these various means of gathering information, Dr. Johnson discovered that William was right on schedule. In addition, Dr. Johnson found that the interim training plan documents were generally accurate and of good quality. Dr. Johnson also learned that although William had assigned specific tasks to Janice and Margaret, he hadn't given them any feedback so they didn't know if their work was good quality or not. The other department heads told Dr. Johnson that William had requested training needs information in a timely way but that he had gotten upset when it was not provided on schedule. In fact, he had gotten into several arguments about the lack of cooperation with the training needs identification process.

For his part, William was feeling that he wasn't getting the support he needed from Janice and Margaret. Margaret had missed almost a week of work at one point because her youngest child was sick. In addition, she was never available to stay late when they had a deadline to meet. Janice's work was fine, but he couldn't rely on her to work with the other departments to get the information since she didn't have the patience when the other departments failed to provide information on time. This meant William had to do it all himself. William had not spoken to Janice or Margaret about their performance. He felt it was not his job to give them feedback.

As agreed to in the performance monitoring plan, it is now time for Dr. Johnson to have a performance feedback conversation with William.

Imagine you are Dr. Johnson. How would you plan a performance feedback conversation with William using the six step model? Note the positive and/or corrective feedback you might give.

CS4.13 PRACTICING A FEEDBACK CONVERSATION

INSTRUCTIONS

Make notes for steps 1-4 below in preparation for your feedback conversation.

1. Set the Climate and Focus

What will you say to let the person know why you are meeting?

2. Give Positive and Corrective Feedback

What performance agreements will you reference at the beginning of the discussion? What type of feedback will you begin with, positive or corrective? What is your BIC message?

3. Identify Barriers and Generate Solutions

How will you explore barriers to accomplishing the task? What questions might you ask? How will you discuss possible solutions?

4. Plan for the Future

What might you say to begin planning for the future (how problems will get resolved and how the task will be achieved)?

5. Document Agreements

Document agreement on steps to be taken (you can use a whiteboard or flipchart paper to facilitate this agreement if you have time).

6. Closure

Summarize agreements and checkpoints. Ask the individual to confirm all essential points.

Concurrent Session Track 4: Managing the Donor-Recipient Relationship

Concurrent Session Track 3 Objectives

By the end of the session, participants will be able to:

- Explain the Performance Management Cycle;
- Define delegation and practice delegation conversations;
- Identify ways to delegate more effectively;
- Identify ways to give feedback on an ongoing basis to further the performance management process;
- Deliver a clear and concise performance feedback message; and
- Describe the six step model for conducting a feedback conversation.

The Performance Management Cycle

What other skills are needed?

What communication skills are required for the different steps?

Delegation

Think about your experiences with delegation and how your supervisor currently handles it.

Are you delegated tasks? Why or why not?

Why is delegation hard?

What barriers to delegation have you experienced?

Six Steps for a Delegation Conversation

1. Set the Climate and Focus
2. State What the Task Is
3. Give Reasons for the Task/Benefits to the Individual
4. Get Input: Agreement, Questions
5. Clarify Support, Role, Authority, and Next Steps
6. Closure

Benefits of Delegation Conversations

Delegation conversations ensure:

- Clarification and agreement on goals
- Outlining tasks
- Identification of progress checkpoints
- Delegation of authority
- Assignment of resources
- Agreement on a monitoring process
- Clarification of roles between manager and employee

The manager's primary responsibilities, from this point on, are to provide agreed upon support and to monitor performance and progress.

Planning for a Delegation Conversation

- Select one of the “what if” situations (PW, pp. 11-13) and read it
- Use the Six Steps to plan a conversation with the individual in the “what if” situation that you have selected, as if it were to happen in 15 minutes
- Be ready to conduct your conversation, using the six steps as your guide

Delegation Practice

- There will be three rounds of practice – 10 minutes per round

- Each round as follows:
  - **2 minutes**: set up the role-play and describe the situation you are using. Decide which of your partners will role-play the employee and which is the time-keeper and observer.

  - **5 minutes**: practice the delegation conversation

  - **3 minutes**: get feedback from the *observer* and *employee*
    - Did you use the six steps effectively?
    - What might you do to improve your performance?

Delegation Practice - Debrief

- What was it like to practice this skill?
- How well were you able to use the six steps?
- What was most challenging or difficult about this process?
- What are the strategies that worked well, that you want to remember?

BREAK

The Performance Management Cycle

What other skills are needed?

What communication skills are required for the different steps?

Performance Feedback

How many of you receive clear and concise feedback about your work performance on a regular basis (at least monthly)?

Feedback may be…

POSITIVE	CORRECTIVE
to reinforce good performance	to change or improve performance

Guidelines for Giving Feedback

1. Make specific statements. Support general statements with specific examples.
2. Use descriptive rather than judgmental language.
3. Be direct, clear, and to the point.
4. Direct feedback towards behavior that the person can control.
5. Encourage others to solicit feedback.
6. Consider the timing of feedback.
7. Make sure feedback takes into account the needs of both the receiver and giver.
8. Make sure your feedback is well planned.

2-step Feedback Process

1. Feedback message

2. Feedback conversation

Behavior

Describe the action/**behavior** – what the person did

Impact

Tell how you and/or others reacted to the action/behavior and what the **impact** was on the team, the work, or on you

Consequences

Say what the **consequence** of the action/behavior was, or describe what may happen in the future as a result of the action/behavior

Creating and Delivering a Feedback Message

Turn to CS4.10 *Creating and Delivering a Feedback Message*

Take a few minutes to prepare your feedback message, using the ***B**ehavior, **I**mpact, **C**onsequences* model

- Practice delivering your feedback message to your partner
- Your partner does not need to respond; we are only focusing on the delivery of the message
- Switch roles and allow your partner to practice

Six Steps for a Feedback Conversation

1. Set the climate and focus
2. Give positive and corrective feedback
3. Identify barriers and generate solutions
4. Plan for the future
5. Document agreements
6. Closure

Case Scenario: Performance Feedback

Imagine you are Dr. Johnson.

How would you plan a performance feedback conversation with William using the six step model?

Note the positive and/or corrective feedback you might give.

Examples?

Role-play

What was the positive feedback? Was the **BIC** message specific and clear?

What was the corrective feedback? Was the **BIC** message specific and clear?

What did you see happening in Step 3? In Step 4?

What was helpful about the steps, or not helpful?

Practicing a Feedback Conversation - Preparation

Continue with the same real feedback situation for which you prepared the **BIC** feedback message.

Use the worksheet in CS4.13 (PM, p. 24) *Practicing a Feedback Conversation* to plan for a complete feedback conversation.

Practicing a Feedback Conversation

- There will be two rounds of practice – 15 minutes per round
- Each round as follows:
  - **3 minutes**: set up the role-play and describe the situation. Your partner will role-play the employee
  - **7 minutes**: practice the feedback conversation
  - **5 minutes**: Self-evaluation & employee debrief: discuss the following:
    - ***Did you deliver a BIC message?***
    - ***Did you use the six steps effectively?***