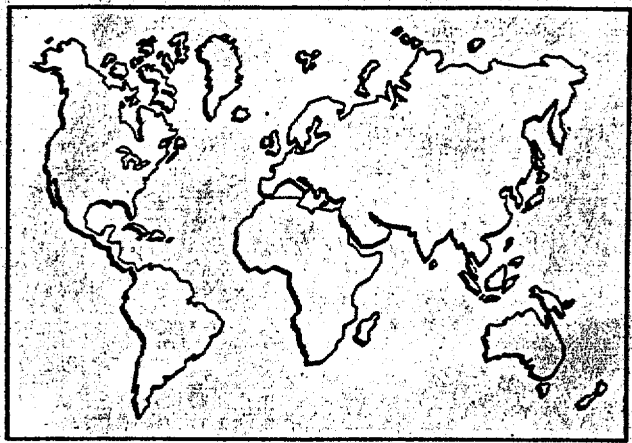
PN ABZ-364
91980

Agency for International Development
Management Bureau
Office of Reengineering (M/ROR)



CUSTOMER FOCUS COOKBOOK

Agency Customer Focus Officers (M/ROR):

H. Sher Plunkett, (202) 663-2496 (Missions)
Liz Baltimore, (202) 663-2459 (USAID/W)

A

Special Note to All Who use this Toolkit:

This toolkit is designed for YOU, our customers. We have provided information to assist you in continuing to focus on USAID's customers. Customer focus is essential in achieving results.

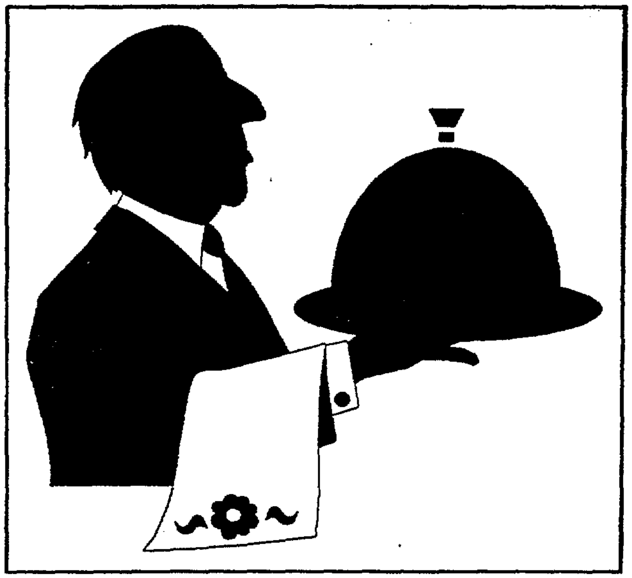
USAID's ultimate customers are the people in the developing countries. Chapter 201 of The Automated Directives System (ADS) states in section 201.5.7b that ALL Operating units -- Missions and Bureaus (G, BHR, and regional bureaus) who manage program funds -- are required to develop customer service plans. Although not required by the directives system at this time, other USAID organizational units are encouraged to develop plans as a helpful management tool.

Please contact us when and if you need our personal attention to your questions or for technical assistance.

Yours for Customer Service,

Sher Plunkett

Liz Baltimore



One possible reason why things aren't going according to plan is that …

There never WAS a plan…

Executive Order 12862
Setting Customer Service Standards

September 11, 1993

Putting people first means ensuring that the Federal Government provides the highest quality service possible to the American people. Public officials must embark upon a revolution within the Federal Government to change the way it does business. This will require continual reform of the executive branch's management practices and operations to provide service to the public that matches or exceeds the best service available in the private sector.

Now, Therefore, to establish and implement customer service standards to guide the operations of the executive branch, and by the authority vested in me as President by the Constitution and the laws of the United States, it is hereby ordered:

Section 1. Customer Service Standards. In order to carry out the principles of the National Performance Review, the Federal Government must be customer-driven. The standard of quality for service provided to the public shall be: Customer service equal to the best in business. For the purposes of this order, "customer" shall mean an individual or entity who is directly served by a department or agency. "Best in business" shall mean the highest quality of service delivered to customers by private organizations providing a comparable or analogous service.

All executive departments and agencies (hereinafter referred to collectively as "agency" or "agencies") that provide significant services directly to the public shall provide those services in a manner that seeks to meet the customer service standard established herein and shall take the following actions:

(a) identify the customers who are, or should be, served by the agency;
(b) survey customers to determine the kind and quality of services they want and their level of satisfaction with existing services;
(c) post service standards and measure results against them;
(d) benchmark customer service performance against the best in business;
(e) survey front-line employees on barriers to, and ideas for, matching the best in business;
(f) provide customers with choices in both the sources of service and the means of delivery;
(g) make information, services, and complaint systems easily accessible; and
(h) provide means to address customer complaints.

Section 2. Report on Customer Service Surveys. By March 8, 1994, each agency subject to this order shall report on its customer surveys to the President. As information about customer satisfaction becomes available, each agency shall use that information in judging the performance of agency management and in making resource allocations.

Section 3. Customer Service Plans. By September 8, 1994, each agency subject to this order shall publish a customer service plan that can be readily understood by its customers. The plan shall include customer service standards and describe future plans for customer surveys. It also shall identify the private and public sector standards that the agency used to benchmark its performance against the best in business. In connection with the plan, each agency is encouraged to provide training resources for programs needed by employees who directly serve customers and by managers making use of customer survey information to promote the principles and objectives contained herein.

Section 4. Independent Agencies. Independent agencies are requested to adhere to the order.

Section 5. Judicial Review. This order is for the internal management of the executive branch and does not create any right or benefit, substantive or procedural, enforceable by a party against the United States, its agencies or instrumentalities, its officers or employees, or any other person.

William J. Clinton

The White House
September 11, 1993.

2

UNCLE SHER'S MAXIMS FOR CUSTOMER SERVICE PLANS

Sher Plunkett, Customer Service Officer, M/ROR

March 1995

USAID's Reengineering efforts highlight **customer focus** as a major value, and both the Operations Business Area Analysis, and the cable (STATE 94/323961) I drafted on Customer Service Plan guidelines provide information on operationalizing it. As questions have arisen and we have gained insight on effective outreach and delivering quality programs to our customers, I have jotted down my ideas on what a USAID unit's Customer Service Plan ought to be. These "maxims" are based not only on recent experience, but also on my experience with setting up and operating similar activities in several Missions, and participating in activities related to "customer service" issues since 1975.

A Customer Service Plan states how a USAID unit (a Mission or office) will ensure that its program maintains a customer focus to address end-user needs more accurately, and thus deliver better results. It specifies how the unit will learn about, and verify, customer needs and perceptions; develop service quality standards; and incorporate customer feedback into its operations.

A good Customer Service Plan:

-- **Belongs to those who operate it and use its results.** It should make sense **to** you, and be a useful management tool **for** you, or it's a waste of time and taxpayers'money. It provides material for reporting to AID/W -- but that's not WHY it's there.

-- Must be an **in-house** operation, emerging from **your own efforts** to base your work -- and your strategic objectives -- on a solid understanding of **your** customers' situations and needs. Use consultants only to supplement, not to replace, your unit's efforts.

-- Is **systematic**, and does not rely on individual staff efforts carried out for individual activities. In other words, it's not just "what any good Project Officer would do", but **institutionalized** in the unit.

-- Has a **champion** -- someone charged with maintaining the Customer Service Plan in the forefront of attention; conducting customer outreach efforts; ensuring that findings and lessons learned are disseminated; and ready to advise staff and top management on customer service issues. In fact, it usually makes sense to have two people: one US and one FSN, to ensure continuity over time.

-- **Is not a just a survey**, but uses a repertory of research tools including document review, observation, interviews, rapid appraisals, and formal surveys to explore situations and verify hypotheses about customer needs, perceptions, and service delivery. Systematically uses results of long-term research conducted by others to guide and inform assessments.

-- Is **consciously iterative**, and builds on its foundation of findings over time to grow and adapt to changing institutional and policy circumstances.

-- **Uses good social science** to ensure validity and reliability of information.

-- **Systematically triangulates** information from several sources, rather than relying on only one perspective. Different interests have different perspectives. You cannot depend on any single source.

-- **Reaches out** to people who may not be "partners", or directly involved with USAID, but who may be customers or can legitimately speak for them.

-- **Maximizes the use of local talent** for customer services assessments and surveys. Relations with local professionals pay off as they come to understand USAID's needs: they are available on short notice; have the language skills; cost far less than expatriates; can serve other clients better because they learn from working with you; and it helps keep them in the country where they are most needed -- furthering development.

-- **Communicates findings** and **gets feedback** from customers to track information and trends systematically, and facilitate collaboration.

-- **Builds on the strengths of FSN staff,** who will maintain and sustain the plan in spite of the turnover of US staff at post, but recognizes that they are not necessarily representative of customers.

-- **Recognizes** that **no two units** have the same configuration of customers and partners, resources, or operating environment, and therefore that a Customer Service Plan must be **"custom-crafted"**, even though based on general Agency policy and guidelines.

-- **Is founded on the concept that we aren't doing our job unless our programs' resources move through our intermediaries and reach end-users on time and in adequate amounts to get the results we and they agree**

are desired. If our work only results in transferring services or commodities to an intermediary, that is not sufficient.

Customer focus is tied to **results**; is based on **team efforts**; and requires employee **empowerment and acceptance of accountability.** But **focus on the customer** is what justifies our development work, and what we prize in our association with USAID. It's what we signed on for. The Customer Service Plan lays out how a unit makes sure that its program meets the needs of its customers.

WHO ARE USAID'S CUSTOMERS?
(Definitions)

USAID continues to achieve results in development and humanitarian assistance. We recognize that it is important to have a common understanding of terms pertaining to customers as described below:

CUSTOMER:

The National Performance Review defines "customer" as an individual or entity who is directly served by a department or Agency.

> **USAID defines "customer"** as any individual or organization who receives services or products from USAID, benefits from USAID programs, or who otherwise is affected by USAID actions.

SPECIFIC USAID CUSTOMER SERVICE GROUPS ARE DEFINED AS FOLLOWS:

> **ULTIMATE CUSTOMERS:** USAID's ultimate customers are defined as those who are end-users or beneficiaries of USAID programs.
> **Examples:** farmers, women, children, poor inner city residents, families in low income rural and urban communities
>
> **INTERMEDIATE CUSTOMERS:** A person or organization, internal or external to USAID, who uses services, products, or resources of a provider unit within the Agency to serve the needs of other intermediate customers or ultimate customers.
> **Example 1:** The XYZ Contractor is an intermediate customer of USAID's Procurement Office because XYZ Contractor receives a contract which is in turn used to provide services to USAID's ultimate customers.
> **Example 2:** The Jamaica Mission is an intermediate customer of the LAC Bureau because technical support is provided to the Mission in developing strategic plans which benefit the ultimate customers.

PARTNERS:

An individual or organization with whom we work cooperatively to achieve mutually agreed upon objectives and to secure customer participation. USAID is linked to its ultimate customers through its partners, who themselves are intermediary customers when they are the recipients of USAID products and services.
Partners include: private voluntary organizations, international non-government organizations, universities, other U.S. government

6

agencies, U.N. and other multilateral organizations, profesional and business associations, private businesses and host country governments at all levels.

STAKEHOLDERS:

Individual or groups who have an interest in USAID activities, programs and strategic objectives. Stakeholders are individuals or organizations whose influence and support is necessary for USAID program success and achievement of political, developmental, and/or humanitarian assistance goals. In a sense, USAID is accountable to its stakeholders for the effective provision of the services mandated by its foreign assistance mission objective, these groups may also be considered a form of customer for some Operating Units.
Stakeholders include: host country persons or groups, the U.S. Congress and executive branch, U.S. Taxpayers, PVOs, universities, and private firms, other donors and other interested parties.

CUSTOMER SERVICE PLAN:

A document which presents the Operating Unit's actions for identifying and engaging the participation of its customer groups and partners in planning, implementation, and evaluation of strategic objectives and programs. It is a guide for obtaining customer input to improve planning, decisionmaking, quality customer service, and customer satisfaction.

FOR ASSISTANCE IN HELPING TO DEFINE YOUR CUSTOMERS, PLEASE CONTACT M/ROR: Sher Plunkett (Overseas), (202) 663-2496 or Liz Baltimore (Washington), (202) 663-2459.

7

STEPS FOR CUSTOMER SERVICE PLANNING in USAID Missions and Other Operating Units

Sher Plunkett, Customer Service Officer
Diane La Voy, Senior Policy Advisor for Participation
June 1995

Reengineering: The **fundamental** rethinking and **radical** redesign of operating processes to bring about **dramatic** improvements in **performance.**

USAID staff are redesigning the way we work. Why? Because we have to, to survive in the new climate for foreign affairs and foreign assistance; and because we see an opportunity to clear away obstacles and achieve better results faster in our work. As we reassessed USAID's role as America's foreign assistance agency, we reaffirmed our belief that we joined USAID to help those we now call our "customers" to improve their lives -- to achieve development results. We believe that we can do our work better by combining our complementary skills in teams. And we are confident that we perform best if we are able to direct our skills, knowledge, training, and experience toward the results we and our customers want -- that is, if we are empowered to make key decisions and held accountable for our work.

As this illustrates, USAID's four "core values"--participation/customer focus, management for results, teamwork, and accountability/empowerment--are interrelated. The first of these--to "begin with the customer"--really opens up the possibilities for fundamental rethinking of what we do and how we do it.

Focusing on our customers means, first, that we believe that feedback from those who receive and use the products of our work -- assistance services, or commodities, or training, or information -- will help us to design and deliver our assistance faster and better. But it means more than that. **USAID's customers are the reason the Agency exists -- it was created to achieve foreign assistance objectives by serving them.** If we start by determining customer concerns, we inevitably question our assumptions (are the programs focused right? are we working with the right partners?), re-assess the effectiveness of our programs, and develop the information base for improving them. Customer Service Planning is the management tool we use to obtain customer feedback, improve program planning and performance, and get better, more sustainable results from our development programs.

Following are four steps that we think Missions and other operating units will find helpful in Customer Service Planning:

1. **Identifying Customers:**

   a) Examine what you do, and for whom, and **list** every identifiable user of your "work products", both inside and outside the your organization. **Identify**, first, the "ultimate customer" or end-user for your program -- the people your Mission or Office or program **exists to serve.**

   b) Then, working backward from that customer, **identify** the **intermediate** customers or partners through which ultimate customers receive the services that USAID provides. You can then categorize your customers in ways that are meaningful for your specific objective.

2. **Analyzing the Customer Chain:**

   a) Using your **customer list, map the flow** of the services and goods you provide through intermediary links to the "ultimate customer" for whom USAID's assistance is intended. Examine what you do through your program or project activities, and analyze the different roles each link in the chain plays in achieving the results you intend. Identify the individuals who serve as contact points for these linkages. Describe the ways you currently obtain customer feedback and the items you monitor.

   b) **Then, create a second flowchart mapping the links as you think the ultimate customer would see them.** The points where the two flowcharts differ provide points at issue, where further analysis of problem areas may be fruitful. [Another way to find areas where customers may have different perspectives from ours--this time about program priorities rather than on how we deliver services-- is this: i) restate your strategic objective as a question--for example, what does "strengthening access to markets" mean to ___? ii) Then, answer the question as you think different ultimate customers would answer--small farmers, women, tenants, middlemen, etc.]

3. **Reaching Out Directly to Customers:**

Using the framework of inquiry suggested by the preceding steps, and combining informal and formal **assessment methods** as your needs, resources, and time schedule allow, **survey** to examine potential gaps in your program's service quality. Find out from your ultimate customers and from intermediate customers and partners **a) whether you are providing what they require; b) how well you are performing as a service provider,** in terms of reliability, timeliness, responsiveness, and other factors of concern **to them;** and **c) if appropriate to your specific case, how your performance compares with others providing similar services.** Methods such as focus group interviews and rapid appraisal, which allow customers to direct the discussion, express opinions, and provide information on matters of greatest concern to **them**, are particularly appropriate for this purpose.

4. **Setting Performance Standards to Accept Accountability:**

With the feedback you obtain from customer surveys, specify what you intend to do regarding your service performance (your service **principles**), and develop **observable measures** for your performance (your service **standards**). Use it to monitor your performance, make improvements, and ensure quality service delivery to achieve the development results you intend. But that is not enough. Performance principles and standards need to be communicated to customers, in ways that are most appropriate to the customers' context, literacy level, etc. By informing your customers, you hold yourself accountable to them for your performance. By presenting your principles and standards and inviting feedback regarding what you do and how well you are doing it, you provide means for your ultimate customers, as well as intermediaries and partners, to influence improvement in your performance.

Customer service planning is a tool that has been proven effective in a wide range of organizations, both public and private. It reflects major developments in management analysis over the past two decades. It is an important element in your Mission or Office's overall strategic planning efforts under the new Agency Directives. Following the steps outlined above, you can use customer service planning to relate your work products more closely to customer needs, adjust to changes more flexibly, and produce better results.

Next Steps:

As we incorporate the customer service planning tool into USAID's operations, you may also wish to expand your own skills and your network of outside specialists who may carry out specific tasks to assist you. The Reengineering team is developing a skills "tool kit" and a network of in-house staff to backstop you, and the Participation Initiative team will soon be circulating a list of "tools and references." But you are in the best position to know what you need, what local expertise to draw on (and how to develop it further), and what additional support you require.

Please contact us via email if you have questions or if we can help you in any way. You are, after all, OUR customers!

For further guidance on customer service planning, see also:
-- "Uncle Sher's Maxims for Customer Service Plans" (Sher Plunkett, M/ROR, 3/95)
-- "Ten Steps for Developing Customer Service Standards" (Liz Baltimore, M/ROR, 6/95)
(Both available by e-mail from Sher Plunkett or Liz Baltimore)

TEN <u>EASY</u> STEPS FOR DEVELOPING CUSTOMER STANDARDS
(A Roadmap to Assist USAID Operating Units)

Liz Baltimore, M/ROR, Customer Service
April 17, 1996

FOCUSING ON CUSTOMERS IS NOT NEW TO USAID. For a number of years, we have used a variety of methods to help improve the lives of men, women and children in developing countries. USAID's employees have actively used planning techniques to learn what customers' needs and priorities are and used this information to deliver measurable sustainable development. We have worked with our partners such as private voluntary organizations and non-governmental organizations to reach our "ultimate customers" - the people in developing countries. With the continued emphasis on the radical change that reengineering brings about beginning October 1, 1995, the importance of meeting our customers' expectations is enhanced. The invaluable experiences and skills of each USAID employee are contributing factors in developing achievable customer standards.

WHAT ARE CUSTOMER SERVICE STANDARDS?

Customer service standards are developed with the customer in mind and are designed to meet *customer* expectations. They are clear performance targets which measure customer satisfaction. These standards describe how accurate, reliable, timely, dependable and accessible services are delivered to customers. Each standard should be measurable, achievable, controllable and address *what is most important to our customers.*

WHY ARE CUSTOMER SERVICE STANDARDS IMPORTANT?

Customer service standards demonstrate our commitment to put the customer first. These standards are an integral part of an operating unit's Customer Service Plan. We will continue to use the Customer Service Plan as a management tool to guide how we involve our customers, partners and employees in achieving results. ***Customer service standards are important because USAID is accountable to the American people for assisting our ultimate customers achieve sustainable development.***

DOES THE AGENCY HAVE CUSTOMER SERVICE STANDARDS?

Yes. In September 1994, USAID published its Phase I Customer Service Plan identified an initial set of customer service standards addressing the concerns of our domestic development **partners.** These standards specifically describe how we will work with U. S. private voluntary organizations, universities and private businesses to achieve our development objectives.

September 1995, Phase II of the Agency's Customer Service Plan adds customer service standards for **overseas missions.** USAID missions and Washington bureaus/offices are already working on their individual Customer Service Plans to guide their planning, achieving and assessing of processes.

HOW DO WE DEVELOP STANDARDS?

STEP 1: KNOW YOUR MISSION

The mission statement describes your operating unit's role in providing services to the ultimate customer. After your mission statement has been developed, focus on the end results intended through the services you provide and the importance of each employee's role. In a participatory setting, review your mission statement so that all employees will clearly understand your operating unit's contributions to the overall mission of the Agency. The following are example mission statements:

> *EXAMPLE 1:* We are committed to improve environmental quality and natural resource protection by building the capacity of local environmental management organizations to respond to these issues.

> *EXAMPLE 2:* We strive to provide procurement advisory services and assistance to other USAID operating units in the execution of strategic objectives.

STEP 2: FOCUS ON THE VISION

USAID's vision is shared by top management, involves customers, employees and partners to achieve the best sustainable development. USAID is transforming and reinventing the way we deliver development and humanitarian assistance in the developing world. Our objectives and plans for the future are driven by the customer and are aimed at satisfying the customers' needs. Every operating unit and employee play a vital role in achieving the Agency's goal(s) and are valued for their contributions. It is extremely important to create ownership in your customer service standards from top management to every individual employee. When developing customer service standards, focus on YOUR operating unit's vision and how it relates to USAID's vision.

STEP 3: LIST YOUR KEY CUSTOMERS AND PARTNERS

Once you have identified your operating unit's customers and partners, this will help you clarify the focus for your customer standards. Initially, consider those customers who are direct recipients of your products and services. Clarify who delivers your services. Do you have partners who deliver your services directly to your customer(s)? Depending on the particular operating unit, some partners may also be customers, e.g., when

13

they submit a proposal to the procurement office to let a contract for delivery of services. Does your operating unit have stakeholders - those who have an interest or whose support is necessary for achieving your objectives, e.g., host country groups, other donors, private firms? Once you have a clear sense of who the operating unit's customers and partners are, list them.

STEP 4: DEFINE KEY SERVICES AND LINK CUSTOMERS/PARTNERS AND EMPLOYEES

Identify the key services and products your operating unit provides. Describe how you currently deliver these services/products to your customers. Chart the flow of the processes for each key service. Remember, there may be several steps involved in delivering a particular service. Analyze whether all of the steps in each process add value to service quality. Ask - Do we need to do all of this to meet our customer needs? Do we have the right people delivering the service? Indicate each point in the process where your customers receive your services. Indicate where partners fit into the process(es) because in some cases they may deliver key services. Identify and analyze barriers, problems and gaps in delivery of quality service. Every employee in the operating unit plays a vital role in providing the best possible service. It is important to include the skills and experiences of employees and link their contributions to achieving sustainable results. The importance of these linkages is to clearly focus and identify how your service delivery impacts the ultimate customer.

STEP 5: CONTINUE TO LISTEN TO YOUR CUSTOMERS

USAID's continued commitment to listen to customers is extremely important. Establish a schedule to ask your customers what they think about your operating unit's current quality of services. Find out what they expect in terms of reliability, timeliness, accessibility, accuracy and dependability. Maybe they would rather have farming tools or faster service or they may not want the service at all. Encourage customers to be candid and to give you ideas for improvement. You decide the best methods for assessing your services, e.g., focus groups, interviews or formal and informal surveys, or conferences. The final analysis of your customers' expectations will help generate your standards.

STEP 6: DEFINE WHAT SYSTEM/PROCESS CHANGES ARE NECESSARY TO SATISFY CUSTOMERS

Review the final analysis of what your customers expect. Look at your key services and products and decide if your operating unit can make suggested changes in systems and processes to satisfy customer expectations. Describe what services you can tailor or change. Decide what is realistic vis-a-vis what is not based on the services you *can* provide. Carefully consider the results of the changes in the way you do business and the resource requirements. Compile your list of system/process changes and prioritize it to help guide the development of your operating unit's customer standards.

STEP 7: DEVELOP CLEAR, SIMPLE, MEASURABLE CUSTOMER STANDARDS

Continue to focus on areas that are most important to your customers. How will your operating unit commit to improve service quality? The customer standards identify specific actions you will take to improve service. Once you have completed your analysis of who your customers are, your key services and the linkages, prioritize where you need to develop standards. Determine what will have the most impact and decide what your operating unit will live by. Describe standards that are measureable, achievable, clear, relevant to what your customers asked for and demonstrate you heard your customers.

For example:

Principle: On a regular basis, we will communicate with our customers to improve our processes and simplify our business practices.
Standard: We will survey our customers at least annually to see if the changes in our policies and procedures are working to eliminate the impediments they have identified.

Principle: We will involve our customers in defining the quality and quantity of services and commodities to be delivered.
Standard: We will ensure that commodity specifications are jointly prepared with our customers.

STEP 8: GIVE FEEDBACK TO YOUR CUSTOMERS

Find ways to let your customers know what your standards are. Let customers know whether changes have been made and if not, why. For example, you could publish your standards in a simple booklet or brochure. They may also be communicated at conferences, meetings and in other settings. Your customer standards are published and distributed as part of your Customer Service Plan. The plan also lets customers know who in your operating unit may be contacted for additional feedback and/or information.

STEP 9: MONITOR AND MEASURE HOW YOU ARE DOING

Track your progress. Set up internal procedures and a tracking system that will monitor feedback from customers and identify recurring problems and priorities for improvement. Separate feelings from facts and keep a systematic record of complaints and recognition for doing well. This will help you analyze areas

15

where you need to further communicate with customers and employees. At least on an annual basis, ask your customers what they are thinking and how you are doing. Find creative ways to keep in touch with customers. Develop a system(s) to communicate to all employees throughout your operating unit what you discover from customer feedback. Use participatory approaches to obtain suggestions from employees to address customer concerns and to implement improvements.

STEP 10: BENCHMARK YOUR SUCCESS

Know whether customers are satisfied - determine results. Know through systematic benchmarking whether you have achieved excellence in whatever specific strategic objective you have identified and the services you deliver. Keep track of your best practices. Measure your performance against top-notch operating units in the public and private sector that do similar work. Ask your customers about other organizations that they perceive as being the best. Seek them out, find out their secrets and go for it!

WHERE CAN YOU GET PERSONALIZED CUSTOMER SERVICE?

This step-by-step approach is in response to our customers' request for additional detailed information to assist in the development of customer standards. Your comments and suggestions are appreciated. For further service and assistance, please contact the Reengineering Customer Service Team: Liz Baltimore (focus on Washington), (202) 663-32459, or Sher Plunkett (focus overseas), (202) 663-3396.

Other reference materials for customer service planning:

-- "Uncle Sher's Maxims for Customer Service Plans" (Sher Plunkett, M/ROR, 3/95)
-- Steps for Customer Service Planning (Sher Plunkett, M/ROR, and Diane Lavoy, PPC, 6/95)

16

CUSTOMER SERVICE PLANS
HOW TO GET STARTED

Liz Baltimore, M/ROR

-- **Validate your organization's mission** (What is your organization responsible for? Why does your organization exist?)

-- **Think about the future** (What does your organization want to look like in 5-8 years? What services will you provide, to whom and how?)

-- **Know Your Customers** (Who are the key users of your products/services? Who benefits from the services you provide? Who are direct recipients of your products/services? Who works with you to supply services? Who has a major interest and or investment in what you do?)

-- **Determine your primary services and customer links** (What are the key products/services? What are the links in your service delivery chain? What are the interdependencies in your services, employees and partners?)

-- **Agree on your organization's principles of service** (What type of service can your customers expect from your organization?)

-- **Decide what internal/external concerns and or pressures affect delivery of products/services** (What are some of the things that affect the way you provide customer satisfaction?)

-- **Let customers tell you how well you are doing** (Ask your customers how you can better serve them? What method of measuring will you use -- written surveys, interviews, focus groups? What can your organization do to improve customer relations? What can you do to help your customers do their jobs better?)

-- **Based on Customer Feedback - Decide what measurable standards of service your customer and you can live with** (What is doable and what is not? What are the resource requirements for the standards you develop? What feedback did you get from employees? Are you willing to commit your organization to standards of customer satisfaction?)

-- **Set up internal procedures to help you produce end results** (What internal procedures are in place to assure you meet your objectives for quality service? Do you have the staff to follow through?)

-Continued on Back_

-- **Publish Customer Service Plan** (What is your statement of mission and vision? Who are your customers as related to strategic plan, objectives and or results? Will your plan address bureau/offices and other units within your organization? What is the result of your customer assessments? What are your customer standards? How will you give customers feedback? Who should customers contact for feedback and assistance when standards are not being met?)

-- **Set up a systematic way to measure results and feedback** (Is there a simple, quick and efficient way of tracking how you are doing with your standards? What methods can you put in place to assess performance and make adjustments?

CUSTOMER SERVICE PLAN PROFILE

A. Your Organization's Name:

B. Purpose/Mission:

C. Who is your ultimate customer(s)?

D. Who are your intermediate customers?

E. Who are your Partners?

F. Who are your Stakeholders and what are their interests/influence on the services you provide?

G. What are the primary services/products you provide to your ultimate customers? intermediate customers?

H. Do you deliver these services/products directly to your ultimate customer(s) or is there an intermediary (partner)?

I. Do you provide any service to Partners?

J. List Your Priorities for Service Improvements:

K. Customer Survey Plans:

a. Which customer(s) will/have you targeted?

b. Which service areas have you targeted?

c. Explain your reason for targeting each area?

d. What major concerns were gathered from surveys? (If you have not conducted any formal surveys - answer e)

e. What other sources (reports, hotlines, suggestion box, etc.) have given you feedback from your customers?

L. Benchmarking against the best:

a. Which organizations have/will you intend to emulate?

b. Specify customer service standards you plan to achieve?

M. How are you promoting the customer service philosophy with your employees? What has been the results?

N. Who is the person to contact for customer information?

u:\ebaltimo\docs\ofc.sur

Attachment to E-mail

ILLUSTRATIVE INDICATORS FOR MEASURING THE FIVE CORE VALUES

PLEASE NOTE: These are examples ONLY! Indicators should be designed to meet your specific needs, and be meaningful to your program.

Results Orientation	Customer Focus
- Strategic plans in place and used as a framework for decisions. - Planned operational and program results/impacts are defined, frequently measured and fed back into management decision making. - Progress is reviewed regularly against targets or milestones. - Benchmark (baseline) information obtained systematically and keyed to evaluation criteria.	- Customers are identified and targeted, and linkages among customer networks examined. - Customers queried to ascertain their interest or need for products/services. - Customer service standards established, agreed-upon, and used to measure performance. - Customer satisfaction (access, timeliness, cost, product/service performance) is measured and verified regularly. - Strategic objectives and Work Packages are flexible and adjusted to meet customer felt needs, based on dialogue with customers.

Teamwork & Participation	Empowerment & Accountability
- Demonstrated teamwork is a factor in individual performance appraisal. - Staff at all levels contribute to strategic planning, performance monitoring, and major program decisions. Management acts to achieve staff ownership of decisions and actions. - Teams agree on objectives of work, and division of labor to achieve objectives. - Management maintains proactive support for team concept and team efforts. -Customers and Partners are included in teams, with clear, active roles and responsibilities.	- Management emphasis is on results rather than oversight --on service outreach rather than internal control. - Staff/team decision making authority is sufficient to carry out tasks efficiently and effectively and allow it to be accountable. - Objectives (results) defined at each level match responsibility vested in personnel/team. - Staff are held accountable for getting work done according to clear, agreed-upon performance standards.

NOTE: THE VALUING DIVERSITY IN THE WORKFORCE CORE VALUE - INDICATORS ARE UNDER DEVELOPMENT - REFER TO THE OFFICE OF EQUAL OPPORTUNITY PROGRAMS (EOP)

CUSTOMER SATISFACTION MEASUREMENT PROFILE

A. How are you continuing to discover your customers needs?

B. Are you measuring customer satisfaction? IF your answer is yes, please answer the following:

1) Describe your system for measuring your customers satisfaction with the services/products you provide.
2) What survey tools are you using? Focus groups? Interviews? Conferences? Questionnaires? etc.
3) Who are the customers you targeted? What services did you target? Summarize the questions you asked.
4) How many customers did you survey? How many responded?
5) What is the frequency of your surveys?
6) Any additional plans to survey customers?

C. If you are not measuring customer satisfaction, what are your future plans? Include in your answer: Who? When? What service(s) you have targeted?

D. If you have customer service standards in place, are they what matter to your customers? Based on your surveys, are you recommending any changes in these standards. Any new standards?

E. If you have no customer service standards in place, what are your plans to survey customers and put customer standards in place to meet your customer's expectations?

F. If you have conducted surveys, have you reported the results of your surveys to your customers? How did you report it? If not, what are your future plans for reporting to your customers?

G. Once you have given initial feedback to your customers, what are your plans for updating them on your progress?

H. If you have conducted customers surveys, what does the results of your survey(s) tell you about your customer's satisfaction with the services you provide?

I. Have you reflected on some of the satisfied customer stories regarding the services or products you are providing.

J. What are some of the lessons learned about service delivery?

K. Do you need any assistance with your measurement system or survey techniques?

L. Who is your contact person for customer information and questions?

Lizbaltimore\M/ROR\Customer Service/X33602:custsur.sur

SERVICE QUALITY AND CUSTOMER SATISFACTION ASSESSMENT

Sher Plunkett, M/ROR

May 1995

Service quality and customer satisfaction regarding USAID programs may be usefully measured along **three dimensions:**

1. **The customer's view of the IMPORTANCE of the service you provide.**
2. **The customer's assessment of HOW WELL you PERFORM the service.**
3. **The customer's view of HOW the service you provide COMPARES with other providers.**

Assessing your service quality along these three dimensions may be done by "surveying" customers (informally or formally) with regard to a series of indicators, and asking the customer to rate each indicator from **NOT IMPORTANT** to **VERY IMPORTANT** on a scale of, for example, one to five. Indicators for each of the three dimensions include:

1. EASE of working with you: convenience, simple processes, minimal red tape, physical access to contacts.
2. RESPONSIVENESS: following up, meeting changing needs, problem solving, answering questions, returning calls.
3. DELIVERY: on time, thorough, accurate, complete.
4. BREADTH OF CHOICE: sufficient choices to meet needs.
5. QUALITY OF PRODUCTS: performs as intended, can be maintained and repaired easily.
6. QUALITY OF TECHNICAL SERVICES: performs as intended, professionally qualified.
7. AGREEMENTS/CONTRACTS: ease of negotiation, clarity, completeness, simplicity, timeliness.
8. CONTINUITY OF SERVICE: familiarity with customer needs, objectives, past practice, working style.
9. REPRESENTATIVES/CONTACT PERSONNEL: professionalism, knowledge, helpfulness, ability to coordinate resources, contact frequency, local language skills, understanding of local culture.
10. PARTNERSHIP: support for customer objectives, willingness to help, commit, participate.
11. COMPLAINT/DISPUTE HANDLING: fair/equitable, timely resolution, root cause elimination.
12. DOCUMENTATION: adequacy, timeliness, accuracy, simplicity.
13. INNOVATION: new procedures, new services, new delivery methods, new communication methods.
14. SENIOR MANAGEMENT ACCESSIBILITY: familiar with customer objectives, needs, and concerns.

These indicators are illustrative -- you may wish to modify the list to reflect your needs and concerns. You may wish to work with your intermediate customers and partners to devise similar service quality assessments for their activities.

The results of your customers'assessment of the quality of the services you provide them will do several things:

-- Provide you with insight on what is important to your customers, and how well you are doing;

-- Give you the basis for establishing performance principles you can commit yourself to;

-- Enable you to develop measurable standards for service quality that will lead to customer satisfaction with your activities; and

-- Lay a foundation for better **rapport** with your customers, which will ensure more rapid feedback from them, and a more collaborative and participatory approach to achieving your objectives.

If you would like further assistance in developing means to assess customer service quality, please contact Sher Plunkett via email, or phone (202) 663-3390, or FAX (202) 663-3391.

u:\pdipub\docs\servqual.hsp:5/18/95

CUSTOMER SERVICE PLANNING: IMPROVING SERVICE DELIVERY AND OBTAINING BETTER FEEDBACK

The President's Executive Order Number 12862 of September 1993 mandates all Federal agencies to develop and implement Customer Service plans to measure customer satisfaction, improve program responsiveness and performance, and report results. USAID, as a designated reinvention laboratory agency, actively embraced the concept of "customer focus" as a core value, recognizing that "customer service" incorporates actions and attitudes which USAID employees consider integral to effective performance of their development and humanitarian assistance mission. By concentrating on partner and customer identification; tracing the links for service delivery; eliciting feedback regarding customer needs and satisfaction and using customer input to improve program design and implementation; and developing specific standards for performance, USAID and its component operating units can pinpoint necessary actions, monitor their execution, and improve quality while reducing cycle times in essential work processes associated with the delivery of development assistance and humanitarian relief.

USAID staff addressed the issue of defining and operationalizing a systematic customer service orientation using a team-based approach. Led by members of the reengineering task force, representatives of regional bureaus and AID/W support offices developed meaningful definitions of USAID's overseas and domestic customers, partners, and stakeholders. The Agency appointed Customer Service Officers to provide expert assistance to field Missions and to AID/W operating units. Working with the customer service advisory group, the Customer Service Officers developed policy guidelines; operations plans; and a wide array of supporting materials to assist Agency units in developing customer service plans and surveys. These initial efforts were followed by on-the-ground support to the Agency's Country Experimental Laboratory missions, where initial plans were tested, modified, and shared widely throughout the Agency. Customer service planning was incorporated as an integral element in every operating unit's strategic planning as part of the Agency's Automated Directives System, which became effective in October 1995.

Currently, initial customer service plans have been prepared by the Agency's field missions and other operating units, identifying and segmenting intermediate and ultimate customers for USAID programs; indicating how customer feedback and input to programs is being obtained through surveys and other means; setting forth customer service delivery principles and measurable standards for quality, timeliness, and transparency; and stating specific contact points for customer inquiries. USAID has published and disseminated its Agency Customer Service Plan, which received praise from the National Performance Review and the Administration. While these are important first steps, USAID recognizes that in order to translate its "customer focus" value into practical reality Agency-wide, additional efforts must be made. Training modules for customer service delivery have been prepared, and Agency staff will receive appropriate and practical familiarization training beginning in Summer 1996. Support to operating units in the development and improvement of customer service planning and customer surveying, now provided to a limited extent by M/ROR's customer service officers, needs to be institutionalized and expanded as a permanent part of the USAID's new way of doing business. Customer service "lessons learned" need to be collected and shared systematically, in order to improve USAID's overall customer service capability.

Technical Notes

No. 2 March 1992

Stakeholder Analysis: A Vital Tool for Strategic Managers

By Benjamin L. Crosby

The recognition of the key role played by stakeholders in the determination of policy, its implementation, and outcomes has made stakeholder analysis a vital tool for strategic managers. The term stakeholder analysis encompasses a range of different methodologies for analyzing stakeholder interests and is not a single tool—a fact that has led to some confusion about what it is and how one does it. The purpose of this note is to help clarify the notion of stakeholder analysis by exploring a series of alternative methods, their advantages and potential limitations. A common analytic methodology for use by the IPC team and developing country managers in reconnaissance and other diagnostic activities will also be suggested.

What is it and Why do it?

The purpose of stakeholder analysis is to indicate whose interests should be taken into account when making a decision. At the same time, the analysis ought to indicate why those interests should be taken into account. How do we know when a group's or actor's interest must be given specific and serious consideration? First, if an actor or group is in a position to damage or weaken the authority or political support of the decision maker or the organization, then it should be taken into account. For instance, the urban industrial import substitution sector in many developing countries is opposed to reforms to facilitate a more export-driven economy. Since this sector is often the most economically powerful sector, it is generally in a position to weaken political authority should it actively oppose the government.

Second, if the group's presence and/or support provides a net benefit or strengthens an organization and/or enhances the decision-maker's authority (and capacity to secure compliance to decisions), then it should be given close consideration. For example, if a group can bring new resources, provide entry into a new market or otherwise enhance the organization's strength, it should be taken into account.

Third, if a group is capable of influencing the direction or mix of an organization's activities, it needs to be counted as a stakeholder. Consumers are often viewed as stakeholders in organizations charged with the delivery of public services. But since public utility organizations in LDCs are frequently monopolistic, and since most consumers are poor and have little, if any, capacity to mobilize, the decision maker can safely exclude them from the decisional calculus. But in other cases even amorphous groups can be powerful stakeholders, particularly if they are large; the influence of the comparatively affluent American teenager on the music and fashion industries of the United States is a case in point.

Generally, stakeholder analysis focusses on two key elements: groups or actors are analyzed in terms of: a) the interest they take in a particular issue

---

Benjamin L. Crosby is a Director of MSI; he holds a Ph.D. from Washington University in St. Louis, Missouri and manages the Implementing Policy Change project.

and, b) the quantity and types of resources they can mobilize to affect outcomes regarding that issue. However, the way in which and the degree to which each of these elements is analyzed varies considerably. Overly inclusive approaches run the risk of turning the analysis tedious without a great deal of added value. As a rule of thumb, one might apply the following: only those groups or actors with real and mobilizable resources that can be applied for or against the organization and its interests to the issue at hand should be included. They are the ones that have the capacity to directly influence policy outcomes.

Approaches to Stakeholder Analysis:

Certain schemes are quite limited in what they expect to acheive with stakeholder analysis, while others are considerably richer both in data and analytic requirements. By applying the criteria noted in the paragraphs above regarding which groups ought to be included in a stakeholder analysis this note will explore some of the dimensions of these schemes, ranging from one of the more simple forms of stakeholder analysis to much more complex frameworks.

Brinkerhoff's (1991) approach to stakeholder analysis focuses upon use of the tool for managing programs. This focus highlights identifying what a program needs from its stakeholders to be effectively implemented. These needs are framed in terms of types of exchanges between the program and its key stakeholders; e.g., financing, physical inputs, political support, approvals, policy support, technical assistance, and so on. Stakeholders are identified and classified according to the resources they control, their interests in the program's activities and outputs, and their importance to the different types of exchanges. Brinkerhoff then summarizes the analysis in a maxtrix in which actors concerned about a particular issue are arrayed along a vertical axis, while the horizontal axis illustrates certain types of exchanges (or resources) the actor can bring to the issue.

There are a couple of characteristics of this approach and in the matrix that might limit its usefulness for certain analysts. First, while exchanges or resources are noted, the degree to which such resources are in fact salient to issue outcomes is not easily perceived in the matrix itself. Second, neither the matrix nor the narrative analysis indicate the degree to which the group has the capacity to mobilize the resource or exchange noted. Nevertheless, the approach does quickly communicate who has what—important elements for strategy development.

Honadle and Cooper (1989) take a slightly different and more limited approach to stakeholder analysis than Brinkerhoff. Their matrix arrays the primary actors or stakeholders across the horizontal axis, and on the vertical lists a series of problems upon which those stakeholders might have some impact or capacity to help resolve the issue. The matrix, however, is not clear about how stakeholders can actually help in resolving the problem indicated, merely that they might be able to. Perhaps more importantly, the matrix does not really indicate the level of interest of the stakeholder in the problem nor the direction of that interest. Is the stakeholder for the policy or against it? How strongly does the actor feel about the issue? However, as a "first cut" mechanism for illustrating the array and range of problems and actors, Honadle and Cooper's approach is quite useful.

Other interpretations of stakeholder analysis go much further than the two approaches just described. Gamman's approach (1991) is much more descriptive and analytically is quite comprehensive. However, his approach is keyed into aiding the analyst in strategy design—and is therefore necessarily more complete in his analysis. Unlike the earlier approaches, it not only lists the important actors but also attempts to gauge their relative importance, their interests and/or objectives, how these interests are in conflict with others, and the leaders of each group.

While the main strength of Gamman's approach lies in its comprehensiveness, it is also the source of some potential problems—especially with respect to how many and which groups are or ought to be included in the discussion. To be complete, Gamman suggests that the analyst look beyond the range of obvious actors or groups and determine which unmobilized and/or unorganized groups might be affected in some manner by the policy (regardless of whether they are in fact affected by the policy), and how they might feel about that policy. When the policy focus is fairly broad, then the number of groups that could be included under that criteria mounts rapidly, and can quickly turn the analysis into a somewhat burdensome exercise (at least from a busy manager's point of view.)

Another potential difficulty with Gamman's approach is that he does not examine the nature of stakeholder resources nor their capacity to mobilize those resources. Without some clarity regarding resource levels and capacity, judging stakeholder impact on policy issues will be difficult.

The level of effort required to carry out the sorts of activities suggested by Gamman is substantial. Thus, before proceeding, managers should weigh the potential gains from the analysis. Also, Gamman's approach requires a degree of sophistication and familiarity with the environment that a short-term consultant seldom has. If this type of analysis is desired, then, effort should be made to obtain assistance from local knowledgeables or informants. These caveats notwithstanding, Gamman's approach can provide a wealth and richness of information to aid both in the policy design and implementation process.

A fourth approach is that utilized by Lindenberg and Crosby (1981) in conjunction with their political mapping techniques, and is that which has been suggested for use by the IPC project. This approach develops a matrix in which information for each group is arrayed according to the group's interests, the level of resources it possesses, its capacity for mobilization of resources, and the group's position on the issue in question.

In the first cell (Table 1) are listed those interests that will be affected by the policy or decision to be taken. What are the group's specific interests in the policy? The analyst should be careful to select only those two or three interests and/or expectations that are most important. In the second cell are noted those resources that the group possesses that could be brought to bear in the decision making or implementation of the policy. Can the group offer some special knowledge or information? Would the group's status and presence on one side of the issue be key to its implementation or blockage? If the group appears to have resources that can be brought to bear, it is important to know whether the group is capable of mobilizing those resources quickly or only slowly. Quickly mobilizable resources are advantageous if the issue has immediacy, but less so if the impact of the issue is further out into the future. If the group cannot mobilize or make effective use of its resources, then they are not really resources in any meaningful sense of the word. The analyst's judgement regarding mobilization capacity should be noted. Finally, the group's position regarding the issue should be examined and noted. Judgement should be more discrete than a simple for or against. If a group is barely in favor of an issue, a convincing argument could be enough to change its position.

In some respects this approach is similar to Gamman's, but with the difference that the analyst need not go beyond the range of obvious actors. Only those actors with a position on the issue and resources that can be brought to bear need be considered. Nevertheless, the level of effort, analysis and inclusiveness of this approach is much broader (and time consuming) than recommended by either Brinkerhoff or Honadle and Cooper. As with the Gamman approach, the analyst should carefully weigh the benefits to be achieved from the analysis against the costs of carrying it out. While stakeholder analysis is certainly helpful to gain a better understanding of the interests and resources of the important players for policy decision-making and implementation, it is even more so when used in conjunction with other strategic management tools such as political mapping, forcefield analysis, and the environmental analysis matrix (see IPC note, "The Political Environment for Implementation of Policy Change: Tools for Analysis", 1991.) With political mapping, stakeholder analysis can help to

TABLE ONE

GROUP	GROUP's INTEREST IN ISSUE	RESOURCES	RESOURCE MOBILIZ. CAPACITY	POSITION ON ISSUE

f:\wpdata\reports\1611-014\014-014.w51
(11/94)

refine the placement of political groups on the map. In the case of forcefield analysis, it helps clarify a group's position as well as the comparative importance or salience of the group on the forcefield. Indeed, stakeholder analysis is generally a more interesting and powerful tool if used in combination with others.

How to Conduct a Stakeholder Analysis for a Reconnaissance Visit:

There are several reasons why an external analyst might carry out a stakeholder analysis. First, for identification of the client and where he/she sits in the environment (who he/she is, what he/she is supposed to do, the importance of the position in relation to others) and to understand some of the pressures and expectations regarding his/her role. Second, the analyst should acquire a broad understanding of the environment and how stakeholders interact with the environment and the organization in order to play a more effective role with the client. A knowledge of who's who and why will produce a more effective interaction with the client. Third, managers can sometimes hold strong opinions about stakeholders which conflict with generalized perceptions in the environment. The external analyst can play a valuable role as an "independent auditor" of those stakeholders. Finally, given that some approaches to stakeholder analysis can be quite time-consuming, the external analyst can provide at the very least an initial cut to be reviewed by the client.

Generally, the analyst can begin the stakeholder analysis before going into the field through perusal of the literature on the case country's politics and economics. In addition to standard sources such as the CIA's annual World Factbook, and professional journal publications, World Bank, AID, and UNDP publications can be helpful. The analyst should make a list of the groups that seem most relevant to the policy issue under consideration. One should not try to be very restrictive at this stage—it would be better to try to develop a fairly ample list and then begin to reduce. If sufficient information is available, the analyst might also consider drawing a political map or working up a tentative forcefield analysis. If possible, experts at local universities or think-tanks or from the country's embassy should be sought out for their opinions. With all this, the analyst ought to be able to generate some early hypotheses regarding the array of stakeholders and their relative importance.

Once in the field, the analyst should seek out local knowledgeables to obtain their opinions regarding key players and their interests. The analyst is encouraged to use as wide a range of informants as possible since many informants also have particular agendas they wish to promote. Key informants can be quite varied: journalists, top officials in the church, leaders of business groups, congressmen, leaders of political parties, international donor officials, leaders of interest groups, university professors, consultants, embassy officials (other than the US too), labor leaders, radio and TV commentators, local think tanks, management institutes, high ranking military officials or professors at the military colleges, and local and international PVO heads.

Although personal interviews are the standard method of obtaining information, other techniques can be used. For instance, this writer has had success in using informal panel groups and workshops to discuss these issues and work through differences of opinions. The difficulty of this approach is that it generally requires more entree than that enjoyed by most intermittent consultants. This technique is also a good sounding board for testing the analyst's ideas.

Ideally, the developing manager should acquire a solid familiarity with the tool both to diminish reliance on outside advice and in order to gauge the effectiveness and veracity of external advice and analysis when sought. Besides the obvious review of appropriate literature, there are a couple of useful mechanisms that this writer has found for transferring the technology. One useful method is through workshops; first, a brief introduction to the method and second, case studies or exercises to hone skills in using the technique. If several individuals will be expected to work with stakeholder analysis, this method is particularly effective. Care should be exercised to include only those who indeed will work with the technique and who will actually find it useful. Those who will not actually use it will find it quite tedious. Another useful method, especially when only a very narrow group will benefit is through one on one consultation in the use of the instrument. When the number of users is more than three, however, the workshop method will prove more efficient.

How can the Developing Country Manager use Stakeholder Analysis:

In many respects there are parallels in the use and usefulness of stakeholder analysis for the developing country manager and the external analyst/consultant. However, it can generally be assumed that local managers have the advantage of their own knowledge (bolstered by a historical view) and usually much readier access to local knowledgeables. Nevertheless, managers should be warned that familiarity with names and groups does not necessarily amount to a strong analytical understanding of the different stakeholders. Often, the manager will know (perhaps intuitively) that a particular group is strong and needs to be taken into account. But he/she may not understand why the group needs to be taken into account. What are the groups resources? How quickly can they be mobilized? What are their interests and why? For purposes of strategy construction, these are important pieces of information.

It is important that the manager confirm his perceptions of stakeholders either through group discussions with associates within his organization or through external analysis. It is only natural that managers will elevate the importance of groups that share their own views and perhaps diminish the importance of others. While not perfect, the consultation process can help reduce bias.

When should the manager undertake the analysis?

There are two points at which stakeholder analysis is critical. First, when the policy is being formulated—at the point when decisions regarding who will be favored are taken. While it is true that they often are not taken into consideration at this point, managers can supply important input regarding critical stakeholders and how they can affect policy outcomes. Since policy makers are often not in direct contact or have little to do with critical stakeholders, information supplied by the manager, who is in much closer and direct contact, can be critical. It is at this point that the manager can help the policy maker avoid erroneous decisions.

The second point is in the formulation of a strategy for implementation. It is at this point where the manager will have greatest input. It is also at this point where decisions become critical in terms of assuring alliances and support. A solid analysis of stakeholder expectations and a keen appreciation of the relative importance of different stakeholder groups can be key input for the design of strategies to handle certain groups, knowing what pieces of the policy should be emphasized, or how to assure future support.

Finally, and perhaps as a warning, since stakeholder exercises can be fascinating, it can be tempting to devote too much time, and worse, too much credence to the analysis. The stakeholder analysis is only a tool, one that helps to understand better the field upon which policy change and the implementation of those changes will be played. It is not an end in itself.

REFERENCES

Brinkerhoff, Derick W., Improving Development Program Performance. Boulder, Colorado: Lynne Reinner Publishers, 1991.

Bryson, John M., Strategic Planning for Public and Non-profit Organizations. Oxford: Jossey-Bass, 1988.

Gamman, John, "Stakeholder Analysis", (unpublished memo/note for IPC program, 1991).

Honadle, George and Cooper, Lauren, "Beyond Coordination and Control: An Interorganizational Approach to Structural Adjustment, Service Delivery, and Natural Resource Management." World Development, 17, no. 10, 1989.

Lindenberg, Marc and Crosby, Benjamin, Managing Development: the Political Dimension. Hartford, Connecticut: Kumarian Press, 1981.

White, Louise G., "Implementing Policy Changes" (unpublished paper attached to USAID Project Paper for Implementing Policy Change Project.) September, 1989.

FOCUS GROUPS
Sher Plunkett, M/ROR
August 1995

Focus groups are facilitated sessions involving groups of six to ten people, designed to discuss and document specific processes or problems. Attendees represent all participant points of view with regard to the process or problem. The interactive nature of the discussion provides valuable information to the focus group's host, with results that are frequently surprising. Focus groups are very useful for exploring, specifying, and understanding customer concerns, and for identifying critical variables which may be analyzed by more formal means. They are not, in themselves, useful for generalizations (quantitative measurements or comparisons) since they are almost never representative of the entire customer base.

Basic principles: Distribute information packages to participants prior to the focus group session, to guide discussion. This constitutes the "script" which will focus dialogue. Provide neutral, non-threatening facilitators to guide the session. In managing the session itself, a) clearly state the rules and agenda for discussion; b) encourage open, honest discussion; c) record the process in "real time", using flipcharts; d) ensure that careful notes recording the issues and discussion are taken during the session. Following each session, distribute a follow-up package to participants to ensure accurate findings. This package should include a review of findings and understandings; a summary of deliverables which attendees agreed to provide; a listing of issues which were not discussed, or not resolved; the proposed "next steps" for addressing unresolved issues; and a description of feedback mechanisms which attendees may use to update/revise findings.

Roles and Rules: Discussion Leaders provide introductions, handle hospitality, introductions, and orientation to the purpose of the session, state what will be done with the information gained, explain procedures, and facilitate the dialogue, summarizing often. Discussion Recorders capture in the speakers' own words any statements of need, critiques, new information, or plans presented, corrections made to understanding or to summaries, and any misunderstandings about the relationship to the focus group host organization or its intentions. Additional Listener(s) probe questions for clarity, assist in ensuring understanding of what speakers are really saying, and help facilitate structured discussion. These are sessions designed to help to listen and to learn, so defensiveness is not allowed -- respond to criticisms either by "thank you" or "please tell me more". Summarize what has been learned every 20 minutes or so, getting participant confirmation of the accuracy of each summary. Be sure to capture amplifying remarks or corrections made by participants, since these are often very significant. Ask for a final evaluation of the session for accuracy, sincerity, and the value to the participants.

SURVEYING USAID'S CUSTOMERS

Sher Plunkett, M/ROR

6/8/95

USAID Missions and Offices obtain feedback on service performance and quality from their customers -- both end-users of the Agency's services, and intermediaries -- through a variety of direct and indirect methods, adapted to the widely differing circumstances in which USAID's programs are carried out. As the Agency reengineers its work processes, customer service planning, and customer surveys, are institutionalized and systematic rather than **ad hoc** and informal. In addition, information gained from surveying one set of customers is now exchanged and compared with other survey findings, and opportunities for synergistic effects across portfolio activities are maximized by the Mission or Office executing the program.

With increasing experience in customer service planning and customer surveys, however, USAID operating units have identified areas where performance standards may be improved. These include:

-- timeliness of response to inquiries

-- more rapid deployment and mobilization of our assistance

-- greater attention to prompt payment for services to vendors

-- wider and/or more appropriate arrays of services to ultimate customers

-- greater attention to understanding and improving the service performance of intermediaries, in order that they may better serve ultimate customers

-- better mechanisms for ensuring follow-up services

-- more continuity of staff contact for major program activities

-- greater use of local expertise in implementing programs

-- better communication of USAID procedures and regulations to partners and customers

-- more closely keying commodity specifications to customer preferences and requirements

-- eliciting more frequent feedback from key customer segments, and ensuring that the information gained is translated into more effective program actions

- identifying and eliminating or reducing non-value adding paperwork associated with USAID programs

- making greater use of local languages, and presenting information in ways that are culturally acceptable to socially and economically disadvantaged customers

- increasing participatory approaches to design and execution of activities by more actively involving customers and partners

u:\splunket\docs\howsurv.npr

FRAMEWORK FOR CUSTOMER SERVICE LINK DESCRIPTION

Strategic Objective: **Improved rural income through more efficient, local management of irrigation.**

Results Package: **Institutionalization of policies and practices fostering water user participation and improved operations and maintenance of agency-managed irrigation systems in the Terai.**

Customer info.	Customer link #1	Customer link #2	Customer link N	Comments
link mechanism	Pro AG with Min. Water Resources TA Contract w/ 8(a) firm CA with IIMI	TA contract for Tarai district irrigation sites CA with IIMI/Nepal	O&M training agreements between DOI and site user groups	
customer type	HC Ministry	Irrigation Dept. engineers	end user groups	
organization name	Dept. Irrigation, Min. Water Resources	Dept. Irrigation, Min. Water Resources	water user groups	
USAID contact(s)	P Pradhan, ARD R Thapa, ARD	P Pradhan, ARD R Thapa, ARD	P Pradhan , ARD R Thapa, ARD	
customer.contacts	B Aryal, Director	Dist. Irrigation Officers for Lumbini, etc. Districts	Listed WU association officers other water users	
customer role in achieving results pkg	1. creates policy for user participation and O&M support 2. Executes field activities 3. Administers DOI personnel 4. Maintains relations with user groups. 5. Maintains relations with sector donors and NGOs.	1. Administers irrigation operations 2. Cooperates with user groups	1. Party to agreement with DOI staff on cooperation for irrigation O&M 2. Mobilizes resources for O&M and other needs on site. 3. Resolves conflicts among users. 4. Disseminates info on better water use practices to users. etc....	
customer survey method for feedback	1. Focus groups 2. Regular meetings 3. Key informant interviews	1. Site visits 2. Interviews 3. Rapid Appraisals 2 x yr	1. site visits 2. rapid appraisals 3. key informant interviews 4. formal surveys 5. evaluations	

LEADING GROUP INTERVIEWS:

definition:
6 to 10 people discuss their concerns together

composition:
Ideally, people should be of very similar backgrounds -- men and women, old and young, rich and poor -- probably, in the communities you will visit, this will happen automatically (?)
Preferably, people do not already know each other well....

advantage: you hear interactions among people,
they stimulate each other,
they generate some of their own questions

limitations: It is very easy for an interviewer to allow her or his preconceptions or pre-judgements to influence what she or he hears. It can be hard to guide a group discussion well.

location:
try to keep extra people (an audience) away -- sit in a circle?
(for Americans, sit around a table)

timing:
one to two hours

starting:
introduce yourself and the subject briefly, explain that you hope people will talk with each other about the subjects you bring up.

a) it is not a question and answer session -- rather it is hoped that people will respond to each other's points -- one at a time
b) you are interested in hearing what everybody in the group thinks
c) you are interested in all kinds of ideas and responses
d) people shouldn't talk oo long each time they speak

start with chatty things -- how long people have lived here etc. to get people relaxed. watch the participants to see who is most shy and who is most confident. later, urge the shier ones to express their views.

probing:
this has to be subtle. you have to keep impressing people that you want to learn from them. if it appears that you are quizzing one person, everyone may grow more quiet.

you might say: I don't really understand what your life is like so I need you to help me with some details (or so).

getting specifics:
You said you went to the meeting [whenever], what impressed you most about it? You said people were upset with [whatever], how do you know; what did they do? (After a while, people may speak in less general terms without being prompted.)

role playing:
you might even ask one member of the group to play that he or she is the union chairman. Then have other people address him or her with their complaints or worries. (?) ("
What would you like to say to the union chairman?")

control issues:
1. if one person like to talk too much!

a) look at a different person after a while, stop taking notes

b) politely intervene: "I am having some difficulty following so let me try to summarize your comment to see if I'm right." (the person then has to agree or disagree narrowly with the moderator.) OR: "If I understand you correctly, you are saying [x]. Could you also say something about [y]?

c) when the person pauses: "Thank you very much. That is very interesting. Perhaps we can talk more about this later(?). Meanwhile, if it's OK with you, I'd like to talk about another issue while everybody is here together.

2. group pressure

a new idea can get everybody excited so people only think about the benefits (so everyone agrees)

a) ask for other ideas or approaches -- play devil's advocate

b) add a new twist -- if you are talking about the union council, ask if the mullah or landlord [or somebody] would also think it's a good idea

c) try to get people who appear less enthusiastic to share their views. "What about you? You might have a different view?"

TO THINK ABOUT WHEN REVIEWING AN INTERVIEW WITH TEAM MEMBERS:

1. What new or unusual use of words or phrases did you notice?

2. What new or special things did you learn about your topic? (poverty, pollution, water, economy, social issues)

3. What is NOT clear? What puzzles you? What new questions do you have in your mind?

4. What were you expecting to see or hear that you did not see or hear?

5. What did you learn about the other person's perspective or view?

6. What new ways of leading the conversation/asking questions did you try, which were good, which were not successful?

LISTENING WITH NEW EARS: April 2, 1995

Old Ears:	This person is ignorant!
New Ears:	This person lives in a different reality than I do (and his or her world view is equally legitimate as mine).
Old Ears:	This person is stupid!
New Ears:	This person has figured out how to survive in circumstances that would be very hard for me.
Old Ears:	This person doesn't know anything!
New Ears:	This person knows different things than I know!
Old Ears:	I should teach this person some things!
New Ears:	Until I understand her reality/his perspective, how can I decide what knowledge would be most helpful for her or him? If I am going to help develop a truly appropriate program, I should first learn from this person.
Old Ears:	This person doesn't understand my issues!
New Ears:	How can I lead this person to talk about the types of issues that are relevant to the democracy program?
Old Ears:	This person doesn't use the language properly!
New Ears:	How does this person use language to express his or her experience?
Old Ears:	Everybody says the same thing!
New Ears:	Everybody's life circumstances have unique features, even though people in any culture share some things.

A reflection on learning:

Learning is not just the acquisition of new information. Learning involves discovering new types of information/new connections among ideas. It involves thinking differently. It is an on-going, growing process in itself.

Learning how to learn from other people is difficult because it asks that you suspend your own cultural training, that you become conscious of and temporarily halt the "natural" interpretations or judgements about what you see and hear every day, that you look with new eyes and listen with new ears.

A qualitative researcher always strives to learn more effectively. Sometimes you have good days, sometimes you have not so good days, you never reach perfection: you can always learn more about learning. There is only honest effort. By reflection and discussion with others in the troop, you keep learning. Sometimes you help someone understand better, sometimes they help you see something in a new way. Learning requires courage!

"LOOKING WITH NEW EYES" -- Observation Exercise

During the next two days, find time to do nothing but watch some people on two different occasions for about half an hour each time. Don't carry on a conversation with someone at the same time or anything.

Try two types of looking:

a. large view (macro)
   observe how people arrange themselves in space:
   all men together, all women together?
   how far apart are people standing?
   how do they interact with each other?
   how do they react to a new comer?

b. small view (micro)
   watch a small group of people interacting:
   what is their posture like?
   what gestures do they use?
   how much eye contact do they have?

Try to separate your observations from your interpretations
   Is this easy to do?
   How "automatic" are your interpretations?
   How sure are you of your judgements?

How does it feel to "put on 'new eyes?'"
   -- comfortable? disconcerting? enjoyable?

What did you learn by trying this?

Prepare two 3X5 cards explaining something you noticed about watching people -- make one card about something you observed and one card about something you learned about looking and judging what you see. What was significant for you about each?

STEERING A CONVERSATION (A SEMI-STRUCTURED INTERVIEW):

Create a connection with a person by discussing something you can both see -- a road/bridge/building under construction, work that the person is doing, baby goats, beautiful flowers, a new crop....

Introducing yourself: Be Honest! Even if your purpose is unclear, a person can sense whether or not you are being truthful. Most of all, you want the person to know that you are interested in learning about <u>their</u> reality. You work for USAID, you are in a training program, you are practicing interviewing so that one day you may have an opportunity to contribute to development of a program that might help them -- but you are not developing such a program now. (Again) You only want to <u>understand</u> as clearly as you can what is important to them.

Explain, as needed, that each person's answers will remain CONFIDENTIAL! You don't even need their name or address.

Remember: Leave emblems of (relative) wealth at home. At minimum they are distracting; at worst, they might be an invitation to theft.

Start with and maintain a casual tone -- where the person is from, how long they have been living here, how many children they have, what kind of work they do. Be willing to answer similar questions. Sit down (do not dominate!), let the person change the topic, but lead them back to your themes.

KINDS OF QUESTIONS:

Probing: Can you give me an example? or: Can you be specific?
Why? How so? What for? When? Who? or: just wait!
Do you mean ... ? (or ...?) Aha..., Aha!, Really?...
What are you thinking about? (What is on your mind?)

Narrow and broad questions:
How many years ago was this road paved for the first time?
What were some of the most important changes (in peoples' lives) that resulted from improvement in the road?

Factual vs. normative (value) questions:
Does your wife work?
Do you think it is good for women to work?
Are there certain kinds of work that are better for women?

The person (on the spot) vs. people in general:
Do you frequently have to borrow money to buy enough food for your family?
Do most people who live near here have to borrow money to buy food to feed their families?

Hypothetical:

If x happened, what would you do?
What would you do if x? ...you lost your job? someone broke into your home and stole your CD player?

Contrast:

What's the difference between a girl who goes to school and a girl who stays home?
Would you rather have a,b, or c? a job or some good land?, son or daughter?, (NO: health clinic or clean water?)

Rating:

Is A or B or C better? please put them in order of importance. A tea shop, a gharry, a job with the DPW?

Structure:

You said there are several places for throwing garbage, can you point out where they all are?
What are all the kinds of garbage you throw in those places?

History:

Is life better than it was ten years ago?
What has changed about Cairo since x time?

Language

What is your word for x?

Tours: Grand Tour: What do you do on a typical day?
Specific (Tour): What did you do yesterday, from morning to night?
Guided tour: Can you show me your house/village/work?
Mini-tour: When you do x, exactly what do you do?

Some Questions to (Try to) Avoid:

Yes/No Questions

Leading questions:

Don't you think families with fewer children are better off?
Wouldn't you agree that the city should pay people to clean up the streets in their neighborhood?

Two (or more)-in-one Questions:

Do you think people are increasingly poor because they do not know how to save and spend their money wisely?

(Really) Sensitive Questions:

Do you think power breeds corruption?
(YOU REPRESENT USAID, NOT YOUR FAVORITE POLITICAL PARTY!)

Finally:

Did I leave something out/forget something important?

STEERING A CONVERSATION (A SEMI-STRUCTURED INTERVIEW):

Introducing yourself: Be Honest! Even if your purpose is unclear, a person can sense whether or not you are being truthful. Most of all, you want the person to know that you are interested in learning about their reality. You have an opportunity to contribute to development of a program that might help them. You want to understand as clearly as you can what is important to them. Explain that each person's answers will remain CONFIDENTIAL!

Remember: Leave emblems of (relative) wealth at home -- at minimum they are distracting.

Starting a conversation: Start with chatty things -- where a person is from, how long they've been living here, how many children they have, what kind of work they do, age. (As appropriate.) Be willing to answer similar questions about yourself.

KINDS OF QUESTIONS:

Narrow and broad questions:
Do you like the present government?
Do you think democracy is good for Bangladesh?

Factual vs. normative (value) questions:
Did you vote?
Do you think everybody should vote?

The person (on the spot) vs. people in general:
Who did you vote for?
Who did most people in this village/region vote for?

Probing: Can you give me an example? (or: Can you be specific?)
What are you thinking about? (What is on your mind?)
Do you mean ... ? (or ...?) Acha..., Acha!, Acha?...
Why? How so? What for? When? Who? or: Just Wait!

Intensity: Who burned the bus?
Did you happen to see the bus burning?

Leading questions:
Don't you think that it's time for a new election?
Wouldn't you agree that all politicians are corrupt?

Two-in-one Questions:
Do you think corruption undermines democracy becuase the rich usually get elected?

Sensitive Questions:
Should we overthrow the government?
(YOU REPRESENT USAID, NOT YOUR FAVORITE POLITICAL PARTY!)

Finally: Did I leave something out/forget something important?

INTERVIEW SUMMARY SHEET

Date:
Names of Interviewers: Asker:
Note taker:
Location:

Person(s):	name	occupation	M/F
A			
B			
C			
D			

Notes on each person: (eg: attitude, character, ambiance, "impression")

Physical Description of Context: (place, socio-economic status)

Interruptions:
Anything unusual that happened during the interview:

Notable phrases used by interviewee:

Special points about each topic/theme:

Puzzlements: Questions that came into interviewers mind while listening (or thinking back):

New Ideas: New ideas that came to interviewer during or after interview:

Comfort/feelings of interviewers:

(Attach complete notes or transcript!)

WHAT IS A FOCUS GROUP?

A focus group is a selected set of people intended to represent points of view that you think are relevant to the issue or activity you want to discuss. Usually six to ten people make up a focus group. The group is guided in loosely structured discussion about a specific topic, facilitated by a discussion leader. If possible, the sessions are videotaped for later review. Otherwise, extensive notes should be taken by someone other than the facilitator/discussion leader. The views of the group are analyzed to look for themes, or major points of concern to the group. Focus groups can serve as means to explore issues, which can then be followed up either by further interviews or more formal inquiries such as surveys. Focus groups are used in market research, to help identify consumer needs, perceptions, and concerns. They are not "powerful" tools, but they are relatively cheap, can be done rapidly, and can help point the direction both for activity design and for additional data collection. References on focus groups are being collected by M/ROR, and we will pass them on as rapidly as possible.

WHAT SUPPORT WILL WE HAVE FOR CUSTOMER SURVEYING?

Here's what we are working on to support you -- so far.

a. Software. RAOSOFT, a survey design and analysis package, has been used by some CELs. IRM may be able to get more copies, or you can buy it for your unit if you think you need it. There are other software packages on the market, but we have not evaluated them.

b. Technical assistance. 1) M/MPI has an IQC for Management Analysis with five contracts, which may be used to develop customer surveys and customer service planning capability in your unit. Susan Walls is the Project Manager. Sher Plunkett and Liz Baltimore will work with you on SOWs for this IQC if you wish. 2) M/ROR is drafting guidelines to help units set up local capability for customer service support, using purchase orders and ongoing connections with local institutions and firms rather than expatriate TA. 3) Sher Plunkett and Liz Baltimore are willing to serve as "virtual" team members to help you design customer service plans and surveys. 4) M/ROR has begun developing a "network" of in-house staff with social science credentials who would be willing to assist you in developing customer surveys. 5) M/ROR is putting together a list of publications and references on standard customer survey methods, including interviews, field observations, rapid appraisals, document analysis, and formal surveys. We are also starting to think of practical means for training non-specialist staff in these methods, along lines of the rapid rural appraisal training offered in the late '80s.

CUSTOMER SERVICE PLAN QUESTIONS AND ANSWERS

Sher Plunkett, Customer Service Officer, M/ROR

14 August 1995

Q. What is a customer service plan?

A. A customer service plan is an operating unit's management tool for ensuring that the programs leading to achievement of its strategic objectives are delivered to their ultimate customers efficiently, effectively, sustainably, and with maximum participation in both design and delivery. Customer service plans identify and analyze the links in the chains of service delivery for programs, through intermediate customers and partners, to end-users -- those intended to benefit and build upon the development assistance provided by the American people through USAID. Where information is insufficient, customer service planning includes customer surveying to determine gaps in service needs or performance in order that modifications may be made to improve service delivery. With the information provided by customer service plans, operating units may not only improve ongoing programs and provide a sound basis for monitoring and evaluation, but also identify results-oriented activities which may contribute significantly to achievement of strategic objectives. Customer service plans thus are an important component of the operating unit's strategic plan. More importantly, under our reengineered operations system, both overall strategic planning and customer service planning are critical processes for effective management of resources toward development goals.

Q. Who is responsible for customer service plans?

A. The customer service planning process is part of "line" functioning in operating units. It is the means for ensuring customer outreach, and customer feedback into operations. The customer service plan is needed for those units making use of program resources for development purposes. That means that the Mission, or Office, customer service plan is a composite of the plans developed for each strategic objective and its components. The staff responsible for identifying and analyzing customers and customer linkages; managing or executing customer surveys; and ensuring that customer feedback is an integral element in the design, as well as the execution and evaluation of activities, is the concerned core team. Support (or "enabling") staff participate in customer service planning as members of operations teams. Enabling offices may wish to develop their own customer service plans to support "line" teams better. However, plans dealing with "internal" clients are not required to become part of the overall operating unit customer service plan.

Q. When does a customer service plan have to be done?

A. The answer to this question has two parts: First, an initial customer service plan should be prepared as soon as possible as part of operating units' reviews of their current portfolios and approved plans, in order to facilitate their transition to a more flexible and more effective reengineered operations system. The information obtained through customer identification and analysis, and through customer surveys performed as necessary, will become part of the operating unit's strategic plan modifications, and will be utilized by the unit in its submission of its Results Reporting and Resource Request (R4) in the Spring of 1996. Second: once prepared, an operating unit's customer service plan should be maintained, and updated periodically (using new information systems software as it becomes available) as customer service feedback for the unit's programs is received through either passive collection or active surveying regarding service delivery performance and results achieved. This information will assist the operating unit to improve performance, and also to identify promising activities supporting development assistance.

Q. Where is the guidance regarding customer service plans?

A. Guidance on customer service plans is found throughout the new Automated Directive System. The primary location for this information is Section 2xxxxxxxxx in the Directive on Planning. In addition, guidelines on customer service planning are included as a reference document in Section XXXXX of the ADS. However, just as operating units are differently organized, pursuing different mixes of development objectives, and in a wide variety of economic, cultural, and political contexts, so their customer service plans, as management tools, will require conscientious adaptation and "hand-crafting" to fit the operating unit's needs. No overarching guidance is likely to reflect all factors and concerns. The customer service plan must be created and maintained by those who will make most use of it.

Q. Where are copies of customer service plans that I can use as examples?

A. The Agency customer service planning officers (currently located in M/ROR) are collecting copies of operating units' customer service plans, and will share them with you on request. You may also contact other Missions and Offices you think may have similar customer service concerns directly for information and advice.

Q. Is the customer service plan approved in AID/W?

A. NO. It is an operating unit's management tool, and should be created and maintained to meet the unit's needs. The effectiveness, efficiency, and innovativeness of the unit will be reviewed periodically by AID/W in determining performance and allocating funds, staff, and other resources to operating units. A properly developed and maintained customer service plan ensures that critical customer feedback on program performance toward results is being incorporated into the unit's operations. That, in turn, should be reflected in better performance, and better use of scarce resources, which will be reported to AID/W in the R4 process.

u:\splunket\docs\csqanda1.cbl

PAGE 01 STATE 234428 031006Z
ORIGIN AID-00

ACTION OFFICE(S): !REEN
INFO OFFICE(S): AAID ES DAAM AAM PPDC LASA LACA LACE AFEA
AFFE AFSA AFWA ANEA AANE ANME ECA ANSA
AFFW ENCA ENDG ENPD ENED LAEM LASP ANMS

INFO LOG-00 ANHR-01 TEDE-00 /001R

DRAFTED BY: AID/M/ROR/SPLUNKETT:NEAT:CSCBL.HSP
APPROVED BY: AID/M/ROR/LEBYRNE
AID/DAA/M/CMCGRAW AID/ES:AWILLIAMS
AID/ROR/RBYESS AID/PPC:DELAVOY (DRAFT)
------------------F2B245 031010Z /38

P 031007Z OCT 95
FM SECSTATE WASHDC
TO AID WORLDWIDE PRIORITY

UNCLAS STATE 234428

ADM AID

E.O. 12356: N/A
TAGS:
SUBJECT: REENGINEERING TRANSITION GUIDANCE CABLE NO. 5:
CUSTOMER SERVICE PLANNING

REF: STATE 214052

1. SUMMARY. THIS CABLE PROVIDES GUIDELINES, INFORMATION, AND CONTACTS TO ASSIST USAID MISSIONS AND OFFICES IN DEVELOPING CUSTOMER SERVICE PLANNING AS PART OF AGENCY REENGINEERING. CONSISTENT WITH THE ADMINISTRATOR'S STATEMENT OF PRINCIPLES ON PARTICIPATORY DEVELOPMENT (STATE 94/007970) THE REENGINEERING TEAM'S BUSINESS AREA

ANALYSIS OF USAID OPERATIONS HIGHLIGHTED THE FACT THAT PARTICIPATORY APPROACHES AND CLOSE ATTENTION TO CUSTOMER SERVICE ARE CRITICAL ELEMENTS IN REENGINEERING OUR AGENCY. THESE ELEMENTS HAVE BEEN INCORPORATED IN USAID'S NEW AUTOMATED DIRECTIVES SYSTEM (ADS), WHICH WILL GUIDE OPERATIONS BEGINNING OCTOBER 1, 1995. EFFECTIVE CUSTOMER SERVICE PLANNING WILL ASSIST MISSIONS AND OFFICES IN

REDUCING TRANSACTION COSTS ASSOCIATED WITH DELIVERING PROGRAM RESOURCES TO OUR PARTNERS AND CUSTOMERS. BY IDENTIFYING PROBABLE CUSTOMERS AND ASSESSING THEIR NEEDS

AS WE DETERMINE COUNTRY AND SECTOR STRATEGIES, AND ENGAGING POTENTIAL CUSTOMERS TO PARTICIPATE AS WE PLAN, IMPLEMENT, MONITOR AND EVALUATE ACTIVITIES AIMED AT ACHIEVING RESULTS TOWARD OUR STRATEGIC OBJECTIVES, WE WILL OBTAIN GREATER SUPPORT AND COMMITMENT FROM OUR CUSTOMERS AND ENCOURAGE MORE EFFECTIVE AND SUSTAINABLE OUTCOMES FOR USAID PROGRAMS. CUSTOMER SERVICE PLANNING IS AN ONGOING PROCESS. CUSTOMER SERVICE PLANS PROVIDE ESSENTIAL INPUT TO OPERATING UNITS' STRATEGIC PLANS, AND TO RESULTS REVIEW AND RESOURCE REQUESTS.

2. WHAT SHOULD A CUSTOMER SERVICE PLAN CONTAIN?

CUSTOMER SERVICE PLANNING (CSP) IS A TOOL FOR OPERATING UNITS WHICH MANAGE PROGRAM RESOURCES TO ACHIEVE RESULTS. PLANNING SHOULD BE DESIGNED TO MEET THE SPECIFIC INFORMATION NEEDS OF THE OPERATING UNIT, TO ENABLE THE UNIT TO BETTER DETERMINE THE OBSTACLES, OPPORTUNITIES AND BENEFITS EXPERIENCED BY ITS VARIOUS CUSTOMERS (MALE AND FEMALE, YOUNG AND OLD, ETHNIC AND RELIGIOUS GROUPS ETC.)

IN ACCESSING AND USING A UNIT'S PROGRAM SERVICES, AND THEIR VIEWS OF ITS SERVICE PERFORMANCE; ALLOW THE UNIT TO DEVELOP PERFORMANCE MEASUREMENTS AND STANDARDS WHICH MAY RESULT IN IMPROVEMENTS IN ITS PROGRAMS; ASSESS THE UNIT'S COMPARATIVE STRENGTHS IN THE HOST COUNTRY AND IDENTIFY WEAKNESSES WHICH CAN THEN BE ADDRESSED SYSTEMATICALLY; ESTABLISH INTERNAL COMMUNICATIONS REGARDING CUSTOMERS WITHIN THE UNIT'S TEAMS, AND PROVIDE FOR RESPONSIVE COMMUNICATIONS BETWEEN THE UNIT AND ITS PARTNERS AND CUSTOMERS; AND ALLOW THE UNIT TO EXPRESS ITS COMMITMENT TO QUALITY SERVICE, AND TO USAID'S GOALS AND VALUES, IN ITS HOST-COUNTRY CONTEXT.

IN CONFORMITY WITH THE U.S. GOVERNMENT'S EXECUTIVE ORDER NUMBER 12862, WHICH SPECIFIES CRITERIA FOR CUSTOMER SERVICE PLANS, AN OPERATING UNIT'S CUSTOMER SERVICE PLANNING DOCUMENTS REFLECT ITS CUSTOMER SERVICE PLANNING PROCESS. CUSTOMER SERVICE PLANS SHOULD:

A. PRESENT AND EXPLAIN THE UNIT'S "VISION" FOR ACHIEVING ITS OBJECTIVES VIA ITS REENGINEERING EFFORTS;

B. IDENTIFY THE UNIT'S CUSTOMERS AND PARTNERS, REFLECTING THE UNIT'S DECISIONS ABOUT THE STRATEGIC FOCUS OF ITS PROGRAM, AND HOW THEY ARE LINKED BOTH TO USAID AND TO EACH

OTHER;

C. IDENTIFY AND DESCRIBE THE SERVICES BEING, OR PLANNED TO BE, PROVIDED TO CUSTOMERS AND PARTNERS, AND INDICATE THE POINTS OF CONTACT FOR EACH SERVICE;

D. EXPLAIN HOW CUSTOMERS HAVE BEEN SURVEYED TO DETERMINE THEIR VIEWS OF THE UNIT'S SERVICES, AND WHEN THEY WILL BE SURVEYED AGAIN;

E. PRESENT THE AREAS IDENTIFIED BY SURVEYING CUSTOMERS FOR IMPROVING SERVICE PROVISION AND SERVICE QUALITY, AND EXPLAIN THE ACTIONS THE UNIT INTENDS TO TAKE TO ADDRESS THESE ISSUES;

F. IDENTIFY THE KEY CUSTOMER SERVICE STANDARDS WHICH THE UNIT DEVELOPS AND TO WHICH IT WILL COMMIT ITSELF -- SUCH AS RELIABILITY (THE ABILITY TO PERFORM DEPENDABLY AND ACCURATELY), RESPONSIVENESS (WILLINGNESS TO ACT EFFECTIVELY, APPROPRIATELY, AND PROMPTLY IN RESPONSE TO A PROPOSAL, SITUATION, OR CONCERN), COURTESY, ASSURANCE (ABILITY TO CONVEY TRUST AND CONFIDENCE), EMPATHY (ABILITY TO DEMONSTRATE CARING AND CONCERN FOR INDIVIDUAL CUSTOMERS), AND PHYSICAL ARRANGEMENTS OR PROCEDURES WHICH FACILITATE EFFECTIVE CUSTOMER CONTACTS;

G. EXPLAIN HOW CUSTOMER SURVEY FINDINGS, AND CUSTOMER SERVICE STANDARDS, WILL BE COMMUNICATED TO PARTNERS AND CUSTOMERS; AND

H. NOTE UNIT POINTS OF CONTACT FOR CUSTOMER SERVICE ISSUES -- NAMES, TITLES, RESPONSIBILITIES, ADDRESSES, TELEPHONE, FAX, AND EMAIL INFORMATION.

THE CUSTOMER SERVICE PLAN SHOULD BE IN A FORM WHICH CAN BE WIDELY DISTRIBUTED AND SHARED WITH CUSTOMERS, PARTNERS, AND STAKEHOLDERS, AND WITHIN THE AGENCY. THE DOCUMENT

WILL REFLECT AN ITERATIVE PLANNING PROCESS AND IS SUBJECT TO PERIODIC REVIEW AND REVISION WITHIN THE OPERATING UNIT. CUSTOMER SERVICE PLAN DOCUMENTS ARE NOT REVIEWED AND APPROVED OUTSIDE THE OPERATING UNIT ITSELF. THE UNIT'S INITIAL CUSTOMER SERVICE PLAN, BASED ON A COMBINATION OF EXISTING INFORMATION AND ADDITIONAL CUSTOMER ASSESSMENTS AND PREPARED AS PART OF THE UNIT'S TRANSITION TO THE NEW

OPERATING SYSTEM, WILL BE "REPLACED" BY SUCCEEDING VERSIONS WHICH INCORPORATE FURTHER FEEDBACK FROM CUSTOMERS, PARTNERS, AND OPERATING EXPERIENCE. CUSTOMER SERVICE PLANNING PROVIDES ESSENTIAL INPUT TO THE OPERATING UNIT'S STRATEGIC PLANNING, RESULTS REPORTING, AND RESOURCE REQUESTS, SUBMITTED PERIODICALLY TO AID/W.

3. DEFINITIONS:

A. CUSTOMER SERVICE PLAN. A WORKING DOCUMENT WHICH DESCRIBES THE OPERATING UNIT'S ONGOING AND PROPOSED ACTIONS FOR IDENTIFYING AND ENGAGING THE PARTICIPATION OF ITS CUSTOMER GROUPS AND PARTNERS IN PLANNING, IMPLEMENTATION, MONITORING AND EVALUATION OF ITS PROGRAMS. OPERATING UNITS ARE ENCOURAGED TO FOLLOW GOOD BUSINESS PRACTICE TO USE CUSTOMER INPUT AND FEEDBACK TO IMPROVE DECISION MAKING, CUSTOMER SERVICE QUALITY, AND CUSTOMER SATISFACTION.

D. ULTIMATE CUSTOMERS. THE NATIONAL PERFORMANCE REVIEW DEFINES "CUSTOMER" AS "AN INDIVIDUAL OR ENTITY WHO IS DIRECTLY SERVED BY A DEPARTMENT OR AGENCY." USAID'S AGENCY-LEVEL CUSTOMER SERVICE PLAN DEFINES OUR ULTIMATE CUSTOMERS AS THOSE HOST COUNTRY PEOPLE, ESPECIALLY THE

SOCIALLY AND ECONOMICALLY DISADVANTAGED, WHO ARE END USERS OR BENEFICIARIES OF USAID ASSISTANCE AND WHOSE PARTICIPATION IS ESSENTIAL TO ACHIEVING SUSTAINABLE DEVELOPMENT RESULTS. AN OPERATING UNIT'S ULTIMATE CUSTOMERS ARE DEFINED AS THOSE WHO ARE END USERS OR BENEFICIARIES OF ACTIVITIES UNDER ITS STRATEGIC OBJECTIVES.

C. INTERMEDIATE CUSTOMERS. PERSONS OR ORGANIZATIONS, INTERNAL OR EXTERNAL TO USAID, WHO USE USAID SERVICES, PRODUCTS, OR RESOURCES TO SERVE INDIRECTLY OR DIRECTLY THE NEEDS OF THE ULTIMATE CUSTOMERS.

D. PARTNER. AN ORGANIZATION OR CUSTOMER REPRESENTATIVE WITH WHICH/WHOM USAID COLLABORATES TO ACHIEVE MUTUALLY AGREED UPON OBJECTIVES AND TO SECURE CUSTOMER PARTICIPATION. PARTNERS INCLUDE U.S. PRIVATE VOLUNTARY ORGANIZATIONS, INDIGENOUS AND OTHER INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS, UNIVERSITIES AND OTHER USG AGENCIES, HOST COUNTRY GOVERNMENTS AT ALL LEVELS, U.N. AND OTHER MULTILATERAL ORGANIZATIONS, PROFESSIONAL AND BUSINESS ASSOCIATIONS, AND PRIVATE BUSINESS. TO THE EXTENT THAT USAID RESOURCES OR ACTIVITIES FACILITATE A PARTNER'S ABILITY TO ACHIEVE RESULTS, PARTNERS ARE ALSO INTERMEDIATE CUSTOMERS.

E. USAID CONTRACTOR. AN ORGANIZATION OR INDIVIDUAL ACTING AS AN AGENT OF USAID AND CARRYING OUT A SCOPE OF WORK FINANCED BY USAID. ALTHOUGH THE RELATIONSHIP BETWEEN USAID AND A CONTRACTOR IS QUALITATIVELY DIFFERENT FROM THAT BETWEEN USAID AND A PARTNER, IN TERMS OF SERVICE

DELIVERY LINKS TO USAID'S ULTIMATE CUSTOMERS, CONTRACTORS ARE ALSO INTERMEDIATE CUSTOMERS WHOSE PERFORMANCE IS RELATED TO THE RELIABLE AND TIMELY ACTION OF USAID OPERATING UNITS.

F. STAKEHOLDER. PARTIES WHOSE SUPPORT OR ACQUIESCENCE IS NECESSARY FOR USAID PROGRAM SUCCESS AND ACHIEVEMENT OF POLITICAL, DEVELOPMENTAL, AND/OR HUMANITARIAN ASSISTANCE GOALS (HOST COUNTRY PERSONS OR GROUPS; THE US CONGRESS AND EXECUTIVE BRANCH; US TAXPAYERS, PVOS, UNIVERSITIES, AND PRIVATE FIRMS; OTHER DONORS, ETC.).

G. PARTICIPATION. THE ACTIVE ENGAGEMENT OF PARTNERS AND CUSTOMERS IN FORMULATING IDEAS, COMMITTING TIME AND RESOURCES, JOINTLY MAKING DECISIONS, AND TAKING ACTION TO BRING ABOUT A DESIRED DEVELOPMENT OBJECTIVE.

H. SURVEYING. A "COVER TERM" FOR A WIDE RANGE OF METHODS/TECHNIQUES INTENDED TO OBTAIN QUANTITATIVE AND QUALITATIVE INPUT ON USAID PROGRAMS' SERVICE DELIVERY PERFORMANCE FROM CUSTOMERS AND PROVIDE DEEPER UNDERSTANDING OF THE SOCIO-POLITICAL AND ECONOMIC CONTEXTS IN WHICH VARIOUS CUSTOMERS LIVE AND WORK. IT CAN INCLUDE -- SINGLY AND IN COMBINATION -- FOCUS GROUPS, CONSULTATIONS, RAPID APPRAISALS, MINI-SURVEYS, FORMAL LARGE SCALE SURVEYS, INDIVIDUAL AND GROUP INTERVIEWS. DECISIONS ON WHAT METHODS TO USE ARE BASED ON ASSESSMENT OF THE KINDS OF INFORMATION NEEDED AS WELL AS OTHER CONSIDERATIONS (TIME LIMITATIONS, FINANCES, TECHNICAL RESOURCES/EXPERTISE AVAILABLE, LOGISTICS, ETC.)

4. STEPS IN INITIATING CUSTOMER SERVICE PLANNING.

SINCE EACH UNIT OPERATES IN A UNIQUE CULTURAL AS WELL AS DEVELOPMENTAL CONTEXT, IT IS MOST APPROPRIATE TO OFFER BROAD SUGGESTIONS (BASED ON SIMILAR TYPES OF EFFORTS IN THE PAST) AS GUIDANCE, RATHER THAN A SPECIFIC BUT POSSIBLY UNREALISTIC PLAN OF ACTION. MISSIONS AND OFFICES VARY WIDELY IN PROGRAM SIZE, STAFF RESOURCES, BUDGET AND OTHER

RESOURCES, AND LOGISTICAL SUPPORT. CUSTOMER SERVICE PLANS, LIKE STRATEGIC PLANS, MUST AIM FOR ACHIEVING RESULTS IN A PRACTICAL, IMPLEMENTABLE FASHION. TO REPEAT: CUSTOMER SERVICE PLANNING IS A WORK PROCESS MANAGEMENT TOOL WHICH ENABLES OPERATING UNITS TO OBTAIN ESSENTIAL FEEDBACK AND INCORPORATE IT INTO OPERATIONS TO ACHIEVE BETTER PROGRAM PERFORMANCE. CUSTOMER SERVICE PLANS SHOULD, THEREFORE, BE KEPT AS SIMPLE, AND PRACTICAL, AS POSSIBLE. THEY SHOULD BE CREATED IN-HOUSE, AND NOT PRODUCED BY EXTERNAL SPECIALISTS, IF THEY ARE TO BE "OWNED" BY THE UNIT ITSELF.

A. THE UNIT SHOULD DESIGNATE ONE OR MORE INDIVIDUALS TO COORDINATE CUSTOMER SERVICE PLANNING EFFORTS ACROSS STRATEGIC OBJECTIVE TEAMS AND TO SERVE AS LIAISON FOR CUSTOMER SERVICE ISSUES WITH AID/W. HE/SHE SHOULD HAVE

SOME FAMILIARITY WITH EVALUATION/MONITORING METHODS AND/OR TOTAL QUALITY MANAGEMENT APPROACHES, AND EXPERIENCE WITH SOCIAL SOUNDNESS AND INSTITUTIONAL ASSESSMENTS/SURVEYING TECHNIQUES. IN FIELD MISSIONS, ONE OR MORE FSN STAFF SHOULD BE INCLUDED TO BACKSTOP THE CSP EFFORT, PROVIDING INSIGHT INTO LOCAL FACTORS AND/OR CONDITIONS WHICH COULD

AFFECT CUSTOMER SERVICE, AS WELL AS LONG-TERM CONTINUITY FOR MANAGING CUSTOMER SERVICE IN THE FUTURE. THIS CUSTOMER SERVICE TEAM CAN ALSO SERVE AS THE CONTACT POINT FOR CUSTOMER SERVICE BACKSTOPPING FROM AID/W. CSP ACTIVITIES MAY BE INTENSIVE AT TIMES, AND SHOULD BE INCORPORATED INTO THE DESIGNATED INDIVIDUALS' WORK PLANS.

B. CUSTOMER SERVICE PLANNING SHOULD BE KEPT AS SIMPLE AND PRACTICAL AS POSSIBLE. BEFORE DESIGNING CUSTOMER SURVEYS, THE UNIT SHOULD REVIEW ITS EXISTING KNOWLEDGE BASE AND USE DOCUMENTARY AND OTHER SOURCES TO DEVELOP INFORMATION REGARDING ITS CURRENT AND POTENTIAL CUSTOMERS, CUSTOMER NETWORKS, AND THE SOCIO-POLITICAL AND ECONOMIC CONTEXTS WHICH AFFECT VARIOUS CUSTOMERS' PARTICIPATION IN ITS PROGRAMS. INFORMATION SHOULD INCLUDE:

1. THE UNIT'S ULTIMATE CUSTOMERS FOR ITS PROGRAM PORTFOLIO -- DEFINED ACCORDING TO THE STRATEGIC OBJECTIVES OF THE UNIT'S PROGRAM AND TAKING INTO ACCOUNT GENDER, ETHNICITY, AGE AND OTHER SOCIAL FACTORS AS APPROPRIATE TO THE COUNTRY PROGRAM CONTEXT.

2. THE LINKAGES BETWEEN THE UNIT, ITS PARTNERS, AND ITS ULTIMATE CUSTOMERS -- A DESCRIPTION OF THE UNIT'S CUSTOMER NETWORK AND THE ROLES OF THE VARIOUS COMPONENTS OF THAT NETWORK.

3. THE ACTUAL CONTACT POINTS BETWEEN THE UNIT, PARTNERS, AND CUSTOMERS, AND THE FREQUENCY OF CONTACTS, AND WHERE THEY OCCUR.

4. WHAT DIFFERENT TYPES OF CUSTOMERS AND PARTNERS EXPECT FROM THE UNIT'S PROGRAMS.

5. WHAT THESE CUSTOMERS AND PARTNERS FEEL IS MOST SATISFACTORY, AND WHAT IS LEAST SATISFACTORY, ABOUT THE UNIT'S PROGRAMS.

6. THE KEY STAKEHOLDERS OF THE UNIT'S PROGRAMS, AND THEIR INFLUENCE AND RELATIONS WITH DIFFERENT CUSTOMERS AND PARTNERS. ARE THEY IN SOME INSTANCES ALSO PARTNERS -- OR CUSTOMERS?

C. THE OPERATING UNIT'S TEAMS RESPONSIBLE FOR THE

MANAGEMENT OF PROGRAM RESOURCES TOWARD ACHIEVEMENT OF STRATEGIC OBJECTIVES SHOULD THEN LEAD FOCUSED IN-HOUSE DISCUSSION OF THESE QUESTIONS, AND OTHERS THAT WILL EMERGE, SO THAT THE UNIT REACHES A WORKING CONSENSUS ON WHO ITS ACTUAL AND POTENTIAL CUSTOMERS AND PARTNERS ARE; CURRENT PRACTICES REGARDING CUSTOMER RELATIONS; AND THE MAJOR ISSUES AFFECTING CUSTOMER SERVICE RELATIONSHIPS WITHIN THE CONTEXT OF ONGOING AND PROPOSED ACTIVITIES AIMED AT ACHIEVING RESULTS AND MEETING STRATEGIC OBJECTIVES. THIS INFORMATION MAY BE DEVELOPED THROUGH "BRAINSTORMING", DOCUMENT REVIEW, FOCUS GROUPS WITHIN THE MISSION, KEY INFORMANT INTERVIEWS, ETC.

INFORMATION PROVIDED THROUGH TEAM AND UNIT DISCUSSION WILL ENABLE THE CSP TEAM TO DEVELOP PLANS, SURVEY HYPOTHESES, AND INSTRUMENTS FOR SURVEYING, USING IN-HOUSE OR OTHER RESOURCES AS AVAILABLE AND PRACTICAL. THIS INFORMATION

SHOULD BE BASED ON THE DEFINITIONS OF CUSTOMERS, PARTNERS, CUSTOMER NETWORKS, ETC., OUTLINED IN SECTION 2 OF THIS CABLE. IF A UNIT IS DEVELOPING A COUNTRY STRATEGY, THE KINDS OF INFORMATION NEEDED, THE RANGE OF CUSTOMERS, AND THE TYPES OF SURVEYING THE UNIT WISHES TO DO MAY BE VERY DIFFERENT FROM WHAT IS REQUIRED IF IT IS ASSESSING CUSTOMERS REGARDING ACTIVITY DESIGN OR ACHIEVEMENT OF RESULTS IN AN ONGOING PROGRAM.

D. THE UNIT WILL NEED TO DETERMINE THE RESOURCES REQUIRED AND AVAILABLE FOR SURVEYING TO GATHER INFORMATION FOR THE DEVELOPMENT AND PERIODIC UPDATING OF ITS CUSTOMER SERVICE PLAN; THE APPROPRIATE TIME-FRAME FOR CUSTOMER SERVICE PLANNING ACTIVITIES SO THAT THE INFORMATION OBTAINED CAN INFORM THE OVERALL UNIT EFFORT; SOURCES OF LOCAL ASSISTANCE (CONSULTANTS, UNIVERSITIES, PRIVATE FIRMS); AND MECHANISMS (SUCH AS LOCAL PURCHASE ORDERS OR IQCS) WHICH THE UNIT MAY USE. BASED ON THEIR DETERMINATION OF WHAT INFORMATION IS NEEDED FROM CUSTOMERS AND WHAT MAKES TECHNICAL, FINANCIAL, AND LOGISTICAL SENSE, THE UNIT CSP TEAM DECIDES WHICH METHODS CAN BE MOST EFFECTIVELY USED AND TAKES APPROPRIATE ACTION. METHODS MIGHT INCLUDE FACILITATED FOCUS GROUP DISCUSSIONS, KEY INFORMANT AND OTHER INTERVIEWS, CONSULTATIONS, FORMAL QUESTIONNAIRES, MINI-SURVEYS, AND/OR RAPID APPRAISALS. THEY SHOULD AIM AT ELICITING RAPID, TIMELY, AND RELIABLE INFORMATION WITHIN THE CONTEXT OF THE UNIT'S SOCIOCULTURAL SETTING AND LOGISTICAL CONSTRAINTS.

THE UNIT'S CUSTOMER SERVICE PLANNING SHOULD BE CLOSELY INTEGRATED WITH ITS OVERALL STRATEGIC PLAN. IT SHOULD

SPELL OUT WHO (IN TERMS OF GENDER AND OTHER RELEVANT SOCIAL CATEGORIES) WILL IMPLEMENT, PARTICIPATE IN AND

BENEFIT FROM ACHIEVEMENT OF THE STRATEGIC OBJECTIVES, AND HOW PEOPLE-LEVEL IMPACT WILL BE MEASURED AND MONITORED. IT SHOULD ALSO CONFORM TO THE AGENCY'S AUTOMATED DIRECTIVE SYSTEM FOR PLANNING, ACHIEVING, AND MONITORING AND EVALUATION. CUSTOMER SERVICE PLANNING MUST REFLECT THE UNIT'S CORE VALUES AND VISION IN ORDER TO BE AN EFFECTIVE MANAGEMENT TOOL OVER THE LONG TERM, AND NOT "JUST ANOTHER EXERCISE FOR AID/W CONSUMPTION". IT SHOULD BECOME INCREASINGLY BETTER GROUNDED IN FINDINGS FROM CUSTOMER SURVEYS, AND INCLUDE CUSTOMERS AND PARTNERS IN ITS PREPARATION. CUSTOMER SERVICE PLANNING SHOULD ALWAYS LOOK TOWARD WHAT MIGHT BE DONE MORE EFFECTIVELY TO DELIVER USAID RESOURCES AND IMPROVE PROGRAM-LEVEL IMPACT RELATED TO MISSION STRATEGIC OBJECTIVES; WHAT CUSTOMER SERVICE STANDARDS THE UNIT WILL USE TO MEASURE PROGRAM IMPACT AND CUSTOMER SERVICE QUALITY AND SATISFACTION; AND HOW THE UNIT WILL COMMUNICATE CUSTOMER SURVEY FINDINGS AND STANDARDS, AND GET FEEDBACK, FROM CUSTOMERS AND PARTNERS. THE UNIT SHOULD WORK WITH ITS PARTNERS TO ASSIST THEM IN PREPARING SIMILAR CUSTOMER SERVICE PLANS, AND EXECUTING THEIR OWN CUSTOMER SURVEYS.

AS PART OF LONG-TERM PLANNING FOR SUSTAINING ITS EFFORTS, UNITS SHOULD ESTABLISH A CONTINUING CAPABILITY (THROUGH,

E.G. LOCAL INSTITUTIONS OR FIRMS FAMILIAR WITH CUSTOMER SURVEYING) FOR EXECUTING PERIODIC CUSTOMER SERVICE ASSESSMENTS RELATED TO MISSION STRATEGIC OBJECTIVES AND PROGRAM PORTFOLIO, WITHIN STAFF AND RESOURCE LIMITATIONS.

5. TOOLS AND TECHNICAL ASSISTANCE FOR CUSTOMER SERVICE PLANS

A. REENGINEERING REFERENCES: OVER THE PAST SEVERAL MONTHS, A NUMBER OF SHORT DOCUMENTS HAVE BEEN PREPARED DEALING WITH CUSTOMER SERVICE PLANNING, SERVICE QUALITY ASSESSMENTS, AND TECHNIQUES USEFUL FOR CUSTOMER SURVEYING. IN ADDITION, SEVERAL CDIE PUBLICATIONS DEAL WITH SURVEY METHODS. THE AGENCY'S PARTICIPATION INITIATIVE STAFF ARE COLLECTING CASE EXAMPLES OF "PARTICIPATORY PRACTICES", AND PROVIDES A USEFUL RESOURCE THROUGH ITS PARTICIPATION FORUMS. PPC PARTICIPATION INITIATIVE STAFF ARE PREPARING A REVISED AND EXPANDED "RESOURCES AND TOOLS FOR PARTICIPATION" WHICH WILL BE AVAILABLE AGENCY-WIDE SOON. CONTACTS: DIANE LAVOY, SENIOR POLICY ADVISOR FOR PARTICIPATORY DEVELOPMENT, PPC/AA (202-447-7057), ANNE SWEETSER, PARTICIPATION SPECIALIST, PPC/AA (202-647-7072), KRISHNA KUMAR, SENIOR SOCIAL SCIENCE ADVISOR, PPC/CDIE (703-875-4964), SHER PLUNKETT, CUSTOMER SERVICE OFFICER, M/ROR (202-663-2496). AND LIZ BALTIMORE, CUSTOMER SERVICE OFFICER, M/ROR (202-663-2459).

B. TECHNICAL ASSISTANCE FROM CONTRACTORS: M/MPI'S NEW IQC FOR MANAGEMENT CONSULTING IS ORIENTED TOWARD ASSISTING UNITS IN THEIR REENGINEERING EFFORTS. THIS IQC WILL BE AVAILABLE IN NOVEMBER 1995 TO PROVIDE ANALYTICAL AND TRAINING SUPPORT FOR OPERATING UNITS. CONTACTS: SUSAN WALLS, M/MPI (202-647-0943) AND BILL ALLI, M/MPI, (202-647-2172).

C. SURVEY SOFTWARE: SOME EXPERIMENTAL LABORATORY MISSIONS (CELS) HAVE MADE USE OF "RAOSOFT SURVEY", A COMPUTER PROGRAM WHICH CAN BE USED TO DESIGN QUESTIONNAIRE FORMS, ENTER DATA AND ANALYZE RESULTS OF SURVEYS. THE SOFTWARE PACKAGE ALLOWS THE USER TO DESIGN QUESTIONS (YES/NO, MULTIPLE CHOICE, OPEN ENDED COMMENT, WEIGHTED SCORE, DATE, TIME OR NUMERIC FORMAT); DOES AUTOMATIC DATA TABULATION BY FREQUENCY AND PERCENTAGE; AND CREATES BAR AND PIE CHARTS INSTANTLY FROM ANALYSIS, OR ALLOWS YOU TO

CREATE YOUR OWN CHARTS. THIS SOFTWARE MAY BE PURCHASED BY OPERATING UNITS TO ASSIST IN DEVELOPING AND MAINTAINING CAPABILITY IN CUSTOMER SURVEYING. CONTACT: JOSEPH GUERON, INFORMATION SYSTEMS SPECIALIST, M/IRM (703-875-1734)

D. M/ROR BACKSTOPPING: THE M/ROR CUSTOMER SERVICE TEAM WILL SEND UNITS ADDITIONAL MATERIALS ON CUSTOMER SERVICE, CUSTOMER SERVICE ASSESSMENTS, ETC. FROM THE NATIONAL PERFORMANCE REVIEW AND OTHER SOURCES AS THEY ARE IDENTIFIED AND BECOME AVAILABLE. THE TEAM WILL ANSWER QUESTIONS FROM UNITS REGARDING CUSTOMER SERVICE ISSUES AND PROVIDE TECHNICAL SUPPORT ON CUSTOMER SERVICE PLANNING, CUSTOMER SURVEYING, AND PARTICIPATORY APPROACHES TO ACHIEVING AGENCY GOALS. CONTACTS: SHER PLUNKETT (PHONE: 202-663-2496, FAX: 202-663-2204), LIZ BALTIMORE (PHONE: 202-663-2459, FAX: 202-663-2204). THEY WILL WORK IN CLOSE COORDINATION WITH THE REGIONAL BUREAU TRANSITION COORDINATORS, DESK OFFICERS AND CUSTOMER SERVICE BACKSTOPS, WITH PPC/CDIE AND PPC'S SENIOR POLICY ADVISOR FOR PARTICIPATION DEVELOPMENT, AND WITH M/IRM. PLEASE LET YOUR REGIONAL BUREAU CUSTOMER SERVICE BACKSTOP AND THE

M/ROR TEAM KNOW WHAT ASSISTANCE YOU NEED FOR CUSTOMER SERVICE PLANNING IN YOUR OPERATING UNIT.
CHRISTOPHER

NNNN

USAID AGENCY NOTICES

OCTOBER 1995 AGENCY NOTICES Message Text

Msg#: 49 ( )
Date: 10/25/95 Time: 04:55pm
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: INFO - REENGINEERING CABLE #9

INFORMATION

USAID/GENERAL NOTICE
M/ROR
10/25/95

SUBJECT: Reengineering Transition Guidance Cable No. 9: Teamwork and USAID's Reengineered Operations System

1. This Notice is the ninth In the series of transition guidance messages for the new USAID, prepared jointly by the Office of Results-Oriented Reengineering (M/ROR), the Office of Management Planning and Innovation (M/MPI) and the Office of Human Resources (M/HR). Its purpose is to assist operating units in planning and implementing human resource changes in the reengineered operations system, to respond to specific questions raised by Agency personnel and to provide information that may not be contained in other documents. State 191629 provided additional information and Q&As on teamwork.

2. Beginning October 1, 1995, the reengineered operations system requires that much of USAID's work be achieved by operating unit personnel, customers, stakeholders and partners working together in teams. Operating units shall establish a strategic objective (SO) team for each strategic objective, strategic support objective and special objective defined in the approved strategic plan. Strategic objective teams may establish results package subgroups as deemed appropriate. The responsibilities and authorities for the strategic objective core and expanded teams are defined in the Automated Directives System series 200 (Chapters 201, 202 and 203).

3. The size and scope of the strategic objective teams should be flexible and based on the varying requirements for achieving results. Operating unit managers should provide a clear focus for the team to operate, and state objectives, results and measures for judging progress. It is equally important that the strategic objective team decide which participatory processes it will use to engage customers, stakeholders and development partners in the deliberations of its strategic, strategic support, or special objectives. The team should ensure that it

58

USAID AGENCY NOTICES

OCTOBER 1995 AGENCY NOTICES Message Text

Msg#: 49 ( )
Date: 10/25/95 Time: 04:55pm
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: INFO - REENGINEERING CABLE #9

---

has a plan to obtain sufficient information to make informed decisions for managing objectives and results.

4. It is the Agency's policy to require and encourage participation by and consultation with those involved in development, both our partners and our customers. Each operating unit and strategic objective team should refer to the General Notice on guidance on consultation and avoidance of unfair competitive advantage issued on August 17, 1995, to avoid possible conflicts when including partners on teams.

. Operating units and team leaders should look for members who .ave complementary skills, responsibilities or interests that contribute to achieving results relative to the SO. Team members may serve on a part-time or full-time basis and may be assigned to the unit or assigned to other organizational units within the Agency. Individuals may also serve on multiple teams. The commitment of an individual's time to a team must be negotiated with the individual's parent organization or supervisor. Team members need not be physically resident within the operating unit responsible for the strategic objective, but could participate electronically as "virtual" participants from a distance.

6. The type of work and the nature of the desired result must be examined when considering whether a temporary or permanent team approach is warranted. Although the current Agency organization emphasizes teamwork, a team structure may not be the most effective means of achieving some work objectives. The nature of the objectives and work should determine the organizational design.

7. Teams need not be considered a permanent organizational element of the Agency. They are designed and intended to be flexible instruments, easily formed and dissolved depending on the requirements of significant work products. Managers should draw on the experiences of the Country Experimental Labs (CELs) and other organizational units that have organized around teams, onsider the variables of their own organization, the effect on personnel and decide what structure best meets the needs of their operating units in managing for results.

USAID AGENCY NOTICES

OCTOBER 1995 AGENCY NOTICES Message Text

Msg#: 49 ( )
Date: 10/25/95 Time: 04:55pm
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: INFO - REENGINEERING CABLE #9

---

8. Policy and procedural guidance relating to the justification and approval of organizational and associated position actions is contained in ADS Chapter 102. USAID/Washington approval is required only if missions plan to establish a permanent team structure.

9. The operating unit shall establish the authorities and parameters governing strategic objective team operations. When a team is empowered to make decisions, it must receive authority and be accountable for its decisions and results. Operating anagers should provide specific information to the team as ollows:

A. The specific strategic, strategic support, or special objective to be achieved, which shall be consistent with the approved strategic plan and the operating unit's customer service plan.

B. Performance measures and reporting requirements.

C. The responsibilities and authorities delegated to core team members.

D. The budget for achieving the strategic objective.

E. Other requirements or special conditions pursuant to the management contract or that the operating unit deems necessary.

10. A team should be accountable for results within its manageable interest. Teams are accountable individually and collectively within the context of annual evaluation work objectives based on expected results. Work objectives should state the scope of a team member's expected contributions and performance measures. Team members are expected to hold themselves accountable and to ensure that the team has the apacity, experience, judgment and technical knowledge required o achieve results. Team leaders are responsible for coaching, coordinating and assigning the work of the team. Team members,

60

USAID AGENCY NOTICES

OCTOBER 1995 AGENCY NOTICES Message Text

Msg#: 49 ( )
Date: 10/25/95 Time: 04:55pm
To: ALL
From: NOTICE SENDER@M:AS.ISS@AIDW
Subj: INFO - REENGINEERING CABLE #9

---

team leaders and supervisors should work collaboratively and supportively to assure accountability is tied specifically to delegated authorities, to the requirements of the team's objectives and is described on the team member's annual evaluation form.

11. The new 360-degree personnel evaluation process supports the team concept in the reengineered USAID. It is expected that this process will provide a means to factor team member's contributions into his or her overall rating. The team should contribute to the determination of each team member's objectives, ·ay approve them, and will be part of the rating process for the ·eam member.

12. Incentives are essential to recognize team results and individual contributions:

A. Teams, as well as individuals, will be rewarded on the basis of their performance with regard to managing for results. When discussing performance, it is important to distinguish between program success or failure on the one hand and employee or team success on the other. Employees and teams are expected to closely monitor program performance and to take necessary corrective action to insure that strategic objectives are being achieved -- to manage for results. Failure of a particular program intervention is not to be considered a team or individual failure unless action is not taken in a timely way to make mid-course corrections. In the new reengineered USAID, it is important that employees be encouraged to do a certain amount of risk-taking. The new human resources management systems will support sounder performance judgments by line managers and teams on managing for results.

B. The new HR incentive systems are being designed to create monetary and non-monetary awards that recognize the achievement of teams. The rewards should be based on demonstrated performance as determined during the R4 process. Operating managers are encouraged to initiate unit level awards to do the same thing. Rewards accruing to

USAID AGENCY NOTICES

OCTOBER 1995 AGENCY NOTICES Message Text

Msg#: 49 ( )
Date: 10/25/95 Time: 04:55pm
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: INFO - REENGINEERING CABLE #9

---

teams should be shared within teams. Non-US government team members would be eligible for non-monetary awards.

13. The reengineered Human Resources automated system, once implemented, will support team formation with an electronic skills data base. Managers forming strategic objective, strategic support objective or special objective teams will be able to locate potential team members with the specific skills and interests needed for a specific objective.

14. Other guidance will be issued as we receive questions and ·hen more information becomes available. Please feel free to ontact the following individuals regarding this cable:

M/ROR: Liz Baltimore or Richard Byess
M/HR/BAA: Doug Brandi
M/MPI: Susan Walls

N VZCZCAID4003

UNCLASSIFIED

PAGE 01 STATE 214052 090239Z
ORIGIN AID-00

INFO LOG-00 AF-01 ARA-01 ANHR-01 EAP-01 EUR-01
TEDE-00
IO-02 NEA-01 OIG-04 SA-01 /013R

DRAFTED BY: AID/AA/M/ROR:RBYESS:RB:TGCABLE2 .W52
APPROVED BY: AID/AA/M: LEBYRNE
AID/DAA/M: CMCGRAW AID/IRM: DARNOLD (DRAFT)
AID/M/ROR:DMCCLOUD (DRAFT) AID/GC:JMILLER (DRAFT)
AID/M/QC:WBACCHUS (DRAFT) AID/ES AWILLIAMS
------------------EB0C2E 090241Z /38

P 090221Z SEP 95
FM SECSTATE WASHDC
TO AID WORLDWIDE PRIORITY

UNCLAS STATE 214052

AIDAC

E.O. 12356: N/A
TAGS:
SUBJECT: REENGINEERING TRANSITION GUIDANCE CABLE NO. 1: ROLLOUT OF THE REENGINEERED USAID SYSTEMS

I. INTRODUCTION

ON OCTOBER 1, 1995, IMPLEMENTATION OF OUR REENGINEERING EFFORT BEGINS. BETWEEN NOW AND OCTOBER 1, YOU WILL RECEIVE A SERIES OF GUIDANCE MESSAGES DESIGNED TO ANSWER MANY OF THE QUESTIONS YOU WILL HAVE AS WE BEGIN

UNCLASSIFIED

UNCLASSIFIED

PAGE 02 STATE 214052 090239Z

IMPLEMENTATION.

NO ONE OFFICE IN WASHINGTON PRETENDS TO HAVE ALL THE ANSWERS. WE ARE COUNTING ON YOU, IN THE OPERATING UNITS, TO FILL IN THE GAPS AND TO USE THE NEW OPERATIONS SYSTEMS IN CREATIVE WAYS TO ACHIEVE YOUR PURPOSES. JUST AS THE REENGINEERED PROCESSES ARE THE INTELLECTUAL PRODUCT OF THE AGENCY, WE EXPECT BUREAUS AND OPERATING UNITS TO TAKE THE LEAD IN ADAPTING THE NEW PROCESSES TO THEIR OPERATIONS. REMEMBER THAT THERE IS NO ONE ANSWER TO FIT EVERY CASE. BUREAUS WILL ADDRESS OPERATIONS DIFFERENTLY, AND EACH OPERATING UNIT IS EMPOWERED, WITHIN THE FRAMEWORK OF THE AUTOMATED DIRECTIVES SYSTEM, TO DEVELOP ITS OWN INTERNAL

OPERATING PROCEDURES.

AS WE IMPLEMENT THE NEW PROCEDURES, IT IS IMPORTANT TO KEEP IN MIND THE CORE VALUES, THE PRECEPTS THAT GOVERN THE REENGINEERING PROCESS: MANAGEMENT FOR RESULTS, EMPOWERMENT OF EMPLOYEES AND ACCOUNTABILITY, TEAMWORK, AND CUSTOMER FOCUS.

II. TIMETABLE

THE COMPUTER-BASED NEW MANAGEMENT SYSTEMS (NMS) WILL BE INSTALLED IN WASHINGTON FOR PRODUCTION ON OCTOBER 1, 1995. THEY WILL USED IN A PRODUCTION MODE IN THE FIELD ON JANUARY 1, 1996. DETAILED GUIDANCE ON THE INTRASTRUCTURE REQUIREMENTS, THE FUNCTIONALITY OF THESE SYSTEMS, AND THE ROLLOUT PLAN WILL BE COVERED IN TRANSITION CABLES NOS. 3 AND 4.

SOFTWARE DEVELOPMENT WILL CONTINUE THROUGHOUT FISCAL YEARS 1996/7, WITH UPDATES TO THE FIRST NMS RELEASE PLUS ADDITIONAL BUSINESS AREA APPLICATIONS (SUCH AS HUMAN RESOURCES).

THIS SCHEDULE SHOULD NOT INTERRUPT ONGOING ACTIVITIES OR THE ADOPTION OF REENGINEERED OPERATIONS PROCESSES. THE PROCESSES SET FORTH IN THE AUTOMATED DIRECTIVES SYSTEM (ADS) WILL BECOME OPERATIONAL ON OCTOBER 1, AND THE NEW OPERATIONS SYSTEM WILL TAKE EFFECT THEN. THE FOLLOWING ELEMENTS WILL APPLY:

- A. AGENCY STRATEGIC PLAN

THE AGENCY'S STRATEGIC PLAN CONSISTS OF THREE ELEMENTS:

- - 1. STRATEGIES FOR SUSTAINABLE DEVELOPMENT

THIS DOCUMENT WAS COMPLETED IN MARCH OF 1994. IT SETS FORTH THE AGENCY'S GOALS.

- - 2. IMPLEMENTATION GUIDELINES

THE STRATEGIES HAVE BEEN SUPPLEMENTED WITH INDIVIDUAL IMPLEMENTATION GUIDELINES FOR EACH AGENCY GOAL.

- - 3. AGENCY STRATEGIC FRAMEWORK

PPC/CDIE HAS PREPARED AN AGENCY STRATEGIC FRAMEWORK TO BE RELEASED THIS FALL. THIS FRAMEWORK WILL ESTABLISH THE AGENCY OBJECTIVES FOR EACH GOAL TO WHICH ALL COUNTRY AND

UNCLASSIFIED

REGIONAL FRAMEWORKS MUST RELATE.

- B. REGIONAL AND CENTRAL PLANNING FRAMEWORKS

OPERATING BUREAUS WILL NEED TO ENSURE THAT ALL REGIONAL AND CENTRAL FRAMEWORKS COINCIDE WITH THE AGENCY STRATEGIC FRAMEWORK. THIS SHOULD BE PERFUNCTORY, AS BUREAU FRAMEWORKS HAVE BEEN DESIGNED AROUND THE AGENCY'S STRATEGIC PLAN FOR SOME TIME.

- C. OPERATING UNITS

- - 1. REALIGNMENT OF EXISTING PROGRAM ACTIVITIES

A CRITICAL TASK OVER THE COMING YEAR IS REALIGNMENT OF ONGOING ACTIVITIES UNDER STRATEGIC OBJECTIVES. CABLE NO. 2 IN THIS SERIES, TRANSITION TO THE NEW OPERATIONS SYSTEM, WILL DISCUSS THE MECHANISMS FOR DOING THIS.

- - 2. STRATEGIC PLANS

EVERY OPERATING UNIT THAT MANAGES PROGRAM FUNDS MUST HAVE AN APPROVED STRATEGIC PLAN. REQUIREMENTS PERTAINING TO THE CONTENT OF THE STRATEGIC PLAN, OUTLINED IN THE ADS DIRECTIVES, SHALL APPLY ONLY TO NEW STRATEGIC PLANS. EXCEPT FOR THE SPECIAL CASES SET FORTH IN THE ADS, ALL OPERATING UNITS SHOULD HAVE AN APPROVED STRATEGIC PLAN BY THE DATE FOR SUBMISSION OF THEIR FY 1996 RESULTS REVIEW AND RESOURCE REQUEST (R4).

STRATEGIC PLANS APPROVED UNDER PPC'S MAY 1994 DIRECTIVES WILL BE VALID IN THE NEW OPERATIONS SYSTEM IF THEY WERE APPROVED IN AN AGENCYWIDE REVIEW PROCESS (BARRING THE NEED FOR REVISIONS DUE TO CHANGES IN RESOURCE LEVELS THIS YEAR). REGIONAL BUREAUS ARE RESPONSIBLE FOR ENSURING THE QUALITY OF APPROVED STRATEGIC PLANS. ISSUES OR CONCERNS ABOUT A STRATEGY AND STRATEGIC OBJECTIVES MAY BE ADDRESSED TO THE RESPECTIVE BUREAU, PPC AND ROR.

- - 3. MANAGEMENT LETTERS

BEGINNING OCTOBER 1, REGIONAL AND CENTRAL BUREAUS WILL BE RESPONSIBLE FOR PROVIDING NEW MISSION DIRECTORS AND

PRINCIPAL OFFICERS OF OTHER OPERATING UNITS WITH MANAGEMENT LETTERS OUTLINING THE STRATEGIC DIRECTION OF THE PROGRAM, KEY MANAGEMENT OR STRATEGIC ISSUES, RESOURCE PARAMETERS AND ANY SPECIAL FOREIGN POLICY INTERESTS IN THE COUNTRY.

- - 4. MANAGEMENT CONTRACTS

BY THE END OF FY 96, EACH OPERATING BUREAU WILL HAVE IN PLACE A MANAGEMENT CONTRACT BETWEEN THE OPERATING UNIT AND

THE AA OF THE BUREAU.

- - 5. CUSTOMER SERVICE PLANS

BY SUBMISSION OF THE NEXT R4, ALL OPERATING UNITS WILL HAVE CUSTOMER SERVICE PLANS (CSP) IN PLACE, REGARDLESS OF THE STATUS OF OPERATING UNIT'S STRATEGIC PLAN. THE CSP

DOES NOT REQUIRE APPROVAL BY USAID/W (BUT WILL BE AVAILABLE TO USAID/W FOR INFORMATION PURPOSES). IT IS A WORKING DOCUMENT FOR THE OPERATING UNIT.

- - 6. PERFORMANCE MONITORING PLANS

THE PERFORMANCE MONITORING PLAN (PMP) MUST BE PREPARED BY EVERY OPERATING UNIT WORKING WITH APPROVED STRATEGIC OBJECTIVES AND SUPPORTING RESULTS FRAMEWORKS. THE PMP IS DUE TO BE SUBMITTED WITH THE FIRST R4.

- - 7. SPECIAL OBJECTIVES

SPECIAL OBJECTIVES ARE ANALOGOUS TO EARMARKED AND DIRECTED ACTIVITIES AS WELL AS TARGETS OF OPPORTUNITY. IN THE FY 96 R4, MISSIONS AND OPERATING UNITS WILL REPORT ON PROGRESS TOWARD MEETING SPECIAL OBJECTIVES IN ORDER TO JUSTIFY FUNDING LEVELS.

- - 8. RESULTS FRAMEWORKS (RF)

ALL OPERATING UNITS WILL PREPARE AND INCORPORATE RESULTS FRAMEWORKS FOR EACH STRATEGIC AND SPECIAL OBJECTIVE. THE RF WILL ESTABLISH THE BASIS FOR REPORTING FUTURE RESULTS. WHERE POSSIBLE, THE RF SUBMITTED WITH THE FY 96 R4 WILL ESTABLISH THE BASELINE FOR REPORTING PROGRAM RESULTS IN SUBESEQUENT YEARS. OPERATING UNITS SHOULD MOVE QUICKLY TO ESTABLISH RFS, BUT LEEWAY WILL BE GIVEN DURING THIS TRANSITION YEAR.

- D. DELEGATIONS OF AUTHORITY (DOAS)

66

ACCOMPANYING THE ROLLOUT OF THE REENGINEERED SYSTEMS ARE DELEGATIONS OF NEW AUTHORITY TO THE FIELD. THE NEW DOAS ARE MODELED ON THOSE PREVIOUSLY CONFERRED ON THE COUNTRY EXPERIMENTAL LABS (CELS). CABLES REFLECTING THE NEW DELEGATIONS ARE NOW CIRCULATING IN USAID/W AND WILL BE RELEASED BEFORE THE OCTOBER 1 MILESTONE.

- E. COMPUTERIZED SYSTEMS

III. TRAINING

WE HAVE BEGUN A COMPREHENSIVE TRAINING PROGRAM IN WASHINGTON AND OVERSEAS. FROM JULY THROUGH EARLY SEPTEMBER, WE WILL HAVE TRAINED OVER 200 TRAINERS (TOT) IN PROGRAMS CONDUCTED IN USAID/W AND BANGKOK. THESE INDIVIDUALS WILL SERVE AS CHANGE AGENTS WITHIN THEIR HOME OPERATING UNITS. FOR MISSIONS, WE ARE PLANNING TO SUPPLEMENT THIS WITH REGIONAL HANDS-ON TRAINING ONCE THE COMPUTERS AND SOFTWARE ARE INSTALLED. WE ARE DEVELOPING SIMILIAR TRAINING PROGRAMS FOR USAID/W STAFF. TRAINING FOR EXECUTIVE MANAGEMENT IN USAIDIW WILL BEGIN IN MID-SEPTEMBER.

IN ADDITION, WE WILL HAVE SPECIAL SESSIONS AT REGIONAL VENUES SUCH AS REDSO SCHEDULING CONFERENCES. VARIOUS MISSIONS AND BUREAUS HAVE ALREADY ORGANIZED REENGINEERING BASED TRAINING FOR SELECTED PVOS AND PARTNERS, AND WE ENCOURAGE MISSIONS AND OPERATING UNITS TO PROCEED WITH THIS TRAINING. USAID/W IS IDENTIFYING QUALIFIED INDIVIDUALS AND FIRMS WHO CAN SUPPLEMENT MISSION EFFORTS

IN THIS FIELD. WE WILL PROVIDE THESE NAMES IN A LATER COMMUNICATION.

IV. HELP DESKS

THERE WILL BE AN EXTENSIVE HELP NETWORK ESTABLISHED IN USAID/W TO ASSIST BUREAUS, MISSIONS AND OTHER OPERATING UNITS DURING THE TRANSITION PERIOD. FOR QUESTIONS RELATED TO THE NEW OPERATIONS SYSTEM, REMEMBER THAT THE FIRST POINT OF CONTACT IS YOUR BUREAU'S TRANSITION COORDINATOR. THE COORDINATORS ARE

- FOR AFR: DAVID MCCLOUD/AFR/DP

- FOR ANE: FRANK YOUNG/ANE/ORA; AND JAY NUSSBAUM/ANE/ORA
- FOR ENI: JEFF EVANS/ENI/PCS
- FOR GLOBAL: LORIE DOBBINS/G/PDSP
- FOR LAC: BOB JORDAN/LAC/DPP
- FOR BHR: FRED COLE/BHR/PPE

BUREAU TRANSITION COORDINATORS AND SUBJECT MATTER EXPERTS WILL COMPILE INQUIRIES AND CONSULT ELECTRONICALLY TO SHARE QUESTIONS AND ANSWERS ON THE TRANSITION. GENERAL QUESTIONS AND ANSWERS WILL BE ROUTINELY TRANSMITTED TO OPERATING UNITS IN USAID/W AND THE FIELD BY ELECTRONIC BULLETIN BOARDS, INTERNET, EMAIL, EXONET AND CABLES.

A SEPARATE TELEGRAM WILL PROVIDE DETAILS ON WHERE TO GO FOR HELP RELATED TO AUTOMATED SYSTEMS SUPPORT.

V. FURTHER CABLES IN THIS SERIES

THIS IS THE FIRST IN A SERIES OF 11 OR MORE CABLES WHICH WILL BE ISSUED OVER THE COMING WEEKS. EACH CABLE WILL PROVIDE INFORMATION BEYOND WHAT IS CONTAINED IN THE ADS SERIES. THE SUBJECTS TO BE COVERED IN THIS SERIES OF CABLES ARE AS FOLLOWS:

- TRANSITION TO THE REENGINEERED OPERATIONS SYSTEM
- TRANSITIONAL REQUIREMENTS FOR STRATEGIC PLANNING
- NMS TASK FORCE: COMPUTER INFRASTRUCTURE
- NMS TASK FORCE: CONPUTER APPLICATIONS SOFTWARE
- ACHIEVING
- RESULTS FRAMEWORKS
- THE AUTOMATED DIRECTIVES SYSTEM
- PERFORMANCE MONITORING AND EVALUATION
- THE NEW PERSONNEL SYSTEM
- GUIDELINES FOR DEVELOPING CUSTOMER SERVICE PLANNING CAPABILITY
- ANY OTHER SUBJECTS WHICH EMERGE AS NEEDED

IN COMBINATION WITH THE ADS SERIES, THESE CABLES SHOULD PROVIDE A FIRM FOUNDATION FOR THE TRANSITION.

AS OF OCTOBER 1, THE PRIMARY RESPONSIBILITY FOR CHANGE WILL RESIDE IN THE BUREAUS, MISSIONS AND OTHER OPERATING UNITS. I URGE YOU TO PROVIDE STEADY AND CONSTRUCTIVE SUGGESTIONS TO THE BUREAU TRANSITION COORDINATORS ON YOUR EXPERIENCE DURING THE TRANSITION SO WE CAN SHARE THESE LESSONS WORLDWIDE.
CHRISTOPHER

68

NNNN

Customer Service Plans: Who Has to Do Them?

By Sher Plunkett and Liz Baltimore, M/ROR

There is some concern in the field, as well as USAID/W, over the Automated Directives System (ADS) requirement to complete customer service (CS) plans. Who has to do them? What format do they have to be in? Do they have to be reviewed by anyone? While there are some basic requirements for customer service planning laid out in the ADS, many of the answers to these questions are left to units. But why?

CS planning is intended to be part of the practical strategy of operating units managing program funds. However, after putting the original guidelines into practice with the country experimental labs (CELs), other missions, bureaus and offices, we have learned a number of lessons. We now emphasize customer service planning by both SO teams and other units that find customer planning to be an effective management tool. The SO teams are best positioned to clearly assess customer needs and to do what is required to obtain customer feedback, input, and participation in USAID operations. On the general foundation of SO planning, results teams may wish to examine service delivery and customer feedback for their activities as well. Parts of missions, like EXOs, controllers, and program offices, may also wish to examine their internal "customer relations," in addition to the contributions staff from those offices make as part of SO teams.

If a mission, with several SOs and SO teams, still wishes to produce an overall mission CS plan (CSP) for its own guidance, that's its decision. It could summarize the SO customer service plans, indicate crosslinkages, and connect them to agency goals and the agency's CSP, or develop an overarching plan that sets the stage for customer service plans at the SO level.

While missions such as those in Guatemala and Niger, as well as bureau operating units such as Global and Bureau for Humanitarian Relsponse focus on customer planning for specific programs directly relating to ultimate customers, intermediate customer planning and focus have become apparent as needs for nonprogram-funded units. Mission to bureau, bureau to bureau, office to office and even colleague to colleague, customer relations become extremely important in achieving results. Missions and USAID/W operating units continue to rely on procurement, training, administrative services, travel, personnel and other activities to serve the needs of their customers. Customer planning is encouraged in these units, although not required by the current ADS. Intermediate customer planning helps the people on work teams develop a sense of the needs of the people who are affected by the services they provide. It also results in getting the right services to the right people to achieve the desired results. It is the unit's decision whether to develop customer plans. However, work teams or overall unit plans should still connect to the agency CSP and strategies.

Customer service planning is a subset of strategic planning and is NOT a reporting mechanism. However, policy concerns, and opportunities for crosscutting ways of strengthening programs may make it advisable that CS planning reports and activities be shared across teams, missions, bureaus, and separate offices. This may be in the form of a brochure similar to the one produced for the agency as a whole. As a published document, it may be shared with USAID's partners and as a public relations exercise within the host country.

But, unless it's a useful tool for management purposes by the unit concerned, a customer service plan would be just another piece of paperwork--and that's what our reengineering is working to reduce!

Sher Plunkett and Liz Baltimore are the Agency Customer Service Officers with the M Bureau's Results-Oriented Reengineering Team (M/ROR). Sher works primarily with missions on customer service planning and is a regular contributor to RFNET. Liz works primarily with USAID/W such as ES, ANE and other bureaus/offices. She worked as a Total Quality Management Facilitator for M/AS in its reengineering efforts. Sher and Liz can be contacted via E-mail or Internet at <shplunkett@usaid.gov> and <ebaltimore@usaid.gov>.

Marketing and Customer Focus

By Sher Plunkett, M/ROR

> *"We're not trying to sell people cars! We are trying to help them to earn more income, or be healthier, or play a more effective role in their governments, or conserve their environment! So how can they be customers?"*

This is the typical response to customer focus presentations in recent training sessions within the agency. This negative reaction of USAID staff to the concept of *customer* is based on a misconception. True, we are not in the business of *selling*, but we are absolutely in the business of *marketing*...and in order to be successful in this endeavor, we must keep the customer clearly in focus.

The *marketing* approach to the customer contrasts markedly with that of a *sales* approach. Recently I read an article on innovative marketing that defined *marketing* as *developing both a product to meet a customer's need and also the strategy for getting that product into the customer's hands*. A sales approach involves trying to unload something already produced by convincing customers they need it; or simply selling commodities, in which case one is invisible to customers, and middlemen make the profit (or get the credit) for marketing the product.

The countries we assist are socially and ethnically as well as economically complex, and the potential end-users of program services are often very different, and socially distant, from central elites (both governmental and private-sector). So an important task is to *define the market segments* clearly, in order to develop and execute an effective *marketing strategy.*

Maintaining a customer focus helps us recognize that our work in delivering foreign assistance inherently involves relationships outside our operating units, instead of just a series of actions within the organization. Developing ways and means to encourage economic growth, raise incomes, improve health and quality of life, enhance democratic participation, conserve environments, and alleviate the distress caused by natural and humanly-caused disasters requires determining what products and services the customers of our programs feel they *need* and are *able to use* to assist themselves. Equally important for *acceptance, ownership*, and *sustainability* is determining what form assistance must take to best suit the customers' needs.

We think the programs we offer are technically sound and developmentally responsive. But unless those citizens to whom we offer the programs see matters in the same light, our attempts to get them to adopt them, and sustain them, are likely to fall short. While we may review documentary sources to gain insight regarding the social organization, cultural content, technological factors, and historical processes which influence USAID programs' customers, we can only learn what is actually required in specific circumstances, ethnic settings, and varying locales by actively eliciting feedback from customers and partners.

We must frame our *market research* in terms that are meaningful to customers, and not derived from inappropriate assumptions about them, or about the technical superiority of the proposed program. Superior though it may be in its own terms, if it does not meet the felt needs of the customer, it will not succeed in that setting. We need to balance what we learn about our customers with the types and levels of available resources and the parameters for operations which guide our programs, formulate our development framework, and, once again collaborating with the customers, design a delivery strategy.

The customer service literature emphasizes "learning what the customer feels he/she needs to succeed," and developing products and services which respond to these felt needs. USAID's programs may be effectively marketed, and therefore sustained, only if we seek an understanding of what *success* means to our customers, and apply a marketing approach founded in complementary relationships with partners and customers which ensure that their interests - and those of USAID and its stakeholders, the US taxpayers - may be mutually benefited.

Customer focus, as a value in our operations system, encourages USAID staff to think in *marketing* terms. Identifying potential beneficiaries for our programs; determining technically sound and culturally attractive means for packaging program components so customers view them as important to *their success* in raising income, improving health, or increasing democratic participation; and defining complementarities of interest to encourage commitment - all come from applying a marketing perspective to development operations.

PHASE II - USAID'S CUSTOMER SERVICE PLAN

QUALITY SERVICE STANDARDS FOR WORKING WITH USAID'S CUSTOMERS AND PARTNERS

PUTTING CUSTOMERS FIRST

The National Performance Review NPR) recommended major reforms in the way government does business. One reform proposed is a new customer service contract as an essential part of the government's mission. Executive Order 12862, "Setting Customer Service Standards" calls on U.S. government agencies to identify their customers, address their needs through regular interaction, and develop standards for serving them based on their priorities.

WHO ARE WE?

The United States Agency for International Development (USAID) is the independent federal Agency that manages U.S. foreign economic and humanitarian assistance programs around the world.

Given the diversity of places, people and cultures addressed by the U.S. Agency for International Development humanitarian assistance and development programs, putting customers first presents an enormous challenge. Unlike most U.S. government agencies, USAID's ultimate customers are outside our borders. They are the people in developing countries whose quality of life we work to improve as an integral part of America's foreign policy.

USAID's assistance to our overseas customers is delivered through a variety of development partners: individuals or organizations who work closely with USAID to provide our products and services to our ultimate customers. For USAID and our development partners to serve our customers more effectively and achieve results, we are reengineering our focus, systems and procedures to meet the challenges of the post-Cold War world.

This Phase II Customer Service Plan addresses concerns that our customers and partners have identified for quality customer service. It presents standards for serving our ultimate customers in the countries we work in overseas.

WHAT IS USAID's MISSION?

Our Mission is to promote sustainable development worldwide. Sustainable development is economic and social growth that does not exhaust local resources or damage the economic, cultural or natural environment.

73

USAID works with its partners to support sustainable development, focusing on five critical areas:

- Environment
- Population and Health
- Democracy
- Broad-based Economic Growth
- Humanitarian Assistance and Support for Post-Crisis Transitions

WHO ARE USAID'S CUSTOMERS AND PARTNERS?

USAID's **ultimate customers** are the people in developing countries who benefit from USAID's services and products. They are men, women and children of indigenous communities, microentrepreneurs, exporters, small farmers and others who receive the development assistance provided through USAID programs overseas. The active participation of our ultimate customers is integral to USAID's strategic planning process and delivery of sustainable development programs.

USAID relies on the active participation of its partners to promote sustainable development and deliver humanitarian assistance. USAID'S **partners** include private voluntary organizations, non-governmental organizations, universities, community colleges, other U.S. government agencies, host country governments at all levels, multilateral organizations, professional and business associations, private businesses and other donors. Partners are also customers when they directly receive USAID's products and services that enable them to deliver effective services to our ultimate customers.

The lasting impact of our development investments and the benefits of our overseas programs to the American people can be achieved only if we achieve specific strategic objectives, and if our overseas customers continue activities after USAID funding ends. For this to happen, development efforts funded by USAID must serve customer needs and have partners' commitment and support. To achieve this, we focus on our customers' needs, through surveys, focus groups, conferences and other participatory methods.

USAID'S QUALITY SERVICE

USAID's diverse relationships with our customers and partners suggest different expectations and standards of performance to provide quality service for each customer group.

But some concerns are common to all groups. USAID maintains an open dialogue with its customers and partners. We encourage consultation to identify problems, needs and possible solutions. Collaboration with our customers and partners, including InterAction, the Advisory Committee on Voluntary Foreign Aid, local governments and others have made the following possible:

- improved quality in USAID procedures;
- improved timeliness in USAID processing; and
- greater access and transparency.

BENCHMARKING

The main purpose of our reinvention efforts is to improve USAID's systems and procedures. Many of the issues raised by our customers, partners and stakeholders are being addressed in internal working groups reengineering our procurement, budget, personnel and operating systems. These groups have used and will continue to use the benchmarking process, finding the best practices used in business or government and then adapting them to improve our own operations. Our goal is for USAID's reengineered systems to equal or exceed the "best in business," providing us with the most efficient and effective way to provide sustainable development and humanitarian assistance.

OUR PLEDGE

We will continue to develop Customer Service Plans in our overseas missions, routinely review these standards with our customers and development partners and update them as necessary to identify the concerns of other customers and partners. We will create new standards based on new processes being developed as part of our reinvention efforts.

We will continue to focus on customer service and achieve results. Our customers will participate more in planning and achieving the Agency's objectives and in evaluating results to meet customer needs. As part of this effort, we are continuing formal and informal consultations with our customers and partners.

We will review our customer service standards annually, and periodically publish an Agency Customer Satisfaction Report. We will continue to encourage our partners to consider similar "customer satisfaction" standards for services they deliver to the people of developing countries.

75

I. QUALITY STANDARDS FOR USAID'S OVERSEAS CUSTOMERS

USAID'S overseas missions carry out programs to achieve the Agency's strategic objectives to foster economic growth, reduce population, encourage participation in democratic government and protect the global environment. Through a variety of formal and informal methods, both our customers and intermediaries in developing countries have told us how we have performed in service delivery, humanitarian assistance and sustainable development.

Country experimental "laboratories" have used systematic and participatory methods to assess and improve the quality of service to our ultimate customers. They have developed Customer Service Plans to assure more customer involvement in planning, achieving and evaluating the Agency's objectives to manage for results.

With increased participation and enhanced surveying of our customers in developing countries, we have identified performance standards. USAID is committed to providing:

1. QUALITY

On a regular basis, we will communicate with our customers to improve the quality of USAID's humanitarian assistance, development and customer satisfaction.

- Each overseas mission will develop and maintain a Customer Service Plan which will state how customers and partners are to be included in determining customer needs and achieving objectives, explain how customer feedback will be regularly incorporated into work processes, and identify key customer service principles and standards.

- We will improve participation in overseas missions to include our customers in planning and implementing USAID's work, and in planning and conducting periodic surveys to determine if services are being delivered in a satisfactory manner.

- We will periodically survey our customers to assess their expectations, determine their needs based upon USAID's programs and report customer satisfaction.

- We will assure USAID's programs provide high quality technical services that are tailored to our customers' needs.

- We will directly involve customers in defining plans and activities to ensure results and continuous improvements in USAID's programs.

● We will continue to collaborate with customers, local partners and stakeholders to ensure service delivery meets the needs of our customers and serves America's long range Foreigh Policy interests.

2. TIMELINESS

We will improve the turnaround time for service to our customers.

● Provide an initial response to inquiries within 24 hours; written inquiries will be answered within 5 working days from receipt. If a full response is not possible within these periods, we will indicate a probable timeframe for resolution.

● We will disburse funds in time to allow for implementation of activities on schedule.

3. ACCESS TO INFORMATION

USAID will offer greater access and more transparency to Agency activities and information.

● Provide periodic customer information guides to activities, processes and procedures.

● We will hold semiannual meetings with customers and partners to provide information and facilitate an open dialogue regarding USAID programs.

QUALITY STANDARDS FOR DOMESTIC DEVELOPMENT PARTNERS

Phase I of USAID's Customer Service Plan outlined what our development partners told us about their concerns and presented a set of initial standards to address them. In working with PVOS, universities and private businesses, our goal is to eliminate burdensome administrative and procurement requirements and become "user-friendly" to our current and future development partners. As part of this ongoing effort, procurement policy changes have simplified the administration of grants and cooperative agreements by modifying requirements in the following areas: trip reports, salary approvals, number of key personnel, approval of consultants, budget flexibility and systems approvals.

USAID has made significant improvements in its work processes to meet and exceed our standards for working with PVOs, universities and private businesses. We have exceeded our standards for the PVO registration process by eliminating 12 documents for new PVO registrants which reduced the number of documents from 18 to 6. Three documents were eliminated from the annual requirement for PVO registrants which reduced the number of documents from 6 to three. The revision and simplication of USAID Form 1550-2 which

77

is used to compute a PVO's "privateness percentage" was completed. A "Guide for Doing Business with USAID" has been published and distributed. This guidebook provides detailed information to the U.S. business community on how to do business with USAID sustainable development programs. Within three days of an organization's requests for funds under a letter of credit, funds are deposited in the organization's bank account via an electronic funds transfer. Outside vendors are able to get an immediate response by checking an electronic bulletin board for the status of all invoices and payments. A new USAID Worldwide Web Home Page [www.info.USAID.gov] is available to access USAID information at worldwide web sites. A number of redundant procurement procedures and processes have been eliminated and there is increased access to procurement information.

Based on issues and concerns raised in numerous forums, USAID has developed these standards to address our domestic partners concerns. They represent the way USAID will work toward securing a more efficient relationship with our development partners and service providers. USAID is committed to providing:

1. QUALITY

On a regular basis, we will communicate with our customers to improve our processes and simplify our business practices.

- **We will include our customers and partners** in an ongoing, consultative process on policy, programmatic and procedural matters.

  -- We will hold semiannual vendor meetings for service providers and partners.

  -- We will <u>periodically</u> survey customers and partners to see if the changes in our policies and procedures are working to eliminate the impediments you have identified and report customer satisfaction.

- **If USAID issues a grant, cooperative agreement or contract, an Agency project officer will be assigned to facilitate our relationship. The project officer will provide his/her phone number, address, E-mail address and fax number.**

- To simplify the PVO registration process, we **have**, in collaboration with our PVO partners:

  -- **Reduced** the number of documents required from new PVO registrants from 18 to **6**;

  -- **Reduced** the number of documents required annually from PVO registrants from 6 to **three**; and,

-- **Revised and simplified** USAID Form 1550-2 used to compute a PVO's "privateness percentage."

- To be more consistent in applying USAID policies and procedures, our contracting and grants officers:

  -- **Consistently interpret and apply policies** and regulations in awarding grants and contracts;

  -- **Eliminated redundant procurement processes, procedures and reporting requirements** by December 1994; and

  -- **Published and made available** by September 30, 1994, "A Guide to Doing Business with the U.S. Agency for International Development," **which clearly and concisely describes** USAID's policies and procedures.

2. TIMELINESS

We will improve the turnaround time for our processes.

- We will answer your questions in a courteous, prompt, and professional manner.

  -- You will receive an initial response to calls and E-mails within 24 hours; written inquiries will be answered within 10 working days from receipt. If a full response is not possible within these periods, we will indicate a probable timeframe for resolution.

- USAID's Office of Procurement will make non-competitive awards within 90 days, and competitive awards within 150 days. We will modify contracts and amend grants within 90 days of receipt of requests for action from line offices.

- PVOs seeking registration and eligibility requirements to compete for development assistance grant funds **are** sent a complete registration packet within five days from the receipt of inquiry.

- Applications to register new PVOs **are** reviewed and formal notice of acceptance or denial **is** mailed within 8 weeks of receipt of fully completed application packages.

- Within three days of an organization's request for funds under a letter of credit, payment **is** deposited in its bank account via electronic funds transfer.

79

3. ACCESS TO INFORMATION

USAID will offer greater access and more transparency to Agency activities and information.

- **Outside vendors can dial-in to** an electronic bulletin board **and check** the status of all invoices and payments.

- Assistance and acquisition information relevant to PVOS, NGOS, universities and private businesses are available on USAID's gopher [gopher.info@usaid.gov] and **USAID's new worldwide web home page [www.info.USAID.gov].** These include:

  -- General information on USAID-funded programs;

  -- Country strategies and implementation guidelines;

  -- USAID publications;

  -- All USAID/W solicitation documents;

  -- USAID procurement policies and procurement opportunities;

  -- All procurement award notices, posted within five working days of approval;

  -- All USAID Commerce Business Daily notices, posted within 24 hours of appearing in the Commerce Business Daily;

  -- Center for Trade and Investment Services (CTIS) information on business opportunities; and

  -- Office of Small and Disadvantaged Business Utilization (OSDBU) information on business opportunities.

80

USAID CONTACTS

Public Inquiries . . . . (202)647-1850

Procurement . . . . (703)875-1204

Private Voluntary Organizations . . . . (703)351-0222

Business Opportunities
--Center for Trade and Investment Services (CTIS) . (202)663-2660
or 1-800-872-4348

Business Opportunities and Counseling
--Office of Small and Disadvantaged Business Utilization
(202) 875-1551

For Improving Customer Service through Reengineering:
--Office of Results-Oriented Reengineering
(202)663-2459 or (202)663-2496

--USAID's Quality Council (202)736-4014 or (202) 663-3602

INTERNET ADDRESS: [gopher.info.usaid.gov]

WORLDWIDE WEB HOME PAGE: [www.info.USAID.gov]

You can get a copy of Phase I and II of USAID's Customer Service Plan by calling the general inquiry line, using the INTERNET or the WORLDWIDE WEB HOME PAGE addresses or by writing to:

USAID Office of Public Inquiries
320 21st Street, N.W., Suite 2895
Washington, DC 20523

The same process can be used to address comments and inquiries about the quality of our services or USAID's Customer Service Plan.

ebaltimore/splunkett:phase11a.csp\8\4\95

81

CUSTOMER SERVICE EXCELLENCE - THE USAID WAY
(How are we doing?)

By Liz Baltimore, M/ROR, Customer Service
(July 1995)

USAID is continuing to make radical changes in "how" its customers are being satisfied -- both ultimate and intermediary customers. **We take pride in achieving results** in development and humanitarian assistance which benefits **USAID's** ultimate customers who are the recipients of USAID's services/products in developing countries.

We also recognize that ultimate customer satisfaction depends upon each USAID employee, organizational unit and/or partner meeting the needs of our intermediary customers. USAID's intermediary customers are internal or external individuals and organizations that receive the products and services of an internal USAID unit and is important in the delivery of services/products to our ultimate customers, e.g. the procurement office delivers contract services to meet demands of its intermediary customers (contractors, grantees, missions and bureaus/offices). For example, the procurement office receives a request from the Zimbabwe mission (the procurement office's internal customer) to negotiate a contract. CARE Contractor (the procurement office's external customer) becomes the recipient of the contract. The Zimbabwe mission receives a negotiated contract from the procurement office. CARE Contractor receives the funds and technical guidance provided by the Zimbabwe mission. As a result of each of the intermediary customer needs being met, the Zimbabwe mission works in partnership with the CARE Contractor who delivers the services/products to USAID's farmers, women, men and children and microenterprises overseas.

Quality services to both groups of customers is an important aspect of everyday life in overseas missions and in Washington bureaus/offices. In responding to the National Performance Review (NPR) and the President's Executive Order 12862, "Setting Customer Service Standards," issued on September 11, 1993, USAID faced the challenge to focus on its customers in a more systematic way. Fortunately, **USAID's employees had already begun to reengineer our own systems and business practices to further emphasize the importance of customer planning, outreach and participation.** After reviewing the Agency's best practices, a core value was established to systematically focus and integrate customers in every aspect of USAID's reengineered operating systems.

The dedicated commitment of USAID's employees working closely with our partners to improve our systems, work processes and service quality will continue to make a difference in the lives of USAID's ultimate customers -- the men, women, children and other end users in developing countries. In September of

82

1994, after surveying one group of intermediary customers -- development partners, USAID was one of the first Agency's to publish a Customer Service Plan. This plan identified an initial set of customer service standards -- performance targets for working with private voluntary organizations, universities and small businesses. Based on feedback from our domestic development customers, we set high performance standards in quality, timeliness and accessibility to USAID information relating to services in the areas of procurement, financial management and private voluntary organizations registration.

THE CHALLENGE for excellent customer service quality is being met and exceeded by some of the offices and bureaus in USAID Washington who have put the Agency's customer service planning in action. These offices/bureaus have operationalized its customer standards and are doing quite well. The commitment to be accountable and to live up to the customer service standards in Phase I of USAID's Customer Service Plan is expressed in the results. Good customer service planning, customer-driven performance standards and taking the initiative to go beyond customer expectations are evident in the following accomplishments:

The Bureau for Humanitarian Response (BHR) eliminated bottlenecks in the private voluntary organizations (PVOs) registration process which resulted in the bureau exceeding the original performance targets identified by its customers. This results in faster turnaround time and better efficiencies in USAID's customer service. The following have been accomplished:
√ Reduced new PVO's registration documents from 18 to 6 documents and annual documents from 6 to three.
√ Improved the quality and simplified the USAID Form 1550-2 which is used to compute a PVO's "privateness percentage".
√ Mails a complete registration package to PVOs seeking registration and eligibility requirements within five days of receipt of the request.
√ Reviews and mails PVO applications and sends a formal notice of acceptance or denial within eight weeks of receipt of a fully completed application package.

The Office of Financial Management (M/FM) has improved access to FM information and the turnaround time for payment to individuals and organizations who have provided services and products to USAID's intermediary and ultimate customers. This results in timely response and better access to financial information for its customers. The following have been accomplished:
√ Exceeded its customers' standards by designing and operationalizing a new electronic "Payment Information Management System (PIMS)" bulletin board in early December. This was about two months earlier than FM had committed to in the initial customer standard. As of April 1995, 123 external organizations are using the system on a regular basis and reported customer satisfaction. The PIMS system has been such a success that other Agencies are using it as a model to develop their own financial information systems.

83

√ **Conducted training and provided the necessary hardware to install the electronic certification system (ECS) at all paying stations. To date 17 missions are using** ECS for payments to employees, contractors and other providers.
√ **Deposits payments to the bank account of an organization, who requests funds under a letter of credit, via electronic funds transfer within three days of the request.**

The Office of Procurement (M/OP) has made improvements in a number of work processes which are part of its ongoing procurement reform. The results of some of their initiatives have increased access to information, improved communications and turnaround time for processing procurement actions and improved customer relations. The following have been accomplished:

√ Conducted ongoing assessments and participatory formal and informal working group sessions with PVOs and contractors to involve them in improving and simplying business practices. In particular, PVOs have had substantial involvement in USAID travel, grant and audit policies.
√ Published "A Guide for Doing Business with USAID" and made available by September 1994.
√ Assigns an Agency project officer who provides his/her fax and telephone number along with the mailing and e-mail addresses to facilitate customer relations with organizations that are issued grants or cooperative agreements.
√ Consistently interprets and applies policies and regulations in awarding grants and contracts.
√ Eliminated a number of redundant procurement processes and reporting requirements by December 1994.
√ Baseline data for 1994 shows noncompetitive contracts were processed within 75 days which exceeds its customer standard of 90 days processing time.

The Bureau for Global Programs, Field Support and Research (G), the Bureau for Policy and Program Coordination (PPC), the Office of Procurement (M/OP), the Office of Small and Disadvantaged Business Utilization (OSDBU), the Office of Administrative Services (M/AS) and the Bureau for Legislative an Public Affairs (LPA) provide access to assistance and acquisition information on the Internet. This results is greater access to information concerning USAID's activities and programs. The following information is provided:
√ Procurement information for its customers on the internet as follows: all USAID/Washington solicitation documents; procurement policies and opportunities; procurement award notices are posted within five days of approval; all USAID Commerce Business Daily (CBD) notices are posted within 24 hours of appearing in the CBD.
√ USAID publications, directives, general information, country strategies, implementation guidelines.
√ Center for Trade and Investment Services (CTIS) information on business

84

opportunities.
√ Office of Small and Disadvantaged Business Utilization (OSDBU) information on business opportunities.

The Bureau for Africa (AFR)
The Bureau for Policy and Program Coordinator (PPC)
The Office of Small and Disadvantaged Business Utilization (OSDBU)
Bureau for Latin America and the Caribbean (LAC)

85

USAID

AGENCY FOR INTERNATIONAL DEVELOPMENT

11
The Participation Forum*

March 23, 1995

Topic: Customer Service Plans—What's New?

"Customer surveying," "customer service plans," "customer outreach": are these terms just "newspeak" for what we have been doing for years? This Forum session began by focusing briefly on several examples of innovative, energetic approaches to "customer outreach" and participation. Against this backdrop, the session focused on the question, "So why do we need 'customer service plans'?"

Presenters and other participants emphasized the value of making customer outreach a regular part of operations, of focusing more on the ultimate consumer, and of recognizing the right of the customer to hold us (and the various partners beween the customer and USAID) accountable for meeting standards to which we've committed ourselves.

Speakers included Sher Plunkett, Customer Service Officer; Diane Russell of USAID's Center for Development Information and Evaluation (Nicodeme Tchamou, of the International Institute of Tropical Agriculture in Cameroon, assisted in the presentation); Cynthia Rozell, Mission Director for Malawi; Jim Anderson, Mission Director for Niger; and Paul Zeitz, Child Survival Technical Advisor in the Global Bureau's Center for Population, Health and Nutrition. Finally, Pamela Johnson, on loan from USAID to the National Performance Review, and Phyllis Dichter-Forbes, who leads USAID's reengineering effort, challenged the group to consider how setting customer service standards empowers our customers to influence our performance. Lively discussions and E-mail followed.—Diane La Voy, Senior Policy Advisor for Participatory Development.

Making Our Best Practices Part of the System

Sher Plunkett

"Customer focus," a "core value" in USAID's reengineering, is probably the most exotic term used to date for describing the most familiar and the most prized value for all of us working with USAID.

Customer focus as a part of reengineering has essentially two roots: first, the mandate provided by Executive Order 12862, September 1993, in which the administration mandated all federal agencies to develop customer service plans; and second, the traditional USAID commitment to deliver development assistance to poor people while achieving foreign assistance goals. The new mandate and our traditional focus have twined together nicely as the agency attempts not only to reengineer internally, but also to convince the American people that what we do is meaningful

---

The Participation Forum is a series of monthly noontime meetings for USAID personnel to explore how to put into practice the Administrator's mandate to "build opportunities for participation into the development processes in which we are involved" ("Statement of Principles on Participatory Development," November 16, 1993). Guest speakers from in and outside of USAID describe their experiences and enter into a general discussion of the theme of the session. A summary of the meeting is disseminated within USAID by E-mail, and readers are encouraged to engage in an E-mail dialogue. E-mail should be directed to Diane La Voy, using either the USAID directory or INTERNET, as DLAVOY@USAID.GOV. Printed copies of the Forum summaries will be distributed to participants and attendees from outside of USAID and others interested in participatory development.

320 Twenty-First Street, N.W., Washington, D.C. 20523

88

Asking Ourselves Whom We Weren't Talking To

Cynthia Rozell

When Diane La Voy talked about participation at the mission directors conference about a year ago, my reaction was that, in our plans for developing our country five-year plan, we had all the bases covered. I kept thinking, "Oh, of course we're doing that." Back in Malawi, our first reaction was again that we know what we're doing; we talk to people; we know what our customers want.

In our ag sector programs, for instance, we have a series of beneficiary surveys. We spend three months each year with beneficiaries to see what happens with their lives, and we repeat the process each year in the same villages to look at any changes that have occurred. In our democracy/governance programs and in our health programs, we go out to villages regularly and do serious focus group work to get feedback on what's working and what isn't. In addition, we have the demographic and health surveys which are important in showing what's happening in population and health. Finally, we have public and private sector committees that meet regularly, quarterly or twice a year, to track the objectives and the results under each of our program areas.

The new government of Malawi has set up another set of systematic consultations—a change after a 30-year history of little consultation. They've set up 11 poverty alleviation task forces, which mobilize just about every organized group in Malawi, including the donors, the government, the semi-government, and the private sector.

We were feeling pretty comfortable until we decided to look at the question differently and ask ourselves whom we weren't talking to. It didn't take us long to come up with a substantive, if not long, list of people who were important to the society of Malawi but were either not direct USAID beneficiaries or not people directly involved in our programs, people whom we had no systematic way of reaching. They were traditional leaders, tribal chiefs, village chiefs, religious leaders, retired people who might have been civil servants for 20 years or more. A problem was that none of the mission staff is fluent in Chichewa, the language spoken by most of them.

The solution—and this is probably not the right answer in every case—was to ask a Malawian, with whom we had a longstanding relationship, to help in drawing up a list of people across political party lines and traditional and modern sector lines. (He happened to be the newly elected vice president.) We called the list of about 20 people that he prepared for us the Senior Advisory Group and invited its members to participate during the Country Program Strategic Planning (CPSP) period.

For most of the mission people, this turned out to be one of their most rewarding experiences in Malawi. The group met three times during the CPSP. As concerned citizens, they were eager to participate, though there was nothing in it for any of them: no job, no funding. Their only concern was with what made development sense for their country. They contributed both a fresh view on priorities and a validation of what we'd been hearing from our other client groups. This group is being continued, now that the CPSP process is finished. Once every six months we will sit down and review progress on some of the strategies they helped us develop.

Niger Experiments with a Customer Survey Plan

Jim Anderson

As a country experimental lab, Niger is developing a customer survey plan as part of our effort to incorporate the four core values—customer focus, results orientation, participation, and teamwork—into the strategic planning process. Our aim is to make this more than a plan with a list of targets that can be measured. We want it to become a state of mind. We want our officers to pick up on where a customer survey is needed to address an issue that has come up in the context of implementing a program. Our staff must be sensitive to what is happening with their programs from the standpoint of participation.

The participation plan and its customer survey aspects will require us to reconfigure our human resources. We need staff with the skills to understand what is going on, to ask the right

87

remains to be seen. But we hope that the process leads to improved efficiency of donor resources and to genuine coordination and reduced duplication of efforts.

On the down side, the process took longer than usual and was therefore more expensive. A 10-person team spent a long time in-country, and meetings were professionally facilitated. There were delays in designing the project, and the participatory processes kept the technical team from comparing notes about our own perceptions and experiences. Dealing with such a large number of people was hard. Because our partners couldn't be involved in deciding funding allocations, there was a question as to whether the process was genuinely participatory. Similarly, although we had a lot of interaction in the field with district- and provincial-level staff, these staff were not really involved in the workshop decisions.

Another question is whether this approach can continue through project implementation. In our case, one experienced individual (HPN officer Paul Hartenberger) brought this process to Zambia. If it hadn't been for him, it probably would not have occurred. Finally, there is the lingering question about the technical direction, and therefore the quality, of the work. My opinion is that the results will be positive.

We're evaluating the process, taking a survey of our core team members and partners, with the intention of building the results into project implementation.

A Government-wide View of Customer Focus

Pam Johnson

From my stint at the National Performance Review, I realize that USAID has been ahead of the rest of the government in the participatory area. Only a handful of government agencies have had a clue about the kinds of tools that USAID has been using for years—focus groups and social marketing, for example. Nobody in the federal government has an assessment tool as valuable as the demographic and health surveys. USAID has built a knowledge base unique in the federal government. We have a tremendous amount to be proud of.

What I didn't expect to hear was validation of some of the things I've been working on at the NPR: the implications of what happens when you really start talking and listening to your customers; the discussions about the importance of the front line, the importance of missions, front-line action officers, front-line employees; and the need to go out and ask customers what they want.

This is exactly the same kind of thing we're seeing domestically, and I could tell lots of wonderful stories about it. For example, the IRS surveyed its customers—which we all are—and found things that surprised them and that they didn't even like to hear. They thought that if they were just friendlier and nicer, people would like them more. "Well," people told them, "the less we hear from you, the happier we are." They have taken this into account in their business plan and said, "How can we minimize the impact of our interactions—not make them friendlier and not have everybody have smiley faces?"

Challenges for USAID. One particular challenge for USAID is how to relate participation in project design and strategic planning to implementation. For example, what can the director of a health clinic do if a vaccination campaign is planned and the vaccine hasn't shown up? Who can he call? How many steps must he go through to get that vaccine delivered when and where it's needed? One of the reasons this customer image is so powerful is that we all interact as customers so often in our daily lives. For example, L. L. Bean wouldn't be selling too many plaid shirts if it told a customer trying to order a shirt in size M that he or she should call the Ministry, and the Ministry said to call the USAID office, and the USAID office had to send a cable, etc. Of course, L.L. Bean doesn't have 3,000 outlets; they have a centralized supply. The analogy suggests, however, that USAID must organize to be responsive to the needs of the front line.

Other countries are engaged in the same kind of effort we are. The United Kingdom has drawn up a citizens' charter for all of their government offices and has created *Charter News*, a service quality newsletter. Some 35 countries were represented at a conference in December 1994 on

88

Discussion Section

Addenda to Developing Service Standards

Diane La Voy: Phyllis has made clear that we haven't really emphasized standards. Now, I'd like to give the presenters a chance to come back a bit at her.

Jim Anderson: To add a point, we haven't given much thought to how host country officials and end users can take ownership of the process of participation. For example, if we are not getting the results we have targeted, we may need to shift resources. But it shouldn't be us, the donor, forcing that decision.

Paul Zeitz: Our process focused on partner involvement. To do what you're proposing, really getting in there with ultimate beneficiaries, would have been a lot longer and a lot more expensive.

Cynthia Rozell: You need to involve the end users in defining results, the standards. Once the customers have been involved, everyone who has a role in achieving the result must be part of the process. If people haven't agreed themselves to perform, whether it's a project or a program design or a strategic-objective result, they're not going to be committed to it. Setting up a system that allows the U.S. to provide drugs at a health clinic in Malawi may respond to a specific problem at a specific time in the fastest way possible. But the real challenge is to involve all Malawians who deal in drug procurement and to get their commitment to an end result. That is time consuming. But it's systematic change.

Phyllis Dichter-Forbes: How many people in this room have taken the recent survey by our Office of Human Resources? Are you going to feel that you really participated in the change process if people ask you questions, but a year later nothing really has changed out of it?

Gerry Britan: I'm reminded of how Joe Califano, when he was secretary of HHS, traveled around the country talking to people about the programs that the department funded. He had great information on how much money they'd sent to this district, how many people the program served. But he kept getting blindsided by his audiences, who would tell him about problems with service delivery or how the services weren't what he thought. He didn't know the answers. He needed to get into much closer touch with his customers. So he set up a series of what were called service delivery assessments to get a picture of what key programs were actually delivering across the country to people. He wanted to be able to show up in Chicago and have answers to people's questions.

Maybe that's the most basic thing we have to commit to knowing—at least to develop a standard for knowing what difference our programs are making among those at whom they are aimed. And when they're not making a difference, then feeding the information back into the decision-making process.

Identifying Truly Representative Advisory Committees

John Magistro: I have a question about involving advisory committees, as was done in Malawi. How could you be sure that the group that was identified was representative of the groups you were trying to reach?

Cynthia Rozell: That was a concern. But we weren't using any one advisory group as the final say in the end result. The issue is how to systematically bring all the opinions together. In Malawi we were pleasantly surprised to see the degree of agreement at the beneficiary level on what the priorities should be.

Learning to Listen, Learning to Reach Women

Diane Russell: Doing customer surveys may require learning to feel comfortable about asking questions, comfortable about being a little uncomfortable and not knowing what's going to happen—to take off the tie, throw away the briefcase, and sit for a while just listening to what people say.

84

Rewarding Results and Customer-Oriented Behavior

Lynellyn Long: "I like the customer service approach and consider the American taxpayer my boss. Having read a book on total quality management, I spent a lot of time during my last RFA (request for applications) ensuring that potential applicants had access to information and knowledge about the process. Given that a lot of nongovernmental organizations were not accustomed to working with us, the effort took hours. The payoff was a record number of exemplary applications.

"My reward was seeing successful, innovative programs that have received lots of publicity and kudos. Unfortunately, from within, our system is not designed to reward either those grantees or those who take this initiative. Only a few months later, I have watched all this set aside for larger political priorities.

"My comments/questions are: (1) How will incentives be structured in the current system to ensure that customer service-oriented behavior is rewarded? and (2) When will we as an organization be sufficiently empowered to set an agenda and move forward from start to finish?"

Sanath Reddy: "Accountability does not appear to be as simple as selling a product or maintenance contract to a customer. In development, success and lasting benefits depend on the customer's bringing to the table an input or behavioral change—his part of the bargain. Accountability is a two-way street. If we focus on impacts and results and we achieve them in large measure, I think the 'accountability' test will be answered."

Suggested General Approaches for Customer Focus and Participation

Frank Alejandro: "The methodologies and approaches we work on are experimental. During each presentation, I could not help but think of Odonna Mathews, Customer Service Rep. for Giant Food Inc., the supermarket chain. She and her colleagues followed a basic framework to put Giant Food on the map, and they almost tripled Giant shares in the past 15 years or so. This framework followed accepted principles, keeping the customer in mind:

- Identify the customer.
- Provide quality service, quality products, and a fair price: the customer is willing to pay for the service and the product.
- Find out how well you are responding to customer needs, through timely focus-group surveys and interviews (on-site and with sample products, if possible).
- Collapse survey data from representative samples of customers (in our case, missions with similar demographics).
- Report findings quickly to customer base or respond accordingly with better service (for the missions this would include responding fast with vaccines, loans, water, or other interventions identified by customers).
- Revisit the cycle and reidentify the customer base (as we all know, the customer never remains dormant, especially in development work)."

Maria Beebe: "Community-based participation must be planned or it will not happen. Planning and designing the priority-setting process should take place in collaboration with a multi-stakeholder group or planning team and involve the following:

- Define the level of participation, which will depend on the time and resources made available for planning and the size, composition, and diversity of the population and its institutional community.

90

- **Support Missions' Customer Service**

Paul White: "Our strongest asset is our field missions. They are closest to the action, interact on a daily basis with our main customers, the people in developing countries, and are best able to understand the needs and identify appropriate development responses. Washington should be servicing the needs of field officers so that they can better serve beneficiaries in developing countries. Too often, Washington attempts to determine what should be done, how, over what time frame, and with which instruments. Washington should spend more time and effort learning how to support this customer relationship."

- **Incorporate Customer Service Plans in Standard Program Document**

Barry Burnett: "How would customer service plans be presented to Washington? As part of an operating unit's strategic plan, an element in the Results Review and Resources Request (R4) report, or as a separate document/presentation? I think that they should be incorporated in a standard program document. This would lead to better integration with the proposed or ongoing program."

Values of Participation

John Magistro: "I view the customer survey approach as a fundamental element of doing good anthropology. I am somewhat biased in believing that any good development work must involve extensive consultation with the 'end-user.'"

Tulin Pully: "The points that have emerged from Forum participants seem to be right on target. In Jamaica, we struggled with the same question, 'Why do we need customer service plans?' in our reengineering workshop and pretty much came up with the same points. We developed a draft customer service plan to make customer outreach a regular part of our operations and achievement of results. The plan will help us focus more on our customers rather than on the partners we are used to working with."

Shirley Hunter: "Direct involvement of our customers or end-users in our agenda will provide honest feedback on our accomplishments or lack thereof, enabling us to utilize our program funds more efficiently. We will be able to move ahead or retract an implementing activity on a timely basis, according to our customer response."

A Dissenting View: The "Customer" is the American Taxpayer

James Hester: "We are making a fatal error in defining our beneficiaries as customers. To use the term 'customer' and all that it implies for our beneficiaries, instead of the American taxpayers, misses the whole point of redesigning government. If USAID is to continue to exist, it has to be responsible to the American people because it is they whom we serve and it is their money for which we are being held accountable. Perhaps the term 'customer' is not well-suited to our situation. The standard definition of customer in the dictionary is 'one who buys goods or services.' Our programs are grants so there is no buying from the developing countries or even their citizens. So long as we offer, they will accept because they do not have the power of a paying customer to take their business to another company that can provide superior goods and services.

91

Human Organization, Vol. 54, No. 1, 1995

0018-7259/95/010042-10$1.50/1

Basic Concepts and Techniques of Rapid Appraisal

JAMES BEEBE

Rapid appraisal is an approach for developing a preliminary, qualitative understanding of a situation. This paper identifies three basic concepts—(1) a system perspective, (2) triangulation of data collection, and (3) iterative data collection and analysis—and suggests that they provide a conceptual foundation for rapid appraisal and a rationale for the selection of specific research techniques. The basic concepts and their related research techniques provide a flexible but rigorous approach for data collection and analysis by a team of two or more individuals, usually with different academic discipline backgrounds. The paper reviews the history of rapid appraisal, provides a definition, discusses the three basic concepts and the illustrative research techniques associated with them, argues for flexibility, and suggests the use of a "Data Collection Checklist" to remind the team of important concepts and as a means by which the reader of a report can estimate the degree of confidence that can be placed in the results.

Key words: rapid appraisal, rapid assessment (procedures)

RAPID APPRAISAL allows a team of two or more individuals, usually representing different academic disciplines, to produce qualitative results for decisions about additional research or preliminary decisions for the design and implementation of applied activities. It is especially relevant when time constraints preclude use of intensive qualitative methods by a single researcher and when the different perspectives of the team members (including local participants) are essential for understanding the situation. Rapid appraisal uses the techniques and shares many of the characteristics of traditional, qualitative research, but differs in three important ways: more than one researcher is always involved, researcher team interaction is a critical aspect of the methodology, and the results are produced much faster. Rapid appraisal is characterized by the production of quick results and the simultaneous use of research techniques associated with the three basic concepts: (1) a system perspective, (2) triangulation of data collection, and (3) iterative data collection and analysis. These three concepts provide a flexible but rigorous approach to the collection and analysis of qualitative research data. Individuals with less training and experience with qualitative research methodology have been especially enthusiastic about using the basic concepts for understanding and implementing rapid appraisal.

The three basic concepts provide a conceptual foundation for a wide range of activities that can be labeled "rapid." The phrases "rapid appraisal," "rapid assessment," and "rapid rural appraisal" have been used in discussions on rural development in developing countries since at least the mid-1970s. General use of the phrase "rapid rural appraisal," however, occurred only after it was used as the title of a workshop at the Institute of Development Studies, University of Sussex, in October 1978. In addition to being called "rapid appraisal" or "rapid rural appraisal" (RRA) (Chambers 1983), research approaches having at least some of the characteristics identified above have been referred to as "sondeo" (Hildebrand 1982), "informal agricultural survey" (Rhoades 1982), "rapid reconnaissance" (Honadle 1979), "informal methods" (Shaner, Philipp, and Schmehl 1982), "reconnaissance survey" (Shaner, Philipp, and Schmehl 1982), "exploratory survey" (Collinson 1981), "rapid marketing appraisal" (RMA) (Menegay et al. 1990), "market information needs assessment" (MINA) (Guyton 1992), "commodity

James Beebe is Director, Office of Economic Development, USAID/South Africa, P.O. Box 55380, Arcadia, Pretoria, 0007, South Africa (or USAID/Pretoria, Department of State, Washington, DC 20521-9003). *The opinions and views expressed are those of the author and not necessarily the views of the Agency for International Development. This paper is a revised version of a paper presented at the Workshop on Rapid Assessment sponsored by the Washington Association of Professional Anthropologists and the Applied Anthropology Program at the American University, April, 1993. This paper builds upon a working paper prepared while the author served as a Fellow at the Environment and Policy Institute at the East West Center, October, 1985. This paper was subsequently presented at the Workshop on Recommendations for Research, Policy and Extension: Methodological Issues in the Analysis of Food Legumes and Coarse Grains, CGPRT Centre (Pusat Palawija) Bogor, Indonesia, November, 1985. The author acknowledges the roles of Khon Kaen University and the Ford Foundation in being able to attend the International Conference on Rapid Rural Appraisal at Khon Kaen University. The author appreciates the helpful comments on different versions of this paper by Harold McArthur, Perry Philipp, and Georgeta Munteah. The author also acknowledges the assistance of Catherine Stiles, Department of Anthropology, Oregon State University, for library research and help with the references. Examples of rapid appraisals can be sent to Office of Arid Lands Studies, 845 N. Park Ave., University of Arizona, Tucson, Arizona 85719. Comments are welcome and can be sent via INTERNET to jbeebe@usaid.gov.*

92

systems assessment methodology" (CSAM) (la Gra 1990), "rapid assessment procedures" (RAP) (Cernea 1990, Scrimshaw and Gleason 1992), "rapid assessment program" (RAP) (Conservation International 1991), and "participatory rural appraisal" (Chambers 1991, CUNES 1989). The terms "rapid assessment procedures" and "participatory rural appraisal" are particularly attractive for identifying this approach, because the first term forms a descriptive acronym, "RAP," and the other term explicitly includes "participation" as part of the title. "Rapid appraisal" has, however, been used in this paper because it is a more general term, is not limited to a specific area or topic, and leaves room for the continued use of numerous other terms to describe related approaches. The use of multiple terms is probably desirable in preventing rapid appraisal from becoming a "buzz word" and in focusing on the need to adapt the methodology to the topic being investigated. Robert Chambers (1991:531) cautions that there is a danger that rapid appraisal "could be over-sold, too rapidly adopted, badly done, and then discredited, to suffer an undeserved, premature burial as has occurred with other innovative research approaches."

Rapid appraisal has been described as: "modified survey" (Hildebrand 1982:289), "survey undertaken without questionnaires" (Shaner, Philipp, and Schmehl 1982:73), "informal," "exploratory," "largely unstructured interviews combined with observation" (Honadle 1979:2), "organized common sense, freed from the chains of inappropriate professionalism" (Chambers 1980:15), a way to "increase the opportunities for participatory programs, done best by outsiders jointly with the users themselves" (Cernea 1990:3), "a middle zone between quick-and-dirty and long-and-dirty, . . . cost-effective . . . fairly-quick and fairly-clean" (Chambers 1991:521), "first-cut assessments of . . . poorly known areas" (Conservation International 1991), and "a form of appropriate technology: cheap, practical and fast" (Bradfield 1981 *in* Rhoades 1982:5).

Rapid appraisal originally received attention as a tool for rural development projects, especially for farming systems projects in developing countries (Beebe 1985; Collinson 1982; Hildebrand 1982; Rhoades 1985; Shaner, Philipp, and Schmehl 1982). During the last decade, rapid appraisal techniques have also been used for agricultural marketing (Holtzman 1993, Menegay et al. 1990), nutrition and primary health-care studies (Scrimshaw and Gleason 1992, Scrimshaw and 1987), social forestry (Molnar 1989), agroecosystem analysis (Conway 1985) and irrigation projects (Chambers 1983, de los Reyes 1984). Important references on rapid appraisal include Agricultural Administration (1981), Khon Kaen University (1987), McCracken, Pretty, and Conway (1988), Hassin-Brack (1988), WRI (1990), Scrimshaw and Gleason (1992), and Kumar (1993). Robert Chambers (1991:523) notes the absence of a comprehensive manual even though several organizations have produced their own guides. Much of the literature on rapid appraisal has focused on the techniques available for implementation under different circumstances. The references identified above (especially Khon Kaen University 1987, Kumar 1993, and Scrimshaw and Gleason 1992) provide numerous specific examples of when, who, and why specific rapid appraisal methodological tools might be used. There has been very little attention given to developing an overall conceptual framework that provides guidance to practitioners on minimum conditions that need to be met, and a rationale for choices and adaptation of techniques depending on the topic being investigated.

A conceptual foundation for rapid appraisal based on b[asic] concepts is one way of providing a framework that identi[fies] the essential elements of a rigorous process while maximiz[ing] flexibility in the selection of specific research techniques. What is identified as "basic concepts" in this paper could also be referred to as methodological approaches or orientations. The three basic concepts identified in this paper are based on "principles" identified by a working group at the Khon Kaen University International Conference on Rapid Rural Appraisal in Thailand, in September 1985.[1] There are other basic concepts associated with rapid appraisal and other ways of articulating them. For example, Robert Chambers (1991:522) identifies five basic principles: (1) optimizing trade-offs, (2) offsetting biases, (3) triangulation, (4) learning directly from and with rural people, and (5) learning rapidly and progressively. The three concepts used in this paper were chosen to provide categories for organizing techniques while identifying specific techniques a team *might* use to generate timely, valid, and cost-effective qualitative results.

Rapid appraisal is defined as follows:

> Rapid appraisal is an approach for quickly developing a preliminary understanding of a situation where specific research techniques are chosen from a wide range of options and where it is assumed that (1) all the relevant parts of a local system cannot be identified in advance, (2) the local system is best understood by combining the expertise of a multidisciplinary team that includes locals, while combining information collected in advance, direct observations and semi-structured interviews, and (3) time should be structured to ensure team interaction as part of an iterative process.

Table 1 illustrates the relationship of the basic concepts [and] illustrative research techniques associated with them. It sho[uld] be noted that the listed research techniques are not the only way of achieving the basic concepts, but are techniques that have been found to work together under some field conditions. The Sociotechnical Profile (de los Reyes 1984) used with small scale irrigation systems is a good example of a rapid appraisal methodology that uses different techniques to achieve the basic concepts.

Basic Concept 1. Systems Perspective

Rapid appraisal should be based on what the participants in the system believe to be the critical elements, their relative importance, and how they relate to each other. Rapid appraisal is designed to contribute to an insider's perspective of the system. Even limited attention to systems methodology can provide an expanded set of conceptual tools for understanding how local participants view their system. It should be noted, however, that the same techniques can be, and often are, chosen by social scientists based on their professional training and experience without reference to "systems." Rapid appraisal does not reject or abandon the traditional methods and techniques of the social sciences, but provides for ways to complement and enrich them (Cernea 1990:7).

A system can be defined as a set of mutually-related elements that constitute a whole, having properties as an entity (Checkland and Scholes 1990:4). For the purposes of rapid appra[isal] it is useful to expand this definition to include that the ele[ments] in the "system" behave in a way that an observer has chose[n]

93

TABLE 1 Relationship of the Basic Concepts and Illustrative Research Techniques

Basic concepts	Illustrative research techniques Specific techniques are chosen and adapted depending on the situation
Systems perspective	
– Assumption that elements of a system and their relative importance cannot be identified in advance	– Semi-structured interviews
– Use of local definitions and "emic" categories	– Use of short guidelines
– Consideration of indigenous knowledge	– Purposeful selection of respondents
– Consideration of variability	– Group interviews
	– Rejection of the use of survey questionnaire
Triangulation	
– Multiple perceptions	– Small interdisciplinary teams
– Multiple research methods	– Local participation
	– Combination of interviews, information collected in advance, and direct observation
Iterative process	
– Use of information collected to change the research process	– Structured research with time for team interaction
– Production of tentative hypotheses and use of findings to refine them	

view as coordinated to accomplish one or more purposes (Wilson and Morren 1990:70). A systems perspective initially considers all aspects of a local situation, but quickly moves towards the definition of a model that focuses on only the most important elements and their relationships to each other. Systems are always complex, and it is not possible to try to deal with all aspects of a system at the same time. The first task of a rapid appraisal team is to make a rough approximation of the system and to identify the elements that are most important for the specific situation being examined. It is very important to note that the elements in a system *cannot* be identified in advance, nor can decisions be made in advance as to which elements of a system are most important for understanding a given situation.

There is a growing body of literature on the use of a systems approach for investigating and addressing complex issues (Checkland and Scholes 1990). Checkland and Scholes (1990:6) have developed a model for "Soft Systems" methodology that is particularly relevant to rapid appraisal. They suggest that a soft systems approach includes several steps: (a) identifying a situation which has provoked concern; (b) selecting some relevant human activity system; (c) making a model of the activity; (d) using the model to question the real-world situation; and (e) using the debate initiated by the comparison to define action which would improve the original problems situation. Research techniques associated with a systems perspective are designed initially to consider all its aspects, including the complexity and interrelationships of its elements, and to move toward the identification of a subset of elements most relevant to the particular situation being investigated. When rapid appraisal is used as part of the design or implementation of applied activities, this subset usually uses those elements necessary to define an action statement and develop a "picture" of the future. Checkland and Scholes also identify several specific techniques for getting a group of individuals to participate in the process of developing an action statement that are relevant to rapid appraisal.

The use of a system perspective precludes the use of some research techniques and demands special attention to several topics. The important elements of a system usually cannot be known before initiating the rapid appraisal, and so methodologies that begin with questions prepared in advance, such as questionnaire survey research, are almost always inappropriate. A systems perspective focuses on the context of the information collected, is able to utilize indigenous knowledge even when it is unanticipated by the rapid appraisal team, and recognizes the importance of variability. Each of these topics is discussed briefly below.

THE PROBLEM WITH THE USE OF QUESTIONNAIRE SURVEY RESEARCH AS A BEGINNING POINT FOR UNDERSTANDING SYSTEMS. Questionnaire survey research assumes that enough is known in advance to identify the relevant parts of a system and to prepare questions. Since a questionnaire cannot identify unanticipated, site-specific system relationships, it is limited to validating models articulated in advance. The use of techniques associated with a systems perspective does not guarantee success in identifying important system relationships, but research based on a questionnaire often ensures that important elements of the local system will be missed. The problem with questionnaire survey research, as part of a systems perspective, is that unless the context of the data is understood, answers may be based on categories of reality different from those assumed by the question—resulting in answers that consistently will be elicited each time the question is asked, but providing responses that are invalid. Linda Stone and S. Gabriel Campbell illustrate the need to consider the context in addition to the normal sampling and weighing of units found in most research with an example of a knowledge, attitude, and practice survey in [illegible] designed and carefully implemented questionnaire-based surveys resulted in such inaccuracies as to call into question the analytical and policy conclusions based on the studies (Stone and Campbell 1984:36).

It is sometimes incorrectly argued that survey research is quicker and can be done with less experienced, less qualified researchers than rapid appraisal. Data collection by survey sometimes requires less time, but data analysis almost always takes more time. Data usually must be coded, entered into a computer, and then analyzed in separate steps and at places removed from the research site. Survey enumerators may not have to make many independent decisions, but good survey research cannot be carried out without training and close field supervision. In addition, special training in instrument design and data management ensures that survey research usually does not include local participants as full members on the research team (Chambers 1991:526).

Rapid appraisal is not a substitute for long-term, basic re-

94

search methods, including research based on questionnaire survey methods (Cernea 1990:17). Questionnaire survey research may be necessary to validate rapid appraisal results. The argument is against using questionnaire surveys as the first step, not against other uses of this methodology. A rapid appraisal based on qualitative field work is a better starting point for research because of its ability to discover relationships within the system that may not have been anticipated, its attention to context, possible significant saving of time, and the opportunity for full participation of local people as members of the research team.

INDIGENOUS KNOWLEDGE. The beginning point for understanding complex local systems has to be the understanding of those systems by local participants. The goal is to construct a model of the local system consistent with the way local people understand it. Doing so usually means trying to use local categories for dividing and describing reality. Using indigenous knowledge involves agreement on the most important components in the system and the most important problems or constraints faced by the local participants (Galt 1985:14). Indigenous knowledge of local systems cannot capture the totality of these systems and there will always be areas of local limited understanding of reality. Rapid appraisal can be expected to pick up the limited understanding of the local participants. Rapid appraisal, however, does not limit itself to indigenous knowledge, and can be expected to get at an understanding of local systems that goes beyond that of local participants, while, at the same time, including new areas of misunderstanding of reality not shared by local participants (see Galt 1985:15).

VARIABILITY. In many situations, the average farmer, student, small businessperson, or health-care administrator exists only as an artifact of statistics. Each time an additional variable is used to define the average, fewer and fewer actual cases of the "average" can be found. In many situations, variability and distributions of characteristics are more important than the "average." Qualitative research approaches implemented without sufficient field work are especially prone to ignore variability. Ignoring variability can result in a very inaccurate understanding of a situation and is especially dangerous when it causes project implementers to conclude that outsiders can design interventions for the "average" and that the recipients need only to adopt them passively. Recognition of variability can be an important beginning point for developing programs based on providing people with expanded options where the value of their decisions is recognized.

Illustrative Research Techniques Associated with a Systems Perspective

SEMI-STRUCTURED INTERVIEWS. Semi-structured interviews using short guidelines are the key to rapid appraisal based on a systems perspective. The most important way of learning about local conditions is to ask local participants what they know. The rapid appraisal team should get people to talk on a subject and not just answer direct questions. Sufficient time must be invested to establish rapport and to explain the purpose of the rapid appraisal. The interview should be a dialogue or process in which important information develops out of casual conversation. The key to successful informal interviewing is to be natural and relaxed while guiding the conversation to a fruitful end. "Talk with people and listen to their concerns and views" (Rhoades 1982:17). Rhoades (1985:119-120) recommends the following to improve the interview:

"It is best to keep as low a profile . . . as possible."

"Avoid the opinion poll syndrome [with the] researchers driving up . . . and jumping out with notebook in hand ready to interview."

"Oversized vehicles bearing official looking numbers driven by chauffeurs should, if possible, be avoided."

"Walk as much as possible and in small numbers."

"Be sensitive to the fact that people may be suspicious of outsiders."

The semi-structured interview is flexible, but it is also controlled (Burgess 1982:107). This type of interviewing has also been called "unstructured interviewing," "conversation" (Burgess 1982:107), and "conversation with a purpose" (Webb and Webb 1932:130). It has been suggested that the rapid appraisal must keep respondents relating experiences and attitudes that are relevant to the problem, and encourage them to discuss these experiences naturally and freely. Keeping the interview moving naturally requires a few comments and remarks, together with an occasional question designed to keep the subject on the main theme, to secure more details, and to stimulate the conversation when it lags. Keeping the conservation moving freely requires culturally appropriate gestures, nods of the head, smiles, and facial expressions that reflect the emotions narrated. Researchers need to have understanding and sympathy for the informant's point of view. "They need to follow their informants' responses and to listen to them carefully in order that a decision can be made concerning the direction in which to take the interview. In short, researchers have to be able to share the culture of their informants" (Burgess 1982:108).

As a general rule, interviews should be conducted under conditions most relevant to and revealing about the local system being investigated. For example, a rapid appraisal on health care should include interviews in the clinics where services are provided, while a rapid appraisal on agriculture should include interviews in farmers' fields where the rapid appraisal team can see visible evidence of farmers' behavior. Actual observation permits the identification of new topics for discussion. Conducting as many interviews as possible at the site of the action being investigated is an important part of direct observation. The rapid appraisal team should always note where interviews were conducted.

SELECTION OF RESPONDENTS. It is useful to differentiate between "individual respondents" and "key informants," and to ensure that "individual respondents" are purposely selected to represent variability and that "key informants" are able to describe the broader system beyond their own direct participation. Better information is collected from "individual respondents" when it is clear to both the respondent and team members that questions concern only the individual's knowledge and behavior, and not what he or she thinks about the knowledge and behavior of others. Interviews should be conducted with an opportunity sample of purposely selected "individual respondents." They should be chosen because they

95

represent a wide range of individuals in the system being investigated and should not be limited to what is assumed to be representative or average. For example, an opportunity sample of farmers might include farmer leaders, farmers who have tried recommended technologies, innovative farmers who have successfully developed improved technologies, women farmers who are both members and heads of households, farmers who represent major cropping systems in the area, poor farmers with very limited resources, and traditional farmers who have resisted new technology. The bias of interviewing only one gender when both are involved in the systems must be avoided. Following George Honadle's (1979:45) strategy for avoiding biases when investigating organizations, the rapid appraisal team could ask for the names of one or more individual respondents who are known to disagree with all decisions, generally promote trouble, and never cooperate with development programs. Responses from these persons can provide valuable cross-checks and insights not available from other interviews.

Key informants are expected to be able to answer questions about the knowledge and behavior of others and especially about the operations of the broader systems. They are willing to talk and are assumed to have in-depth knowledge about the system. Key informants for a study of a school system might include student leaders, administrators, school board members, and leaders of parent-teacher associations. It is usually worthwhile to ask who or which group of people are most knowledgeable, and then to seek them out.

USE OF SHORT GUIDELINES. Even if there is agreement that rapid appraisal should not be based on a questionnaire, there is considerable disagreement on the extent to which the team should develop hypotheses and general guidelines before starting the rapid appraisal. The exploratory survey (Collinson 1982:49) at one extreme, uses more than 11 pages of questions as guidelines for examining farming systems. This detailed guideline is to be followed closely, with all questions being asked of at least some farmers. At the other extreme, the sondeo does not even offer a list of topics beyond what is proposed as an outline for the written report. Failure to offer specific questions appears to be premised on the belief that interviews with farmers or other people in the area should be very general and wide-ranging, "because the team is exploring and searching for an unknown number of elements" (Hildebrand 1982:291). It is claimed that a framework prepared before beginning a rapid appraisal can predispose team members toward their own ideas, thereby blocking opportunities to gain new insights. Experience suggests that the use of short guidelines prepared in advance can be useful as long as they are not relied on too much. "In this early phase, the researcher is like an explorer, making a rapid survey of the horizon before plunging into the thickets from which the wider view is no longer possible" (Rhoades 1982:5). While one may begin with guidelines, important questions and direction of the study emerge as information is collected. "One must be able to accommodate new information and adjust research plans accordingly" (Rhoades 1982:7).

Guidelines need not be viewed as an agenda to be diligently worked through, but should be viewed as an aid to memory and a reminder of what might be missed (Bottrall 1981:248 *in* Chambers 1983:25). "Not everything needs to be known. The key to rapid appraisal is to move quickly and surely to the main problems, opportunities and actions" (Chambers 1983:25).

INTERVIEWING INDIVIDUALS AND GROUPS. Focus group interviews can be extremely useful in collecting certain types of information. Group interviews can be used in some cultures to collect information on topics where an individual may be penalized if he or she replies truthfully, but where a group talking about the community may not feel threatened (Chambers 1980:14). Often similar topics can be taken up in interviews with groups and "key informants." Group interviews where individuals are free to correct each other and discuss issues can identify variability within the community and prevent an atypical situation from being confused with the average.

Experience suggests that group interviews may reveal what people believe are preferred patterns as opposed to what actually exists. A very detailed description of the local crop rotation system by a group of farmers was later found not to be practiced by any of them exactly as described (Beebe 1982). Even when some topics have been covered by a group interview, the same topics should still be covered with individuals. The question changes from "What do local participants generally do?" to "What do you do?" The presence of others often influences answers, and so those who are present during an interview may need to be noted. The presence of authority figures can be expected to influence comments. For a rapid appraisal on farming, visits to the farmers' fields may provide an opportunity to be alone with the farmers without the influence of others.

DIAGRAMS. Drawing diagrams and pictures allows both individuals and groups to express and check information in ways that are often more valid than linear prose. Checkland and Scholes (1990:45) argue the reason for this ". . . is that human affairs reveal a rich moving pageant of relationships, and pictures are a better means for recording relationships and connections." Types of diagrams include sketches, bar diagrams, histograms, flow diagrams, and decision trees (Chambers 1991:525).

USE OF INTERPRETERS. All members of a rapid appraisal team should speak the local language. In practice, however, one or more members of a team may not speak the local language and an interpreter will have to be used. There is no excuse for not learning and using appropriate greetings. Knowledge of numbers and even a very few key words can allow a team member to appear to be understanding more than they actually do, and can improve the quality of the translation. Interpreters should be chosen carefully to ensure that they understand technical words that are likely to be used in the questions or answers. Before the interview, the team should go over the interview strategy with the interpreter, emphasizing that the team is interested in more than just "answers" to "questions."

The interpreter should not be physically between the speaker and the person being interviewed, but rather beside or slightly behind so that his or her function is clearly indicated. The team member should speak in brief sentences using a minimum number of words to express complete thoughts. The interpreter should be given time to translate before proceeding to the next thought. The team member should talk directly to the respondent, as if the respondent could understand everything said (Bostain 1970:1).

FIELD NOTE PREPARATION. One strategy for improving observational skills is to record only actual observations in the field notes. Field notes should contain what is actually seen and

96

heard as opposed to the team members' interpretation of the event. Far too often the field notes will say something like:

The farmer was angry because the price of rice had dropped.

The more useful field notes would report:

The farmer ran towards the marketing board office with a large field knife in his hand. Before entering the office he was restrained by his companions. He could be heard screaming "The buying price this year is not even as high as the price they paid last year" (adopted from Pelto and Pelto 1978:70).

Field notes limited to careful observations can often prevent the observer from imputing false meaning to people's actions (Honadle 1979:42).

Basic Concept 2. Triangulation

The term triangulation comes from navigation or physical surveying and describes an operation for finding a position or location by means of bearings from two known fixed points. When applied to rapid appraisal, it means systematically combining the observations of individuals with different backgrounds and combining different research methods. The assumption is that for most situations there is no one "best" way to obtain information, and even if there were, it could not be foreseen in advance. Triangulation involves conscious, nonrandom selection of research methods and team members based on the resources available and the system being investigated. Triangulation of individuals and methods improves the quality of information and provides crosschecks.

Illustrative Research Techniques Associated with Triangulation

Multidisciplinary teams. By definition, rapid appraisal cannot be done by one person. The expertise brought to the situation by the team members may be the most critical component of rapid appraisal. It is important for practitioners to understand the rationale for a team effort and the types of mixes that are likely to be most effective for triangulation. Team members should represent a range of disciplines that are most relevant to the topic. For example, a rapid appraisal team investigating health practices might include a social worker, a medical doctor, a "traditional" healer, and a public administration specialist. An agricultural development rapid appraisal team might include an agricultural economist and an agronomist. Semi-structured individual and group interviews provide numerous opportunities for triangulation as team members representing different disciplines initiate varied lines of inquiry and raise issues that otherwise could be overlooked. Team members can benefit from learning each others' special vocabularies, values, and conceptual models.

The disciplinary specialty of each team member often is not as critical as having different disciplines represented. Both men and women should be included on the team (Shaner, Philipp, and Schmehl 1982:74), and all team members should have some familiarity with all aspects of the system being investigated (Chambers 1983:23). Teams should be composed of a mix of insiders from and outsiders to the system being investigated. Outsiders are able to share experience and knowledge from other systems and their participation can be extremely valuable to the insiders in identifying possible options and in noting constraints that might otherwise be overlooked. At the same time, outsiders gain insights and knowledge from insiders that can guide their understanding of other systems investigated in the future.

Participation of insiders as full team members is one way of "putting people first." Robert Chambers (1991:515) notes that:

where people and their wishes and priorities are not put first, projects that affect and involve them encounter problems. Experience . . . shows that where people are consulted, where they participate freely, where their needs and priorities are given primacy in project identification, design, implementation, and monitoring, then economic and social performance are better and development is more sustainable.

Smaller teams are always preferred to larger teams. Members of large teams are more likely to talk to one another and less likely to listen and learn from others than are members of small teams (Rhoades 1982:16). Large teams often intimidate respondents; are more likely to be conservative and cautious; and take longer to produce a report and recommendations (Chambers 1983:23).

Information collected in advance. The combination of semi-structured interviews, information collected in advance, and direct observation provides rapid appraisal with some of the methodological strength usually associated with traditional qualitative approaches. Robert Chambers (1980:8) notes that despite the wealth of information in archives, annual reports, reports of surveys, academic papers, government statistics, etc., rapid appraisal teams often ignore these sources of data. This failure to collect basic data in advance of the rapid appraisal means that field research time is wasted in collecting already available data. Moreover, important research leads and topics suggested by previously collected material may be missed. The structure of the rapid appraisal process makes certain types of information collected in advance more relevant than others. For example, maps and aerial photos are especially relevant when a team visits an area for the first time.

Direct observation. Direct observation is an important rapid appraisal tool for validating data collected in advance, providing multiple checks on data collected from interviews, and suggesting additional topics for interviews. Direct observation can prevent rapid appraisal from being misled by myth (Chambers 1980:12). "Do it yourself" is an abbreviated form of participant observation where team members undertake an activity themselves. Doing so allows insights and prompts the volunteering of information that otherwise might not be accessible (Chambers 1991:524). Depending upon the situation, several specific direct observation techniques have been found relevant. Where locally accepted, a camera can be an extremely important research tool. Photos can be used to document conditions before an intervention. Sometimes the rapid appraisal team can do the local respondents a favor by sending back or returning with photos (Rhoades 1982:19). Agro-ecological transects based on systematic walks can document diverse conditions along a line, for example, from the highest to the lowest point (Chambers 1991:524, WRI 19:018). Agro-ecological transects help ensure that direct observations include attention to variability and that poorer areas and microenvironments are

97

not ignored. The preparation of sketch maps (and farm sketches) provide powerful visual tools that encourage the rapid appraisal team and local people to view community issues from a spatial perspective (WRI 1990:13). The use of proxy or nonobtrusive indicators, such as the presence of a sewing machine in a rural household, can provide shortcuts to insights about conditions and changes, especially when these indicators are identified by the participants in the local system.

Basic Concept 3. Iterative Data Collection and Analysis

Rapid appraisal is a process during which the researchers begin with information collected in advance, and then progressively learn from each other and from information provided by semi-structured interviews and direct observations. While the rapid appraisal team is searching for trends, patterns, and opportunities for generalization, the iterative nature of the process allows for the discovery of the unexpected. Rapid appraisal can be thought of as an open system using feedback to "learn" from its environment and progressively change itself. The research effort is structured to encourage participants to rapidly change questions, interviews, and direction as new information appears.

Rapid appraisal is divided between blocks of time used for collecting information and blocks of time during which the team considers the information collected and makes conscious decisions about additional methodology and lines of inquiry. These decisions include: what questions or subtopics to revise, add, or delete; what methods, tools, and techniques to change; where to go next; and what to do upon arrival (Grandstaff and Grandstaff 1985:10). The process is basically the same process as that used in "grounded theory," where instead of disproving preconceived hypotheses through the collection of data, new data are used to clarify the hypotheses.

Illustrative Research Techniques Associated with Iterative Information Collection and Analysis

Rapid appraisals must be scheduled to allow adequate time for group interaction and for collecting additional information. Often, time is set aside at either the beginning or the end of the day for team interaction. While the rapid appraisal is an iterative process itself, it is also part of a larger iterative process in which the results from the study are considered exploratory and subject to change either as new and better information is collected or as the situation changes.

Structuring the research time. Opinions differ considerably on how to structure the time of a rapid appraisal, but there is almost universal agreement on the importance of dividing time between collecting data and team interaction to make sense out of the collected data. Interaction between researchers at the end of each day and at the end of the field work is essential for success. Scheduling is necessary to ensure that there will be adequate time for group interaction and for returning to the field to collect additional information. The joint preparation of the rapid appraisal report by the team can be an important part of the iterative process.

The most common problem with rapid appraisals is failure to allow sufficient time. At a minimum there has to be time for multiple iterations. There is also a need for sufficient time to be observant, sensitive, and eclectic (Carruthers and Chambers 1981:418). Attempts at rapid appraisal carried out with insufficient time and inadequate planning should probably be called "tourism" (Chambers 1980:2), which introduces predictable biases into the process including inappropriate focus on elements of the system that are most obvious, observation of systems when it is physically easiest to observe, contact with individuals already involved in projects, and contact with individuals who are less disadvantaged (Chambers 1980:3). Inadequate time can also result in too much attention to the observed and not enough to the relationships, and failure to recognize that what is seen is a moment in time and not necessarily a trend which may be more important. The length of a rapid appraisal will depend upon the situation, but anything less than four days is probably inadequate for carrying out discussions; for identifying, discussing, modifying and rejecting ideas that emerge from these discussions; and for putting these ideas together in a usable form (Chambers 1983:28). Investing too much time and effort in a rapid appraisal is also not desirable. An appraisal that is too long may waste project time and cause participants to view the rapid appraisal as an end in itself instead of a tool for starting the learning process.

Flexibility

It is the simultaneous application of the three basic concepts and the quick results, and not the specific research techniques, that differentiates rapid appraisal from other approaches to research. While there are research techniques associated with the basic concepts that have proven effective under different conditions, these are not the only techniques available. Since rapid appraisal is not defined by a specific set of techniques, there is real flexibility in the process. Factors that influence how a specific rapid appraisal will be implemented include: available resources, research roles, subject matter, prior information available, and the complexity of the system being investigated (Grandstaff and Grandstaff 1985:11). The more limited the rapid appraisal team is in terms of discipline expertise, experience with interdisciplinary work, and experience with rapid appraisal, the more the need for explicit routines and attention to the selection of techniques (Grandstaff and Grandstaff 1985:11).

Experience with rapid appraisal in rural areas at Khon Kaen University in Thailand suggests that more than about five hours per day spent in semi-structured interviewing sessions proves exhaustive to even the heartiest team members and makes subsequent interviews less productive. More than about five days of this kind of fieldwork without a break can, however, be counterproductive. These kinds of time constraints operate on the schedule of fieldwork, not the overall length of the rapid appraisal (Grandstaff and Grandstaff 1985:12).

Available information collected in advance can have a major effect on methodology, even to the extent of showing that something else is needed instead of, or in addition to, the rapid appraisal. The content of the review will affect the initial guidelines used for semi-structured interviews. When specific information is not available prior to the study, extra time and special techniques may be required to gather it.

98

Confidence in Rapid Appraisal and Data Collection Checklists

Flexibility is critical to making rapid appraisal relevant to a wide range of systems and is a major strength of the approach. This flexibility can, however, be abused and has been interpreted by some as allowing individuals to do anything, or almost nothing, and call it "rapid appraisal." A set of standard techniques could solve this problem, but only at the expense of the needed flexibility. The alternative to standardization is to document as part of the rapid appraisal report the techniques used. Checklists that document what was done allow the readers of a report to judge the quality of the work and can also remind the rapid appraisal team of important issues during the appraisal. A generic checklist is suggested that must be adapted to the specific situation under which the appraisal is implemented.[2]

Conclusion

"It will perhaps always be a struggle to argue, however valid the case, that it is better to be vaguely right than precisely wrong" (Carruthers and Chambers 1981:418).

Rapid appraisal provides relatively quick qualitative results that are likely to be vaguely right and that can be used for decisions about additional research or preliminary decisions for the design and implementation of applied activities. When applied with care and caution, it can help a decision maker avoid being precisely wrong. Rapid appraisal makes use of selected techniques from the social sciences and it is not suggested that rapid appraisal can substitute for more long-term, in-depth studies, where a situation calls for more than being vaguely right. In many situations, however, being vaguely right is adequate for the design of additional research, to initiate activities which have to be started quickly, or to make mid-course corrections during implementation. In some situations, initial understanding of complex systems requires the different perspectives of team members with distinct disciplinary training and local participants. Team efforts are possible in the long term, but they are not as likely. Correctly done, rapid appraisal is always better than a quick-and-dirty "tourist" approach during the first phases of an investigation. If done too quickly and without sufficient methodological rigor, however, rapid appraisal can be more dangerous than "tourism" when it results in inappropriate confidence being placed in the results.

The experience of those who have used the approach suggests that rapid appraisal could be relevant to a much wider audience. For individuals who have had limited experience with qualitative techniques, there is a need to provide a strong rationale for and an introduction to it; and to help experienced qualitative researchers understand ways in which rapid appraisal differs from traditional approaches. There is general consensus from users that rapid appraisal is best learned while participating as a team member with someone with experience, but that since rapid appraisal is "organized common sense," it can be self-taught. A 17 minute instructional video has been developed that features the use of rapid appraisal by a Foster Parents Plan project in Guatemala. The video is available in both US and PAL video standards and demonstrates some of the techniques, applications, and principles involved (Scrimshaw and Hurtado 1987). It is hoped that sufficient information is provided in this paper to help current users of rapid appraisal do a better job, to allow new users to experiment with the approach, and to convince potential decision-makers who are the clients for rapid appraisal they can have confidence in the results.

This paper has suggested that there are three basic concepts associated with rapid appraisal: (1) a system perspective, (2) triangulation of data collection, and (3) iterative data collection and analysis; and that the use of these concepts to select specific research techniques can provide a flexible, but rigorous, approach to relatively quick qualitative research data that goes beyond a "tourist" approach. The paper has identified numerous specific research techniques while arguing that there are other techniques associated with the three concepts, and that even the techniques mentioned will often have to be adapted to the specific purpose of the study and local conditions. While rapid appraisal shares many of the characteristics of traditional, qualitative research, it differs in that it requires more than one researcher, team interaction is part of the methodology, and results are produced faster. The paper has noted that the most common problem for rapid appraisal is the failure to allow sufficient time to be observant, sensitive, eclectic, and to have multiple iterations of data collection and analysis. Finally the paper has suggested the use of a "Checklist for Rapid Appraisal Data Collection" to remind the team of important issues during the appraisal and to document what was done.

Notes

[1] Members of the working group, in addition to the author were Terry Grandstaff, M. A. Hamid, and Neil Jamieson.

[2] Sample Checklist for Rapid Appraisal Data Collection

Title: [1] ____________________

Objectives: ____________________

____

Field work dates: ____________________

Report completion date: ____________________

Rapid Appraisal Team composition

Name	tech. background	Language[2]	Local[3]	Experience[4]
1				
2				
3				
4				

1. The title should include the name of the geographic or administrative unit and the unit of analysis.
2. Language use categories
   1. Exclusive use of respondents' first language
   2. Use of respondents' second language
   3. Mixture of respondents' first and second languages
   4. Mixture of respondents' languages and use of interpreter
   5. Exclusive use of interpreters
3. Local or outsider categories:
   1. From site, living and working there
   2. From outside the area
4. Categories for prior experience
   0. No prior experience doing Rapid Appraisal
   T. Participation in a training course on Rapid Appraisal
   1. to a. Number of prior Rapid Appraisals

Number of hours spent in field collecting data ____________

Number of hours spent by team in discussions of data ____________

94

Information collected in advance and reviewed by the team
____
____

Types of information collected by direct observation
____
____

Number of individual respondents interviewed __________
Method of selection ____________________
____

Place of interviews ____________________
Among individual respondents approximately what percent were from different groups relevant to the system being investigated?
For example,
women ____ %, old people ____ %, youth ____ %
from among the poorest 25 percent ____ %
from among the 25 percent who live farthest from the road ____ %
(note average distance in km. ____ from road)
from significant ethnic or cultural minorities ____ %
from those identified as "trouble makers" ____ %
Number of key informants interviewed __________
Method of selecting key informants __________
Positions/occupation of key informants and topics they reported on
____

Topics for group interviews and composition of groups
____
____

Date set for reviewing and updating this report: __________

REFERENCES CITED

Agricultural Administration
1981 Special Issue on Rapid Rural Appraisal. Agricultural Administration 8(6).

Beebe, James
1982 Rapid Rural Appraisal, Umm Hijliij Breimya, El Obeid, Northern Kordofan. Khartoum, Sudan: USAID. Unpublished manuscript.
1985 Rapid Rural Appraisal: The Critical First Step in a Farming Systems Approach to Research. (Farming Systems Support Project Networking Paper No. 5.) Gainesville, FL: International Programs, Institute of Food and Agricultural Sciences, University of Florida.

Bostain, J. C.
1970 Suggestions for Efficient Use of an Untrained Interpreter. Washington, DC: US Department of State.

Burgess, Robert
1982 The Unstructured Interview as a Conversation. *In* Field Research: A Sourcebook and Field Manual. Robert G. Burgess, ed. Pp. 107–110. London: George Allen and Unwin.

Carruthers, Ian and Robert Chambers, eds.
1981 Special Issue on Rapid Rural Appraisal. Agricultural Administration 8(6).

Cernea, Michael
1990 Re-tooling in Applied Social Investigation for Development Planning: Some Methodological Issues. Opening address to the International Conference on Rapid Assessment Methodologies, Washington, DC.

Chambers, Robert
1980 Rapid Rural Appraisal: Rationale and Repertoire. (Discussion Paper No. 155.) Brighton: Institute of Development Studies.
1981 Rural Poverty Unperceived: Problems and Remedies. World Development 9:1–19.
1983 Rapid Appraisal for Improving Existing Canal Irrigation Systems. (Discussion Paper Series No. 8.) New Delhi, India: Ford Foundation.
1991 Shortcut and Participatory Methods for Gaining Social Information for Projects. *In* Putting People First: Sociological Variables in Rural Development, 2nd ed. Michael M. Cernea, ed. Pp. 515–537. Washington, DC: Oxford University Press, World Bank.

Checkland, Peter and Jim Scholes
1990 Soft Systems Methodology in Action. Chichester: John Wiley & Sons.

Clark University, Program for International Development and Kenya Ministry of Environment and Natural Resources, National Environment Secretariat (CUNES)
1989 An Introduction to Participatory Rural Appraisal for Rural Resources Management. Worcester, MA: Program for International Development, Clark University.

Collinson, Michael
1981 A Low Cost Approach to Understanding Small Farmers. Agricultural Administration 8:463–471.
1982 Farming Systems Research in Eastern Africa: the Experience of CIMMYT and Some National Agricultural Research Services 1976–1981. (Michigan State University International Development Paper No. 3.) East Lansing: Department of Agricultural Economics, Michigan State University.

Conservation International
1991 A Biological Assessment of the Alto Madidi Region and Adjacent Areas of Northwest Bolivia. (Rapid Assessment Program Working Papers 1.) Washington, DC: Conservation International.

Conway, Gordon
1985 Rapid Rural Appraisal for Agroecosystem Analysis: Training Notes for the Aga Khan Rural Support Programme. London: Northern Pakistan, Aga Khan Support Programme, Babar Road, Gilgit, Northern Pakistan and Centre for Environmental Technology, Imperial College of Science and Technology.

de los Reyes, Romana
1984 Sociotechnical Profile: A Tool for Rapid Rural Appraisal. Manila, Philippines: Institute of Philippine Culture, Ateneo de Manila University.

Galt, Daniel
1985 How Rapid Rural Appraisal and Other Socio-economic Diagnostic Techniques Fit into the Cyclic FSR/E Process. Paper presented at the International Conference on Rapid Rural Appraisal, Khon Kaen, Thailand.

Grandstaff, Terry B. and Somluckrat W. Grandstaff
1985 A Conceptual Basis for Methodological Development in Rapid Rural Appraisal. Paper presented at the International Conference on Rapid Rural Appraisal, Khon Kaen, Thailand.

Guyton, William
1992 Guidelines for Marketing Information Needs Assessments (MINAs): AMIS Project. Quezon City, Philippines: Abt Associates.

Hassin-Brack, Jeanette
1988 Rapid Rural Appraisal Annotated Bibliography: Nutrition in Agriculture Cooperative Agreement. Tucson: University of Arizona.

Hildebrand, Peter
1982 Summary of the Sondeo Methodology Used by ICTA. *In* Farming Systems Research and Development: Guidelines for Developing Countries. W. W. Shaner, P. F. Philipp, and W. R. Schmehl, eds. Pp. 89–291. Boulder, CO: Westview.

Holtzman, John
1993 Rapid Appraisal Methods in a Diagnostic Assessment of Vegetable Seed Marketing. *In* Rapid Appraisal Methods: World Bank Regional and Sectoral Studies. Krishna Kumar, ed. Pp. 112–135. Washington, DC: The World Bank.

100

Honadle, George
1979 Rapid Reconnaissance Approaches to Organizational Analysis for Development Administration. Paper presented at the RRA Conference, at the Institute of Development Studies, University of Sussex, Brighton.

Khon Kaen University
1987 Proceedings of the 1985 International Conference on Rapid Rural Appraisal. Khon Kaen, Thailand: Rural Systems Research and Farming Systems Research Projects.

Kumar, Krishna, ed.
1993 Rapid Appraisal Methods: World Bank Regional and Sectoral Studies. Washington, DC: World Bank.

la Gra, Jerry
1990 A Commodity System Assessment Methodology for Problem and Project Identification. Moscow, Idaho: University of Idaho, College of Agriculture, Postharvest Institute for Perishables.

McCracken, Jennifer, Jules Pretty, and Gordon Conway
1988 An Introduction to Rapid Rural Appraisal for Agricultural Development. London: International Institute for Environment and Development.

Menegay, Merle, C. Milona, R. Millendez, R. Quero, and R. Alberto
1990 User's Manual on the Fundamental Analytics for Rapid Marketing Appraisals in the Philippines, 2nd ed. Quezon City, Philippines: Department of Agriculture.

Molnar, A.
1989 Community Forestry Rapid Appraisal: A Review Paper. Rome: Food and Agriculture Organization of the United Nations.

Pelto, Pertti and Gretel Pelto
1978 Anthropological Research: The Structure of Inquiry. Cambridge: Cambridge University Press.

Rhoades, Robert E.
1982 The Art of the Informal Agricultural Survey. (Training Document 1982-2.) Lima, Peru: Social Sciences Department, International Potato Center.
1985 Basic Field Techniques for Rapid Rural Appraisal. Paper presented at the International Conference on Rapid Rural Appraisal, Khon Kaen, Thailand.

Scrimshaw, Nevin and Gary R. Gleason, eds.
1992 Rapid Assessment Procedures: Qualitative Methodologies for Planning and Evaluation of Health Related Programmes. Boston: International Nutrition Foundation for Developing Countries.

Scrimshaw, Susan and Elena Hurtado
1987 Rapid Assessment Procedures for Nutrition and Primary Health Care: Anthropological Approaches to Improving Programme Effectiveness. Los Angeles: UCLA Latin American Center Publications, University of California.

Shaner, W. W., P. F. Philipp, and W. R. Schmehl
1982 Farming Systems Research and Development: Guidelines for Developing Countries. Boulder, CO: Westview.

Stone, Linda and S. Gabriel Campbell
1984 The Use and Misuse of Surveys in International Development: An Experiment from Nepal. Human Organization 43: 27–37.

Webb, S. and B. Webb
1932 Methods of Social Study. London: Longmans, Green.

Wilson, Kathleen K. and George Morren, Jr.
1990 Systems Approaches for Improvement in Agriculture and Resource Management. New York: MacMillan.

World Resources Institute (WRI)
1990 Participatory Rural Appraisal Handbook. Washington, DC: World Resources Institute.

101

WORK GROUP EXERCISE

Customer Service Planning: Customer Identification and Description

The purpose of this exercise is to familiarize you with the concept of "customer" as it applies to USAID's operating context; to enable you to distinguish between "ultimate" and "intermediate" customers; and to demonstrate the utility of analysing the linkages which connect USAID programs through intermediary links to the ultimate customer.

You will be provided with a brief outline of a Strategic Objective developed for a USAID-assisted country. Your task, as a work group, is a) to identify the ultimate customers who are expected to be the "end users" of USAID's assistance, and whose participation is essential to achieving sustainable development results; b) to trace the intermediary links through which the services/commodities/training to be provided to assist the host country to achieve results toward the Strategic Objective must move (you may also wish to identify "competitors" and "parasites which may influence achievement of desired results!); c) to prepare a brief description of the links you map out, the contribution each link makes to delivery to the ultimate customer; the way you would obtain feedback from each link; how you would elicit participation from each link -- especially from ultimate customer representatives; and how -- if at all -- this procedure differs from current USAID operational procedures in the field. Your work group representative will provide the workshop with a brief presentation of your findings, conclusions, recommendations, and comments.

FULANISTAN ASSISTANCE PROGRAM

Background. After thirty-nine years of one-party, centralized Presidential rule, Fulanistan succeeded in its "democratic revolution", established a multi-party Parliamentary government, and made dramatic economic and social changes. It adopted a serious structural adjustment program; liberalized its markets; formulated a population policy; launched an environmental action program; and continued political liberalization. Recent free and fair elections provide hope for continuation of these positive development trends. However, serious problems continue to constrain Fulanistan's growth. The terrain in many parts of the country is difficult; transportation and communications are poor; most energy is provided through fuelwood, with hydroelectric potential undeveloped. Most Fulani live in rural communities, with minimal facilities and poor sanitation. Most earn their livelihoods by rice agriculture, although there are increasing amounts of land devoted to non-traditional cash crops intended for export. Population growth continues at 5% per year, and 53% of all Fulanis are under age 15. Literacy averages 22%, with female literacy barely half that. The major challenge to Fulanistan's development lies in transforming a substistence rural economy of fragmented markets and poor communications into a competitive, efficient market economy that taps regional comparative advantages and multiplies inter-regional and inter-sector trade. This must be done while controlling population growth, conserving natural resources and environmental diversity, and maintaining Fulanistan's course toward full representational democracy.

USAID's portfolio includes 12 programs over the period 1993-1998. The Population and Natural Resources/Environment programs are in place; programs addressing the market environment and development of "neglected regions" are being initiated. The portfolio is supported by development assistance, food aid, and local currency programs, at an overall OYB level of $ 27 million.

STRATEGIC OBJECTIVE: ESTABLISH A COMPETITIVE MARKET ENVIRONMENT FOR MICRO AND SMALL FIRMS

This Strategic Objective includes three key elements:

1. Ensure fair and swift treatment of entrepreneurs by the legal and judicial system.

2. Provide broader access to savings and credit.

3. Expand services supporting small businesses.

Who are the "customers" who are intended to benefit from the results of USAID-supported activities toward this Strategic Objective? Whose participation will be essential if the results are to be sustained? Working backward from the "ultimate customers", what are the major linkages for delivering USAID's assistance?

STRATEGIC OBJECTIVE: REDUCE NATURAL RESOURCES DEPLETION

This Strategic Objective includes several elements:

1. Reducing natural resource depletion in target areas.
2. Conserving biodiversity in National parks and reserves.
3. Improving management of forest resources and National parks.
4. Increasing income opportunities for resource users.
5. Improving natural resources institutional capacity.

Who are the "customers" whose activities are intended to benefit from the results of activities USAID implements in support of this Strategic Objective, and whose participation will be essential if the results of USAID assistance are to be sustained? Working backward from the intended "ultimate customers", what are the major linkages for delivering USAID's assistance?

STRATEGIC OBJECTIVE: REDUCE TOTAL FERTILITY

This Strategic Objective includes two elements:

1. Increase use of modern contraceptives.

2. Improve the nutritional status of children under age five.

Who are the "customers"? Who will be affected by the results of USAID-supported activities aimed at this Strategic Objective, and whose participation will be essential if results are to be sustained? Working backward from the intended "ultimate customers", what are the major linkages for delivering USAID's assistance?

STRATEGIC OBJECTIVE: INCREASE MARKET ACCESS FOR NEGLECTED REGIONS

This Strategic Objective includes three complementary elements:

1. Reduce transport and transactions costs for farm-to-market transport.

2. Increase and diversify agricultural production and sales.

3. Expand locally-managed market infrastructure.

Who are the "customers" who are intended to benefit from the results of USAID-supported activities toward this Strategic Objective? Whose participation will be essential if the results are to be sustained? Working backward from the "ultimate customers", what are the major linkages for delivering USAID's assistance?

Contributions to Customer Focus in Reengineering:
Overseas Workshops, Washington Activities, Current Priorities

Anne T. Sweetser, Ph.D.
AAAS Fellow, Participation Initiative, PPC.CCI
April 29, 1996

What should be done when the proverbial starting gun goes off and reengineering really begins? -- after months of reflecting on how to arrange teams within missions and foster new types of partnerships, what to do first?

We have found that most USAID missions -- even the CELs -- have had difficulty implementing the customer focus core value of reengineering. Many cite political pressure to demonstrate short-term results and the unchanged laws governing contracting and personnel decisions as impediments to conducting business in a new way. Insecurity promotes conservatism where the greatest opportunities lie in innovation.

Working with six missions in just over a year, I have found that the most useful response is a very direct one: initiate direct contact with ultimate customers using rapid appraisal (RA) and participatory appraisal (PRA) methodologies. Work with community members, host-country governments (local as well as national) and NGOs (indigenous and international) in this. In this way, make ultimate customer focus the cornerstone of partnerships that empower people at multiple levels. Whether a new activity is being planned or implemented, or an on-going project being evaluated, these research methods facilitate the type of interaction and learning that best promotes attainment of sustainable results.

So, the next question is: How do you do this?

Through my work as an AAAS Fellow with the Participation Initiative, PPC has provided a practical answer. I have created and led training workshops in RA and PRA in for missions with an interest in doing business in this way. I have worked to help them make customer focus the bedrock of the Strategic Objective design process and assisted them in applying teamwork skills in a learning environment that conforms with reengineering.

* In Bangladesh, I helped the Democracy CEL by training eighteen FSNs in rapid appraisal so the CEL could initiate a new, ultimate customer-focused activity in accordance with reengineering procedures. As a result, the CEL Democracy Program focused the objectives of their new SO on the lives of poor Bangladeshis. The empowered FSNs have since assisted the mission with customer assessments in

two other SO efforts. This was during March-April, 1995.

* In El Salvador, I met with each SO team as the schedule for reengineering tasks for the next year was presented; I was asked to clarify many issues. I led two workshops (in shifts) covering both RA and PRA during the second week. Each had over 20 participants and included two full days of classroom work, two half day field trips to practice RA interviewing and PRA mapping. The mission has planned a large scale customer survey and asked me to return to lead a longer workshop to prepare the participants for this study. This was during August, 1995.

* At the request of the mission in Honduras, I held brief sessions with each SO team to share ideas about the nature and utility of qualitative research methods for customer surveying. This was also during August, 1995.

* In Nepal, I helped the Empowerment of Women Strategic Objective team prepare to conduct a customer survey to integrate the three previously existing projects (literacy, microenterprise and legal literacy) that had been grouped under the SO into a cohesive effort. I trained 25, including 13 FSNs from throughout the mission and representatives of several indigenous and international NGOs, in both RA and PRA. Teamwork and to some extent training others in RA and PRA were also included. I proposed that the mission consider an accelerated procurement mechanism similar to that used in Bangladesh during the previous spring to speed implementation based on results of the customer survey that was to immediately follow the workshop. This ran from late January through much of February, 1996.

* In Egypt, I held a similar workshop for a more diverse group. Representatives of each SO team in Jordan and the major SO team in Yemen attended; I incorporated some exercises on training to help prepare participants to propagate RA and PRA in USAID's work throughout the region. Participants included 13 Egyptian FSNs, four representatives of different government ministries, two from two large international NGOs working in Egypt, and two from a major (government-run) university. Interview field trials were conducted in neighborhoods of Cairo where USAID is sponsoring sewer system development. PRA practice was conducted in Fayoum Province in large villages where irrigation and other activities are conducted by organizations affiliated with USAID and other donors. All participants analyzed the design of a major new USAID activity in Egypt and proposed ways to incorporate RA and PRA to enhance customer focus. A PRA Group formed within the mission at the end of the workshop to disseminate knowledge about participatory research and promote its use by each SO, to liaise with other organizations (including

donors, partners, and intermediate customers) in Egypt and the region, and (perhaps) to promote reengineering. This was in March, 1996.

* In Jordan, I led three short workshops, working with those who had attended the Cairo workshop. For USAID employees and for community outreach workers with the *Ministry of Irrigation I led two separate two-day programs. For *irrigation authorities I led a one-day workshop. No field trials were included. We met with people in the mission who were interested to reflect on ways of applying RA and PRA to the USAID's work in Jordan and discussed adaptations of the methods to the largely urban country. As in Egypt, a PRA group was planned within the mission prior to my departure. This was in early April, 1996.

* In the Philippines (or Indonesia?) in conjunction with the Biodiversity Conservation Network, I hope to present another workshop early this summer. Participants should include an equal number from USAID and from BCN with possibly a few from relevant government ministries. The focus of this iteration will be both environment, including establishment of viable, ecologically-responsible enterprises, and creation of a participatory monitoring process covering both biological and social/business issues. This will be in June or July 1996.

In Washington, I have organized, in conjunction with Diane La Voy, a number of activities aimed at promoting these methods and their application to USAID business.

* I have assisted Diane with a number of the monthly participation forums. In particular, I was pleased to share the podium with Karl Schwartz, Democracy Team Leader in USAID/Dhaka, during Forum 14 (November 1, 1995), in which he presented the work of the Bangladesh CEL and spoke about the results and uses of the customer survey for which I had trained the interviewers. Another highly relevant forum (March, 1995), concerned customer service planning.

* I organized a workshop on 'Rapid Appraisal and Beyond' for USAID/Washington that was held on July 27, 1995. This was attended by over forty USAID staff, including at least one FSN on TDY in Washington. Presentations covered the advantages and limitations of rapid appraisal (RA) and participatory (rural) appraisal (PRA) and included a participatory assessment exercise.

* On October 23, 1995 we sponsored a second workshop on 'Participatory Evaluation.' This covered several approaches to participatory evaluation, stressed its role in bridging a pseudo-gap between evaluation and planning subsequent actions, and ended with a panel discussion on the role of

participatory approaches to monitoring and evaluation under reengineering. Approximately fifty attended, almost all USAID staff.

Plans for promoting incorporation of my experience in promoting customer focus in USAID work include the following:

* Recently, several offices within AID/Washington have expressed interest in my sharing some of my knowledge about PRA by making informal presentations about the overseas workshops. I feel that these will be an excellent opportunity for open discussion about the nature and applicability of PRA and semi-structured interviewing to USAID business.

* Diane and I continue to discuss with M/ROR and M/Training my observations from the field and their implications about the value of (and need for) T.A. and training to promote the adoption of methods which will facilitate competent customer surveying in all phases of USAID work.

* We are also collaborating with CDIE to arrange a workshop or other opportunities to share my approach with CDIE contractors who regularly assist missions in strategy development and to promote dissemination of lessons that I (and others who have visited missions in the past few months) have learned about full adoption of re-engineering.

PARTICIPATORY (RURAL) APPRAISAL

Like relaxed appraisal, this is a qualitative research method. It assumes that people everywhere know a great deal about their worlds, even if they are unable to read or write, or to talk about their world as a set of interacting systems (for example, biological, economic, political, religious, family systems).

Like RA it avoids the problem of asking the wrong questions (by deciding upon what questions to ask before talking with people) -- instead it helps outsiders learn about the insiders view of reality and what is important.

Unlike rapid appraisal, it is not only "extractive" -- that is, it does more than produce information that outsiders can use. It helps groups think together about the society and the environment in which they live, it can help them make decisions about matters of common interest, it can help groups resolve conflicts too. In other words, it is a tool for gathering information and a tool for capacity building at the same time. It allows people to feel that activities are THEIRS, thus, it empowers.

It has been used in many countries around the world, mostly by NGOs, for analyzing, planning, monitoring, and evaluating projects in many sectors, mostly in rural areas.

REQUIREMENTS:

Good rapport with (all) people (or Respect and Empathy)
Excellent Listening
Ability to "Sit Down" and Learn from Others
Willingness to "Pass the Stick" -- to let someone else be in charge, to let someone else be the teacher, to empower
Capacity to Try, Criticize Oneself, Try Again
Critical Self-Awareness -- always realizing that part of being human is being part of some culture that conditions the way you view the world, what you prefer and how you think-- always looking with new eyes, and listening with new ears.

PITFALLS:

Both rapid appraisal and participatory appraisal require care to be done well. You must make your best effort to really understand others and find the best way to help them help themselves, or you are just a "development tourist."

AVOID: Rushing, Missing the Poor, Overlooking women (50%!), Treating people differently, Teaching rather than Listening and Learning, Interrupting, Suggesting, Imposing "our" categories, Asking questions that make sense in our worldview (only), Lecturing rather than listening and learning, Missing Poor Women, Being Afriad to Make Mistakes, Being Afraid to Experiment.

EXAMPLES OF PRA MAPPING AND DIAGRAMMING

On the following pages are copies of overheads compiled from several sources (listed in the bibliography) illustrating a variety of styles of maps and diagrams or matrices that can be created by villagers working together to analyze their problems and actions they might take to resolve them.

Included are:

definitions of PRA (contrasting it with traditional research) (2)

story with a gap (2)

general social map

life history

resource, agriculture and economy maps:
- community, crop, water flow maps (3)
- transect (following pre-determined path through an area)
- matrix on uses of different types of trees
- transect (cross-section) and matrix on fish
- matrix on non-agricultural work

seasonal maps:
- rainfall and soil moisture for past ten years
- piecharts with land use overall and in different seasons
- economic and resource issues (3)

health sector examples:
- community map with incidence of diseases (2)
- seasonality
- generational change in maternal child health (circular)

gender examples:
- resource and production activities by gender map
- women's mobility

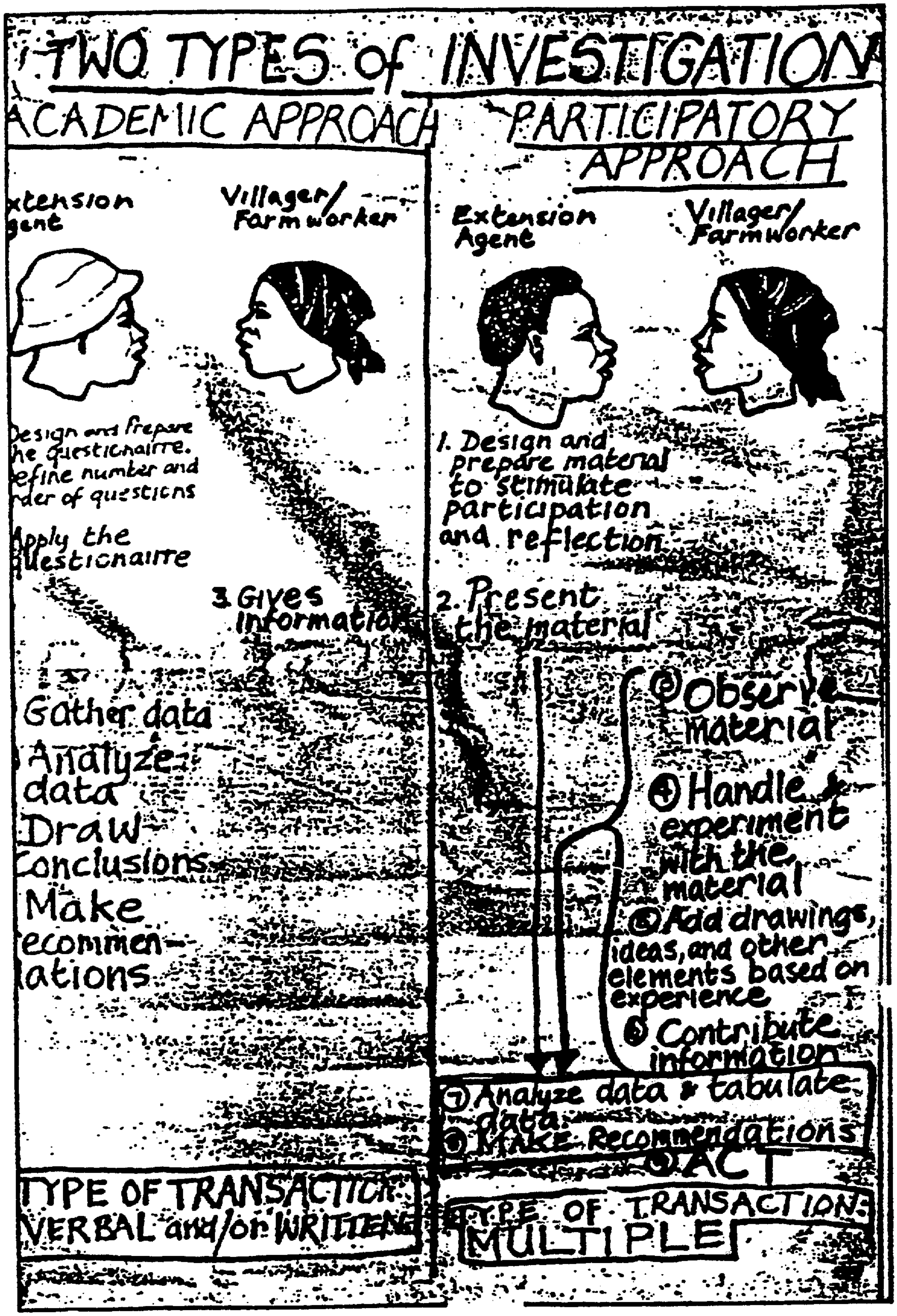
Venn diagrams -- contrasting gender perspectives

historical change in natural resources and production (3)

balloon diagram, causal chains of women's problems

spider diagram at conclusion of series of meetings in which large numbers of families analyzed their problems and discussed opportunities and priorities for action

113


TWO TYPES of INVESTIGATION
ACADEMIC APPROACH
PARTICIPATORY APPROACH
xtension gent
Villager/ Farmworker
Design and Prepare he questionnaire. efine number and der of questions
Apply the questionnaire
3. Gives information
Gather data
Analyze data
Draw Conclusions
Make ecommen-ations
TYPE OF TRANSACTION
VERBAL and/or WRITTEN
Extension Agent
Villager/ Farmworker
1. Design and prepare material to stimulate participation and reflection
2. Present the material
③ Observe material
④ Handle & experiment with the material
⑤ Add drawings, ideas, and other elements based on experience
⑥ Contribute information
⑦ Analyze data & tabulate data
⑧ Make Recommendations
⑨ ACT
TYPE OF TRANSACTION:
MULTIPLE

SOME GUIDELINES FOR PLANNING PARTICIPATORY ACTIVITIES

	If you want to SUCCEED, you need to:	**If you do, you will:**
S	Set a brief, clear task rather than lecture or ask questions.	Share power.
U	Use hands-on, multi-sensory materials rather than rely only on verbal communications.	Broaden the base of participation.
C	Create an informal, relaxed climate.	Equalise status.
C	Choose a growth-producing activity.	Draw out talents, leadership, mutual respect.
E	Evoke feelings, beliefs, needs, doubts, perceptions, aspirations.	Ensure relevance.
E	Encourage creativity, analysis, planning.	Enhance personal confidence, self-esteem, skills, resourcefulness.
D	Decentralise decision-making.	Develop capacity for practical action.

PROCEDURES:

■ Divide the participants into two or three subgroups.

■ Present the "before" picture to the participants and either invite their comments on what they see or personalise the scene by telling them about a family that lived in that village (give names, details of health hazards etc.) Build the story up to a crisis point where something had to be done to improve conditions.

■ Ask them to speculate on why the village situation has deteriorated. For example, if the picture includes a broken pump, participants may suggest the following: too many users, no caretakers, lack of maintenance knowledge, lack of spare parts, well is dry, children misuse it, vandalism, animals destroy the apron.

■ Having established the "before" baseline situation, introduce the "after" picture and allow time for the group to discuss it, noting the substantial improvements achieved.

■ Next raise the question: What steps do you think the village people took in changing the conditions of their village from "before" to "after"? Here, have the group brainstorm or, if necessary, distribute the pictures of steps. You could include blank cards among the pictures for participants to add steps of their own.

Before

After

Sample Story with a Gap "Steps"

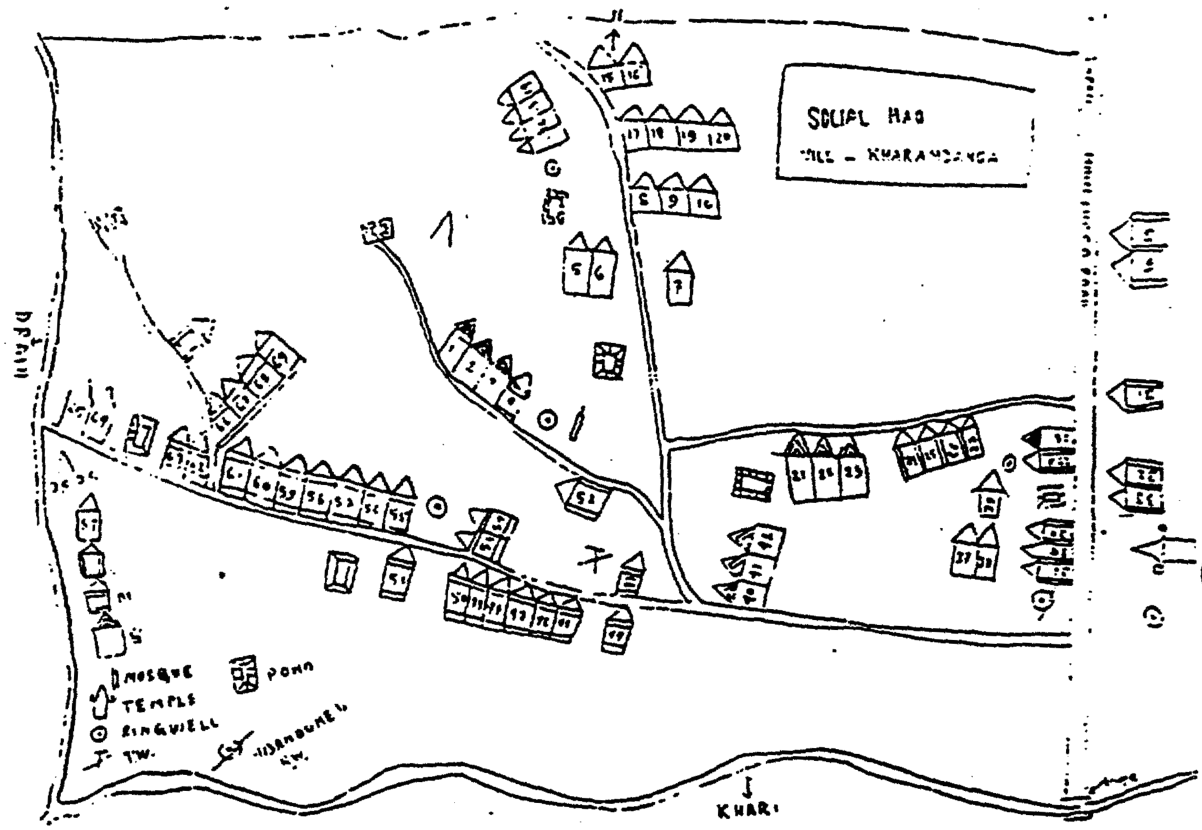


Figure 28 Social map of Kharamdanga village

Muddamma's Life Story :

1935 : Born in a poor family - Mudiyannur.
Childhood : Living on alms & casual work.
1950 : Married to an equally poor person in Gundalpet.
1951 : First son born.
1954 : Loses her husband.
Back to Mudiyannur with her son -
For livelihood - casual work & Missionarie's help.
1956 : Migrated to Bangalore - working with nuns.
1960 : Comes back to the Missionaries in Panakahally.
1961 : Finds her new marriage partner - Bagyarathnam.
1962 : Bagyarathnam ex-communicated and returns to Mudiyannur.
The first son placed in bondage - second son born.
1964 : Life's struggle worsens - Drought.
1965 : Has a third son - Unable to feed children.
Sickness in the family - forced to seek alms.
Her another son and a daughter in succession.
1970 : Second & third sons placed in bondage in order
to release the eldest and get him married.
1972 : Worst drought - No drinking water -
walks 5 kms to Doddapurma for water.
1980 : Eldest son releases one of his brothers and gets
him married.
1982 : Loses her husband.
1985 : MYRADA's intervention in second son's development
(Laurance) - Sericulture; cross bred calf.
1986 : Second son releases both brothers and gets the
elder married.
1987 : Moves to Government alloted house with Laurance's
family - Gets her daughter married.
1988 : Participants in the development attempt of
Laurance - I.R.D.P. LOAN - Bicycle shop.
1990 : Narrates her life struggle - 2 meals a day
Freedom from struggle
Looking forward ....

Figure 15 Time line of a family, indicating crisis periods in a poor woman's life, and how she managed these crises. Information from Muddamma of Mudlanar village

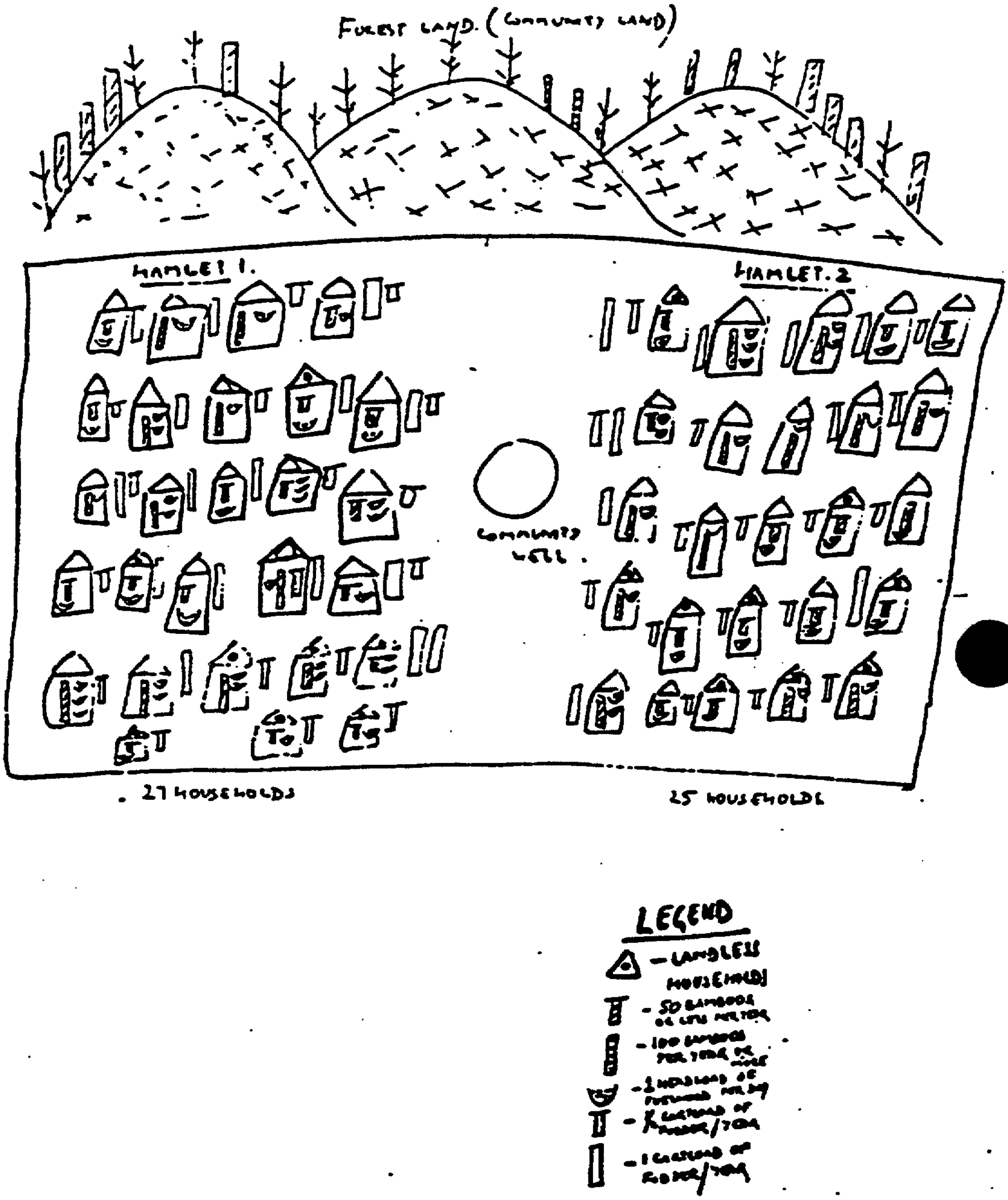


Figure 20 Forest land users map, showing products used by different sections of village community. Bharuch District, Gujarat. All household names were on the original map

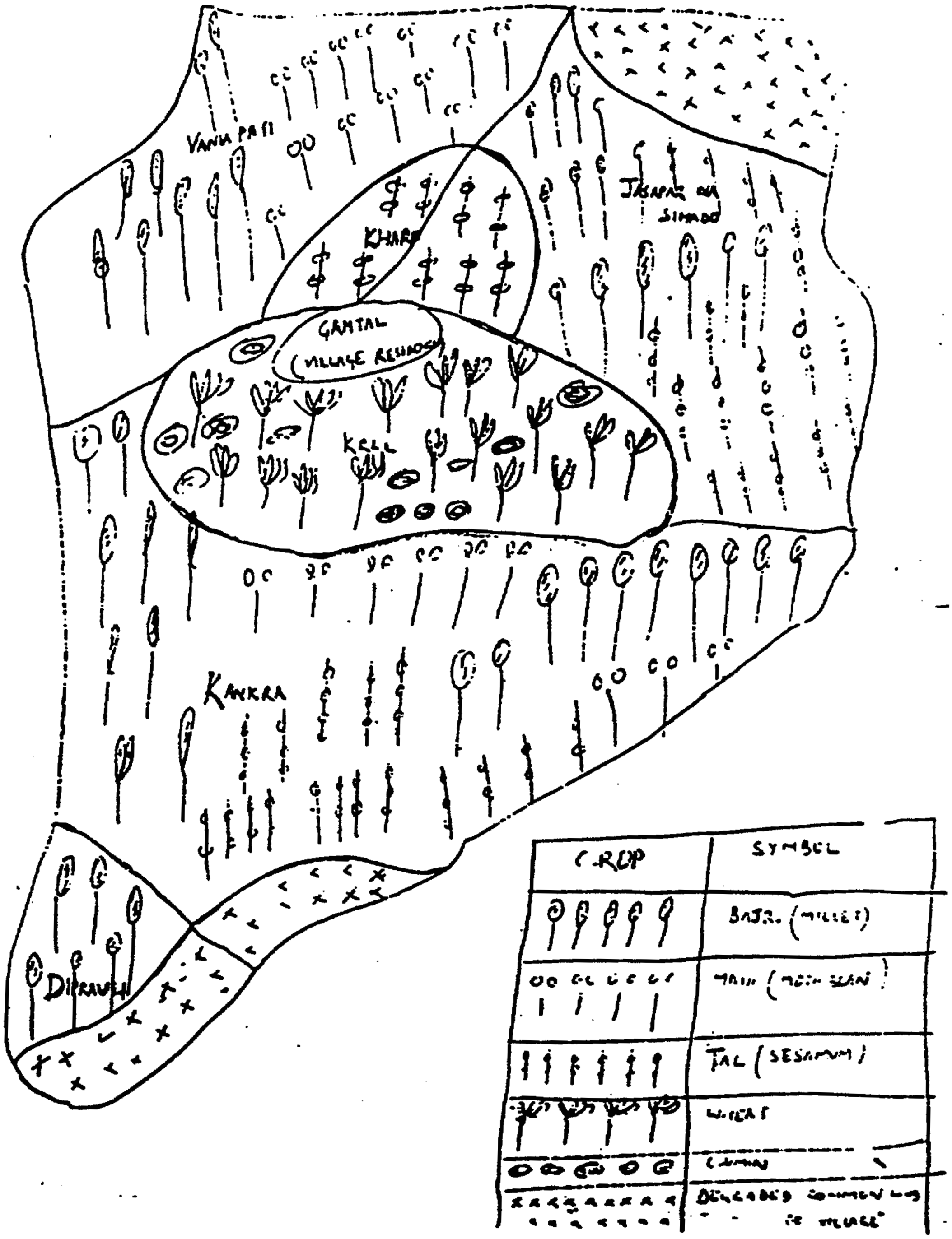


Figure 26 Cropping pattern map for Madargadh village. December 1989

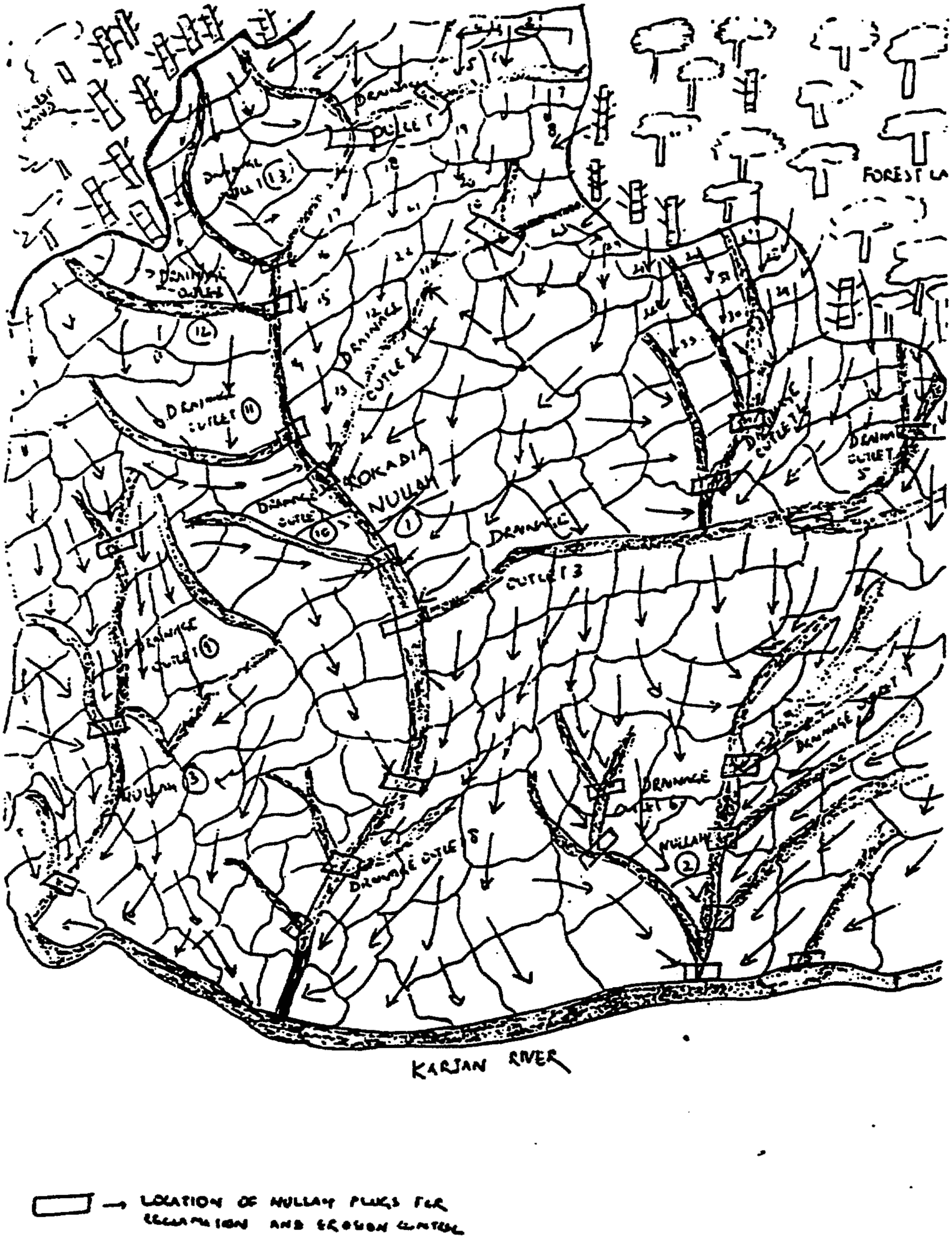


Figure 23 Watershed status and treatment map for Pangham village, Bharuch District. Prepared by Extension Volunteers and aggregated from outlet maps

VILLAGE — KHARAMDANGA

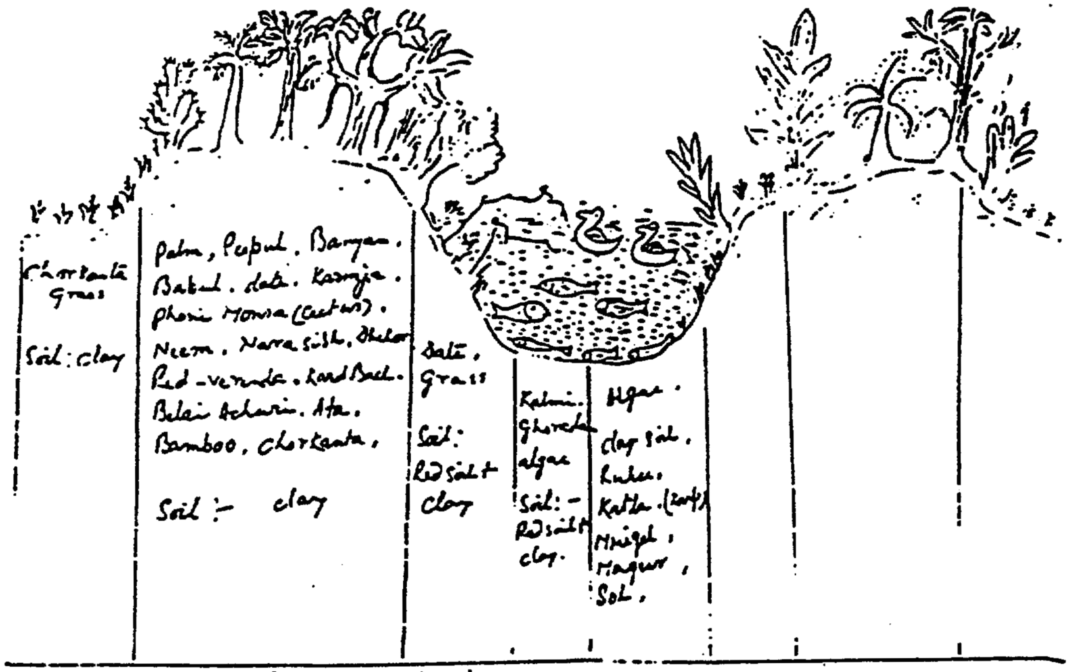
OWNERSHIP	PRIVATE	PRIVATE		Wasteland
SOIL	CLAY		ALLUVIAL SOIL	
GRASS		BIRNA, KASIYA		PATIKESPUR
TREES	MANGO, BAMBOO, KADAM, SHIMUL, GUAVA, COCONUT, TETUL		PAKUR, BANANA, KALMIGATA	KEEJUR, ACACIA, TAL
ANIMAL	Cow, Goat, Buffalo	Cow, Goat, Buffaloo, Duck, Fish		Fish, Snaik.
CROP/VEGITABLE		TOMATO, CABBAGE, CHILLIE	JUTE, PADDY, MUSTARD, PATATO, ONIONS	
IRRIGATION	RAIN	POND	RAIN	
FACILITIES	"Birna" grass used as roofing			
PROBLEM	"LABOUR" - Scarcity of labour in harvesting period			

Figure 32 Transect of Kharamdanga

UDIYANAM PATTI MATRIX RANKING TREES.

SCALE : 1 - Minimum use
6 - Maximum use

	TAMARIND TREE	NEEM TREE	ACACIA NILOTICA	PALM TREE	MORINDA TINTORIA	PROSOPIS JULIFLORA
FOOD PURPOSE	• • • • • •	NIL	NIL	• • • •	NIL	NIL
FODDER FOR GOATS	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓ ✓ ✓	✓ ✓	✓ ✓ ✓	✓ ✓
FIRE WOOD	⊏ ⊏	⊏ ⊏	⊏ ⊏ ⊏ ⊏	⊏ ⊏	⊏ ⊏ ⊏	⊏ ⊏ ⊏ ⊏ ⊏
USE OF HOUSE CONSTRUCTION	NIL	□ □ □ □ □	NIL	□ □ □ □ □ □	□ □ □	NIL
USE OF AGRI IMPLEMENTS	NIL	⊐ ⊐ ⊐ ⊐	⊐ ⊐ ⊐ ⊐ ⊐	NIL	⊐ ⊐ ⊐ ⊐	NIL
CHARCOAL MAKING	♛ ♛	NIL	♛ ♛	NIL	NIL	♛ ♛ ♛ ♛ ♛
MEDICINE PURPOSE	⊖ ⊖	⊖ ⊖ ⊖ ⊖ ⊖	NIL	NIL	⊖ ⊖ ⊖	NIL
DECORATIVE PURPOSE'S	NIL	✡ ✡ ✡ ✡	✡ ✡	✡ ✡ ✡ ✡ ✡	NIL	NIL



Transect of a pond

Name	Ruhu	Kaila	Mrigel	Silver Carp	Cyprinus Carp	Telapia	Magur	Sol
Taste	8	7	6	3	4	1	5	3
Costly	8	6	5	2	4	1	7	3
Nutrition	7	6	6	5	5	2	8	5
Fig size	7	8	5	6	8	1	2	3
Shallow water	-	-	-	-	5	6	8	7
Habit	8	7	6	3	2	1	5	4
Low Cost	4	5	3	1	2	8	7	6
Total	48	46	34	25	30	28	43	33
	1st	2nd					3rd	

Figure 38 Transect of a pond and a matrix ranking of eight

	COBBLER	TAMARIND	LEAF PLATE	CUSTARD APPLE	BRICK MAKING	FIREWOOD	PONGEMEA
TIME CONSUMPTION	o o o	o o o	o o o	o o o	o o o o o	o o o o	o o
PROFITS	o o o o o	o o o o	o o o	o o o o o	o o o o	o o	o
LABOUR	o	o o	o	o	o o o o	o	o
LOAN	o o	-	-	-	-	-	-
HARD WORK	o o	o o	o o	o o o	o o o o	o o o o	o o

Staff : Elias
Suresh
Padmavathi

Participants : P. Lakshminarayana
Krishnappa
Gangulamana
Gangojamana

Figure 11 Matrix ranking of non-agricultural livelihoods in Godavellagudda village. Constructed by village women who selected their own criteria

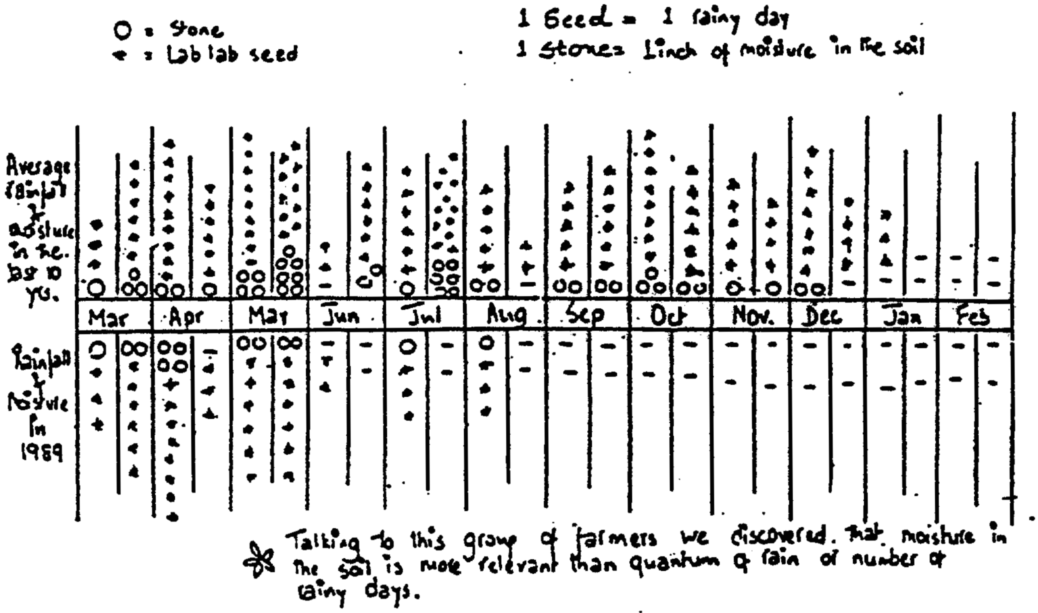
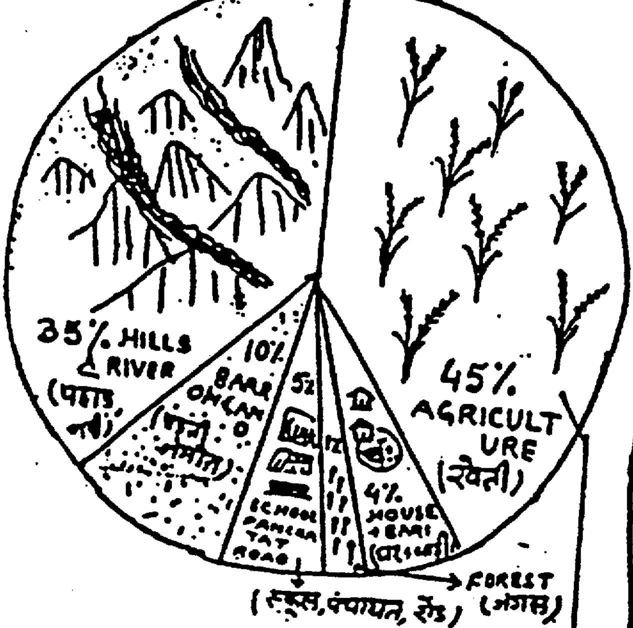


Figure 9 Seasonality of rainfall in Neegu village. Drawn from an original diagram made by villagers



LAND DISTRIBUTION (भूमि विभाजन)

1. AGRICULTURE (खेती) → 45%
2. HILLS & RIVER (पहाड़ नदी) → 35%
3. BARRONLAND (पड़ती जमीन) → 10%
4. SCHOOL, PANCHAYAT ROAD (स्कूल, पंचायत, रोड) → 05%
5. HOUSE + BARI (घर बाड़ी) → 04%
6. FOREST (जंगल) → 01%

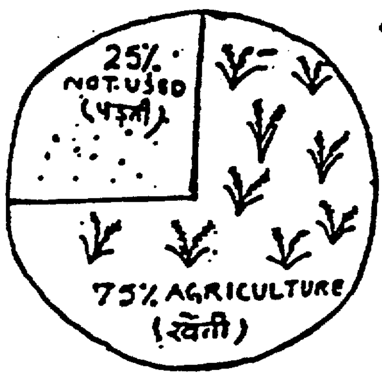
DISTRIBUTION OF AGRICULTURAL LAND DURING DIFFERENT SEASONS
(कृषि हेतु जमीन का उपयोग भिन्न मौसम में)

→ RAINY SEASON (वर्षाती खेती) (KHARIF) → 75%
(वर्षाती खेती) UNUSED LAND (अनुपयुक्त जमीन) - 25%

→ WINTER CROP (रबी) (RABI) (जाड़े वाली) → 35%
UNUSED (अनुपयुक्त) - 65%

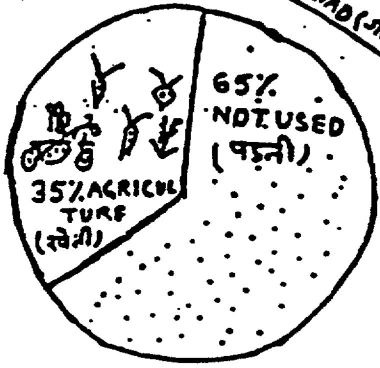
→ SUMMER CROP (ZIAD) आयाद (गरमी खेती) → 10%
UNUSED (अनउपयुक्त) → 90%

KHARIF (वर्षाती) RABI (रबी) SUMMER & ZIAD (जायद)



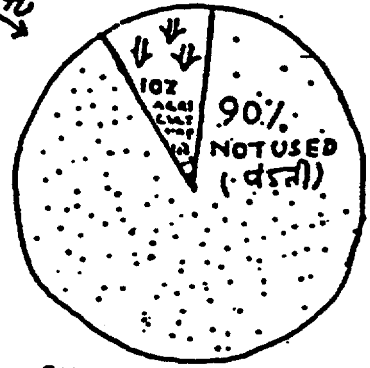
KHARIF (वर्षाती खेती)

1. AGRICULTURE ON → 75% (खेती)
2. LAND NOT UNDER AGRICULTURE → 25% (पड़ती जमीन)



WINTER CROPPING OR RABI
(जाड़ा में खेती या रबी खेती)

1. LAND USED FOR CROPPING → 35% (कृषि के लिये जमीन का उपयोग)
2. LAND NOT UNDER CROPPING → 65% (पड़ती जमीन)



SUMMER CROPPING OR ZIAD
(गरमा खेती या आयाद)

1. LAND USED FOR AGRICULTURE → 10% (कृषि हेतु जमीन का उपयोग)
2. LAND NOT USED FOR AGRICULTURE → 90% (पड़ती जमीन)

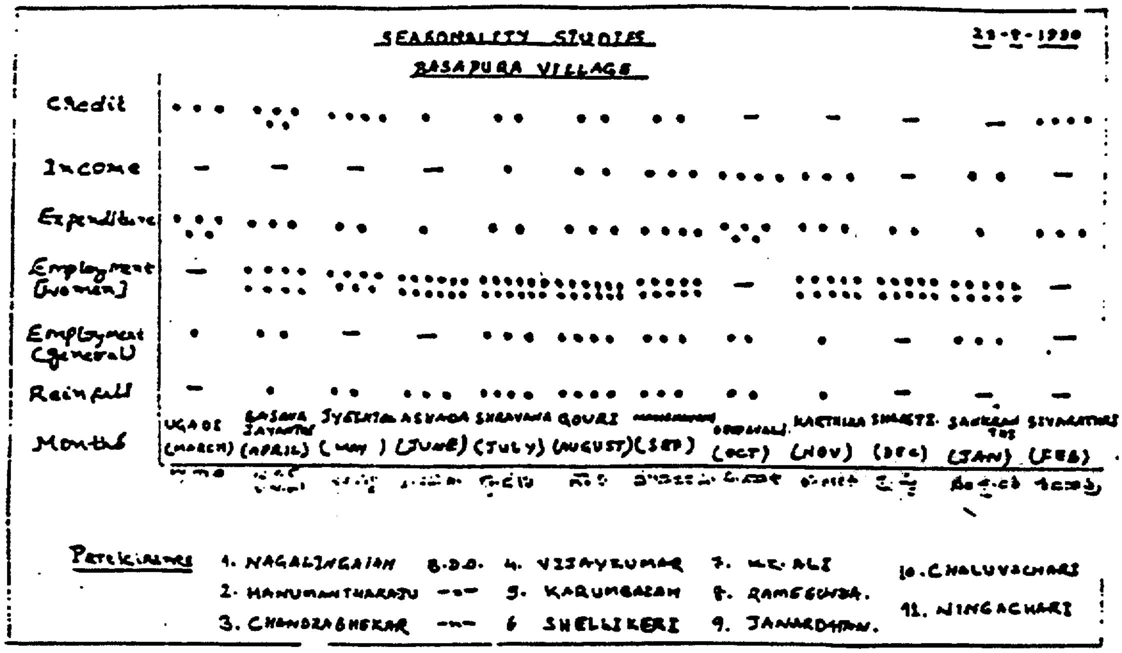


Figure 10 Seasonality of employment, income, credit and expenditure in village of Basavapuram

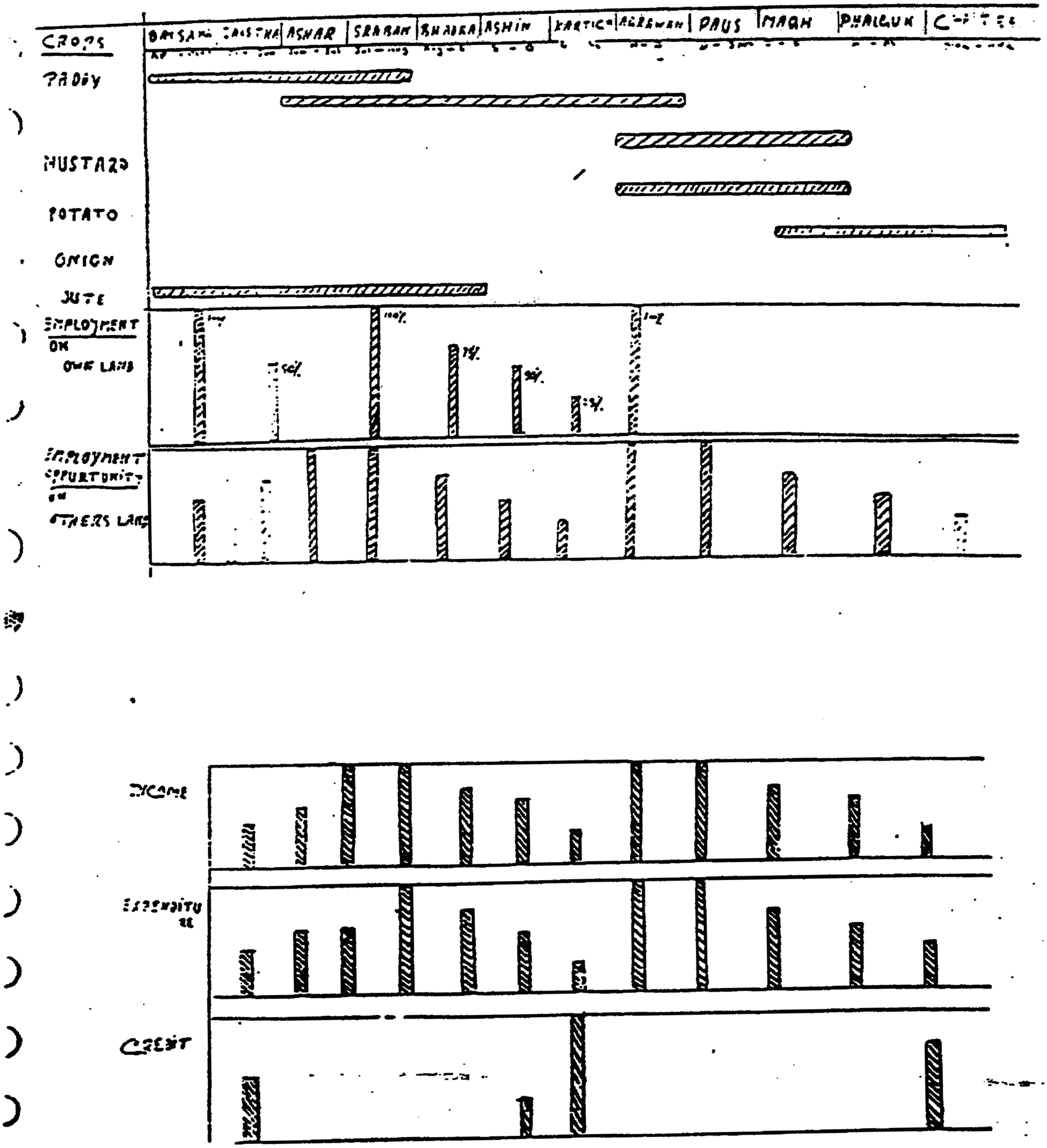


Figure 35 Seasonal analysis of crops, employment opportunities, income, expenditure and credit of a scheduled tribe farmer. Note horizontal scales differ between top and bottom sections

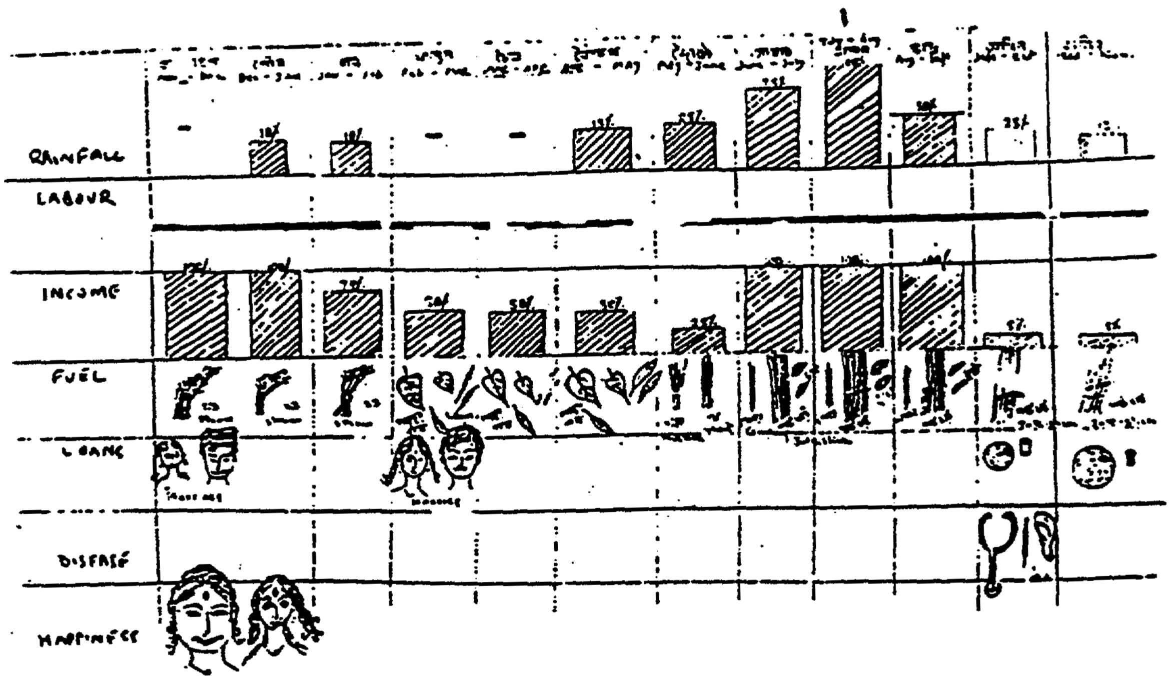


Figure 37 Seasonal analysis by women of Kharamdanga

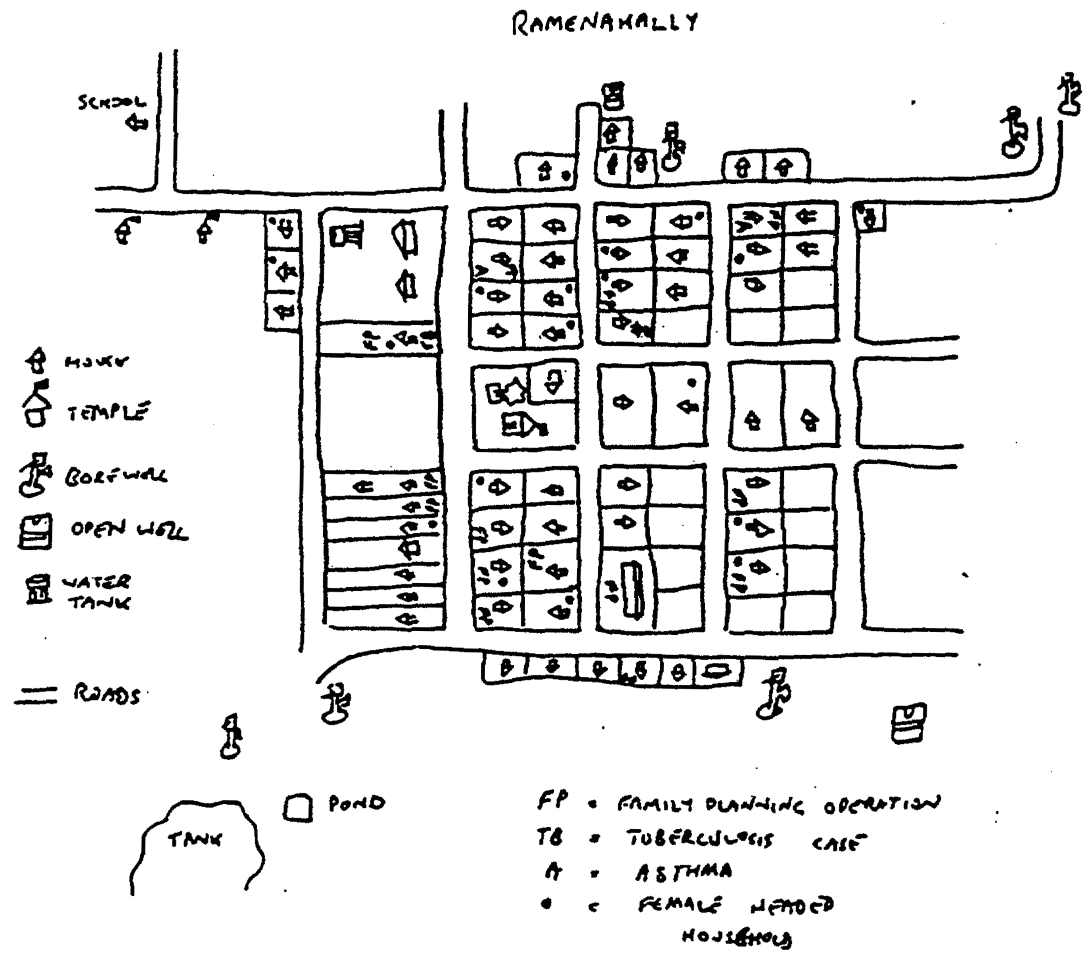
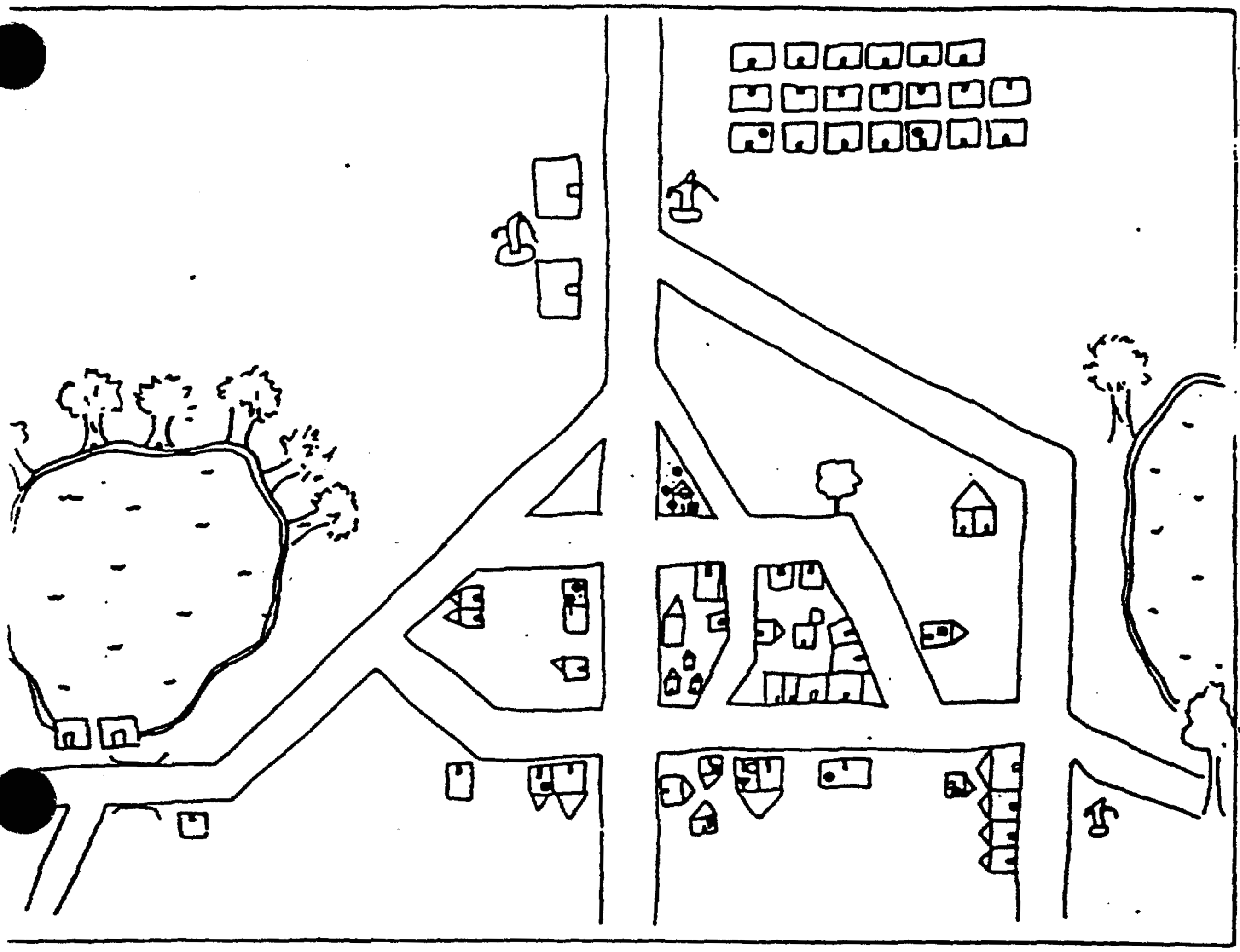


Figure 5 Social map drawn by villagers of Ramenahally village



43 Social map with incidence of disease for each household of Udayanampatti village. After they drew the map, participants used different coloured stickers to mark the houses in which members suffer from ante-natal and post-natal problems, deafness, chronic illness, disability, malnutrition, jaundice, TB and paralysis

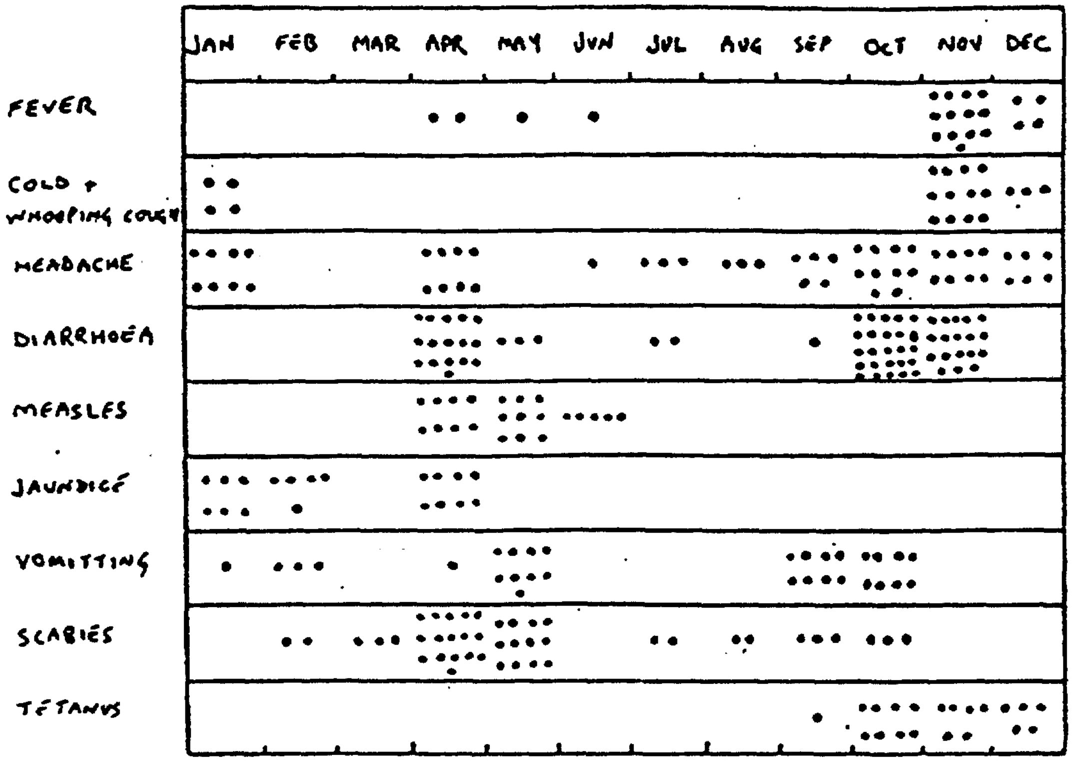
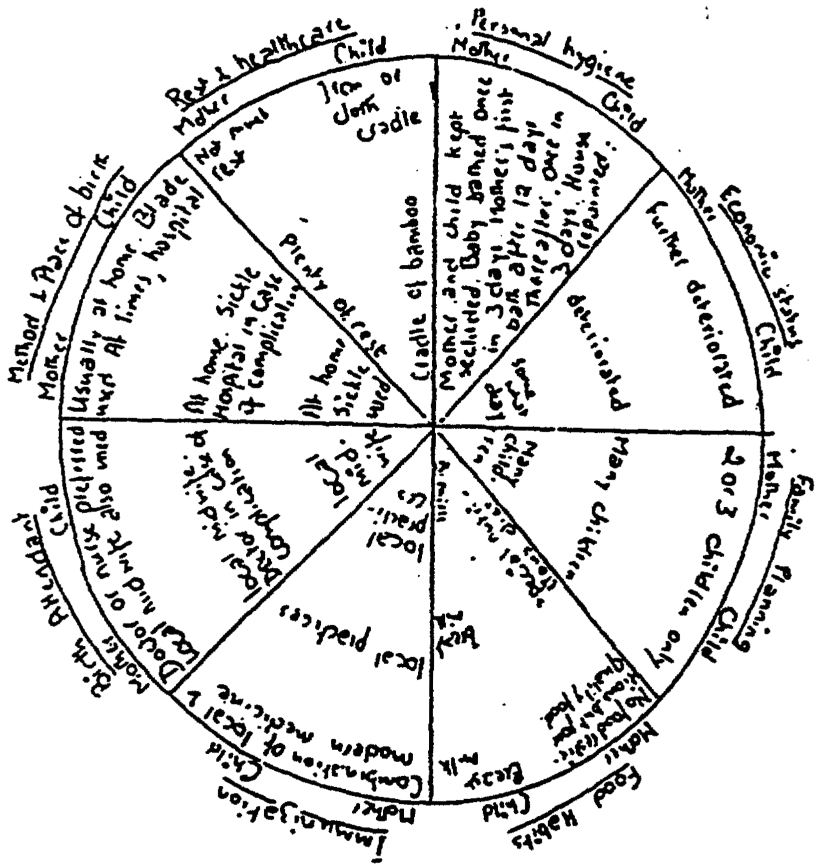


Figure 44 Seasonal health calendar of nine diseases, Udayanampatti village. Villages used stickers to depict frequency

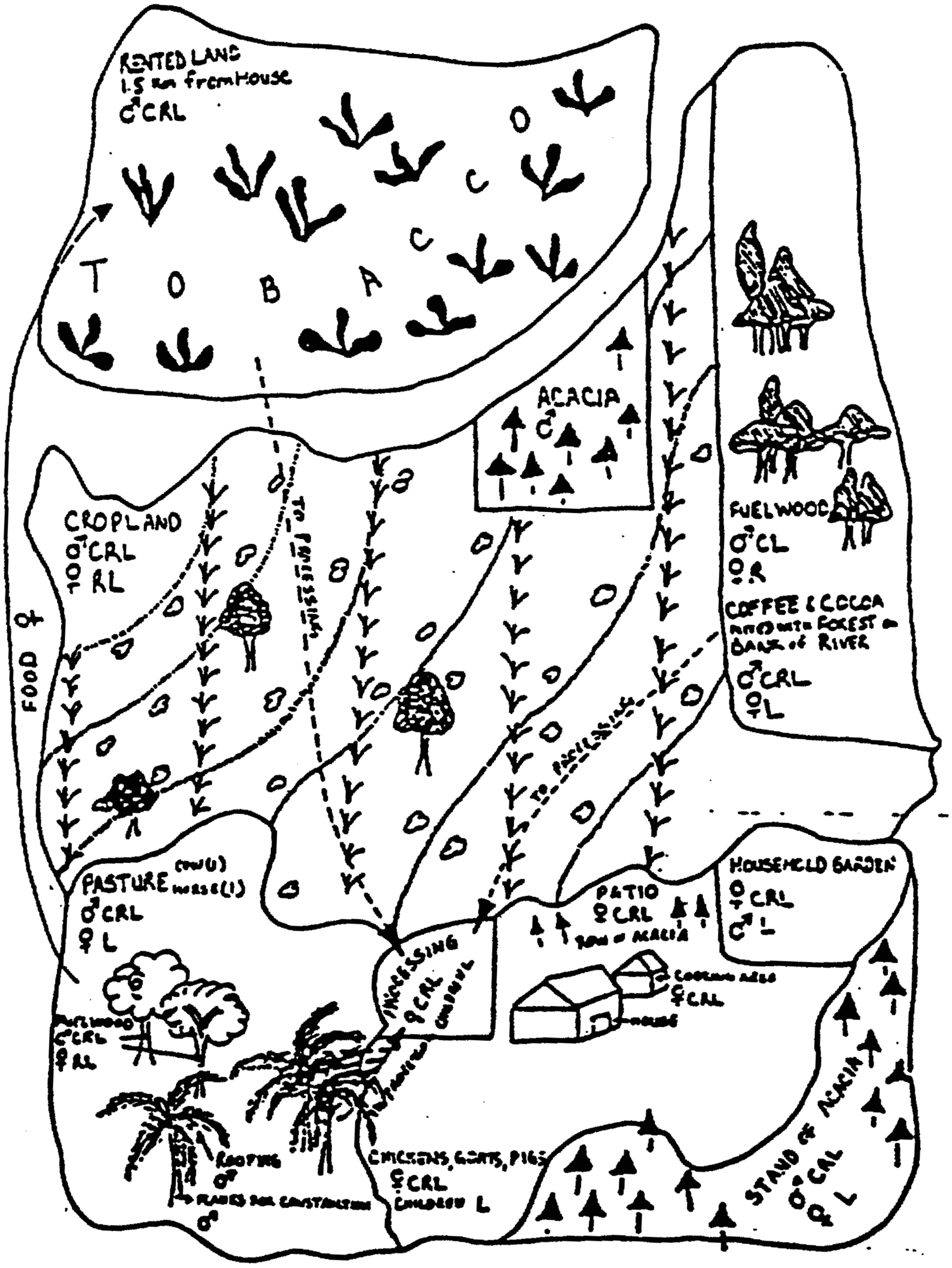
Trends in mother and childcare at childbirth
Inner circle = long ago
Middle circle : 25 yrs. ago
Outer circle = present



[Information collected from middle class household. Cannot be generalized for all households]

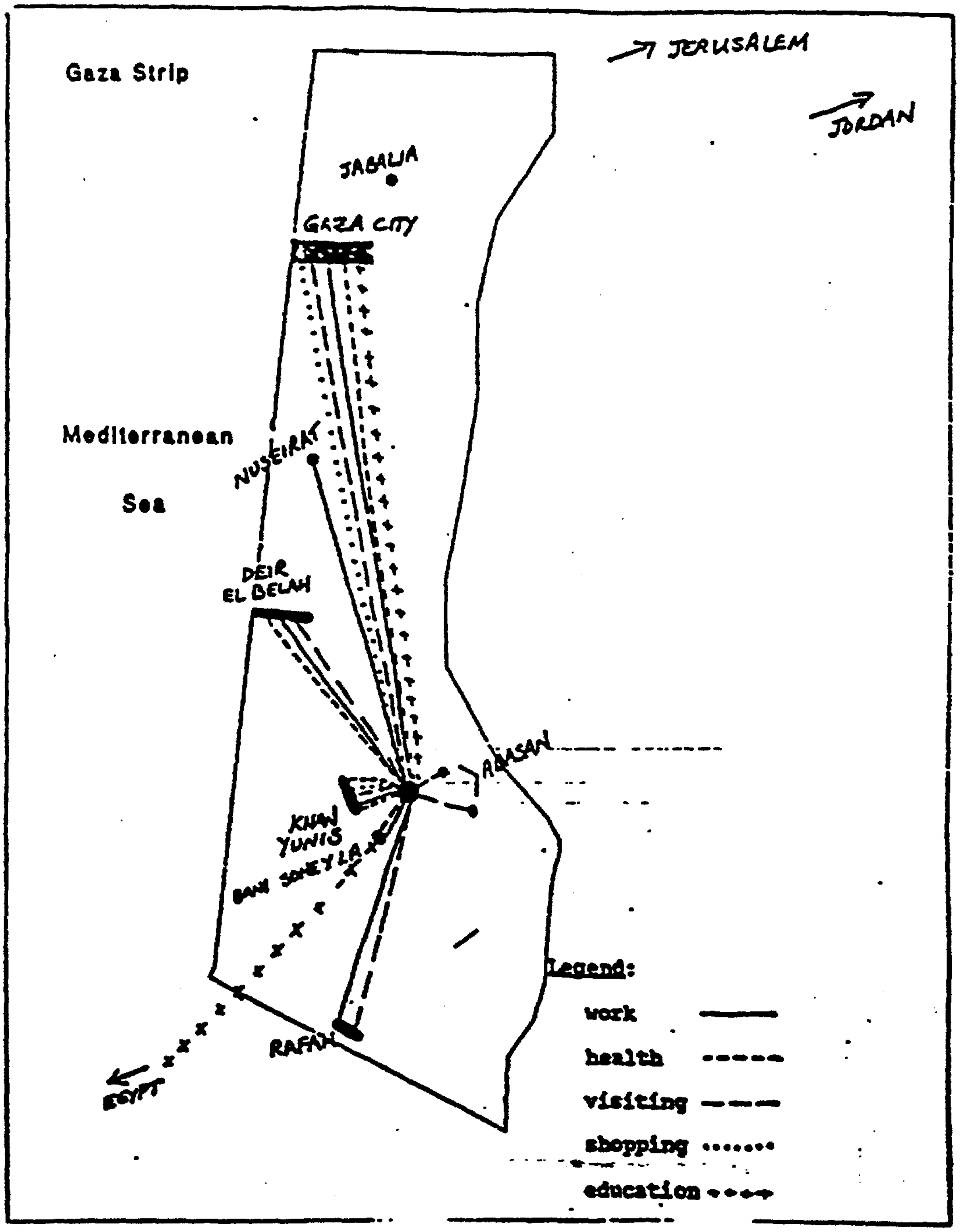
Figure 14 Trends in mother and child care over three generations - grandmother, mother and child. Drawn from information gathered from women at Neegu village

Gender Resource Map
Zambrana, Dominican Republic**

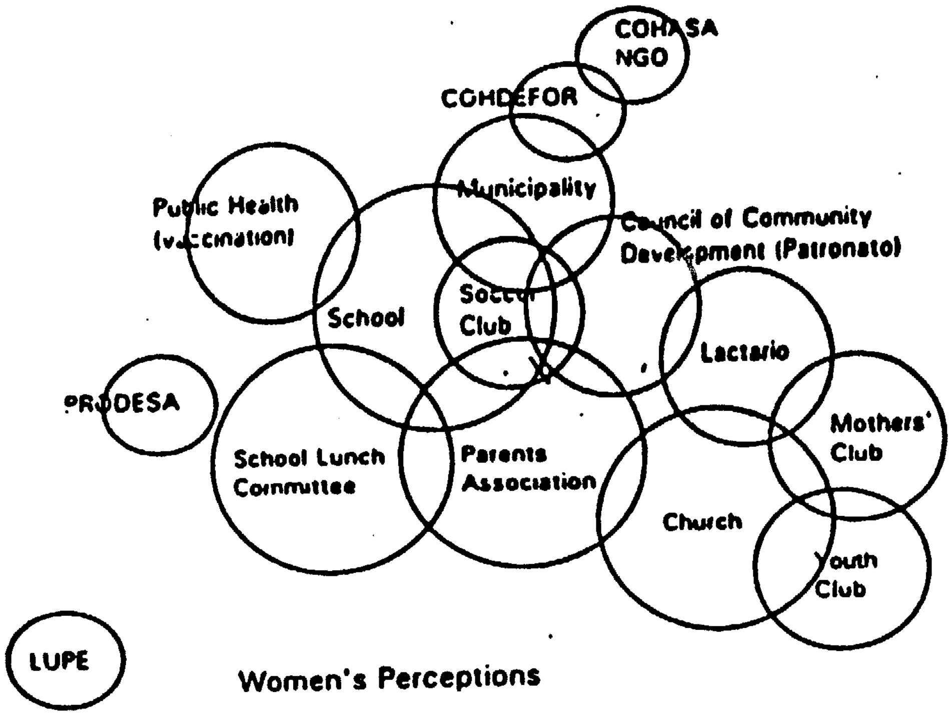


** Source: Rocheleau and Ross, 1993, Farming the Forests, Gardening with Trees: Landscapes and Livelihoods in Zambrana-Chacuey, Dominican Republic.

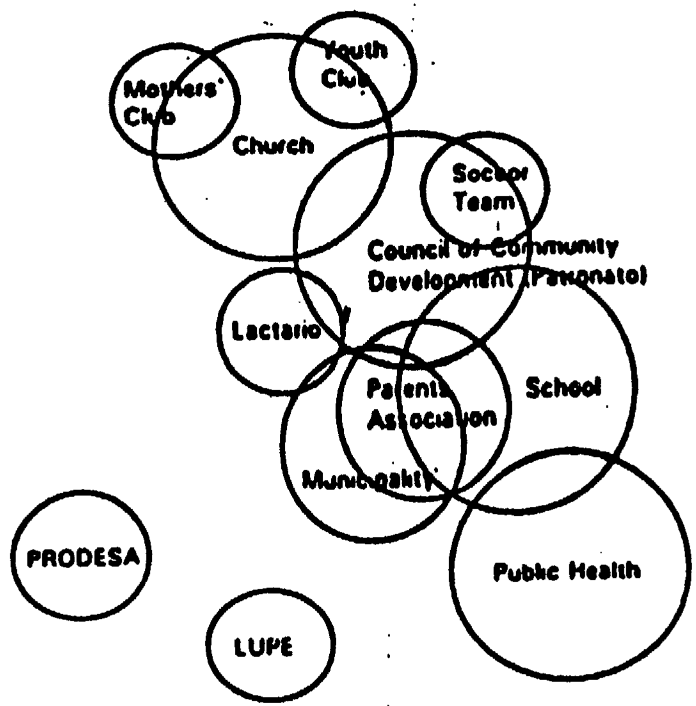
Women's Mobility Map[*]



[*] RRA Notes 10, "Assessing Women's Needs in Gaza Using Participatory Rapid Appraisal Techniques."



Women's Perceptions



Men's Perceptions

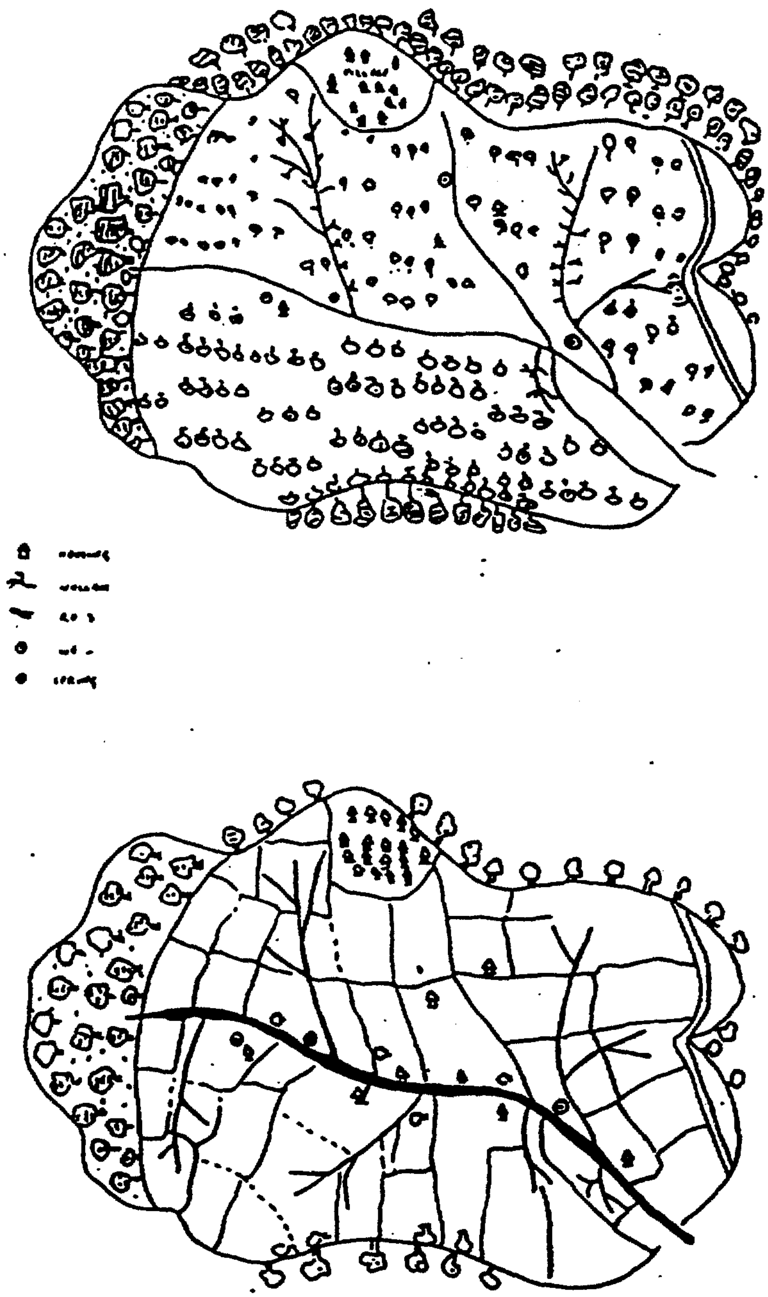


Figure 16 Maps drawn from two watershed models made by people of Ardanarypura village, Karnataka. The top shows the watershed 50 years ago, the bottom as it is today.

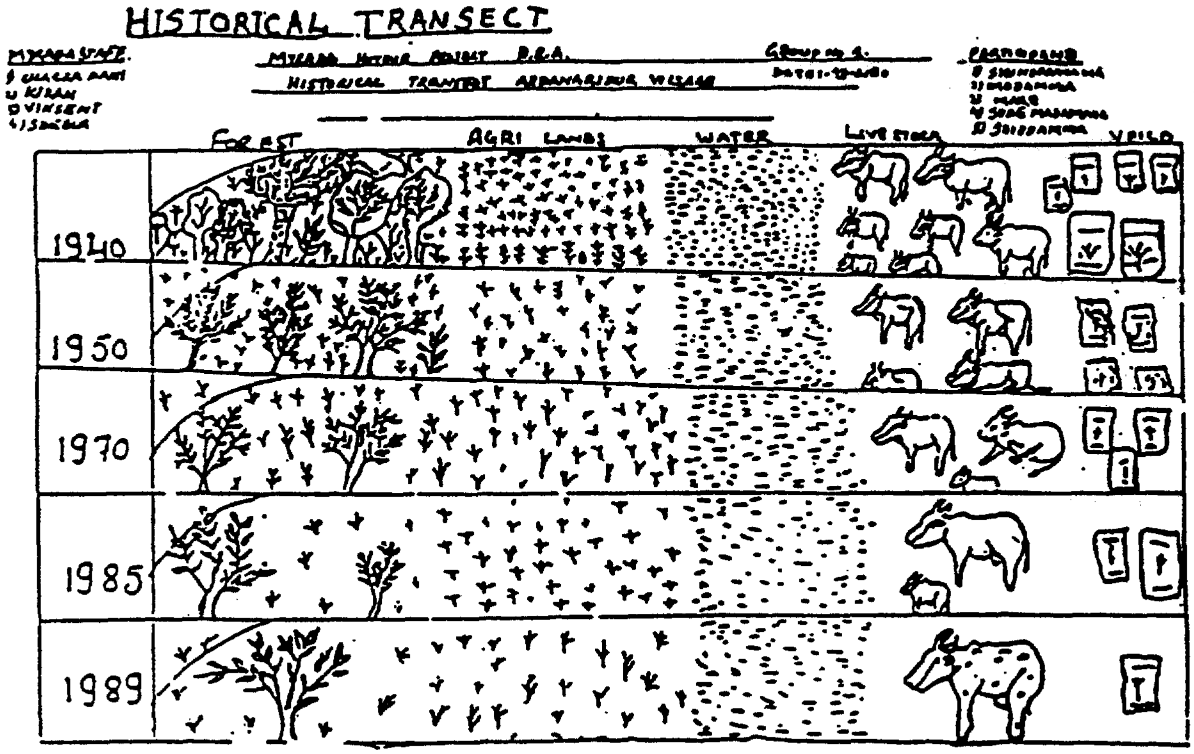
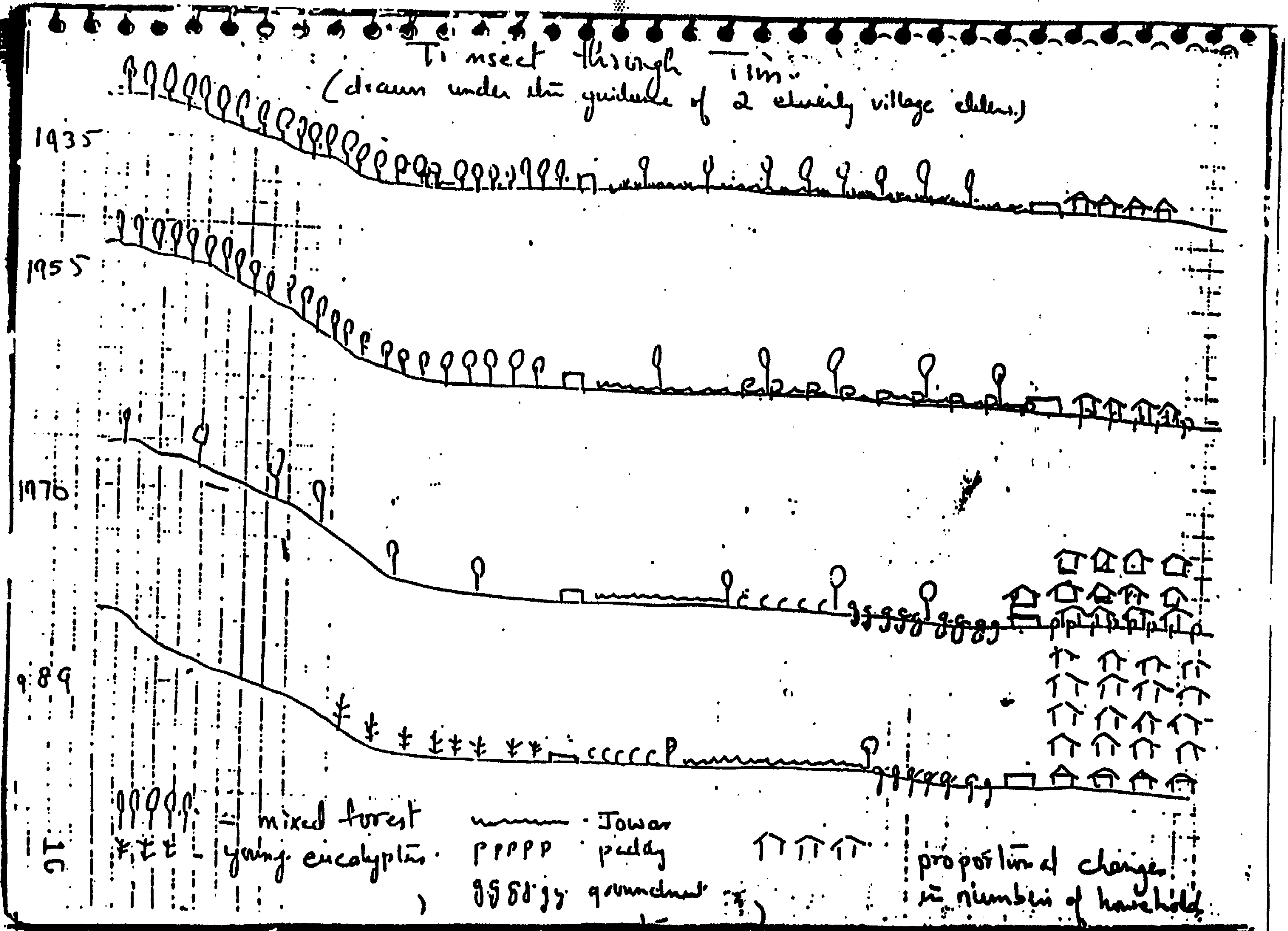


Figure 8 Historical transect for animals, trees, water and crops. Drawn by villagers of Ardanarypura village



Transect through time
(drawn under the guidance of 2 elderly village elders)
1935
1955
1970
1989
- mixed forest
- young eucalyptus
Jowar
paddy
groundnut
proportional change in numbers of household

PURPOSE:

To involve participants in an analysis of women's situation in terms of the chain of consequences that result from any one problem faced by them.

TIME: 45-60 minutes

MATERIALS:

Newsprint and markers.

PROCEDURES:

- Divide participants into small groups of no more than ten members each.
- Give each group a set of markers and newsprint.
- Ask them to begin by drawing or pasting a picture of a village woman in the lower left-hand corner. Close to this picture they should draw a balloon in which they should note down one major problem affecting women.
- They should then reflect on one or more consequences resulting from the first problem. For each consequence, they should draw a new balloon and link it to the first, indicating that it is a consequence of the first problem. They should continue drawing and linking other balloons representing the consequence of those consequences.

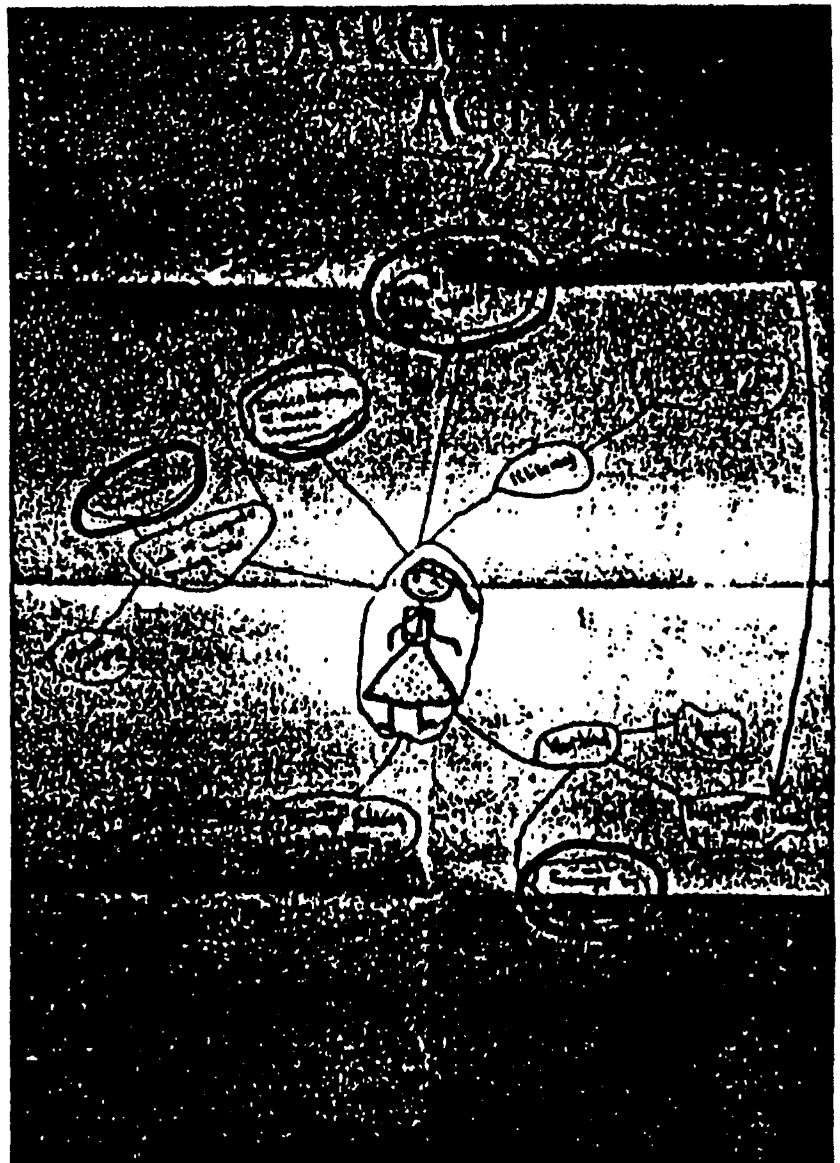
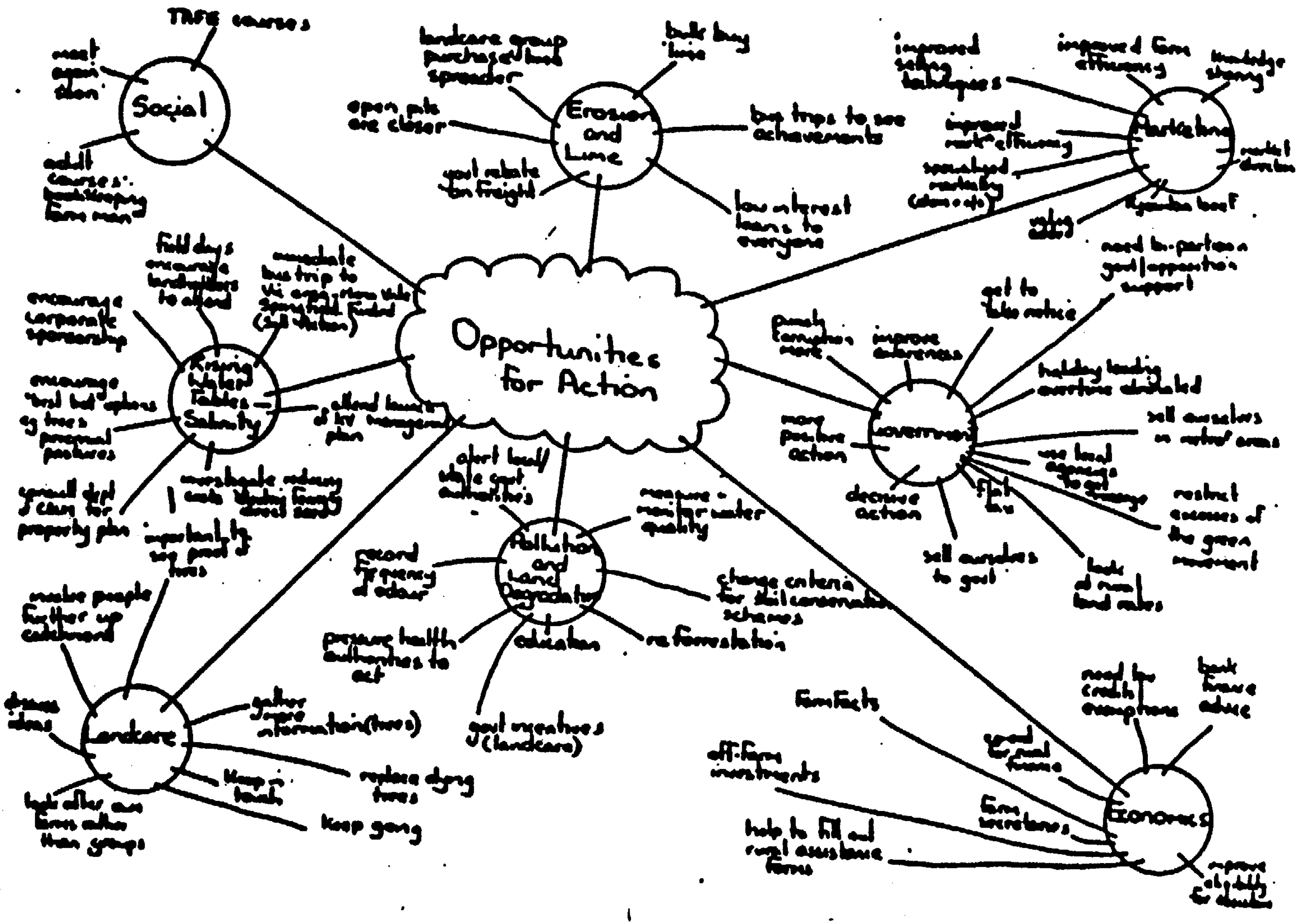


Figure 2. Future opportunities for action: perceptions of farm families at a PRA meeting, Wagga Wagga, 1991.



Source: McMillan and Dunn (1991)

WORKSHOP ON:

RELAXED (RAPID)

&

PARTICIPATORY

APPRAISAL

* * * * * * * * * * * * * *

TRAINING FOR

WOMEN'S EMPOWERMENT STRATEGIC OBJECTIVE TEAM

KATHMANDU, NEPAL

JANUARY - FEBRUARY, 1996

* * * * * * * * * * * * *

ANNE T. SWEETSER, Ph.D.

AAAS FELLOW, PARTICIPATION INITIATIVE
USAID/PPC.CCI

TRIP REPORT: WORKSHOP IN KATHMANDU, NEPAL

Contents

NOTE: METHODOLOGICAL ANNEX FOLLOWS INCLUDES A COMPLETE RECORD OF THE SESSIONS HELD DURING THE WORKSHOP

145

INTRODUCTION

I conducted a "just-in-time" training workshop in Kathmandu, Nepal from January 29 through February 13, 1996 on relaxed appraisal (RA) and participatory appraisal (PRA) methodologies. This was attended by twelve FSNs and twelve employees of Peace Corps and international and local NGOs. All worked together to design the customer survey for the Empowerment of Women Strategic Objective (SO3), and most will be able to continue as team members for the study immediately following the workshop. The FSNs presented the design created by workshop participants for this customer survey first to the Director and Deputy Director and then to the entire mission staff on February 15 and 16. Most participants will be able to work well as team members on participatory studies for both design and evaluation activities in the future; some will be able to supervise and train others.

Participants modeled the linkages among partners that USAID seeks to foster. Among the FSNs were both professionals and support staff from throughout the mission. There were two peace corps volunteers, two from The Asia Foundation, two from PACT, one from World Education, one from IRIS, one from SUSS, one from LOGOS, one from IIDS, and one from Save the Children, US.

SO3 -- The Empowerment of Women Strategic Objective

When the Mission was reorganized under re-engineering, Strategic Objective 3 was created by placing on-going projects in income generation and literacy (each with its own project paper prepared by a separate office), plus a small activity in legal literacy, under a single heading: Empowerment of Women. The SO was thus "retrofitted" to existing projects with distinct foci, different target groups and separate geographical areas of operation.

The customer survey was needed to refocus the SO around an integrated theme, to coordinate activities and reach a well-targeted population. Questions remain about the emphasis on empowerment in contrast with the pre-existing themes, and about the manner and degree to which existing projects will, or will not, be blended in a newly formulated SO.

Re-engineering in the Nepal Mission

The Nepal mission is not a CEL, so it's work in reengineering is recent. Where CELs were given a year and a half to discuss the new management structures they wanted to adopt, Nepal, like other non-CELs, has had to reengineer hurriedly while

146

coping with severe financial uncertainty, including furloughs. Training in teamwork skills and other support has been curtailed due to budgetary constraints. People are anxious about loosing their jobs, worried that their past efforts to organize effective programs will be jeopardized, and unclear about how much authority can be delegated among offices within USAID and to partner organizations.

Major Themes of the Workshop:

The Nepal workshop evolved from similar workshops in Bangladesh and El Salvador in March and August, 1995 (see Sweetser, Trip Report, April 1995). This report both describes the content of the Nepal workshop, and sets out the training strategy subsequently employed in Egypt and Jordan.

The workshop is primarily about two research methods, RA and PRA, but it is also about fundamental ways of doing business in a reengineered, learning-based USAID. It provides a model of how individuals can work as members of teams to incorporate customer focus into development activities. It seeks to empower participants to be creative learners and, subsequently, to promote attainment of sustainable results by applying these methods. Proper and successful application of the methods themselves requires teamwork among actively learning individuals. Content and learning context are thus reflexively structured and mutually reinforcing. A supportive training environment promotes risk taking and facilitates experiential as well as didactic learning.

Participants study and practice both RA and PRA methods, including the fundamental skills of observing and listening, carrying out semi-structured interviews, and leading communities through self-analytic exercises using mapping and diagramming. They then plan a customer survey or evaluation, and/or redesign a proposed development activity, incorporating the methods, to begin applying RA and PRA to real work situations. Teamwork is addressed at the start and repeatedly during the workshop, including creation of a team charter. Participants increasingly work in small groups as they conduct, analyze and evaluate their work, and then report on their efforts to the full group. Learning, partly for review and evaluation, partly with an eye to training others, is explicitly discussed at the end of the course. Participants are asked to design workshops that they might later sponsor, and finally to prepare and make a presentation to the host mission about the workshop.

The Learning Organization

The model for a reengineered USAID is the Learning

Organization. This presumes people who are open to learning, who work as members of teams that are focused on specific goals, who are empowered to take reasonable risks. It is therefore flexible, efficient, innovative, focused and forward-looking. Establishing a learning organization must start with the people who make it up -- they must be encouraged and supported. Ultimately they will be sustained by the learning context, just as the learning organization is perpetuated by the creativity and initiative of the individuals who constitute it.

Qualitative Research Methods

Relaxed Appraisal, RA, also known as rapid appraisal, and Participatory (Rural) Appraisal, PRA, are part of a continuum of qualitative appraisal methodologies in which superior observing, listening and learning are carried out by members of quality teams to quickly and reliably develop understanding of a social issue. Rather than assisting with a process of amassing more information in accordance with a pre-defined structure and content, these methods facilitate identification of factors that were not clear prior to the start of the assessment. They provide an answer to the question: "How do I find out what I do not know that I need to know?".

They are grounded in recognition that real learning involves overcoming prior assumptions. This requires the courage to listen acutely to hear not only the superficial content of others' speech, but to move toward understanding of how other people perceive their world, to discern the logic in their conception of reality. They recognize that all intercultural communication requires mutual accommodation of the parties involved: the listener must try to be conscious of his or her own culturally-conditioned expectations and the way these tend to affect his or her ability to listen well.

Culture both facilitates and limits understanding between people. Every competent adult has internalized and uses myriad bits of cultural learning every day -- in speaking a language, in behaving properly for his or her age and status, in interpreting reality. In cross-cultural encounters, each person's culture leads him or her to judge the other and contribute to the interaction in their own terms. The more conscious people are of the way their cultural baggage effects their interactions, the better they are able to discard their "automatic" judgements of others and discern what their interlocutors are trying to communicate.

Any person with specialized training -- an expert -- has an additional 'layer' of learning (an extra dose of cultural conditioning) that is accorded high value by his or her society. Though it may be only a small part of the person's overall cultural conditioning, expertise is regarded as special, so the person tends to value it highly and identify strongly with the perspective and social role associated with it. The additional learning plus the greater emotional attachment to it mean that it is harder for an unself-critical expert to truly listen well.

Relaxed Appraisal (RA)

Relaxed appraisal is an iterative learning process requiring triangulation and teamwork. Semi-structured, or conversational, interviewing (of which focus groups is a subset) is the primary technique. Following background research, team members engage in discussion to clarify their expectations (or 'prejudices'), and agree upon issues to be explored, at least on a preliminary basis. They also make decisions about what types of interviewees they will seek out, using purposive sampling to ensure that relevant groups are represented. Then they proceed to talk with people, working in pairs or small teams.

When individuals with contrasting backgrounds and training trust and cooperate with each other as team members, they are able to compare their individual observations and interpretations of conversations they have had with others in small groups. They can compare these conversations with information gathered before the interviewing started, and compare what they are learning with what they expected before the interviewing started. They thus triangulate among themselves and among sources of insight and information to enrich the learning process. As a consequence of spending as much time seriously discussing their work with one another as they spend conducting semi-structured interviews, they can together refine the methods and focus of their inquiry as their understanding grows. An intensively interactive, iterative process thus characterizes relaxed appraisal.

Participatory Appraisal (PRA)

Two dimensions characterize the difference between RA and PRA[1]. These are a) the use of material objects rather than reliance solely upon verbal exchange, and b) the degree to which power is shifted from the outsiders to members of communities. In RA, as in traditional survey work, the interviewers have control over the information that they take away from their

[1] Some people feel strongly about the delineation of RA, PRA, and RRA or rapid rural appraisal. I feel that it is better to focus on the qualities that are essential for successful use of all qualitative methods, to select a balance of techniques that best suit the society or context one is studying, and avoid a tendency to academic delimitation of schools or approaches.

encounters. They retain the authority to analyze what they learn and then plan programs and activities to address other peoples' problems.

PRA significantly shifts the power relationship between outsiders and insiders. It empowers community members (rural or urban) by allowing them to handle and manipulate materials and interact with one another as they clarify their perspective as a group. It encourages broad participation by illiterate as well as literate people by using materials all are comfortable with. Residents contribute categories (from previously unrecognized subspecies of plants to important values of which outsiders were unaware), experiment with ways of representing their reality, participate in analysis, prioritize their problems, enumerate the resources available, and plan actions that they wish to undertake to address their problems and allows them to define the assistance they require. Thus PRA does more than provide information to the outsider: it contributes directly to fostering confidence among those who may normally be excluded from participation while it builds the capacity of people to work together to address their own problems and interests.

Researchers using PRA act as catalysts and facilitators not as traditional leaders. They "pass the stick" and "sit down" -- they observe and counsel but relinquish much authority so community members can proceed in their own way. One consequence is that the analysis and decision making are really relevant to the community members, rather than suiting outside donor agendas. Facilitators recognize that residents are the experts on their own situation, and quite capable of doing the entailed analytical tasks. They foster interactive learning and creativity within the community, just as facilitating PRA supports their own open learning

It can be used very effectively for design, planning, implementation, and monitoring and evaluation (which is also redesign and new planning). Because community members have responsibility for the direction of development, and for negotiating with others to ensure that necessary support is provided, democratic or participatory social development as well as technological change can result from donor-supported activities. The skills that are necessary for continued community decision making in the future are imparted through a method that ensures far higher quality research at the commencement of a development effort.

GOALS OF THE WORKSHOP:

The primary goals of the workshop were to gain experience-grounded skills as well as didactic knowledge of two qualitative assessment methodologies: RA (Relaxed Appraisal) and PRA (Participatory (rural) Appraisal). Because adults learn best by experimenting rather than passively listening, field trials were included on: observation (two hours); semi-structured interviewing, followed by analysis (two days); and working with members of a community using mapping and creation of matrices and other charts to help community members identify, prioritize, and analyze their problems and resources, plus discussion and evaluation this work (three to four days).

Participants then designed the customer survey for the Empowerment of Women Strategic Objective. This entailed making judgements about the applicability and adaptability of the methods in various settings: urban as well as rural locations, working with women as well as male interlocutors, and different program phases -- implementation as well as design and planning. We also considered the use of the methods for monitoring and evaluation.

Participants also learned about working in highly functional teams by practicing as well as discussing relevant issues. They evaluated the types of learning they had experienced in the workshop as the basis for considering how they would structure their own workshop to train others in these methods and their applications.

In addition, discussions about reengineering and identification of customers will provide a current USAID context for the training.

Note:

For a complete record of the discussions throughout the workshop, see the accompanying methodological annex.

Syllabus

Day 1: Monday, January 29

Introductions
Syllabus overview
Background: Re-engineering, Participation, Customers
Concept of Team -- goals, rules of operation (equity, no such thing as a dumb question!, monitoring strategy using agendas etc.
Team formation exercises

Afternoon:

Exercise: fantasy of travel to newly discovered valley, listing of expectations -- exploration of implications of cultural expectations, different patterns of language use, different connotations of words in common

Introduction to qualitative research methods, rapid appraisal, participatory appraisal (mapping, etc.)

Customer identification and analysis

?Logistics: information about field trips etc.

Homework assignment on observation: "New Eyes"

Check Out

Day 2: Tuesday, January 30

Teamwork Revisited

Detailed discussion of rapid appraisal
types of questions -- with practice!!
exploration of pre-suppositions held by team members (or, objectification of own models)

At some good time -- everyone travel to some market? where there are lots of tables and chairs where people eat and talk to carry out second try at looking with new eyes -- LUNCH?

Discussion of "New Eyes" exercise
implications of cultural habits
discussion of feelings about being an observer (this ties in with more team building!)

Listening -- discussion and exercises

152

Mapping/diagramming exercise

Information about on-going programs in Nepal mission of relevance to interview/trip planning

Summation, check out

Day 3: Wednesday, January 31

Teamwork Revisited
Group interview methods
More practice interviewing
Listening exercise
Note taking strategies
Finalization of prompt sheet with themes for conversational interviewing practice
Logistics for field trials
Discussion/comparison of assessment and evaluation

Day 4: Thursday, February 1

Field trial: conversational interviews
pertaining to project not too far from mission
possibly a project well underway, nearing evaluation

Afternoon spent analyzing, criticizing and evaluating the experience in small groups

Revisions of prompt sheet for second day of field trials of interviewing

Day 5: Friday, February 2

Field trial: Conversational interviews
same project, new strategies developed by team members

Afternoon: analysis, criticism, evaluation

Day 6: Monday, February 5

Review/reflection on learning about rapid appraisal

Participatory mapping and diagramming for research, design, evaluation and monitoring processes

Mapping/diagramming exercise

Logistics and planning for field trip

Day 7: Tuesday, February 6

Briefing on the community where we will be working

Planning for sequencing of mapping and diagramming work

Afternoon: travel to Bharatpur
Evening: walk around, chat as appropriate, make notes

Day 8: Wednesday, February 7

Mapping exercises in morning

Afternoon: meeting to report out and review, analyze, criticize, evaluate, reformulate plans for next day

As appropriate: walk around in the evening, chat with people, keep notes on interactions

Day 9: Thursday, February 8

mapping exercises continue, ranking, prioritization

?Bring small groups / men and women together to compare maps/diagrams/prioritizations they have made

Reporting out, review, critique, analysis, evaluation...

Day 10: Friday, February 9

?Convene preliminary meeting with community leaders and some of those involved in mapping exercises? Help them work toward planning as a follow up to the analysis they did during the map making

Return to Kathmandu

Meet to discuss and evaluate, or, ask each person to think seriously about certain aspects of the experience over the weekend

Day 11: Monday, February 12

Teamwork revisited

Focused evaluation of participatory appraisal experience

review and clarification of experience by different groups
what we learned
what we left behind
what worked/did not work so well
implications for women's activities in that community
implications for women's activities in other communities

Rapid appraisal vs. participatory rural appraisal

Their uses for design, monitoring and evaluation

Their place in the re-engineered USAID

The importance of culture in development work

Day 12: Wednesday, February 13

Passing it on: Reflection on the Process of Learning

Teamwork - it's importance in this workshop specific features, how they supported this

Small groups, everyone reporting out to others

Rapid Appraisal - review

working toward planning training programs in home countries -- discussion of how this training was organized -- how transferable it is, et al

Report to full mission
Presentation of certificates

155

BIBLIOGRAPHY

Aubel, Judi (Catholic Relief Services), "Participatory Program Evaluation: A manual for involving program stakeholders in the evaluation process," Catholic Relief Services, (December, 1993)

Barnett, Camille, Ph.D. (RTI), "Team Tool Kit -- Bangladesh," March, 1995

Beebe, James, "Basic Concepts and Techniques of Rapid Appraisal," Human Organization, vol. 54, no. 1, 1995

Chambers, Robert, "The Origins and Practice of Participatory Rural Appraisal," World Development, vol. 22 no. 7, July, 1994

-----, "Participatory Rural Appraisal (PRA): Analysis of Experience," World Development, Vol. 22, no. 9, September 1994

-----, "Participatory Rural Appraisal (PRA): Challenges, Potentials and Paradigm," World Development, vol. 22 no. 10, October, 1994

Chambers, Robert, et al (Institute for Development Studies, Sussex), "RRA Notes Number 13: February 1991 workshop, Bangalore"

Ford, Richard (Clark University), "Using Village Log Books for Monitoring and Evaluation (DRAFT)," August, 1995

Kane, Eileen (World Bank), "A Taste of Participatory Learning Approaches," n.d.

-----, "Groundwork: Participatory Research for Girls' Education," accompanied by video with the same name, EDIHR/ASTHR, The World Bank, n.d.

Kumar, Krishna, "Conducting Group Interviews in Developing Countries," CDIE, PN-AAL-088, April, 1987

-----, "Rapid Low-Cost Data Collection Methods for A.I.D.," CDIE, PN-AAL-100, December, 1987

-----, "Conducting Key Informant Interview in Developing Countries," CDIE, PN-AAX-226, December, 1989

-----, "Conducting Mini-Surveys in Developing Countries," CDIE, PN-AAX-249, December, 1990

Meyer, Christopher, "Structuring for Speed: Designing and Implementing Multifunctional Teams," chapter six of: Fast Cycle Time: How to Align Purpose, Strategy, and Structure for Speed, The Free Press, 1993.

Narayan, Deepa (World Bank), "Participatory Evaluation: Tools for Managing Change in Water and Sanitation," The World Bank Technical Paper Number 207, 1993

Narayan, Deepa (World Bank), "Workshop on Goals and Indicators for Monitoring and Evaluation for Water Supply and Sanitation: Geneva, Switzerland, June 25-29, 1990," UNDP-World Bank Water and Sanitation Program

Srinivasan, Lyra, "Tools for Community Participation: A Manual for Training Trainers in Participatory Techniques," PROWWESS/UNDP Technical Series, 1990

Srinivasan, Lyra, "Options for Educators: a monograph for decision makers on alternative participatory strategies," PACT/CDS, 1992

Thomas-Slayter, Barbara, et al (Clark University), A Manual for Socio-Economic and Gender Analysis, ECOGEN (joint project of Clark University and Virginia Polytechnic Institute and State University), October, 1995

World Bank Participation Sourcebook, Environment Department Papers, The World Bank, June, 1995

VIDEOS:

Narayan, Deepa, "The Poverty Experts"

Kane, Eileen, "Groundwork: The Video"

METHODOLOGICAL ANNEX:

WORKSHOP ON RELAXED & PARTICIPATORY APPRAISAL

KATHMANDU, NEPAL

JANUARY - FEBRUARY, 1996

ANNE T. SWEETSER, Ph.D.

158

METHODOLOGICAL ANNEX:

WORKSHOP ON RELAXED AND PARTICIPATORY APPRAISAL

TABLE OF CONTENTS

HOW TO READ THIS ANNEX

This annex follows the sequence of activities in the workshop. The goals and syllabus of the workshop as set out for participants follow this section. Then the handouts that were given out during the course (as marked with an asterisk on the syllabus) are clustered together.

The succeeding sections contain notes on group exercises and discussions, as written by each participants, or as noted on flip charts during the workshop. In a few places I have included notes that I made of group discussions. For each document the source (eg: written, brainstorming) is clarified.

Careful review of these allows the reader to see how participants' views of poor women in Nepal became more complex in a very short time, and to glimpse the process the group went through as members evaluated their work on a regular basis.

Team members explored their expectations of poor rural Nepali women and developed a single "prompt" sheet with themes for conversational interview practice.

They found conversational interviewing to be easier than expected, and determined to be better focused on the second day of practice. They discussed what they were learning in depth.

After some classroom instruction and practice they planned and tried working with communities to make maps and diagrams. Again anxious before they started, they were very pleased with the ease of carrying out the work and with how much they could learn in a short period. Their evaluations and reporting out included comparisons of the two methods as well as critical review of what they were learning about Nepali women.

Succeeding sections record their work to design the customer survey, as usual working part of the time in small groups. First they listed questions to which they required answers, then they worked through each of these and generated a viable plan for a customer survey to be carried out in the following weeks.

There are also some notes from their discussion about their learning process and what they would recommend for organizing a similar training workshop.

Included also is a copy of the proposal I made to the mission to consider moving rapidly to a design and build RFA after completion of the customer survey. A similar plan was chosen by the SO Team and the Mission a short while later.

This is followed by a set of examples of PRA mapping and diagramming.

OUTLINE

This section contains the syllabus that was handed out to participants in the workshop. . . . 5 pages

161

Goals and Objectives of the Workshop:

Training in Participatory Assessment Methodologies for Women's Empowerment Strategic Objective (SO3),

Facilitator: Anne T. Sweetser, Participation Initiative, PPC.CCI

Goals: Impart knowledge and experience-grounded skills in participatory, qualitative assessment methodologies, RA (Rapid Appraisal) and PRA (Participatory (rural) Appraisal), including judgement about their applicability and adaptability in various settings -- for evaluation and monitoring as well as for design -- for urban as well as rural contexts -- for working with women as well as men, etc.

Instruct in team building skills by using as well as discussing these.

Commence instruction in training skills so that those who do the training can at least participate with others in conducting further training programs in these assessment methodologies.

Also: To facilitate discussions of issues such as identification of customers, as appropriate.

To facilitate application of these methodologies by the women's empowerment team by structuring field trials to fit with the SO objective and helping plan future assessments and monitoring and evaluation employing these methods.

Sharing of resource materials on RA and PRA etc.

WHO: FSNs and a few DHs from the USAID mission, women and men (preferably 50/50). People from all SO teams should participate.
NGO representatives, a few government counterparts as appropriate -- again from several sectors, preferably.
Ideal maximum size: 20

Note: A mix of persons from different backgrounds / interests enriches the program for all concerned by introducing diversity into the group.

Time: 12 days

Syllabus

Day 1: Monday, January 29

Introductions
Syllabus overview
Background: Re-engineering, Participation, Customers
Concept of Team -- goals, rules of operation (equity, no such thing as a dumb question!, monitoring strategy using agendas etc.
Team formation exercises

Afternoon:

Exercise: fantasy of travel to newly discovered valley, listing of expectations -- exploration of implications of cultural expectations, different patterns of language use, different connotations of words in common

Introduction to qualitative research methods, rapid appraisal, participatory appraisal (mapping, etc.)

Customer identification and analysis

?Logistics: information about field trips etc.

Homework assignment on observation: "New Eyes"

Check Out

Day 2: Tuesday, January 30

Teamwork Revisited

Detailed discussion of rapid appraisal
types of questions -- with practice!!
exploration of pre-suppositions held by team members
(or, objectification of own models)

At some good time -- everyone travel to some market? where there are lots of tables and chairs where people eat and talk to carry out second try at looking with new eyes -- LUNCH?

Discussion of "New Eyes" exercise
implications of cultural habits
discussion of feelings about being an observer
(this ties in with more team building!)

Listening -- discussion and exercises

Mapping/diagramming exercise

Information about on-going programs in Nepal mission of relevance to interview/trip planning

Summation, check out

Day 3: Wednesday, January 31

Teamwork Revisited
Group interview methods
More practice interviewing
Listening exercise
Note taking strategies
Finalization of prompt sheet with themes for conversational interviewing practice
Logistics for field trials
Discussion/comparison of assessment and evaluation

Day 4: Thursday, February 1

Field trial: conversational interviews
pertaining to project not too far from mission
possibly a project well underway, nearing evaluation

Afternoon spent analyzing, criticizing and evaluating the experience in small groups

Revisions of prompt sheet for second day of field trials of interviewing

Day 5: Friday, February 2

Field trial: Conversational interviews
same project, new strategies developed by team members

Afternoon: analysis, criticism, evaluation

Day 6: Monday, February 5

Review/reflection on learning about rapid appraisal

Participatory mapping and diagramming for research, design, evaluation and monitoring processes

Mapping/diagramming exercise

Logistics and planning for field trip

Day 7: Tuesday, February 6

Briefing on the community where we will be working

Planning for sequencing of mapping and diagramming work

Afternoon: travel to Bharatpur
Evening: walk around, chat as appropriate, make notes

Day 8: Wednesday, February 7

Mapping exercises in morning

Afternoon: meeting to report out and review, analyze, criticize, evaluate, reformulate plans for next day

As appropriate: walk around in the evening, chat with people, keep notes on interactions

Day 9: Thursday, February 8

mapping exercises continue, ranking, prioritization

?Bring small groups / men and women together to compare maps/diagrams/prioritizations they have made

Reporting out, review, critique, analysis, evaluation...

Day 10: Friday, February 9

?Convene preliminary meeting with community leaders and some of those involved in mapping exercises? Help them work toward planning as a follow up to the analysis they did during the map making

Return to Kathmandu

Meet to discuss and evaluate, or, ask each person to think seriously about certain aspects of the experience over the weekend

Day 11: Monday, February 12

Teamwork revisited

Focused evaluation of participatory appraisal experience

review and clarification of experience by different groups
what we learned
what we left behind
what worked/did not work so well
implications for women's activities in that community
implications for women's activities in other communities

Rapid appraisal vs. participatory rural appraisal

Their uses for design, monitoring and evaluation

Their place in the re-engineered USAID

The importance of culture in development work

Day 12: Wednesday, February 13

Passing it on: Reflection on the Process of Learning

Teamwork - it's importance in this workshop
specific features, how they supported this

Small groups, everyone reporting out to others

Rapid Appraisal - review

working toward planning training programs in home countries -- discussion of how this training was organized -- how transferable it is, et al

Report to full mission
Presentation of certificates

166

HANDOUTS

This section contains copies of the handouts that were provided to participants in the workshop as noted in the syllabus. The number of pages of each is in parentheses.

NOTES ON RELAXED APPRAISAL
(Some call it Rapid)

Relaxed appraisal is a form of qualitative -- not quantitative -- research used for preliminary decisions for design and implementation of applied activities

it is both flexible but rigorous

it always involves team work -- in fact, interaction among research team members is essential

it assumes:
all aspects of a local system (for example, the political system of an area) cannot be identified in advance
the best way to understand the local system is to bring together a team of people with different expertise, to combine information gathered in advance through direct observations and semi-structured interviews
time is structured to ensure team member interaction as part of an iterative, learning process

goal:
to grasp an INSIDER's perspective on the system

start by approximating a rough model of the system (our expectations, as outsiders)
work with one part of the system at a time -- look at how it relates to the other parts of the system
remember this is only clarifying our outsider hunches!

*this will help us prepare to discuss certain issues or themes
*we will learn the most by detecting where we are wrong!

seek local categories (meaning of words or phrases)
discover local knowledge (which may seem limited to outsiders!)
develop understanding by talking with team members

do not look for the "average" -- look for the unusual, different

get people talking on specific subjects -- this is how important information emerges -- be natural, relaxed

show interest, nod, smile, must have sympathy, but guide and probe with additional questions

use a list of topics or themes and be sure to cover them all but in any order that flows

watch carefully, note reactions
notice the surroundings, possessions, perhaps walk around

iterative process

clarify what you know first
background information
semi structured interviews

look for trends, patterns, and for the unexpected

time must be divided between collecting information and talking about the work with other team members

complete notes about each interview at the end of the day, discuss with the team members you worked with

discuss with the other dyad that worked in the same area that day

every week, troop meets again and shares
discuss revisions, additions, deletions of issues/themes
discuss changes in methods to try
discuss teamwork aspects
discuss what you are learning about the insider's view of democracy

REMEMBER:
It is perhaps better to be vaguely right than precisely wrong!
You are seeking to understand a system, not come up with a statistical description of individual pieces of the system
Take time to observe, listen sensitively, think
Work with troop members to increasingly understand

"LOOKING WITH NEW EYES" -- Observation Exercise

Before the next session of this training workshop, make time to do nothing but watch some people on two different occasions for about half an hour each time. Don't carry on a conversation with someone at the same time or anything. Think about visiting a new society for the very first time where nobody speaks any language that you understand. You are very tired from your trip, and a bit worried about how you are going to learn to take care of yourself. You decide to sit down somewhere and just watch people for a while before you do anything else. In other words, observe people as though for the first time. Take a completely fresh look at people.

Try two types of looking:

a. large view (macro)

observe how people arrange themselves in space:
all men together, all women together?
how far apart are people standing?
how do they interact with each other?
how do they react to a new comer?

b. small view (micro)

watch a small group of people interacting:
what is their posture like?
what gestures do they use?
how much eye contact do they have?

Notice your reactions and thoughts.
Try to separate your observations from your interpretations
Is this easy to do?
How "automatic" are your interpretations?
How sure are you of your judgements?

How does it feel to "put on 'new eyes?'"
-- comfortable? disconcerting? enjoyable?

What did you learn by trying this?

Prepare two 3X5 cards explaining something you noticed about watching people -- write one card about something you observed and one card about something you learned about being an observer -- about looking and judging what you see. What was significant for you about each?

LISTENING WITH NEW EARS: January 30, 1996

Old Ears: This person is ignorant!
New Ears: This person lives in a different reality than I do (and his or her world view is equally legitimate as mine).

Old Ears: This person is stupid!
New Ears: This person has figured out how to survive in circumstances that would be very hard for me.

Old Ears: This person doesn't know anything!
New Ears: This person knows different things than I know!

Old Ears: I should teach this person some things!
New Ears: Until I understand her reality/his perspective, how can I decide what knowledge would be most helpful for her or him? If I am going to help develop a truly appropriate program, I should first learn from this person.

Old Ears: This person doesn't understand my issues!
New Ears: How can I lead this person to talk about the types of issues that are related to the women's empowerment?

Old Ears: This person doesn't use the language properly!
New Ears: How does this person use language to express his or her experience?

Old Ears: Everybody says the same thing!
New Ears: Everybody's life circumstances have unique features, even though people in any culture share some things.

A reflection on learning:

Learning is not just the acquisition of new information. Learning involves discovering new types of information/new connections among ideas. It involves thinking differently. It is an on-going, growing process in itself.

Learning how to learn from other people is difficult because it asks that you suspend your own cultural training, that you become conscious of and temporarily halt the "natural" interpretations or judgements about what you see and hear every day, that you look with new eyes and listen with new ears.

A qualitative researcher always strives to learn more effectively. Sometimes you have good days, sometimes you have not so good days, you never reach perfection: you can always learn more about learning. There is only honest effort. By reflection and discussion with others in the troop, you keep learning. Sometimes you help someone understand better, sometimes they help you see something in a new way. Learning requires courage!

STEERING A CONVERSATION (A SEMI-STRUCTURED INTERVIEW):

Create a connection with a person by discussing something you can both see -- a road/bridge/building under construction, work that the person is doing, baby goats, beautiful flowers, a new crop....

Introducing yourself: Be Honest! Even if your purpose is unclear, a person can sense whether or not you are being truthful. Most of all, you want the person to know that you are interested in learning about their reality. You work for USAID, you are in a training program, you are practicing interviewing so that one day you may have an opportunity to contribute to development of a program that might help them -- but you are not developing such a program now. (Again) You only want to understand as clearly as you can what is important to them.

Explain, as needed, that each person's answers will remain CONFIDENTIAL! You don't even need their name or address.

Remember: Leave emblems of (relative) wealth at home. At minimum they are distracting; at worst, they might be an invitation to theft.

Start with and maintain a casual tone -- where the person is from, how long they have been living here, how many children they have, what kind of work they do. Be willing to answer similar questions. Sit down (do not dominate!), let the person change the topic, but lead them back to your themes.

KINDS OF QUESTIONS:

Probing: Can you give me an example? or: Can you be specific?
Why? How so? What for? When? Who? or: just wait!
Do you mean ... ? (or ...?) Aha..., Aha!, Really...?
What are you thinking about? (What is on your mind?)

Narrow and broad questions:
How many years ago was this road paved for the first time?
What were some of the most important changes (in peoples' lives) that resulted from improvement in the road?

Factual vs. normative (value) questions:
Does your wife work?
Do you think it is good for women to work?
Are there certain kinds of work that are better for women?

The person (on the spot) vs. people in general:
Do you frequently have to borrow money to buy enough food for your family?
Do most people who live near here have to borrow money to buy food to feed their families?

Hypothetical:
If x happened, what would you do?
What would you do if x? ...you lost your job? someone broke into your home and stole your CD player?

Contrast:
What's the difference between a girl who goes to school and a girl who stays home?
Would you rather have a,b, or c? a job or some good land?, son or daughter?, (NO: health clinic or clean water?)

Rating:
Is A or B or C better? please put them in order of importance. A tea shop, a cart, a job with the DPW?

Structure:
You said there are several places for throwing garbage, can you point out where they all are?
What are all the kinds of garbage you throw in those places?

History:
Is life better than it was ten years ago?
What has changed about Cairo since x time?

Language
What is your word for x?

Tours: Grand Tour: What do you do on a typical day?
Specific (Tour): What did you do yesterday, from morning to night?
Guided tour: Can you show me your house/village/work?
Mini-tour: When you do x, exactly what do you do?

Some Questions to (Try to) Avoid:

Yes/No questions:
Do you think education is good?

Leading questions:
Don't you think families with fewer children are better off?

Wouldn't you agree that the city should pay people to clean up the streets in their neighborhood?

Two (or more)-in-one Questions:
Do you think people are increasingly poor because they do not know how to save and spend their money wisely?

(Really) Sensitive Questions:
Do you think power breeds corruption?
(YOU REPRESENT USAID, NOT YOUR FAVORITE POLITICAL PARTY!)

Finally:
Did I leave something out/forget something important?

173

NOTES ON NOTE TAKING

1. Take notes during the interview (don't wait until its over).

2. Keep same words, phrases, grammatical usages, peculiarities of speech.

3. Repeat back to the speaker -- may elicit more detail.

4. Use some easy abbreviations: R=respondent, DK=don't know, What mind? = What is on your mind? etc.

5. Note facial expressions, non-verbal communication etc.

Go back over notes IMMEDIATELY after the interview -- fill in little gaps, abbreviations, punctuation, etc.

SOME EXAMPLES:

a) The farmer was angry because the price of rice had dropped.

b) the farmer ran towards the marketing board office with a large field knife in his hand. Before entering the office he was restrained by his companions. He could be heard screaming "The buying price this year is not even as high as the price they paid last year."

How much is it accurate to read into one's observations?

-----

a) "Yes, indeed! I am positive about it!"

b) "Yes."

The intensity is lost here.

-----

a) "I am very upset by the way the technical assistance program has worked in this district. The program has primarily benefited the well-to-do entrepreneurs rather than the poor, struggling self-employed men and women who were supposed to be targeted by the planners of this program. Thus it has totally failed to accomplish its stated objectives."

b) "Program did not accomplish its objectives."

This does not capture feelings AND it distorts the meaning, especially by leaving out the point about the poor, struggling men and women.

LEADING GROUP INTERVIEWS:

DEFINITION:
6 to 10 people discuss their concerns together

COMPOSITION:
Ideally, people should be of very similar backgrounds -- men and women, old and young, rich and poor -- probably, in the communities you visit, this will happen automatically (?) Preferably, people do not already know each other well....

ADVANTAGE: you hear interactions among people,
they stimulate each other,
they generate some of their own questions/issues

LIMITATIONS: It is very easy for an interviewer to allow her or his preconceptions or pre-judgments to influence what she or he hears. It can be hard to guide a group discussion well.

LOCATION:
Try to keep extra people (an audience) away -- sit in a circle? (for Americans, sit around a table)

TIMING: one to two hours

STARTING:
Introduce yourself and the subject briefly, EXPLAIN that you hope people will talk with each other about the subjects you bring up.

a) it is not a question and answer session -- rather it is hoped that people will respond to each other's points -- one at a time

b) you are interested in hearing what everybody in the group thinks

c) you are interested in all kinds of ideas and responses

d) people shouldn't talk too long each time they speak

e) one person should speak at a time!

start with chatty things -- how long people have lived here etc. to get people relaxed. watch the participants to see who is most shy and who is most confident. Later, urge the shier ones to express their views.

PROBING:

This has to be subtle. you have to keep impressing people that you want to learn from them. if it appears that you are quizzing one person, everyone may grow more quiet.

You might say: I don't really understand what your life is like so I need you to help me with some details (or so).

GETTING SPECIFICS:

You said you went to the meeting [whenever], what impressed you most about it? You said people were upset with [whatever], how do you know; what did they do? (After a while, people may speak in less general terms without urging.)

ROLE PLAYING:

You might even ask one member of the group to play that he or she is the panchayat chairman. Then have other people address him or her with their complaints or worries. (?) ("What would you like to say to the panchayat chairman?")

CONTROL ISSUES:

1. IF ONE PERSON LIKES TO TALK TOO MUCH!

a) look at a different person after a while, stop taking notes

b) politely intervene: "I am having some difficulty following so let me try to summarize your comment to see if I'm right." (the person then has to agree or disagree narrowly with the moderator.)

OR: "If I understand you correctly, you are saying [x]. Could you also say something about [y]?

c) when the person pauses: "Thank you very much. That is very interesting. Perhaps we can talk more about this later(?). Meanwhile, if it's OK with you, I'd like to talk about another issue while everybody is here together.

2. GROUP PRESSURE -- A new idea can get everybody excited so people only think about the benefits (so everyone agrees)

a) ask for other ideas or approaches -- play devil's advocate

b) add a new twist -- if you are talking about the union council, ask if the landlord [or somebody] would also think it's a good idea

c) try to get people who appear less enthusiastic to share their views. "What about you? Do you see it differently?"

PARTICIPATORY (RURAL) APPRAISAL

Like relaxed appraisal, this is a qualitative research method. It assumes that people everywhere know a great deal about their worlds, even if they are unable to read or write, or to talk about their world as a set of interacting systems (for example, biological, economic, political, religious, family systems).

Like RA it avoids the problem of asking the wrong questions (by deciding upon what questions to ask before talking with people) -- instead it helps outsiders learn about the insiders view of reality and what is important.

Unlike rapid appraisal, it is not only "extractive" -- that is, it does more than produce information that outsiders can use. It helps groups think together about the society and the environment in which they live, it can help them make decisions about matters of common interest, it can help groups resolve conflicts too. In other words, it is a tool for gathering information and a tool for capacity building at the same time. It allows people to feel that activities are THEIRS, thus, it empowers.

It has been used in many countries around the world, mostly by NGOs, for analyzing, planning, monitoring, and evaluating projects in many sectors, mostly in rural areas.

REQUIREMENTS:

Good rapport with (all) people (or Respect and Empathy)
Excellent Listening
Ability to "Sit Down" and Learn from Others
Willingness to "Pass the Stick" -- to let someone else be in charge, to let someone else be the teacher, to empower
Capacity to Try, Criticize Oneself, Try Again
Critical Self-Awareness -- always realizing that part of being human is being part of some culture that conditions the way you view the world, what you prefer and how you think-- always looking with new eyes, and listening with new ears.

PITFALLS:

Both rapid appraisal and participatory appraisal require care to be done well. You must make your best effort to really understand others and find the best way to help them help themselves, or you are just a "development tourist."

AVOID: Rushing, Missing the Poor, Overlooking women (50%!), Treating people differently, Teaching rather than Listening and Learning, Interrupting, Suggesting, Imposing "our" categories, Asking questions that make sense in our world view (only), Lecturing rather than listening and learning, Missing Poor Women, Being Afraid to Make Mistakes, Being Afraid to Experiment.

EQUIPMENT LIST (contributed by Peace Corps volunteer)

* one medium bag for clothes
one small back pack for work
tooth brush
tooth paste
comfortable walking shoes (socks)
one outfit (women: kurta surusal, men: informal shirt, pants) comfortable, inexpensive, informal, able to take a lot of abuse like dirt and sweat and still look OK
* sleeping clothes
personal toiletries (soap, brush, comb etc.)
women: personal feminine products (enough!)
aspirin
small bandages
bug spray
sun lotion with high rating
mosquito coil, matches (2 coils per night?)
flash light (batteries)
* candle, matches
* iodine for water (tablets easier)
water bottle with reusable tight lid
* flip flops (to wear to the latrine)
office supplies (pen, paper, diary, business cards, plastic folder)

(* optional)

also optional:
hand towel
umbrella
small currency
camera with case (batteries?)
film
"time passers:" book, cards, knitting

not too much -- you have to carry it in AND OUT

TEAMWORK

This section contains materials pertaining to teamwork. Pages in parentheses.

1. Ten Commandments for an Enthusiastic Team (p. 21)
   (handout shared by participant)

2. Comments on Teamwork (Both Good and Problematic) (p. 22)
   brainstorming by participants at start of the workshop

3. Team Contract (pp. 23 - 24)
   developed, with revisions, by participants

179

TEN COMMANDMENTS FOR AN ENTHUSIASTIC TEAM

(Shared by Arati during presentation to the Mission)

1. Help each other be right, not wrong.

2. Look for ways to make new ideas work, not reasons why they won't.

3. If in doubt, check it out! Avoid negative assumptions.

4. Help each other win and take pride in others' victories.

5. Maintain a positive attitude in all circumstances.

6. Speak positively about each other and about the team at every opportunity.

7. Act with initiative and courage, as if it all depends on you.

8. Do everything with enthusiasm -- it's contagious.

9. Don't lose faith, never give up.

10. Have fun!!!

COMMENTS ON TEAMS -- Brainstorming, January 29

GOOD THINGS

Interchangeable processes
Greater dependability
Equal participation
Free expression of ideas
Synergy of ideas
Total > sum of the parts
More strength and capability
Individual sense of being part of group effort
Individual ownership of group's work
Open to others' ideas
Share responsibility
Shared ownership
Collective decision making
Shared goals
Shared experience
Various skills
Objective
Enthusiasm/team spirit
Collective effort
Collective leadership
Democracy
Teamwork fosters creativity

PROBLEMS

Personality Conflict
Ideological conflict
Time consuming
Shared Responsibility
Dis-empowerment
Devolving Responsibility (passing the buck)
Individual domination
Lack of communication
Excluding some/inequality
Lack of Definition
Lack of Management
Biases
Lack of Consensus
Language/Communication
Costly
Hard to reach conclusions
Hard to define roles
Individual fear / self-censorship
Dominant individuals
Unclear objective
Lack of organizational support
Reward structure
Individual differences vs. cohesion
Problematic expectations (other team members)
Hard to foster spirit
Size and Shape

TEAM CONTRACT

1. Goal:
   Learning about and practicing team work, RA, PRA
   Learning about their applications in design, planning, evaluation

2. Membership:
   USAID employees
   NGO and International NGO employees
   Peace Corps volunteers

3. Results:
   Familiarity with methods
   Experience practicing teamwork
   Planning and starting SO3 customer survey
   Recommendations for USAID Management for future use of these methods

4. Team work:
   There is the team-of-the-whole
   There are subteams for interviewing and PRA practice
   There will be subteams for specific tasks, such as preparation of parts of the final report to the mission
   Team members agree to practice good membership skills

5. Resources:
   A: Human resources (participants/members)
   B: Mission providing logistics (transport, tea, xeroxing, etc.)

6. Senior Management: Final Report
   Recommendations for the Customer survey
   a) constitution of team, role of partners and USAID staff
   b) time frame, suggested number and locations of VDCs
   c) plans for weekly analysis and evaluation
   d) role of recorder for weekly progress with the work
   e) recommendations for format of final report

7. Authorities of the team:
   Recommendations for future planning and customer surveying
   Appointment of small teams

8. Establish Roles: Membership and leadership
   Full Team and
   Small teams for RA, for PRA, and for other tasks

   Leadership to be based on willingness and familiarity with issues
   Membership responsibilities -- over

TEAM CONTRACT CONTINUED --

Membership responsibilities to include:
- time commitment
- active participation
- facilitating interpersonal relations
- dealing with conflict
- patience in support of everyone's learning

Appointment of small teams to be based on:
- equal division of men and women, Americans and Nepalis, USAID and NGO representatives
- one person in each group with prior experience in RA/PRA
- distribute language skills

183

EXPLORING PRE-CONCEPTIONS AND DEVELOPING THE RELAXED APPRAISAL THEME SHEET

This section contains records of participants' exploration of their own expectations about attitudes and realities of poor women's lives in Nepal. This reveals the process through which the participants simultaneously clarified their pre-conceptions related to the topic and developed the "Interview Theme Sheet" which they used to prompt their conversational interviews during the RA practice at the end of the first week of the workshop.

1. Participants were asked to answer the following three questions about empowerment of Nepali women, first in writing then by reporting out to the group. Full answers are provided. (pp. 26 - 34)

IN YOUR OPINION: WHAT IS THE MOST IMPORTANT CHANGE THAT WILL EMPOWER NEPALI WOMEN?

WHAT DO NEPALI WOMEN THINK IS MOST IMPORTANT FOR THEIR EMPOWERMENT?

WHAT DO NEPALI MEN THINK ABOUT WOMEN'S EMPOWERMENT?

2. Group Discussion: Toward a Definition of Empowerment (p. 35)

3. First brainstorming of conversational starters (p. 36)

4. Small Group Brainstorming on Conversation Starters (p. 37)

5. Possible Questions for RA, Brainstorming (pp. 38 - 43)

IN YOUR OPINION: WHAT IS THE MOST IMPORTANT CHANGE THAT WILL EMPOWER NEPALI WOMEN? (Answers reported orally)

Education, primary, secondary, and higher, this will lead to women's ability to demand more

Economic independence, without skills with no property rights with no education women remain dependent

Income generation

Legal rights

Knowledge of alternatives

Decision Making in the family

Group Formation Skills (there's power in numbers)

Literacy, leads to better communication which promotes empowerment

Environment = Social Context / Cultural Values

religious teachings
mother-in-law
arranged marriage (both good and bad)
conservatism
status of widows
tradition (culture)
caste system
violence against women
prostitution
superstition
sense of being property

Health, physical and mental

Pregnancy, Birth Spacing

Job creation

Power to say no

Self-esteem

Concept of woman / female

Cooperation from men

Eating with the family (good food)

QUESTION TWO: WHAT DO NEPALI WOMEN THINK IS MOST IMPORTANT FOR THEIR EMPOWERMENT?

(Answers reported orally)

Skills

Legal rights

Health services

Employment

Support -- family and society

Good husband -- provider, protector, someone to depend on

Water infrastructure

Home income generation opportunities

Safe from / able to rely upon police

Economic Independence

Right to choose husband (at least right of refusal)

No child marriages

Many sons

Child survival

Decision making

Right to go to school (equal educational opportunity)

Right to inherit property

Better economic opportunities for men near home (so they don't have to travel far / to India for work)

No polygyny

186

QUESTION THREE: WHAT DO NEPALI MEN THINK ABOUT WOMEN'S EMPOWERMENT?

(Answers reported orally)

Women's empowerment good if they earn money

Like literate wife

Not necessary (men already provide)

Women don't need property rights

Scared, insecure (threatened)

Their own empowerment follows women's (pro and con arguments)

definition: women are able to anything without their help

definition: women have sons

OK so long as there are no personal consequences for themselves

Want physically strong woman

Loss of control

Part of family improvement (economic etc.)

Men lose self-esteem

OK so long as it does not change household patterns

WRITTEN RESPONSES TO THE ABOVE THREE QUESTIONS:

1: IN YOUR OPINION: WHAT IS THE MOST IMPORTANT CHANGE THAT WILL EMPOWER NEPALI WOMEN?

Literacy: my experience shows that literate women are more communicative than illiterate women and communication is the key or development

Gaining economic opportunities

Education and Encouragement Without education, women cannot explore other opportunities. In a time where education is respected, uneducated people are considered lower. In classrooms, women can be encouraged to explore new roles, ideas, dreams. In classrooms, women can learn with women the positive results to the empowerment of women.

Knowledge -- Most women in rural areas are not literate and they could not even go to school at an age when their children go. So in this case if they are being guided with good knowledge on various fields such as hygiene, education, work etc. they can uplift their living standards.

Engaging in some income generation activity [reason:] in order to be economically independent and socially respected more

feeling of inferiority in being a woman

Talking together in groups about problems and hopes for future and planning action to make change

Education, both formal and informal. If woman know their basic and human rights, they can work to improve their status, but first they meed to know their rights. This is done through education, literacy, training, etc. Education includes social, economic, political awareness raising.

Abolish the caste system -- caste confined/restricts the role of women
bringing women together in a group activity, i.e., savings, literacy, legal information, from which they can learn from each other

The most important change that will empower Nepali women are education as also support of women by men in every way

Society needs to change its attitude toward women and their capabilities and worth. As a first step women need to believe in women

To provide maximum opportunity to educate women first

To be able to choose what she wants to do

Literacy is most important -- it "opens the door" to all other opportunities

Education will help empower women. It'll give them a feeling that they will be heard, their ideas will be noticed

Create an awareness/exposure in different dimensions including legal literacy, participation in local development actions

We should change the dominating traditions. Also we should encourage the education of women

Self-esteem. when a woman has self-esteem she empowers herself to do wonderful things in this beautiful world

To involve them in income generating micro-enterprises (farm or non-farm based)

Women's participation in decision making in the family

Most important is legal rights and give them opportunity in different areas

Economic independence will empower women. Education and skill development opportunities for women can give the independence

Literacy will empower Nepali women because they can read information and gain knowledge about health, legal rights, economics etc.

I think education or literacy is the most important thing to empower Nepali women

Universal education for primary and secondary then easy access to higher levels (college and graduate levels) Reason: to be educated opens a wide vista of opportunities to learn more/access more information and use this knowledge to gain socio-economic benefits

When women have their own income source, when women are economically/financially independent (from men and women), when they can freely live the way they like without asking all the time for small money, they are empowered

I think the most important thing to empower Nepali women is education

189

QUESTION TWO: WHAT DO NEPALI WOMEN THINK IS MOST IMPORTANT FOR THEIR EMPOWERMENT? (WRITTEN ANSWERS)

Skills -- Nepali women (rural) also think that if they have skill they are not afraid of the future because if they have skill they can earn a living

Equal educational opportunities

Democracy

Education If they are education, they think that they would not be dominated by their in-laws

Being education

Biological change to a man

Being able to spend money and time on what they want

a)ability to read and write (literacy)
b) ability to earn money

Nepali women think money/income is the most important to change their lives

The ability to earn income -- through an income generation activity

Through education women must gain confidence

Acceptance of the concept of empowerment by the men who dominate their lives

Nepali women think that they have not any skill

To have some control on income

Don't know -- I hear both that literacy and being able to earn (more) money

The choice to voice their opinions is empowerment for Nepali women eg: their opinion while selling property/distributing land etc.

Getting equal rights between men and women in the society

The most important things are:
- they want freedom from male domination
- education
- equal rights

Literacy

To have more decision-making authority about family together with husbands (men)

Employment/involvement of [in?] economic activities is most important

Family support ad acceptance by society

Right to choose their husband

Nepali women are in poor economic condition. Once they are economically independent, or free from the hand-to-mouth situation, they can begin to think of other forms of empowerment

Most of the Nepali women think that their education, economic condition and family support is needed to empower them

Maybe Nepali women think most important for their empowerment is a good husband (as their provider, protector and chief of household) Reason: socio-cultural setting puts Nepali women to have marriage as ultimate "career" objective

When they have freedom to do something without too much control or interference

Their standing, their (own) self-confidence

191

3. WHAT DO NEPALI MEN THINK ABOUT WOMEN'S EMPOWERMENT? (WRITTEN ANSWERS)

Nepali men also think positively. Now the rural men wants to marry literate women. This is another cause that the parents have started sending their daughters to school

Cultural barriers

Fins as long as there is NO encroachment on their benefits to the way society is currently organized

They might overtake them and start dominating

Doing anything without the help of a Nepali man

Time is urging us to

Women will take more responsibility for their own problems

They don't think about it much!

Nepali men either do not think the role of women should change or change is a threat to them

They are scared!

Men must honor to the women

Nepali men don't think about women's empowerment. They don't perceive that there is any problem

Nepali man think positive attitudes about women's empowerment because they share them

They probably have not thought anything about it, and would not like it if they thought about it

Don't know --I guess that either they don't think about it or don't like it

Nepali men think women's empowerment is giving the women more power then they have, which some might think is negative and some positive

Provide opportunity to participate on those actions involved the men's groups especially in the development affairs

192

Nepali men think about women's empowerment are:
- equal right
- free from male domination
- education

If the work by the women can still get done they accept that idea about empowerment of women. Alot depends on what caste the men are from

To enable them to make decision about FAMILY together with husbands (men)

Education will help to empower Nepali women

Women can only work for family members (household women)

Nepali men think principally it is important but they are confused

Nepali men will not look favorably upon women's empowerment because they feel the women are OK, that men are looking after them. "Empowered" women are too big for their britches

Nepali men think that women should have self-confidence and education in order to empower them

Nepali men think that for empowerment of women, economic support for their wives (or women) is most crucial (whether support from within household, or from outside support)

Women are empowered when they are educated and can make independent living on their own

They think that Nepali women should have education

193

GROUP DISCUSSION:

Toward Definition of Empowerment:

a. earn money, read

b. how others see you

c. able to function in different contexts

d. ability to risk and to learn

e. sense of self

f. only real with reference to unchanging social context

g. having control and choice

h. (mixture of sense of self, how others see you, and control/choice)

different meanings at home and at work --

FIRST BRAINSTORMING OF CONVERSATION STARTERS:

What is the role of women?

What kind of work will you do today?

Did your daughters go to school today?

Where are you from?

Where do you life?

Did you go to school?

What do you think about the status of women?

What should change [in the status of women]?

What is good about being a woman?

What makes you cry? / laugh? / happy?

If born again, would you want to be a man or a woman?

If someone promised you three things, what would you ask for?

If someone gave you 1,000 rupees, what would you buy?

What is good about your life now?

What is not good {about your life now}?

What would you change?

For a man: What do you do to make your wife happy?

SMALL GROUP BRAINSTORMING ON QUESTIONS FOR RA:

What do you want for your daughter?

What kind of husband do you want for your daughter?

Do you grow enough food so you can sell some? -- how far is the market? how often do you go?

What part of the day do you have free time?

What work do your daughters do at home?

What is your family composition?

Are you happy with what you are doing?

What difference do you see between literate and illiterate women?

What are the problems people face when they send their children to school?

In what ways does education benefit children? Is this true for both boys and girls?

Is this equally important for girls and boys? Why?

What are the particular problems girls face in getting an education?

Is it important that everybody can read and write? Why?

Do you know how to read and write?

Do you get consulted on household decisions? give examples.

How often do you visit your parent's home?

Do you read regularly?

POSSIBLE QUESTIONS FOR RA PRACTICE: LITERACY, LEGAL RIGHTS, AND ECONOMIC ISSUES, Brainstorming, January 31

QUESTIONS PERTAINING TO LITERACY:

What is the role of woman?

What kind of work will you do today?

Did your daughters go to school today?

Where are you from? Where do you live?

Did you go to school?

What do you think about the status of women, what should change?

What is good about being a woman?

What makes you angry? laugh? happy?

If born again, would you want to be a man or a woman?

If someone promised you three things, what would you ask for?

If you were given 1000 rupees, what would you buy?

What is good about your life now?
What is not good?
What would you change?

To a Man: What do you do to make your wife happy?

Why send your daughters to school?

Why send your sons?

Is it equally important to send daughters and sons?

Are you literate?

When did you become literate?

What changed as a consequence?

If you are not literate, why? How do you feel about this?

How has this affected your life?

Do you have to be literate to teach?

Why learn to write?

If you could write, what would be different?

(So what:) What is it worth?

Do men prefer literate wives?

Do mothers-in-law prefer literate wives?

What do you get out of being educated?

What kind of opportunity would you like to have to learn to read and write?

At what age?

How important?

What could you do on your farm if you could read and write?

What could you do in your family if you could read and write?

Do you have a friend who can read and write?

What difference does that make in her life?

Can you read: signs? medicine bottles? public posters? numbers? letters sent home? bus schedules?

Have you ever had to sign a bank loan agreement?

Would you like to be able to

read a letter?
read the road/bus signs?
bank agreement?
WHY?

If you can read and write, would you encourage your friends to learn?

Why do you want your daughter to go to school?

Because you are literate have you been able to: go to market? etc?

If you could learn to read, would you be able to more outside the village? would this be important for you?

198

Literacy: --> mobility
income
jobs
household decision making
purchases
participation in associations
self-esteem

What makes a woman strong? powerful?

What difference does it make?

Do you know a powerful woman in your village?

What makes her powerful?

Would you like to be like her?

Would you live to be able to do what she can do?

What things can your friend do that you cannot do? Why?

Is there anything you could do that would make you more powerful?

Do you want to be more powerful? Why?

Is there something you can do to make your life better?

Imagine you don't have to work at home, what would you like to do?

QUESTIONS RELATED TO LEGAL RIGHTS:

Do you own land? Do you have lalpurja? in whose name(s)?

Do you (also) work on other land?

Do you earn enough?

Have you heard about the Constitution?

Have animals, land, jewelry etc. ever been taken away from you?

Do you know of polygyny in this village?

Do you know a divorcee?

Did she have a problem over property when she got divorced?

199

If you had something stolen from you, what would you do?

Is there anything you could do?

In this village do women have lalpurja in their own name?

Do you control the land?

Who controls the land?

Do you know the differences between daijo (dowry) and other types of women's property?

Have you ever been cheated?

Do you know a woman who has been cheated?

Where do you/they go for help?

Do you vote?

Did you or your husband decide who you would vote for?

How did you decide who to vote for?

Is there a woman's organization?

Do you belong to it?

What role do you play in that organization?

Has someone had a legal problem in this community?
What did they do?

Do you know any woman in parliament? in the VDC?

What are the different ways problems get resolved?

Who do people go to for help?

Who else can they go to?

Do you know anyone who went to court? to the police? to a priest?

At what age can girls/boys legally get married?

How old were you when you got married?

At what age would you like your daughters to get married?

Who should decide [women's age of marriage]?

If a woman does not get married, can she own property?

Widows?

QUESTIONS RELATING TO ECONOMIC ISSUES:

Do you have any savings?

Do you belong to a savings group?

Do you make any money?

Do you grow enough food to sell?

Do you go to the market? How often? how far is it?

Do you decide what to do with the money?

What household decisions do you make decisions about?

What is your source of cash?

Is it all year round or only seasonal?

Do you sell anything that you make (or grow)?

What do you make?

From where/whom do you borrow money?

Why do you need to borrow money?

Do you have any loans now?

After you stated earning money, how did your relationships with your husband and your neighbors change?

How would your life change if you had money? if you controlled money?

What could you do to make money?

What do you do to make money?

Why haven't you done anything to earn money?

Do you have a bank account in your name?

Do some women have a small business?

201

How would/did they start?

Where did they go? Who helped?

Are you saving money for anything?

Did you ever get a loan?

Who decided how it was used?

Was it for the family?

Did you feel good that you were helping your family by taking the loan?

Is there an income generation project in this community?

How has it worked?

What is good?

Were there any problems? what? why?

202

RELAXED APPRAISAL TRIALS

Materials in this section pertain to two days of practice with semi-structured interviewing at the end of the first week of the workshop.

1. Interview theme sheet

   This was developed by the participants through the process of brainstorming and small group work recorded in the previous section. (p. 45)

2. Things to think about on the ride home (p. 46)

   For reflection and discussion after the first interviews.

3. Relaxed Appraisal Interview Summary Sheet (pp. 47 - 48)

   Completed by each team for each interview

4. Relaxed Appraisal Evaluation (p. 49)

   Questions for reflection by participants (as individuals and as groups)

5. Evaluation of first day of Relaxed Appraisal interviewing (p. 50)

   Record of small groups reports on what went well and what they will try to do better on the second day

6. Learning from two days of interviewing near Kathmandu (pp. 51 - 52)

   Notes from the small group reports about what they felt they had learned about women and their empowerment in two days of semi-structured interview practice.

203

INTERVIEW THEME SHEET NEPAL, February 1, 1996

ECONOMY: WHY? WHY? WHY? WHY? WHY?

Earn Money? Sell something? Make something? Want to?

Borrow Money? For what? From? Sign bank papers? Jewelry?

Save money? Savings group? For what? Bank Account?

Control money? household expenses? Decision making?

Income generation project? Know woman with a small business?

Feel proud? Feel better? Plans/hopes for your daughters?

LEGAL RIGHTS:

Own land? Lalpurja, whose names? women's? Control land?

Polygamy (man with two wives)? Unmarried woman can own land?

Daijo? Other women's property?

Divorce? Know anyone? Problems with property?

Ever cheated? Ever robbed? Anything taken away? Legal problem?

Do what? Help from whom? (priest, court?)

Vote? who decided who to vote for?

Women's/other organization? your role? Women in VDC? do what?

Feel proud? Feel better? Plans/hopes for your daughters?

LITERACY:

Can you read and write? When learned? What changed?

Friends: literate? would you encourage them? What changes?

Men/mothers-in-law prefer literate wives?

Opportunities: to learn? to use literacy for family? work? control?

Consequences: move? income? job? decision making? purchases?

What makes woman powerful? Do you know one? Differences?

Feel proud? Feel better? Plans/hopes for your daughters?

What would you change about your life? What makes you happy?

TO THINK ABOUT ON THE RIDE HOME: February 1, 1996

1. What new or unusual use of words or phrases did you notice?

2. What new or special things did you learn about your topic? (empowerment, literacy, legal rights, economy)

3. What is NOT clear? What puzzles you? What new questions do you have in your mind?

4. What were you expecting to see or hear that you did not see or hear?

5. What did you learn about the other person's perspective or view?

6. What new ways of leading the conversation/asking questions did you try, which were good, which were not successful?

205

RELAXED APPRAISAL INTERVIEW SUMMARY SHEET

{PROVIDE THE INFORMATION REQUESTED TO THE BEST OF YOUR ABILITY. A GOOD RELAXED APPRAISAL DOES NOT REQUIRE PRECISE INFORMATION ON THESE TOPICS, BUT IF YOU CONDUCT MANY INTERVIEWS OVER A FEW WEEKS, YOU WILL FORGET WHICH GROUPS SAID WHAT. IF YOU PREPARE A SHEET LIKE THIS FOR EACH INTERVIEW YOU WILL LATER BE ABLE TO SORT ON THE BASIS OF AGE, SEX, EDUCATION, RURAL/URBAN OR WHATEVER MAJOR CATEGORIES ARE IMPORTANT FOR YOUR WORK. SPEND TIME DISCUSSING THE QUESTIONS ON PAGE TWO!}

LOCATION: ______________________________ DATE: ______________

NAMES OF TEAM MEMBERS:

PHYSICAL DESCRIPTION OF AREA: (WHAT DID YOU SEE WITH NEW EYES?)

THE INTERVIEW: HOW IT WENT/ INTERRUPTIONS ETC.:

HOW EVERYONE FELT DURING THE INTERVIEW:

HOW WELL THE TEAM WORKED TOGETHER:

INTERVIEWEE:

SEX: M F APROX. AGE ____ OCCUPATION ________________

YEARS OF SCHOOL: _______ ECONOMIC STATUS: ________________

GENERAL INFORMATION (FAMILY ETC.):

CHARACTER, ATTITUDE, ETC.:

IF THERE WERE SEVERAL INTERVIEWEES DESCRIBE EACH BELOW AND CONTINUE ON THE BACK OF THIS SHEET.

206

THESE ARE IMPORTANT QUESTIONS ABOUT THE INTERVIEW. DISCUSS EACH WHILE YOU REVIEW THE INTERVIEW AND THE NOTES ONE OF YOU MADE DURING THE INTERVIEW. ALLOW PLENTY OF TIME. (WHAT DID YOU HEAR WITH NEW EARS?)

REMEMBER: WHERE ONE PERSON HAD ONE IMPRESSION, AND ANOTHER PERSON HAD A DIFFERENT IMPRESSION THERE IS A SPECIAL OPPORTUNITY TO LEARN. CONSENSUS IS NOT THE GOAL. RATHER THAN TRY TO AGREE ON WHERE YOU SAW THINGS DIFFERENTLY, TRY TO CLARIFY THE NEW QUESTION THAT IS ON YOUR MINDS AS A CONSEQUENCE OF THIS DIFFERENCE. THIS WILL LEAD YOU TO THINK ABOUT WHAT NEW QUESTIONS YOU WILL SEEK TO ANSWER, OR HOW YOU WILL DISCUSS THE SAME TOPIC DURING THE NEXT INTERVIEW.

ANSWER THESE QUESTIONS ON ADDITIONAL SHEETS OF PAPER. THEN STAPLE THESE TWO SHEETS ON TOP OF YOUR ANSWERS AND THE COMPLETE NOTES YOU TOOK DURING THE INTERVIEW.

* *

1. What new or unusual use of words or phrases did you notice?

2. What new or special things did you learn about your topic? (empowerment, literacy, legal rights, economy)

3. What is NOT clear? What puzzles you? What new questions do you have in your mind?

4. What were you expecting to see or hear that you did not see or hear?

5. What did you learn about the other person's perspective or view?

6. What new ways of leading the conversation/asking questions did you try, which were good, which were not successful?

201

RELAXED APPRAISAL EVALUATION (NEPAL, FEB. 1 & 2, 1996)

CONSIDER/REFLECT/THINK:

How well did you use "new eyes?" look as for the first time?

How well did you use "new ears?" to listen as if fresh?

Did you really learn something new about women's empowerment?

How comfortable did you feel using the sheet of themes?

What was the hardest thing about leading a conversation?

Were you able to use different types of questions well?

Were you satisfied with the notes you took?

Were you comfortable observing?

Did your group discuss/analyze the conversations well?

WHAT WILL YOU DO DIFFERENTLY WHEN YOU NEXT DO RELAXED APPRAISAL?

observing non-verbal behavior:

conducting conversations:

listening for new use of words and phrases:

listening for new logic, new perspective, new viewpoints;

taking notes:

helping others in your group/working as a team?

WITH OTHERS IN YOUR GROUP, DECIDE WHAT YOU DID BEST AND WHAT YOU MOST WANT TO TRY TO DO DIFFERENTLY NEXT TIME -- EACH GROUP WILL SHARE THESE WITH THE OTHERS.

February 1, 1996

Evaluation of first day of Relaxed appraisal interviewing

WHAT WENT WELL:

friendly atmosphere, blended in easily
apprehensions not realized
followed leads in conversation
modified/adjusted style of interviewing as appropriate
adjusted to the context and "broke the ice" easily
good conversational style used
let the interviewees lead the conversation
sat on the mat
collaborative interviewing style
acceptance, collaboration

WHAT WE'LL DO BETTER:

too nice, need to be more pushy, especially on economy and legal rights issues
avoid public place -- people want privacy
need to work harder on interviewing men
should be more direct
focus more on economy and legal rights
note taking
try more focused style
will coordinate talking roles better in order to get better follow through
more attention to economy
more flexible

20

THINGS LEARNED WHILE DOING RA FOR TWO DAYS NEAR KATHMANDU:

Notes from report out: February 2, 1996 (late afternoon)

Caste similarity

Empowerment not related to money

Literacy does not bring wisdom/create character (value)
Illiteracy defined as lacking confidence, but still ambitious

Very high value on opportunity / education for children

younger women better educated, more politically aware

women are very dependent -- they are released from responsibility for their opinions

one recent widow -- unprepared for responsibility

sense of helplessness

illiterate women do not see opportunity for themselves, but value literacy highly for others

More awareness among villagers than team expected, but economic constraints hold them back

lack of economic opportunity, skills

not enough land

lack of legal rights awareness

empowerment defined as having money

women do not do well in adult literacy programs:
- forget what they learn
- have no chance to put it to use
- not a priority for them
- not relevant to their economic interests
- prefer to send daughters to school (than take literacy classes)
- not available
- not aware
- not free to choose

Women are eager to learn
- education important for income generation aims

both boys and girls educated

210

women need to stand on both feet

equal treatment advocated

interest, positive attitude, but no opportunities

women can't do as much as men -- they are submissive

dependency

don't know how to improve their lot

no jobs available for educated women

disillusionment with voting

women with own money, on their own feet -- this is a definition of empowerment

"Dishonesty pays" (one group pretended they were showing a tourist around the countryside...)

checklist questions do not work well

one man said -- educated women should have ability to cope, but was not letting his daughter go to school-- discontinuity of values and reality

one women -- had tried to become literate twice, failed so gave up

trend? -- adults want literacy if it facilitates economic gain in the short run, for their children they value education highly as a means for social mobility, opportunities

Question: How much education is too much? -- because culture restricts movement/opportunity...

older women think about the future of the family

Question: relevance (of literacy...)

211

PRA PRACTICE

This section contains the record of PRA trials during the second week of the workshop.

212

TEAMS for PRA, February 7 and 8

1. Meloney, Sribindu, Arati, Uttam (Anne with them 2/8) Chitaan

2. Soi-Lan, Kiran, Bhandari, Jyoti (Amanda with them 2/8) Nawalparasi

3. Josephina, Arjun, Neeru, Naina (Anne with them 2/7, Dave with them on 2/8) Nawalparasi

4. Sonja, Puru, Bijay, Sabita (Carol with them on 2/8) Chitaan

5. Nancy, Ramesh, Chitra, Durga (Andy with them on 2/8) Chitaan

6. Vicki, Mukul, Shubha, Amrita (Jane with them on 2/8) Nawalparasi

PRA IDEAS February 6, 1996

(Group Brainstorming about what to try to get on maps and diagrams during the first day of PRA practice.)

ITEMS FOR COMMUNITY MAP

girls in school
ethnic groups
population/% women/family size
community land -- water, electric poles
women's literacy
women's groups
income generation
police station
water taps
health post (hospital)
natural resources -- forest, river
legal offices / party offices
leaders' residences -- elected and non-elected
markets
temples
women headed households
banks
age of marriage
schools
VDC office
crafts (traditional)
literacy classes
leaders (traditional)
birth spacing / FP
toilets
shops
houses with smokeless stoves
types of women's work
houses with educated women
community gathering places
roads
ponds
streams
tea stalls
pipal tree
crops
# of children
TBAs (traditional birth attendants)
CHVs (community health visitors)
non-formal education centers
bus stops
post office
animals
cycles
skills

214

"EQUIPMENT"

stones, leave, sticks, seeds, chana, maize, orange peels and seeds

THOUGHTS ABOUT TYPES OF CHARTS TO BE MADE:

Venn Diagrams
Pie Chart
Seasonal
organizational chart
pair wise ranking
types of work by hours in the day
options
problems
solutions

work -- grandmother, mother, young generation
daily time use
income generation
    inputs and time
where to go for selling things, supplies etc.
card sort
history / time line

THOUGHTS ON PRA reported out after first day of mapping work...

February 7

- participants willing to share sensitive information (caste)

- new eyes, new ears,

if lecture -- two people, status issues in play, polite language, uncomfortable
PRA -- many persons, status a non-issue, use ordinary language, feel comfortable

- group centered approach -- focus on the task

- traditional leaders easily identified

- local contacts through NGOs, very helpful for us, smoothed the way, helped build rapport, saved time !

- hard to keep people from developing great expectations

QUESTIONS FOR REVIEW AFTER SECOND DAY OF PRA PRACTICE
(5 PM meeting)

1. In what ways (if at all) do the women in the community you have studied for two days distinguish education and literacy? Do these mean different things for women's empowerment? Do they see distinct implications (of education and literacy) for micro-enterprise development?

2. Describe the differences between young, middle-aged, and older women -- what skills, hopes, and expectations of family life to they have?

3. In your (outsider's) opinion, to what extent does participation in a group -- a mother's group or a literacy class -- contribute to women's empowerment? How?

4.
what was the most unexpected thing you learned about the community you studied?

5. Compare and contrast relaxed appraisal (RA) and participatory appraisal (PRA) -- what are three advantages and disadvantages of each?

extra:

How well did you "pass the stick?"
How well did you practice teamwork?
how/how much did people in the community learn?

REVIEW AFTER SECOND DAY OF PRA PRACTICE, Chitwan, Nepal

QUESTION 1: In what ways (if at all) do the women in the community you have studied for two days distinguish education and literacy? Do these mean different things for women's empowerment? Do they see distinct implications (of education and literacy) for micro-enterprise development?

A) women learn alphabet and numbers for practical reasons -- not to get cheated -- recognize the importance of education but can't afford (time etc.)

B) literacy means to "open one's eyes" -- place very high value on education, more girls than boys, job expected meaning social mobility

C) literacy for themselves, education important for children
One said: if a woman remains unmarried until 25 years of age, she can study to IA or BA, she is independent can make her own choices
someone with no education is blind

D) No distinction discernable given our conversation -- we started by speaking about education, so we conditioned the responses --women tend to see formal and non-formal education as the same

E) We understood no difference between literacy and education as perceived by the women

F) Not sure what women think -- they do send their daughters to school, value education higher, one daughter sent her mother after starting to attend school herself, seeking/get ideas for income generation and say they'll be able to read letters from friends

218

Question 2: Describe the difference between young, middle-aged, and older women -- what skills, hopes, and expectations of family life do they have?

A) Young value education most, middle want legal literacy, interested in either literacy of legal literacy, older women value education for the children, their family orientation seems stronger

middle ones seek skill training, explain their problems readily
older ones -- seeking solutions for family problems like alcoholism

older women say what they think -- are free to be irreverent
younger women are more guarded -- at least in presence of older women
traditional speech norms -- age (and sex)

B) middle aged women most active, they're also the ones in the literacy class where this group visited...
a few are very shy
teachers have more prominent role
middle aged ones more worried about financial risks than older women

C) young -- concerned with literacy and family size
middle -- talked about literacy program and income generation
older -- more passive, expected more of us outsiders (projects)

issues in this villages were rhinos, floods and snakes

D) VERY POOR COMMUNITY
woman waiting for her husband to bring grain home -- eventually borrowed from friend nearby
very poor -- seem to accept their lot (not quite resignation)
the young seem more shy due to lack of exposure (isolation)

E) young here, knit bags and various things but no market, very outspoken, shops, stitching

F) young -- hope for education
middle -- send boys and girls to school, interested in literacy
older -- basic means of support/money more important

legal rights awareness -- middle and older women

issues of group identity override age differences among members*

QUESTION 3: In your (outsider's) opinion, to what extent does participation in a group -- a mother's group or a literacy class -- contribute to women's empowerment? How?

A) In this community, women got into a self-sustaining conversation abut literacy vs. money in conjunction with PRA exercise
they are aware of their rights, can't be cheated re: land, property

B) (Arjun on other areas)
One group, women got upset about wife-beating and alcoholism and organized movement -- their region now an alcohol free zone
Another place -- women got voice through group, organized a demonstration
Another - anti-wife-beating campaign
Another - various things, drinking, dynamiting river to catch fish, anti-corruption action
all effective...

C) Literacy classes lead to women speaking more and better -- they find their voice, gain confidence
Donor projects of micro-credit associations what require group formation mobilize this important function, also ADB projects all promoting access to credit

sense of belonging, pride, validation,

freedom of movement

permission from or consultation with husband or local leaders still followed?

in groups -- understand and practice democracy

encouragement, enjoyment, safety and support, sharing

accumulation of funds,
pride of membership

220

QUESTIONS TO THINK ABOUT OVER THE WEEKEND FOLLOWING PRA PRACTICE

1. What was the most unexpected thing (or two) you learned about the community you studied on Thursday and Friday?

2. Compare and contrast relaxed appraisal (RA) and participatory appraisal (PRA) -- what are three advantages and disadvantages of each?

3. After two days near Kathmandu and two days in Chitwan, what appear to be the differences between the situations of women in both areas: rural-near urban
young - old
caste
economic status (etc.)

4. What is your impression about variation between communities in any region in Nepal? Are most communities similar around Chitwan? Is the <u>variation</u> among women's hopes and frustrations greater around Kathmandu? Would this be typical of other hill areas?

5. What problems do women (of different ages, castes, economic status and residence -- rural, urban, regional) think are most important? What do <u>you</u> think their biggest problems will be in ten years?

6. If you were planning a customer survey, how much would you use RA, how much PRA? Would you use one first, then the other? how many interviews (RA) and how many "village days" (PRA) would be correct for each region? WHY?

WHAT WAS THE MOST UNEXPECTED THING YOU LEARNED?

February 12, 1996

What was the Most Unexpected thing you learned while on the field trip to Chitwan last Thursday and Friday to practice PRA?

1. Villagers are really good at map making!

2. Higher girls enrollment (than boys) in primary school

3. Women in Kathmandu prefer skill training, in Chitwan they focused on education

4. Women are open about personal problems

5. There's a high level of interest in group activities

6. It's easy to get sensitive information

7. NGO staff learned new information through PRA even through they had worked there for one year (on a different subject).

It is a safe method for women to communicate about their personal lives

8. Education is more important than money -- Women got into a big (self-sustaining) debate among themselves over this.

9. The problems of extreme poverty made an impression on some -- the hand to mouth existence, yet people used cash nonetheless

10. Photographs interpreted very differently (than by us)

11. Education valued more highly than property

12. Higher caste women are more vocal and more empowered -- for example, in opposing alcohol consumption

13. Very poor women are relatively equal (they have no assets to lose) -- among them some consider alcohol consumption to be ordinary

cf: alcohol -- differences among norms held by groups, castes, and the amount of property held

14. Poverty of recently settled nomadic people very great

15. Terai is mixture of in-migrants well within living memory -- it is relatively egalitarian (lack of caste hierarchy)

222

16. Prominence of wife-beating: it is more common than expected

17. Question about how much women told us rather than what they wanted us to hear?

Americans expect to enter a home on a rather formal, guest basis. We tend to be surprised when Nepalis act life family when they enter a home for the first time. Regional variations in US and Nepal...

18. Poverty -- women are much busier and do all types of work

19. Poverty -- women are not dominated by men

20. There's a high level of interest in non-agricultural income possibilities.

21. Communication in groups (doing PRA) much more open than in individual conversation (RA).

22. Four hours of tractor work replaces 40 people each working 8 hours and costs one third as much!

23. Women are outspoken (in a Tharu village) in contrast with our expectation.

24. Empowerment defined not in relation to money but rather with reference to the ability to talk with people.

25. Learning through PRA is very rapid.

26. Wife beating seen as more important than we expected because the method was safe for the women to share this information (no speaking out loud, rather just placing a stone in a temporary chart).

REVIEW OF GROUP WORK ON PRA

February 12, 1996

Report on what each group had done with PRA last Thursday and Friday

GROUP ONE

1. Walk through, slowly, listened to old woman show them around

2. organized a gathering of people

3. Social Map -- houses, road, water

* area was small, so the map was small, so few people could work together

4. Organization Chart -- division of labor by sex and age with reference to various tasks

* Simplicity, ease, quickness important
* Attention span short

5. Social Map -- educated children, social issues, Attention span again an issue

6. Writing Exercise about empowerment

7. Picture exercise, learned through listening to their redefinition of various photographs

8. Chart of financial/month
   various expenses listed -- irrigation, building
   trade-offs examined
   noted priority vs. discretionary costs

* Seeds, hard to count and measure when placed in bunches (People wanted the good quality seeds that the team had brought!)

Self criticism: too many tasks led to divided attention and loss of motivation among women --

travel time too long (we had specifically instructed that site be within one hour of the hotel but it was more like two hours away)

someone must stay there with each activity

X vs. check mark hard to see -- colorful objects better

224

GROUP TWO

*Distance and time taken up in driving

took time to gather people, yet had help from "introducer"

map making -- one woman acted as a catalyst, others later said she made errors

mobility may -- purposes of travel to various places, discussed among themselves

time line history -- interviewed a former bonded laborer, now 65 years old

Map/chart or work/tasks

Seasonal Map --

Pairwise ranking of various expenditures: food, clothing, medicine

*Were hurrying so had some difficulty

Avoiding bias of one person copying another

Question: working in very poor community -- can you do pairwise ranking when constant expenses appear to preclude differentiation among secondary expenses

possible solution -- use hypothetical pair-wise ranking -- if you had enough food, would you be more likely to spend money on x or y?

GROUP THREE

Women came up with nine problems
assigned pictures for each
requested each women to voluntarily vote for the major, secondary and tertiary problems
used stones, bits of colored paper

* Ask them for their solutions

* Bias by elite women choosing first

* Effect of having a women-only or mixed group

If have a man on the team, then village men can ask questions

easy to form sub groups -- naturally split by age and ethnicity

* experientially informed vs. hypothetical

* assumption among nepalis that alcohol leads to wife beating rather, it may be secondary to dowry, polygamy, and illiteracy problems

8 significance of men's illiteracy

* Who chooses categories for matrices -- if add own categories can test own hypotheses -- if use only one's own get strong bias

People's priorities depend upon their circumstances

GROUP FOUR

time of arrival -- this group thinks we should let more than half of Their day go by before arriving

They asked, why are you here? What do you want to do for us?

Map -- it was fun for all --epicenter of the map was the point where they stood

started with the zamindar

census taken by asking for beans to be placed on the drawings

the elicited problems by age -- health, education etc.

second day -- less interest because women went to collect wood

skills that they had included making bags, mats, etc. so team member made pictures and did a skills inventory with beans

seasonality -- elicited work and income

empowerment -- they indicated a young woman as an example -- she was a good talker, their judgement deemed to be egalitarian

team suggested money, villagers rejected this as non-egalitarian

{Later, Andy Andrews asked about possible political influence on this value that was repeatedly expressed}

Men's presence decreased women's talking -- asked men interviewers to lead the community men away

best to work in short units of time

question: effect of the involvement of the zamindar?

GROUP FIVE

Map and total of six exercises

In four of the exercises, the categories were chosen by the villagers

Pairwise ranking, empowerment of women asked
safe environment allowed them to be open
led to a debate about their needs among the women themselves

parents not sending girls to school -- various reasons given that interviewers considered to be excuses

Picture story --
legal issues came out

later asked women to write their major problem as a cross check (9 of the 11 were literate) and found that the same issues were highlighted

typical work day elicited --
has some trouble structuring the matrix -- if reported hour by hour, chart became very messy as each person added her marks

solution -- record for one woman at a time -- rub out after copying onto paper

conclusion: elegance of the chart not the most important part of the exercise!

seasonal work -- women reported only two hours off each day, none in June, July and November. -- led to question: do the women have time for an income generation activity?

tried chart on legal problems -- did not have enough time, late addition of extra columns meant that results were inconsistent...

* Sequencing of exercises important -- got very good picture story but it was not first

{Chickens liked the beans!}

227

GROUP SIX

first day map and pair-wise ranking re: desire to open shop

*Reviewed and edited the map (villagers made corrections)

* Matrix on shops -- vegetables, household goods, sewing, tea shop
  Analyzed profitability (using Kathmandu/Western categories!)

Time line -- very recent (men only -- perhaps should also have been women)

* Three groups of five women -- asked to decide on three priorities for change -- written on chart on ground

we then assigned pictures to go with each category -- later found that their interpretation of the pictures was very different so had to re-do the voting

Picture story -- when the main character was given a name speeded up.

Linkage between exercises of thinking up three priorities and portraying them in a graph NOT understood by the women

238

SUMMARY OF REVIEW OF PRA PRACTICE:
My notes on team members' comments about PRA -- Feb. 12

It works!
It offers a safe context for people to tell about themselves

Time is important -- go slowly
keep the diagrams etc. easy
simplicity important
attention slips when too complicated (or hurrying)

materials,
- paper blows
- chickens eat seeds!
- good to draw pictures while in the field

Various types of voting -- weighted, pair wise, preference ranking

re-doing is really good -- showing map to folks for them to make revisions -- or vote again if there was a mistake

elegance of the product not the most important part!

discussion about eliminating a constant factor (food) before doing pairwise ranking of other factors -- suggestion that folks could try hypothetical questions...

interpretation of pictures -- very easy for us to assume that we know how others see pictures!

men vs. women -- men on the team can lead intrusive men away
team felt mixed groups was best

Cross checking
Sequencing
Linkages (sometimes people don't see connections you assume)

sub groups easy to form

test own hypotheses by dictating categories sometimes, though reliance on others to choose categories best in general

229

PLANNING THE CUSTOMER SURVEY

This section contains notes from discussions during which the team or various sub groups planned the up-coming customer survey for SO3 drawing from their study and practice of RA and PRA during the previous two weeks

230

PLANNING THE CUSTOMER SURVEY

Questions to Start From:

how many VDCs?
How many people?
RA/PRA/both?
When?
Where? Midwest and Terai?
Linkages within SO3?
Measurement?

Later:

Where?
How many VDCs?
Mow many of us?
How many teams?
When?
How long?
Back and forth to the mission?
Purpose?
Resources for NGO participants? per diem? charge to staff time on grants?
Team composition?
USAID base -- reporter (who), coordination team?

Re: proportions of PRA and RA...

depends upon: community sophistication, exposure to development, literacy

also depends upon the issues being investigated

and upon the time available.

231

How much work per team per day:

My proposal:

one day, three teams, three wards within one VDC

team said too fast! (instead...)

they proposed:

one team, two days, one ward
(maybe two villages)

Choice of places: should get a mixture of communities where there are development activities already and where there are none

team should be mix of men and women, USAID and non-USAID, Americans should be spread out too...

DAILY WORK:

two interviews
social map -- census, literacy, women's jobs....
two diagrams etc. -- story, transect?, pair wise ranking, matrix etc.

THEN: NOTES!!! TALK!!!!

LOCATIONS:

Mid West -- Rapti and Bheri areas, each have 5 districts
Terai -- 18 districts -- three of which overlap with Bheri and Rapti!

So, total of 25 districts

SO3 is defined as focusing on rural areas...

average of over 50 VDCs per district, with Terai higher

Therefore estimated, 1500 VDCs. (village development committees)

each VDC has nine wards and each ward has three or four villages each

estimate: 400 VDCs in Rapti and Bheri
1100 in Terai

REGIONAL VARIATION:

Eastern Terai -- north of the highway has mixed communities from the mountains, south of the highway, indigenous people = modeshi

Western Terai -- north of the road similar
south of the road , different modeshi people, in general women more restricted south of the road

Rapti and Bheri -- include hills, mountains, and terai

assumption: can't get to mountainous areas....

Bheri: districts in Terai: Banke, Bardia (covered by Terai folks)
in hills: Surkhet, Dailekh
Jajarkot (too hard)
Rapti: inner Terai district: Dang
hill districts: Sallyan, Pyuthan
Rukum and Ropa (too hard)

Recalculation of VDCs

300 -- hill areas of Rapti an Bheri
1200 -- Terai
OR: 20% in Rapti and Bheri, 80% in Terai, but more variation in former

assuming a total of between 45 and 60 days total in the field

12 days of interviewing in hills
48 days in Terai

OR:

9 days in hills
39 in Terai

came up with overall schedule...

CUSTOMER SURVEY OUTLINE

(Developed by team on February 13, 1996)

Sat	2/24	2 vehicles leave for Nepalganj 3 vehicles leave for Biratnagar
Mon	2/26	2 teams fly to Nepalganj (Bheri) 3 teams fly to Biratnagar (E. Terai)
	2/27	1 team to Surkhet. (Bheri) 1 team to Dailekh (Bheri)
	2/27 2/28 2/29 3/1	Eastern Terai teams work in Mechi Distt. of Jhapa zone Koshi Distt. of Sunsari zone Sagarmatha Distt. of Siraha zone
	2/28 2/29 3/1 3/2	Bheri teams work in Surkhet Dailekh
Sat	3/2	3 teams fly back from Biratnagar
Sun	3/3 3/4	2 teams fly back to Nepalganj (KTM if possible) 2 teams fly back to Kathmandu
	3/4 3/5/6	3 vehicles return from Biratnagar 2 vehicles return from Nepalganj
W&Th	3/6&7	FULL TWO-DAY MEETING IN USAID CONFERENCE ROOM
Sat	3/9	2 vehicles leave for Napalganj
Mon	3/11	2 teams fly to Nepalganj and proceed by road to Dang
	3/11	3 teams drive to Central Terai
	3/12 3/13	2 teams work in Dang (Rapti)
	3/12 3/13 3/14 3/15	3 teams work in Central Terai Jakahpur Distt. of Sarlahi zone Narayahi Distt. of Parsa zone Lumbini Distt. of Rupandehi zone

234

3/14		1 team travels from Dang to Sallyan (Rapti) 1 team travels from Dang to Pyuthan (Rapti)
3/16		3 teams drive back from Central Terai
3/15 3/16 3/17 3/18		Rapti teams work in Sallyan Pyuthan
3/19 3/20		2 teams return to Nepalganj 2 teams fly back from Nepalganj
3/22		2 vehicles return from Nepalganj (or leave there?)
TH&F	3/21&22	FULL TWO-DAY MEETING IN USAID CONFERENCE ROOM
3/23		3 vehicles leave for Nepalganj (or only one if two were left there after 3/20)
Mon	3/25	3 teams fly to Nepalganj
3/26 3/27 (HOLIDAY) 3/28 3/29 3/30		3 teams work in Western Terai Banke or Bardia Distt. in Bheri zone Kailali Distt. in Seti zone Kanchenpur Distt. in Mahakali Zone
3/31		3 teams return to Nepalganj (and to KTM is possible)
Mon	4/1	3 teams fly back to Kathmandu
TWTH	4/2,3,4	BIG MEETING: THREE FULL DAYS IN USAID CONFERENCE ROOM
4/2/3		3 vehicles return from Nepalganj

235

List of (Possible) Volunteers for Different parts of the Customer Survey...

Terai (E)

Bijay, Ramesh, Soi-Lan, Kiran, Josephina, Meloney, Chitra

Terai (C)

?Bijay, Kiran, Sabita, Jyoti, Arati

Terai (W)

Shubha, Uttam, Arjun, Bijay, Ramesh, Sabita, Amrita, Chitra, Durga, Vicki, Arati

Bheri

Shubha, Uttam, Durga, Arjun, Mukul, Arati, Amrita, Vicki (must attend meeting in Nepalganj on 3/2 and 3/3

Rapti

Durga, Meloney, Mukul, Arjun, Amrita, Vicki (lives in this area so could be of great assistance), ?Ramesh

TRAINING OF TRAINERS

Very little time remained for this short section of the workshop intended to help participants review and evaluate both what they had learned and how they had learned it, and then consider what they feel would be important to include in a similar workshop were they to plan one to train others in the methods.

One participant (from an NGO) was indeed planning a workshop, so everyone made suggestions about how he should set his up.

(p. 79)

237

TOT & Evaluation explanation

Arjun's Training Program (Evaluation with an eye to training others)

Introduction, RA,PRA methods
observation exercise
topic -- strategy planning, need assessment
teamwork
training trainers??

? --> How to design strategic plan using PRA

field trip -- learn by doing

RA? -- issues, development of discussion, probing, see advantages of PRA

# of people, bigger for PRA?

LISTEN

listen for differences
attentive listening
Saboteur
Reporting out
role of note taking/documentation
handouts

how to analyze
emerging issues?
agency's manageable interest?

238

PROPOSAL FOR ACTION RELATED TO THE SO3 CUSTOMER SURVEY

This section contains a copy of my proposal to the Mission suggesting immediate conduct of the customer survey followed by rapid preparation of an RFA to establish partnerships with other groups for further design and implementation of the reconceptualized activity. I prepared this because some felt that a lengthier process paralleling the traditional project design strategy would be required after completion of the customer survey and subsequent preparation of a customer survey plan for the Strategic Objective.

(pp. 81 - 84)

239

Proposal for Action Related to the SO3 Customer Survey

Anne T. Sweetser PPC.CCI
February 16, 1996

Summary:

I propose that the Mission create and empower an SO3 team to move expeditiously to engage partners, form an expanded team and commence implementation of the activities deemed most appropriate for promoting women's empowerment as a consequence of the customer survey proposed by the team that I have just trained in teamwork, relaxed appraisal (RA) and participatory appraisal (PRA).

I base this on the model provided by the fully empowered Bangladesh democracy SO team that issued an RFA within a few weeks of completing a customer survey for which I trained the survey team last spring. (CELs were intended to provide models for the rest of the Agency to emulate after October 1, 1995.)

Rationale:

The USAID Agency Objective is to foster significant development results that improve the lives of people, our ultimate customers. (Delays in obligating funds mean delays in obtaining results.)

The Agency aspires to becoming a learning organization that creates, acquires and transfers knowledge and modifies its behavior to reflect new knowledge and insights. Empowered teams are a prerequisite for this capability.

After conducting the customer survey, the FSNs will be sufficiently skilled to organize and carry out -- in conjunction with USAID's partners -- similar participatory studies for design, implementation, monitoring and evaluation tasks for all programs throughout the Mission.

This conforms with re-engineering principles and also with the plan for strengthening NGOs as outlined in the New Partnership Initiative.

Team Formation:

A Core Team consisting of specialists working in the area of women's empowerment should be defined. This should be headed by Jane Nandy and include (at least) Nancy Langworthy, Josephina Dhungana, Kiran Man Singh, Arati Nirola, and probably Shubha Banskota.

240

(The use of "Core Team" to designate this team conforms with Agency practice. I recommend that a different term be chosen for the mission management team to avoid serious communication problems.)

A full SO team should also be designated. This should include representatives from the director's office, contracts, financial management, EXO, program and other relevant offices. Virtual team members should also be selected. Among these might be Gretchen Bloom of ANE.SEA, Rebecca Jennings of G.WID, Alec Newton, RLA based in Bangladesh, and possibly others such as Karl Schwartz PDO in Bangladesh and Mari Clark of G.WID.

The first task of the SO team would be preparation of a team charter outlining (at least) the purpose and goals of the team; the norms for membership, roles, and participation; modalities of reaching decisions; procedures for defining tasks and measuring team performance. Clarification of the goal of moving rapidly forward with implementing the SO activities would help define the constitutive tasks, their order and required time, and need for subteams or other delegation of tasks (such as checking with other donors about their activities in related areas, which could be done by any team member, and preparing the text of the RFA or RFP, which should be done by (a) member(s) of the core team, I presume). Responsibilities of each participant could then be delimited. Each would be assured of the opportunity of making appropriate input without dedicating excess time and effort. The full team would keep focus on progress toward the overall goal and conduct regular evaluations of their teamwork, probably using a "dashboard" of their own design. All team members would evaluate one another under the 360 degree personnel review system. Someone should be designated to enter records into the team (and other) module(s) of the reengineering computer system.

Specific issues for early decision include a choice of contracting mechanism (contract or cooperative agreement or grant) hence RRA or RFP. Methods for ensuring appropriate linkage with other SO teams in the mission should also be discussed. Later, planning for expanding the team to include partners who would be involved (possibly in further design and) in implementation would be an appropriate agenda item. A detailed schedule for all intervening tasks should be prepared. The team would accept mutual accountability for their decisions for which additional clearances would not be required.

To facilitate true empowerment of these nested teams, I recommend just-in-time team training led by Camille Barnett, Ph.D. of RTI (who had trained members of the Bangladesh CEL prior to my arrival there last spring) or another specialist. Jerry Delli Priscolli of the U.S. Army Corps of Engineers might be able to recommend a skilled consultant. Perhaps Karl Schwartz could facilitate this and a full training scheduled for the entire

241

mission during the first less-than-obscenely-busy period of time on the schedule. Note that Nancy Langworthy will be required to devote her near full attention to work with the customer survey team during the weeks of March 4, 18, and April 1. Also Kiran Man Singh, Josephina Dhungana, Shubha Banskota and Arati Nirola will play a crucial role in carrying out the survey for the next six weeks.

Proposed Schedule -- at least for purposes of discussion!

This is very ambitious -- but in comparison with the Bangladesh effort probably doable. Without a working multifunctional team structure Bangladesh certainly would not have been able to move as expeditiously -- I offer this proposal assuming that such a structure is implemented.

I have also created this schedule without consulting those who will be most affected, for example Jane Nandy. There are undoubtedly competing demands on her and others time (as in managing on-going contracts of the SO) that must be taken into account. I have assumed that it will be possible to hire an experienced proposal writer (as mentioned by Dave Johnston for similar situations in the past) for draft and finalize the RFA.

As I have repeatedly stated, I am unaware of details of the contracting process etc. Clearly, I have assumed an RFA mechanism.

March 8	completion of SO3 full team charter
March 15	decision re: RFA vs. RFP
March 29	completion of check on other donor activities and only those additional pieces of research etc. that clearly contribute to moving toward the goal of rapid implementation and that are legally required (check with Alec Newton on how Bangladesh handled this!)
April 12	completion of customer survey report
April 19	finish brainstorming and narrowing of activity options based on customer survey
April 26	text of activity options based on brainstorming by full team during previous week

242

May 10	draft RFA based on customer survey and activity options (including mention of intended expanded team structure) Note: I have not seen the complete RFA sent out from Bangladesh. I presume it was very lean and mean and thus humanly write-able in this period of time -- I may be wrong. Some sections might have been prepared earlier. Hiring a consultant to prepare this the would be eminently reasonable!
May 22	finalization of RFA
May 29	publication of RFA
June 21	due date for responses
August 23	last date for awarding cooperative agreement
Sept. 1	convening of expanded SO3 team with preparation of team charter a primary task...

243

TOOL KIT

for

EFFECTIVE

TEAMWORK

The "TOOL KIT" is intended for you to use back on the job to assist you in teamwork situations. This set of tools was developed in part by Camille Cates Barnett, Ph.D, in collaboration with USAID/Bangladesh. Other tools were added by members of the TOT development team.

These tools will only prove useful if you try them and master them in your job environment. Feel free to develop new tools and to share them with other operating units and with the Learning Center in Washington

244

Table of Contents

245

JOB AID: Defining Team Roles

ISSUE ADDRESSED: Participation
Assuming Different Team Roles

DESCRIPTION:

1. Leader: Primary functions are to: (a) lead team meetings and work with facilitator to plan meetings/agendas and monitor/strengthen team processes; (b) ensure the team has what it needs to make decisions including the "right skills at the right time"; (c) provide intellectual leadership; and (d) communicate with non-team members.

2. Facilitator/Process Observer: Primary functions are to: (a) with team leader, plan meetings/agendas and monitor/strengthen team processes; (b_ advise team on use of alternate team tools and processes; (c) helps identify "right needs at right time," and (d) critiques effectiveness of team processes.

3. Time Keeper: Primary function is to ensure team remains on schedule as per the agreed agenda and of time remaining to complete agenda tasks.

4. Recorder: Primary functions are to: (a) capture core ideas of team discussions; and (b) summarize and record decisions made by team during meetings.

5. Member: Primary functions are to: (a) contribute actively to team problem solving; and (b) carry out assignment between team meetings.

6. Virtual Team Member/Resource Person: Primary function is to provide expert knowledge at critical junctions in the team's problem solving, i.e., "the right knowledge at the right time."

7. Sponsor: Primary functions are to: (a) serve as the team's advocate vis-a-vis management; and (b) communicate management's interests to the team.

248

JOB AID: Developing Team Mission Statements

ISSUE ADDRESSED: Task Definition
Identifying Problems

DESCRIPTION:

1. A mission statement establishes the problem a team is to resolve, the tasks it is to accomplish, or the goal(s) it is to achieve. It is a short statement which gives clear direction to the team and determines what resources will be required by both the team and those who assign the team its mission(s).

2. An example" The mission statement of the USAID/Bangladesh "Democracy Team" is: "Test a 'customer-focused' experimental design model by using it to develop an democracy program for the years 1996-2000."

JOB AID: Developing a Team Charter

ISSUE ADDRESSED: Empowering
Clarifying Relationships
Task Definition
Identifying Problems
Performance
Knowing When Goals Are Accomplished

DESCRIPTION:

1. Team Goal - Make goals clear, including the planned schedule.

2. Expected Results of the Team - The "results" package should be clearly identifiable and measurable.

3. Expected Activities of the Team - e.g., detecting end-user needs, developing criteria for selecting partners, developing and implementing a work plan, etc.

4. Resources Available to the Team - Human and financial resources required should be specified among other things.

5. Communications with Senior Management - Use of e-mail, team leader, reports, etc to keep senior management informed should be clarified.

6. Authorities of the Team - The team's authorities should be made clear including any special ad-hoc delegations needed.

7. Out of Bound Conditions - Specify the critical ones, e.g., delays caused by a lack of resources, a breakdown in cooperation with USAID's partners or the government, etc.

8. Skills/Qualities Necessary - e.g., knowledge of Bangladesh's political system knowledge and/or skills in executing techniques to detect end customer needs, etc.

9. Team Membership - Name both the core team and the virtual team.

10. Schedule - Describe the timetable.

11. A sample team charger is attached.

248

development and documentation of team process tools particularly helpful to the "D" Team's experience with USAID/Bangladesh and Agency staff.

4. <u>Expected Activities of the Team:</u>

(A) Develop and implement an evaluation of the experimental design model.

(B) Develop and implement a work plan for achieving the "D" Team's goals.

(C) Develop and implement methods to detect end user needs with regard to democracy; develop selection criteria, select USAID's democracy partners, and negotiate "development agreements" with partners; develop analytical/causal frameworks and conduct supplementary analyses; validate planned outcomes with USAID's ultimate customer; prepare appropriate analytical and obligating documentation; and develop customer service plans linking USAID to its partners and its partners to its ultimate customer.

(D) Develop and carry out activities for enhancing team participation skills among "D" Team members and sharing the "D" Team's experience with team building and effective team tools with USAID/Bangladesh and Agency staff.

5. <u>Resources Available to the Team:</u>

(A) A basic framework agreement with the Government of Bangladesh (BDG) which established the procedures to be followed by USAID and the BDG in designing a new democracy program and required documentation.

(B) Human resources as noted in Sections 9 and 10 below.

(C) If necessary, sufficient FY 1995 OYB resources to finance the participation of USAID's partners in the development of analytical frameworks, the identification of activities, and customer service plans (i.e., Steps 4 and 7 of the experimental design model).

(D) Sufficient operating expense funds to conduct and user/ultimate customer needs assessment (step 2 of the experimental design model).

6. <u>Communications with Senior Management:</u>

(A) The "D" Team will communicate with the USAID Director and Deputy Director through the team leader or facilitator. The team will keep these individuals informed as to progress against an agreed schedule and when it approaches the agreed out-of-bounds conditions.

249

(E) Breakdown in team process including cooperation with USAID's partners or the host government.

(F) Results of the end user/ultimate customer needs survey and validation of desired program outcomes with end users/ultimate customers.

9. Skills/Qualities Necessary:

(A) Knowledge of Bangladesh's political processes, institutions, and rules of behavior.

(B) Knowledge of and skills in executing techniques to detect and identify the democracy "needs" of USAID's ultimate customers.

(C) Knowledge of USAID's operational procedures with special knowledge of assistance mechanisms, financial analysis, and program evaluation.

10. Team Makeup:

(A) Core Team:

Members:	Rabiul Hoque, Sarah-Ann Lynch, Fazlul Karim, Alvera Sweet, and Zareen Khair
Leader:	Karl Schwartz
Facilitator:	Rosalie Fanale

(B) Virtual Team:

Legal Issues:	Alexander Newton
Participant Training:	Riffai Sulaiman
Bangladeshi Politics:	William Hill
End User Methodology:	Anne Sweetser
Evaluation:	Turra Bethune

(C) Customer Needs Detection/Validation Support:

For a period of about five weeks (March 26 to April 30), the D Team will need to supplement its membership with six to eight temporary members fluent in Bangla who will work with the core team to develop and conduct the end user/ultimate customer needs detection step of the experimental program design model. Similar support for a period of about two weeks (July 16 to August 15, 1995) will be required to validate desired program outcomes with end users/ultimate customers.

250

JOB AID: **Developing Work Plans**

ISSUE ADDRESSED: Task Definition
Defining Task Schedule, Strategy, Resources
Empowering
Getting What is Needed

DESCRIPTION:

1. A work team develops a work plant that identifies:

   (a) the major tasks to be accomplished
   (b) time frame to accomplish tasks
   (c) strategy for accomplishing tasks
   (d) resources required

2. The type of document used for work plan development varies. One type of document is a "Scheduling Chart" where one axis is used to display the task and the other axis is used to display the time (sample attached).

3. After development of the Work Plan, the work team presents the plan to the full team for discussion.

4. The Full Team reaches consensus on items 1 (a-d) of work plan.

251

JOB AID: Checking Team Performance

ISSUE ADDRESSED: Team Work
Increasing Trust
Task Definition
Identifying Problems

TOOL: 3 Questions

DESCRIPTION:

1. Each person gets 3 index cards and numbers them 1, 2, and 3. For questions 1 and 2, the team member writes 3 responses.

2. The 3 questions are:

   1) What 3 things are going well?

      Variations. What do you want to keep? What do you want more of? What do you want to start?

   2) What 3 things are not going well?

      Variations: What do you want less of? What do you want to stop?

   3) If you could change one thing, what would it be?

3. Sort the cards by number, analyze the results (trends, surprises, areas of high concern or interest, questions, agreements and disagreements, potential problems and opportunities). If small groups are used to analyze the results, report back to the largest group.

4. Develop strategies to address concerns, areas of interest, potential opportunities, and other issues.

5. 3 Questions can be used to check a team's progress and as a beginning point to develop a work plan for improving team performance.

6. To focus on the team's process, use the 3 questions in step #2, focusing on the team. Eg: "What is going well in the team?" "What is not going well in the team?" If I could change on thing about the team, what would it be?" Follow steps #3 and #4.

232

USAID/BANGLADESH
"D" TEAM
MONITORING SYSTEM
DASHBOARD GUIDE
April 22, 1995

This memorandum, a guide for the "D" Team to follow in using the dashboard as a monitoring tool, discusses the steps the team will need to take to use the dashboard to review its progress. It also provides an explanation for each of the measures on the dashboard. A sample dashboard and questionnaire are attached.

Dashboard Use

1. Responsibility. The team should assign one member to be "dashboard manager," and another to be "assistant dashboard manager." The dashboard manager is responsible for ensuring collection of dashboard information, processing the information, circulation of completed dashboards to the team, and presentation of findings to the team. Additionally, both "manager" should be thoroughly familiar with the dashboard software.

2. Input and Preparation. Initially, dashboard data will be entered by team members on a weekly basis; the team may decide at a later point to vary the periodicity of data collection.

   Assuming weekly entry, the dashboard manager will remind the team that their submissions are due each Tuesday. Each member will input their answers to the questionnaire. At the same time, the dashboard manager will manually add the information that he/she is responsible for and process all information as required. By COB each Wednesday, the dashboard manager will have a complete dashboard ready for circulation to team members.

3. Team Feedback and Discussion. The dashboard manager will present the findings of the current dashboard to the team at the subsequent team meeting (normally on Thursdays). The presentation will form the basis for team discussion of progress. This discussion may be led by any team member as determined by the team.

Explanation of Measures

Some of the information on the dashboard is to be generated electronically as a result of individual team member responses to the questionnaire. Other information must be inputted by the dashboard manager. The source of data is indicated for each measure.

253

Morale

"Rate your morale at this time ("1" represents low and "10" represents high)"

Participation
"Rate the quality of team member participation in the tasks the team is undertaking at this time ("1" represents poor and "10" represents excellent)"

Tools
"For the tasks the team is performing now, rate its use of the right tools ("1" represents inappropriate and "10" represents appropriate)"

Decisions
"Rate your comfort with the decisions the team is making now ("1" represents low and "10" represents high)"

Right Skills
"For the tasks the team is performing now, rate the availability of the right skills ("1" represents low and "10" represents high)"

5. Alert Buttons (input: dashboard manager)

Alert buttons will, if triggered, indicate that the team needs to consider what corrective actions need to be taken and whether or not to consult with Mission Management. There are four alert buttons which correspond to team out-of-bounds conditions: Schedule, Change Model, Resources, and Team Process.

The dashboard manager will use the following parameters to judge whether or not to trigger an alert button.

Schedule: A current measure of "7" or less on the schedule dial will trigger the alert button. The alert button should also be indicated if the team is considering a revision to the work plan which will extend the overall period of work.

Change Model: The alert button should be indicated if the team is considering a change in the activity design model. [Among the reasons that this might occur are new guidance from USAID/W or Mission Management, unforeseen problems with the BDG or partners.]

Required Resources: The alert button should be indicated if at any time the team has information suggesting that necessary financial or TDY resources may not be available as planned.

Team Process: Should any of the current team process dial indicators fall below "7", this will trigger the team process alert button.

254

JOB AID: **Reporting Out**

ISSUE ADDRESSED Communication

Keeping Other Interested Parties Informed
Performance Measures
Knowing When Goals Are Accomplished

Description:

1. The team decides early on when and how it wants to report its findings to non-team members. Reports to management are agreed to in the charter.

2. Each written report is clear in its presentation. Appropriate background material as well as necessary attachments must be included.

3. The written reports are drafted by one person and should be kept short. The reports are modified and later agreed to by the team.

4. The written reports are distributed to appropriate parties.

5. At appropriate intervals during the team process, the team orally presents the information to interested non-team members.

6. Oral presentation is made using a variety of techniques depending on the size and make-up of the audience. Techniques include visual aids, break-out groups, audience participation, and more.

7. Oral presentations should be kept relatively short, but need to answer all questions from the audience.

8. An example report is attached.

255

JOB AID: **Process Observation**

ISSUE ADDRESSED: Team Work
Maximizing Participation
Improving Efficiency

TOOL: Process Observation

DESCRIPTION:

1. The behaviors observed are both verbal and non-verbal. Verbal behavior includes how often each team member speaks, what patterns there are in the order people speak, and the role of the verbal behavior. Non-verbal behavior includes the physical arrangement of the room and the participants in the room and the role of the non-verbal behavior.

2. To record the observations, use charts. For example, a drawing of the room and seating arrangement can be used to record non-verbal behavior, as shown in chart A. Lines drawn from participant to participant can reveal the pattern of verbal behavior in the group. In chart B, a matrix with the names of the team members is on one axis and the types or roles of behavior on the other axis. Types participation include: gatekeeping, supporting, questioning, explaining, disagreeing, interrupting, testing, deciding, using humor, proposing an idea, and other roles the group may want to monitor. Have one person monitor the group and count how in any comments of what type each team member makes.

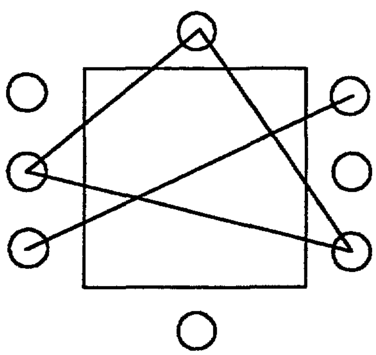


Chart A

	Idea	Interrupt	Gate keeping
Joe			
Sue			
Paul			
Mary			

Chart B

3. It is important to separate observation from interpretation.

4. Check interpretations with the group.

5. The team can assign one of its members as a process observer to check the participation i the group during its meetings.

256

JOB AID: **Meeting Minutes**

ISSUE ADDRESSED: Decision Making;
Recording Decisions
Communication
Keeping Interested Parties Informed

DESCRIPTION:

1. At the beginning of the meeting, the team decides who will be the recorder for that meeting.

2. The recorder takes notes on the meeting, the team recorder (or team leader) recites all the decisions, and the team agrees that they become part of the official record.

3. At the end of the meeting, the team recorder (or team leader) recites all the decisions, and the team agrees that they become part of the official record.

4. The recorder write minutes, and distributes minutes to team members. Management should also have access to team minutes.

5. Minutes are communicated electronically prior to the next meeting, so that team members can read the minutes, and approve the content before the following meeting.

6. Minutes are limited to one page.

7. A example of minutes is attached.

257

JOB AID: Conflict Resolution Styles

ISSUE ADDRESSED: Decision Making
Managing Conflict

DESCRIPTION:

1. Competing: Forceful, win-lose to getting team to adopt your position. appropriate when (a) on important issues where to do otherwise would compromise team's long-term effectiveness, e.g., other team members through weighted voting.

2. Accommodating: Yielding approach neglecting your own concerns. Appropriate when: (a) you know you are wrong; (b) the issue is more important to the other person; (c) you are losing the conflict and wish to sustain your credibility; (d) preserving harmony and avoiding disruption are important; and (e) others need to learn from their mistakes. Accommodating shows you are reasonable, interested in group harmony and consensus, and builds social credits for future use.

3. Avoiding: Sidestepping conflict, postponing resolution. Appropriate when: (a) combatants need to cool down or when additional information can resolve the conflict; (b) others, with additional knowledge or less passion, can resolve the conflict more easily; and (c) the issue is trivial or you have no change of winning the day (e.g., the opponents have more power, or the issue is beyond the team's control).

4. Compromising: Splitting the difference, exchanging concessions, seeking a middle ground. Appropriate when: (a) an expedient solution is needed to complex issues; (b) two opponents with equal power are strongly committed to mutually exclusive goals; (c) when goals are moderately important but not worth the disruptive affects of a "competitive" stance; and (d) as a backup conflict resolution technique when competition or collaboration fail. Negotiation skills are needed to resolve disputes by compromise.

5. Collaborating: Parties work together to find a solution which meets the needs and concerns of all parties, digging into an issue to identify the underlying concerns and develop an alternative that meets both sets of concerns. Appropriate when (a) issues are too important to be compromised, avoided, or accommodated and competing would be too disruptive; (b) the objective is to learn, merging insights from people with different perspectives on the problem; and (c) the objective is to gain commitment by incorporating other's concerns into a consensus decision. Consensus building skills are needed to resolve conflict through collaboration.

258

JOB AID: Modes of Team Participation

ISSUE ADDRESSED: Participation
Clarifying Purpose of Participation
Decision Making
Using Appropriate Decision Styles

DESCRIPTION:

1. Be sure everyone on the team knows the definitions of these short-hand terms for types or modes of participation:

   Tell: The speaker is providing information. Participation is limited to receiving information and asking questions for clarification.

   Sell: The speaker is advocating or explaining a position or course of action. Participation is limited to asking questions for clarification and explanation of rationale.

   Test: The position or recommendation is essentially decided. Participation is to identify any traps, unforeseen consequences or other major problems.

   Consult: The problem is identified with some potential solutions. Participation is to analyze options, consequences, implementation strategies and make suggestions for improvement. Options can be ranked and additional options can be generated.

   Join: Concern is identified. Participation is to clearly define the problem, generate and rank solutions and implement.

2. The team member announces what mode of participation he or she is in at the beginning of a discussion so everyone is clear what the purpose of the participation is.

3. If there is confusion about the purpose of the participation, team members ask "What mode are we (you) in?"

259

6. Be imaginative; build off of ideas that are already listed.

7. Do not criticize or praise ideas, either verbally or with gestures.

8. Duplicate or similar ideas may be combined only with the concurrence of the suggestor and the rest of the team. Do not "over" combine ideas. Other means are available to reduce the number of items on the list later.

9. If clarification of an idea is needed, the suggesting member should provide the initial clarification. Other members may participate if they feel that they can help.

10. Usually, no time frame for brainstorming is set. If limited time is available, however, it may be necessary to set limits for the session.

11. One option to the standard procedure: Before starting, ask the participants to write down two or three ideas. This encourages participation by everyone and helps prevent an earlier idea from "coloring" the direction of the team. Participants do not have to put forward ideas that they have written down.

12. One caution about brainstormed lists. Often the list are typed and copied for distribution to team members or others. Be sure to label these lists as the results of brainstorming so that readers recognize that hey have not been evaluated or prioritized.

360

JOB AID: **Multivoting Technique**

ISSUE ADDRESSED: Decision Making
Determining Priorities

DESCRIPTION:

How to conduct a multivote:

1. First generate a list of items and number each item.

2. If two or more items seem very similar, combine them, but only if the group agrees that they are the same.

3. If necessary, renumber all items.

4. Have all members choose several items they would like to discuss or address by writing down the numbers of these items on a sheet of paper. Allow each member a number of choices to do at least one-third of the total number of items on the list.

5. After all the members have silently completed their selections, tally the votes. You may let members vote by a show of hands as each number is called out. If there is a need for secrecy, conduct the vote by ballot.

6. To reduce the list, eliminate those items with the fewest votes. Group size affects the results. A rule of thumb is: If it is a small group (5 or less), cross off items with only 1 or 2 votes. If it is a medium group (6 to 15 members), eliminate anything with 3 or fewer votes. If it is a large group (more than 15 members), eliminate items with 4 votes or fewer.

7. Repeat steps 3 through 6 on the remaining list with the choices reduced accordingly. Continue this until only a few items remain. If no clear favorite emerges by this point, have the team discuss which item should receive top priority. Or, you may take one last vote.

261

JOB AID: Fishbone Diagrams

ISSUE ADDRESSED:Decision Making
Analyzing Problem

DESCRIPTION:

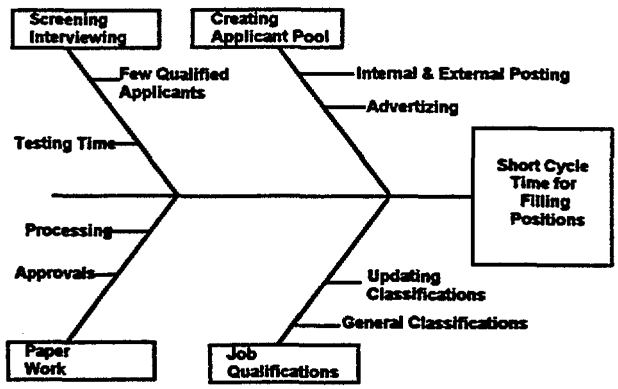
1.State the desired end result, or the problem. Draw in a box on the right side of the flip chart, and extend a line from the box horizontally to the left hand side of the chart. This creates the "head" and "backbone" of the fish.

2.Generate general categories of causes, resources or issues for the problem or desire end result. (Examples of the categories might be: Staffing, Resources, Systems, Communication or Materials, Methods, Machinery, People and Environment.) Above and below the center line, draw boxes for the categories of causes for the problem or categories of needs to produce the desired state. Draw lines from each of the boxes to the center line, creating the "bones" of the fish.

3.From each of the lines in step #2, list details of that category.

4.The discussion identifies resources needed, potential roadblocks, ideas for strategies, need for additional data and other information that is used in developing plans.

5.Example:

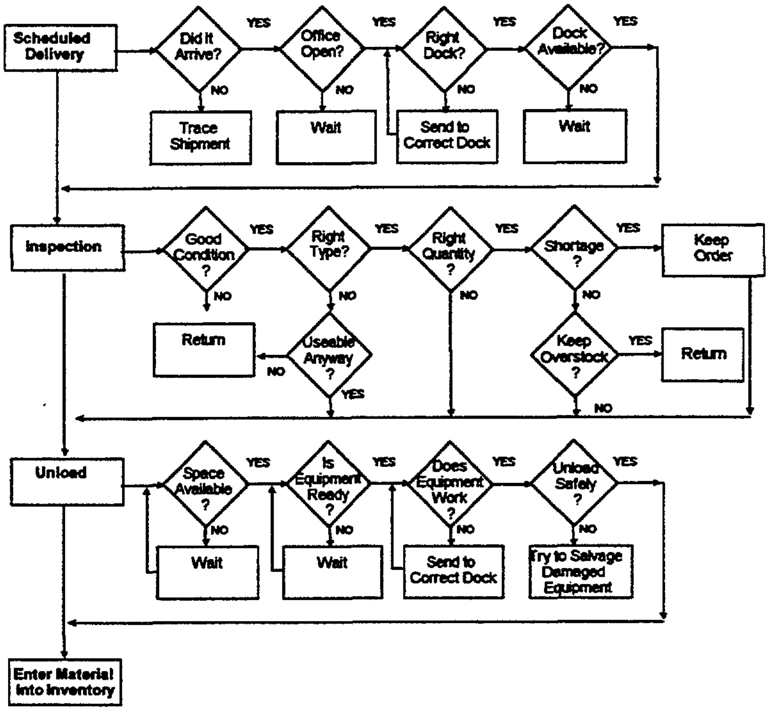


262

Detailed Flowchart

This chart describes most or all of the steps in a process, with varying levels of detail. Often this level of detail is not necessary, but when needed, the team as a whole will develop a top-down version, then smaller groups can add levels of detail as needed.

The detailed flowchart consists of various shaped "boxes" or forms. Examples are shown below:



263

TYPES OF MEETINGS

Reporting/Information Sharing

Works best when...

- timing, numbers of people, the need for clarification of information, is called for.
- used as a way to spot potential problems developing.

Won't work if...

- sharing the information in a group format opens up more questions than there is preparedness to answer them.
- sharing the information is more easily done on a one-to-one basis.

Reactive/Opinion Sharing

Works best when...

- the meeting is intended as a legitimate channel for participants to be heard and to listen to others' opinions.

Won't work if...

- reactions and opinions hold little or no influence potential—when criticism is not really valued.

Problem Identification and Problem Solving

Works best when...

- there is a perceived need to make a change in the status quo.
- there are sufficient resources available in the group to solve the problem.

Won't work if...

- there is not enough motivation to change the status quo.
- there is a lack of resourcefulness to change the situation and to follow through on prescribed changes.

Decision Making

Works best when...

- there are a number of alternatives to decide among and there is pressure to make a decision.
- there is genuine commitment on the leader's part to use the participants' input.

Won't work if...

- the group's expectation is to be part of the decision-making process but instead is used as a rubber stamp.

Planning

Works best when...

- there is a mandate for the group to engage in policy making and goal setting.

Won't work if...

- the group lacks authority or is unclear about its authority to implement plans once decided upon.

264

CONDUCTING EFFECTIVE MEETINGS:
THE GROUP MEMBER'S ROLE

Prior to the meeting:

* Gather and familiarize yourself with relevant information.
* Prepare yourself to participate in meeting the objectives of the session.

As a Group Member, you have the following roles and responsibilities:

* Keep the facilitator neutral and out of the content discussion.
* Keep the recorder neutral and make sure your ideas are being recorded accurately.
* Use the same facilitative behaviors, tools, and techniques that the facilitator uses.
* Focus your energy on the content of the problem.

Specific techniques for Group Members:

* Respect and listen to other individuals.
* Keep an open mind.
* Vary your seat - avoid cliques.
* Don't be prematurely negative.
* Don't overly defend your ideas.
* Don't cut other people off or put words in their mouths.
* Take responsibility for the impact your behavior is having on others.
* Challenge yourself to explore other's positions and ideas fully prior to putting forth your own.
* Pay attention to and explore the non-verbal cues that others agree/disagree with you.

CREDIT: Michael Doyle and David Straus,
<u>Collaboration For 80's Organizations</u>

ISSUE: INFORMATION SHARING

CONSTRAINTS	DRIVING FORCES
Uncertainty on information shared in order to provide a service	Improved technology, i.e., E-mail, Internet & other means of telecommunications
*Having no access to all info. we need to complete a task	Formation of S.O. teams
Limited access to reading files	NMS to be installed
Lack of use of electronic files	Reengineering movement in place
Fewer secrets	
* Budget restrictions	
Limited use of teleconferences	
* Limited sharing of information with our partners	

RECOMMENDATIONS:

* Limited sharing of information with our partners

1. The development of the RPs and CSPs - Bring partners into this exercise (as of June)

2. Develop (or obtain) clear guidelines on what publications we can share

3. Bring them in as members of extended teams

* Access to all information needed to complete a task.

1. Identify information needed and communicate with people who have the information

2. Fewer secrets

3. We should be aware of guidelines (who needs info.)

266

CONDUCTING EFFECTIVE MEETINGS: THE FACILITATOR'S ROLE

Prior to the meeting:

* Assist/coach the leader and/or the recorder as to his/her role in the meeting.
* Check out expectations held by the leader toward the facilitator.

During the meeting:

* Assist the group in focusing its energy on a common task.
* Suggest procedures for addressing agenda items.
* Assist the group in its attempt to find win/win solutions to problems.
* Work toward establishing a climate conducive to open and effective interaction.
* Provide structures to ensure good listening.
* Assist the group in managing its differences and conflicts.
* Encourage whatever degree of participation the particular meeting calls for.
* Protect individuals from personal attack.
* Assist the leader with pre- and post-meeting logistics.

After the meeting:

* Debrief the leader and consider how the meeting went.
* Agree on what the leader and facilitators might do differently in future meetings to improve their quality.