



**MISSION TO
MALI**

MALI GOVERNANCE STRATEGIC OBJECTIVE:

Final Report of the DG/SO Support Team

by

**Leslie M. Fox, Team Leader
Jennifer M. Coston
and
Pat Isman(also a Virtual D/G SO Team Member, G/DG)**

February 1996

Prepared by

**Thunder & Associates, Inc,
719 Prince Street
Alexandria, VA 22314
(703) 684-5584, Fax (703) 684-3954**

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INTRODUCTION AND OVERVIEW

The **Democratic Governance Strategic Objective (D/G SO) Support Team** was engaged to assist the Mission to further clarify its Democratic Governance Strategic Objective and to develop an Action Plan primarily focusing on the first year's activities. The original Scope of Work identified several specific activities, including: a review of key documents, the development of indicators and targets and corresponding plans for baseline data needs and monitoring systems, the identification of potential program activities and a corresponding implementation plan, and the completion of a report analyzing the enabling environment. The work was to be carried out during two trips of two to three weeks in duration. It was anticipated that the Support Team would work in partnership with the Mission D/G SO Team (D/G SO Team).

During the first trip, given the status of the Mission's reorganization, and the fact that the D/G Team had not yet been selected, it was determined that the SOW should be flexibly altered as it was inappropriate for the D/G SO Support Team to unilaterally and definitively pursue these activities.

Instead, the Support Team launched its *process approach* to its support activities, beginning with an "immersion" into Mali's governance and civil society environment. This immersion included a review of key documents provided both by the Mission and by USAID/W (Africa Bureau, and G/DG); interviews with Mission staff; and a wide range of interviews with organizations outside of the Mission. The interviews encompassed a number of objectives. The Support Team sought to gather information on the enabling environment and feasibility of the Mission's D/G SO, as well as information on appropriate mechanisms and potential types of partners for its implementation.

In particular, the Support Team sought to test the underlying logic of the D/G SO by addressing the strengths, weaknesses, and perceptions of representative key players outlined in the strategy. The information was then aggregated and analyzed to look for areas of support and discrepancy with the D/G SO as it was then written. Throughout this process, the Support Team periodically reviewed the strategy and its indicators to better understand the Mission's intent and to clarify the strategy's conceptual basis. The Support Team also sought to clarify the results framework in terms of its consistency with reengineering efforts. As a result of our review of reengineering documents, we altered the terminology of the D/G SO as it was then written.

In addition, the Support Team sought to develop initial responses to other aspects of its original SOW, including preliminary suggestions for activities and mechanisms, and information targets and processes for baseline data collection and subsequent monitoring. The results of this process are summarized in our first trip report.

In the interim between trips, the D/G SO Team was assembled, received team building technical assistance, and pursued a number of the interim activities recommended in the first trip report. Their preparation enabled us to directly launch our joint work -- as a more comprehensive team -- upon our arrival in this second trip. This initial work began with an intensive review of the first trip report, including clarification of key concepts and issues. This work was followed by more specific *training* on the role of local level civil society in promoting democratic governance.

The majority of our time together was spent on a *workshop* designed to *jointly* refine the results framework (strategic objective, intermediate results, indicators, activities, and assumptions). Throughout the workshop, the Support Team sought to provide as much useful and supportive reference material (i.e., handouts and presentation materials) as was feasible to develop in the time available. These materials are included in the attached annexes. During the workshop, the Support team sought to *facilitate* the thought processes of the D/G SO Team members, both in terms of informing them of technical issues, and most importantly, in encouraging them to participate and take ownership of their work.

This second trip confirms the Support Team's full embrace of an iterative, facilitative, and highly participative process, in the spirit of the Mission's reengineering process. It follows that the findings summarized below, particularly the revised Results Framework, are a *joint* product of both the D/G SO Team and the Support Team. However, because our time together was very limited, in some cases the Support Team took the initiative to prepare reports independently for the D/G SO Team to consider and apply at a later date as they see fit. This is true of the proposed monitoring and evaluation plan. Other issues emerged and were intermittently addressed throughout the process but were not explicitly organized or refined. In these cases, we have organized and summarized comments from the comprehensive team's discussions but these findings will need to be revisited, expanded, and confirmed. This is true of the comments on selection criteria and mechanisms.

The report begins by presenting the refined results framework. An accompanying narrative seeks to explain the underlying logic of the framework, in addition to identifying the parameters or scope of the intended targets and processes. The second part of the report outlines a proposed action plan for how to begin to operationalize the D/G SO, including an implementation plan for Year One, a budget for Year One with projections over the LOP, and a proposed monitoring and evaluation plan. The report concludes with the identification of several key issues which remain to be resolved and/or need to be revisited throughout the process.

It should be noted that the entire Scope of Work has been implemented with a strong emphasis on flexibility and responsiveness. This was necessary both because the D/G SO Team was not in place when the SOW began, and because the D/G SO Team identified evolving needs which needed to be addressed in a very limited time. For this reason, some aspects of the SOW will require further technical assistance and/or follow-up from the D/G SO Team. For example, the M&E plan will need to be refined, and its data collection instruments designed. In addition, the results of the stakeholder analysis are not included in this draft as the D/G SO Team decided to conduct this session after this first draft report was due. Finally, a set of presentation materials was developed to assist the D/G SO Team in presenting the results framework to key stakeholders (see Part III: Annexes).

The Support Team values the privilege to have worked in such an innovative and exciting technical area, in a context of innovation and creativity, with such a highly qualified and committed D/G SO Team.



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Target Community Organizations are Effective Partners in Democratic Governance, Including Development Decision-Making and Planning

- Average number of new or modified government initiatives resulting from consultation between governing councils and COs in targeted communities
- Number of target COs initiating their own delivery of public services or management of public resources
- Percentage of target COs delivering public services which receive government support in this effort (financial, material, or technical)

COMMUNITY ORGANIZATIONS

Target COs are engaged in democratic self-governance and civic action at the local level and beyond

ENABLING ENVIRONMENT

Enabling environment empowers target COs and RPOs

- Targeted COs, NGOs, federations, and RPOs, have the right to full legal recognition
- Targeted COs and RPOs have information on identified laws, regulations, and policies which affect their interests
- Number of people reached by civic education communication channels in local language

- Identify, analyze, and address constraints in existing laws, regulations/policies, affecting COs and RPOs
- Civic education campaigns for civil society at all levels and state and local government, including: basic systems, decentralization, DG theory and civil society, and specific laws/policies affecting COs; also includes the translation and dissemination of laws/policies

- Number of target COs that attend meetings of governing councils discussing relevant concerns
 - Community level
 - Commune level
- Number of open and organized meetings between governing council members and targeted CO representatives initiated by targeted CO representatives
 - Community level
 - Commune level
- Number of relevant development decisions, including policies, laws, regulations which target COs:
 - Analyze
 - Influence/advocate
 - Formulate
- Number of target COs that are engaging in democratic self-governance, i.e., have:
 - Recognition (legal status) by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Apply strategic planning and budget plans
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict management resolution
- Gender:
 - Percent of targeted community organizations employing gender analysis
 - Percentage of women in leadership positions of COs
 - Number of women's issues advocated by COs
 - Number of COs advocating women's issues

Training & TA:

- Democratic self-governance (capacity building as needed)
- Civic Action (mandatory to receive capacity building)
- Matching start-up grant for local DG information center: "Centre d'animation et de formation civique"
- TOT for representative animateurs (men & women)
- Micro-grant fund for COs (fora, commissions)

Malian NGOs and Federations support COs' democratic self-governance and civic action

Target RPOs effectively aggregate and represent COs' interests at the local level and beyond.

- Number of COs trained by targeted Malian NGOs and federations
- Percentage of targeted community organizations which report their organization is strengthened as a result of the targeted assistance by the Malian NGO or federation

- Number of federations which form or join to address the specific concerns of COs relating to government decisions (disaggregated by women's federations)
- Number of development decisions relevant to COs, including policies, laws, regulations which target RPOs: analyze, influence/advocate, formulate
- Number of government performance issues addressed by RPOs
- Number of target RPOs that attend meetings of governing councils discussing relevant concerns at: commune level, and beyond
- Number of open and organized meetings between governing council members and targeted RPO representatives initiated by targeted RPO representatives at: commune level, and beyond.

Malian NGOs & Federations deliver training to COs in:

- Democratic Self-Governance
- Civic Action Skills Training (mandatory to receive capacity building training)

The capacity of target NGOs & Federations is strengthened

Grants & TA for linkage activities

The capacity of target RPOs is strengthened

- Target NGOs and federations (those who will empower targeted COs) have:
 - Recognition by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Strategic planning and budgeting
 - Training & facilitation skills
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict management & resolution skills

- Target RPOs (those who will aggregate and represent the interests of targeted COs) have requisite skills/capacity (as above)
- Percentage of targeted COs which report their organization's interests are effectively aggregated and represented by the target RPO
- Percent of RPOs whose membership is stable or increasing

TOT (& TA) as above, plus training & facilitation skills

TOT & TA as needed

INTERESTS

INDICATORS

I. THE RESULTS FRAMEWORK

REFINED D/G SO RESULTS FRAMEWORK LOGIC

Through the process discussed above, the democratic governance (D/G) strategic objective (SO) team reviewed the logic of the D/G SO results framework and arrived at the refinements presented below. In each of the following three sections, the D/G SO and the two attendant intermediate results (IR) with corresponding indicators and activities, are described in detail. A separate section on indicators and their specific targets is provided in section D. For easy reference, the flow chart on the previous page portrays the results framework logic and replaces that approved as part of the Mission's overall Strategic Plan covering the period 1996 - 2002. A conceptual framework that provides a more in-depth explanation of the D/G SO logic described below is provided in Annex 1, to this report.

A. The D/G Strategic Objective

SO Targeted Community Organizations are Effective Partners in Democratic Governance, including Development Decision Making and Planning

The Governance SO -- or, more appropriately, the Democratic Governance SO, as explained in greater detail below -- is one of four strategic objectives contributing to USAID/Mali's Program Goal: **Mali achieves a level of sustainable political, economic and social development that eliminates the need for concessional foreign assistance.** What distinguishes this program goal from previous Mission efforts in Mali is the addition of a political dimension or objective to economic and social ones. As a result of Mali's transition to a multi-party democracy in 1991, the possibility of achieving **sustainable (social, economic and environmental) development** became a reality for the first time in the country's history. Thus, the promotion of a system of democratic governance in which community organizations (COs) -- as the base units of civil society -- participate as equal partners in sustainable national development efforts is viewed as a means to achieving the Mission's program goal, as well as a desirable end in itself.

1. The Underlying Logic of the D/G SO

Governance is defined as the way in which any social unit -- from an entire society, to the smallest association -- organizes itself to solve shared problems, to make collective decisions or to advance common interests. Simply put, it is the way in which society organizes itself to manage public affairs. The D/G SO Team, reflecting the aspirations of the Malian people, is interested in promoting a system of governance which leads to decisions that advance the collective interest or public good of a given social unit, effectively utilizing available common (or public) resources. It is generally agreed that **good governance** is achieved when there is *transparency* in the way decisions are made; when *information* needed to make decisions is freely available; when those making the decisions are both *accountable* and *responsive* to those affected by them; and when those affected by decisions are able to *participate* in their formulation. While empirical evidence is mixed, it is the stated policy of the United States government and USAID in particular, that democracy is the political system most likely to render good and effective governance.

It is the convergence of the notions of democracy (e.g., political competition and participation and respect for the rule of law) and good governance (i.e., transparency, accountability, informational openness and responsiveness) -- increasingly referred to as **democratic governance** -- that defines the form of governance which the D/G SO Team believes will permit community organizations to be **effective partners** in, *inter alia*, development decision making and planning at the local level and beyond. At the societal level, the underlying principle of democratic governance is that of **shared governance**, in which the institutions of civil society, the central state and decentralized local government all have a **legitimate**, if not equal role, in the management of public matters. In terms of civil society's legitimate democratic governance functions they include the right to:

- hold the institutions of the central state and decentralized local governments accountable for their performance in public governance matters including respect for the rule of law and particularly not abusing the power and authorities allocated to them through it (*accountability* function);
- participate in the formulation of decisions that affect the public good including laws, regulations and policies, particularly those related to the allocation of public resources (*policy-making* function);
- to implement collectively made decisions affecting the public good including the management of public resources, the delivery of public services and the promotion of public economic growth (*self-governance* function); and,
- to broaden democratic or civic norms throughout society through the internal practice of democratic governance in all civil society organizations (*democracy-building* function).

The first two public governance functions, i.e., accountability and policy-making, are considered **demand-side** functions of civil society or what is termed **civic action**. The latter two functions, i.e., self-governance and democracy building, are considered **supply-side** functions of civil society, or what is termed **democratic self-governance**.

Community organizations (COs) are thus **effective partners in democratic governance** when they are perceived as legitimate and capable actors undertaking both civic action and democratic self-governance functions. The D/G SO Team defines COs as the smallest social or associational unit of civil society **with legal recognition** undertaking self-governance functions, that is, implementing collectively made decisions affecting the public good in a democratic way. In this regard, *public* relates to the members of the community organization, or the wider public when benefitting from the implementation of a collectively made decision. COs are generally involved in the implementation of three types of collectively made decisions: a) the delivery of public services (e.g., community education and health); b) the management of public resources (e.g., community forests, grazing lands); and c) the promotion of public economic growth (e.g., through village associations, cooperatives and savings and credit unions). The D/G SO targets COs operating in both urban and rural settings. Given the fact, the country is roughly 80 percent rural, it is anticipated that the great majority of community organizations supported will be rurally based.

When COs are able to participate in *decision making* concerning public matters (civic action) as well as *implementing* those decisions affecting the public good in a democratic manner (democratic self-governance) then they are said to be effective partners in democratic governance. COs undertake these civic action and democratic self-governance functions at both the local level of democratic governance -- most generally understood to be the village or neighborhood -- and beyond the local level -- understood to compose the communal, circle, region and national levels of democratic governance. They are best thought of as the building blocks of both democracy and development (or sustainable development).

The D/G SO targets not only those COs that undertake democratic self-governance, but also those that undertake civic action at the local level and beyond, and particularly at the Communal level of democratic governance. Individual citizens coming together in voluntary association and undertaking collective action for the public good -- including participation in the economic, political and social matters -- through their community organizations contributes to the attainment of sustainable development, the Mission's overall program goal. **And it is this aspect of community organizations undertaking civic action that distinguishes the D/G SO from other Mission strategic objectives that also target community organizations in their results framework.** Civic action also places this strategic objective firmly in the domain of a democracy and governance program, consistent with the Agency's larger goal promoting sustainable development.

It should be noted that USAID/Mali chose strengthening local level civil society as the focus of its democracy and governance program -- as opposed to working on the supply-side with either institutions of the central state or local government -- based on the Government of Mali's commitment to the major political reform of **effective decentralization**. It is this reform which the Mission believes will permit its program to have the greatest impact in terms of the **consolidation** of democratic governance in Mali. As discussed in greater detail below, it will be the capacity of COs to participate as effective partners in democratic governance, including development decision making and planning, at the local level and beyond -- and particularly at the communal level -- throughout the country that will both strengthen democratic institutions and processes while contributing to sustainable development.

2. Performance Indicators at the Strategic Objective Level¹

The D/G SO will have been achieved when the following outcomes or indicators are in evidence:

¹For a quick reference to SO and IR indicators, refer to pages I.4-5. It should be noted that there are a number of inconsistencies in the treatment of indicators as portrayed in this narrative summary and those found in the Results Framework (flow chart) and indicator tables. The discussion of indicators in this summary can be viewed as a refinement to those developed in collaboration with the D/G SO Team. Since a PRISM/MER Team will be arriving in Mali to do additional work with the D/G SO Team to further refine the indicators and their associated targets, we have decided to leave the differences in these various pieces of the final report to be worked out by the Mission and the MER Team.

DEMOCRATIC GOVERNANCE STRATEGIC OBJECTIVE:

Target community organizations are effective partners in democratic governance, including development decision making and planning.

- Average number of new or modified development decisions resulting from consultations between governing councils (communal and community levels) and target community organizations
- Number of target COs initiating their own delivery of public services or management of public resources
- Percentage of target COs delivering public services which receive government support in this effort (financial, material, or technical)

Target COs are engaged in democratic self-governance and civic action at the local level and beyond.

- Number of target COs that attend meetings of governing councils discussing relevant concerns
 - Community level
 - Commune level
- Number of open and organized meetings between governing council members and targeted CO representatives initiated by targeted CO representatives
 - Community level
 - Commune level
- Number of relevant development decisions, including policies, laws, regulations which target COs:
 - Analyze
 - Influence/advocate
 - Formulate
- Number of target COs that are engaging in democratic self-governance, i.e., have:
 - Recognition (legal status) by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Apply strategic planning and budget plans
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict management & resolution
- Gender:
 - Percent of targeted community organizations employing gender analysis
 - Percentage of women in leadership positions of COs
 - Number of women's issues advocated by COs
 - Number of COs advocating women's issues

Enabling environment empowers target COs and RPOs.

- Targeted COs, NGOs, federations, and RPOs, have the right to full legal recognition
- Targeted COs and RPOs have information on identified laws, regulations, and policies which affect their interests
- Number of people reached by civic education communication channels in local language

Intermediate Results & Indicators

Target Malian NGOs and federations support COs' democratic self-governance and civic action.

- Number of COs trained by targeted Malian NGOs and federations
- Percentage of targeted community organizations which report their organization is strengthened as a result of the targeted assistance by the Malian NGO or federation

The capacity of target Malian NGOs and federations is strengthened.

- Target NGOs and federations (those who will empower targeted COs) have:
 - Recognition by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Strategic planning and budgeting
 - Training and facilitation skills
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict & management resolution skills

Target RPOs effectively aggregate and represent CO interests at the local level and beyond.

- Number of federations which form or join to address the specific concerns of COs relating to government decisions (disaggregated by women's federations)
- Number of development decisions relevant to COs, including policies, laws, regulations which target RPOs:
 - Analyze
 - Influence/advocate
 - Formulate
- Number of government performance issues addressed by RPOs
- Number of target RPOs that attend meetings of governing councils discussing relevant concerns
 - Commune level
 - Beyond
- Number of open and organized meetings between governing council members and targeted RPO representatives initiated by targeted RPO representatives
 - Commune level
 - Beyond

The capacity of target RPOs is strengthened.

- Target RPOs (those who will aggregate and represent the interests of targeted COs) have:
 - Recognition (legal status) by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Strategic planning and budgeting
 - Gender analysis and awareness
 - Ethics/professional standards
 - Civic action skills
 - Conflict resolution skills
- Percentage of targeted COs which report their organization's interests are effectively aggregated and represented by the target RPO
- Percent of RPOs whose membership is stable or increasing

- new or modified public decisions (policies, laws, regulations) at the local level or beyond resulting from targeted CO participation.
- communal governments are accountable, transparent and responsive to citizens in the management of public affairs.
- targeted COs implement public decisions including the delivery of public services, the management of public resources and the promotion of public economic growth in a democratic manner.
- targeted community organizations implement public decisions with government approval and support.

3. D/G SO Intermediate Results

The D/G SO Team has identified two first order intermediate results (IR) and corresponding indicators, targets and activities whose combined attainment will lead to the achievement of the D/G SO. They are:

IR 1 Targeted community organizations are engaged in democratic self-governance and civic action at the local level and beyond.

IR 1 is composed of two secondary order intermediate results. They are:

IR 1.1(a) Malian NGOs and federations support community organizations' democratic self-governance and civic action.

IR 1.1(b) The capacity of Malian NGOs and Federations is strengthened.

IR 1.2(a) Targeted Malian Representative and Partner Organizations (RPO) aggregate and represent the interests of community organizations at the local level and beyond.

IR 1.2(b) The Capacity of Targeted RPOs is strengthened

The D/G SO Team decided to treat these two sets of results as secondary and tertiary order intermediate results rather than first order intermediate results because, although they are a **means** to achieving the desired first order intermediate result, the SO Team considered their presence in civil society and the roles they play vis-a-vis community organizations as necessary and desired **ends** in themselves. In other words, they are important enough to be considered intermediate results, but this importance is predicated on their performance in relation to promoting the capacity of COs to **engage in democratic self-governance and civic action**. As both means and ends to the achievement of this intermediate result, the SO Team views strengthening the capacity of NGOs and federations and

RPOs² as so necessary as to be considered discrete tertiary order intermediate objectives (see previous flow chart).

IR 2 The enabling environment empowers community organizations and RPOs to be effective partners in democratic governance at the local level and beyond.

IR 2 is considered a discrete first order intermediate result because without an enabling environment which empowers COs and the other civil society actors that support them to undertake democratic self-governance and civic action functions, they would be unable to participate as effective partners in democratic governance at the local level and beyond. Each of the these two first order intermediate results are discussed in turn in the following sections.

Parenthetically, it should be noted that the majority of resources allocated to the D/G SO will be targeted to IR 1 and specifically to those activities that **directly** contribute to the empowerment of community organizations to effectively engage in democratic self-governance and civic action. Other civil society actors noted in IR 1.1 and 1.2 will be supported to the extent that they are considered essential to the achievement of the intermediate result. As important as the enabling environment is to the empowerment of COs, modest resources are allocated to activities under this intermediate result for reasons discussed in Section C, below.

4. Assumptions Underlying the Choice of D/G SO Targets

Under the D/G SO intermediate results and corresponding results packages the D/G SO Team has made certain assumptions about causal relationships necessary to achieve the overall strategic objective. The first concerns the number of communes that will be targeted for SO activities. It is assumed that if COs become effective partners in democratic governance with decentralized local governments in 25 percent of the country's newly formed communes then it will have contributed to the Mission's overall goal of sustainable development. As it is expected that their will be approximately 600 new communes and corresponding local governments, activities will take place in some 150 communes. The choice of communes to be targeted will be based on: a) population densities and economic activities; and b) those communes where other SOs are operating in order to leverage additional resources, build on existing work with COs, and gain the overall benefits of synergy.

In each targeted commune, a total of five COs and at least one federation (RPO) will be targeted for assistance. It is assumed with at least five COs and one federation (of COs) effectively performing

²RPOs are non-governmental organizations that are either representative of or partners to community organizations. Representative organizations are grassroots membership based associations and federations which represent them at higher levels of state governance. Represented COs directly participate in Representative Organization's decisions. While directly linked to partner organizations, COs are technically outside their organizational framework, and have only an indirect voice in the Partner's decisions.

civic action functions in addition to those of democratic self-governance, that a **critical mass** of local civil society participation in communal government will be achieved. And that this level of participation will ensure local communal governments render governance (or managing the public's business) that is transparent, responsive, accountable and effective; and in which the development priorities of COs and their members are effectively represented and acted upon. Under the D/G SO, then, a total of 750 COs and some 120 commune level federations will be strengthened and will engage in civic action by the end of the SO program period.

In order to strengthen both COs and RPOs, it is assumed that one NGO/federation will be responsible for working with 25 COs and one RPO, for a total of 30 NGOs/federations supported over the SO program period to reach the targeted total of COs and RPOs.

B. IR 1: Strengthened Community Organizations are Engaged in Democratic Self-Governance and Civic Action at the Local Level and Beyond

As previously discussed, this IR is composed of two sets of lower order intermediate results which are both a means to the attainment of the IR and desirable ends in themselves. What follows is a discussion of the logic of the first and each secondary intermediate result and their respective indicators, targets and activities.

1. The Underlying Logic of IR 1

It should not be surprising that the primary problems, concerns and interests of COs relate to the social and economic welfare of their members. Thus, in large measure, both the decisions made and their implementation by COs revolve around local development issues. The objective of this intermediate result, then is to increase both the **density** and **diversity** of COs with the capacity to engage effectively in democratic self-governance and civic action. The D/G SO Team views democratic self-governance and civic action as being intimately related and **incremental** in nature. In order for a CO to **effectively** undertake civic action functions (policy making and accountability), it is posited that it should first have the capacity to implement collective or public decisions in a democratic manner (democratic self-governance). In **strategic** terms, this means that those COs to be **targeted** under the D/G SO will already be engaged in some self-governing activity, or have the intention to do so.

In **practical or operational** terms, this implies that COs will possess capacities to undertake both sets of democratic governance functions. This is the purpose of the first lower order IR, that is, "NGOs and federations support COs to engage in democratic self-governance and civic action." In order for community organizations to have a voice in decision making beyond the local level, and thus be able to more effectively participate in the larger political system, they must have institutional structures capable of representing their interests at higher levels of democratic governance. This is the purpose of the second lower order IR, that is, "RPOs effectively aggregate and represent COs' interests at the local level and beyond." Tertiary level intermediate results (IR 1.1(b) and (1.2(b))) focus on building the capacity of NGOs and federations and RPOs. Secondary and tertiary intermediate results are discussed in sections C and D.

2. IR 1: Indicators

- targeted community organizations effectively engaged in democratic self-governance (e.g., delivering public services, managing public resources, and promoting public economic growth) at the local level and beyond.
- targeted community organizations engaged in civic action (e.g., participating in development decision making and planning, holding traditional, state and decentralized governance authorities accountable for their performance) at the local level and beyond.
- Centers of Civic Education and Action providing informational services to community organizations and citizens in targeted communes.
- Communal level volunteer animateurs mobilizing community organizations and citizens for civic action.
- Civic action Micro-Grant Funds provide community organizations with a means to engage in civic action.

3. IR 1: Activities³

The following activities have been identified to contribute to the achievement of IR 1:

a) Democratic Self-governance Capacity Building

COs would receive training and technical assistance (from NGOs or federations) in such areas as: gaining legal recognition; developing constitutions and by-laws; explaining democratic and good governance principles and then instituting them; basic accounting and financial management and the need for independent audits; strategic planning and management; gender awareness; functional numeracy and literacy; ethics and professional standards; and conflict management and resolution. It is anticipated that COs will be at various points along a continuum of democratic self-governance capacity. Therefore, the first responsibility of NGO intermediaries will be to conduct a needs assessment of each CO requesting assistance to determine what interventions will be necessary to complete its capacity development. However, in order to effectively target D/G SO resources, emphasizing those activities which fall exclusively in the realm of the D/G SO, COs will not receive generic capacity building without also assuring their capacity to engage in democratic self-governance and civic action.

b) Start-up Grants for Centers of Civic Education and Action

As a focal point within each community for disseminating civic education materials and catalyzing community members and organizations to undertake civic action, this results package will finance

³For a quick reference to activities under each IR, refer to the figure on page I.10.

Strategic Objective:

**TARGET COMMUNITY ORGANIZATIONS ARE EFFECTIVE PARTNERS IN DEMOCRATIC GOVERNANCE,
INCLUDING DEVELOPMENT DECISION MAKING AND PLANNING**

Intermediate Results

COs are engaged in self-governance and civic action at the local level and beyond

Activities

Grants to Malian NGOs and federations to empower COs (through training as below)

Democratic Self-Governance (as needed)

- sensibilisation (dg & their role)
 - institutional capacity building
 - strategic planning
 - training & facilitation skills
 - functional literacy & numeracy
 - ethics & professionalism
 - gender analysis & awareness training
 - conflict management & resolution
- Matching start-up grant for local DG information center: "Centre d'animation et de formation civique"
 - TOT for representative animateurs (men & women)
-
- Micro-grant fund for COs (fora, commissions)

Intermediate Results

Civic Action Skills Training (mandatory to receive the above)

Activities

Malian NGOs and Federations support COs' democratic self-governance and civic action

- Malian NGOs & federations deliver TA & Training in:
 - Democratic Self-Governance
 - sensibilisation (dg & their role)
 - institutional capacity building
 - strategic planning
 - functional literacy & numeracy TOT
 - ethics & professionalism
 - gender analysis & awareness training
 - conflict management & resolution
 - Civic Action Skills Training (mandatory to receive the above)

The capacity of Malian NGOs and Federations is strengthened

- TOT & TA as above, plus training & facilitation skills training

RPOs effectively aggregate and represent COs' interests at the local level and beyond.

Grants & TA for linkage activities

- policy analysis
- policy formulation
- policy advocacy
- regional & national fora
- consultation with COs & information dissemination

The capacity of RPOs is strengthened

TA & Training As Needed

- sensibilisation (dg & their role)
- institutional capacity building
- strategic planning
- training & facilitation skills
- functional literacy & numeracy
- gender analysis & awareness training
- conflict management & resolution
- civic action skills training

Enabling environment empowers community organizations and other civil society actors supporting COs

- Identify, analyze, and address constraints in existing laws, regulations/policies, affecting COs and RPOs
- Civic education campaigns for civil society at all levels and state and local government, including: basic systems, decentralization, DG theory and civil society, and specific laws/policies affecting COs; also includes the translation and dissemination of laws/policies

modest matching grants for the establishment of Centers of Civic Education and Action; and the training of one or more volunteer “animateurs” who will ensure that civic education materials are disseminated and who will serve as catalysts for civic action vis-à-vis communal government. Each Center would have a variety of documents translated into the local language on the enabling environment specifically relevant to citizens and COs (e.g., constitution, decentralization, how to gain legal recognition, etc.). Civic education materials and campaigns financed under the Enabling Environment results package would be operationalized at the community level through these Centers. It is also proposed that documentation developed under other Strategic Objectives (e.g., family planning, agricultural extension) could be housed in the Centers as well.

c) Community Organization Micro-Grant Fund

All funding of activities designed to strengthen COs in democratic self-governance will be passed through intermediary NGOs or federations. The micro-grant fund is designed to provide targeted COs with modest grants to enable them to engage in civic action. Such activities would include: funds for transport to permit them to attend communal council meetings or to visit relevant government ministries at the circle or regional levels to lobby for better policies or resources available at those levels; or to finance fora that bring them together with their elected representatives at the communal or national levels and with other concerned policy makers. In short, this would be a demand-driven fund that is directly available to COs to increase the impact of their newly acquired skills in civic action.

C. IR 1.1: NGOs and Federations Support Community Organizations’ Democratic Self-Governance and Civic Action; and The Capacity of NGOs and Federations is Strengthened

1. The Underlying Logic of IR 1.1

As a general proposition, an effective civil society is predicated upon two inter-related **structural** factors. The first is that the greater the **density and diversity** of civil society actors at all levels of the polity, the greater the **voice and choice** ordinary citizens will have to express their concerns in the public (political) realm where policy making takes place and, when appropriate, to collectively act on these concerns. Therefore, the mere presence of a large number of NGOs and federations in civil society is a **desirable end** in itself. In terms of the Mission’s program vision of **more Mali, less aid**, an increase in the numbers of strengthened Malian NGOs and federations would add an element of sustainability to the intermediary level of civil society -- **the missing middle** -- that to a large degree is being filled by U.S. and other international PVOS.

The second structural factor is the **differentiation and specialization** which takes place within civil society -- similar to that which occurs within the market -- which allows for economies of scale (efficiencies) to be achieved within the sector. The importance of NGOs and federations as more specialized actors capable of undertaking a range of functions in support of CO empowerment is seen as a **means** to the achievement of IR 1, i.e., “community organizations effectively engage in democratic self-governance and civic action.” When NGOs and federations serve as catalysts in the mobilization and creation of COs and/or provide training and technical assistance to increase their

capacities in either democratic self-governance or civic action, then they can be viewed as the tools or means to the achievement of this primary order IR.

As a general guiding principal, the D/G SO Team has determined that a particular objective of IR 1.1a should be the use of Malian NGOs as the means of empowering community organizations, rather than U.S. or international USPVOs. While there will likely be situations where there is no indigenous NGO to serve in an intermediary role, and the use of a U.S. PVO will be necessary, the SO Team views this as the exception rather than the rule. Reliance on Malian NGOs, the D/G SO Team believes, would contribute to the future sustainability of community empowerment in particular and sustainable development in general. It also recognizes that in the sector of political development, indigenous civil society actors are more appropriate actors than foreign organizations.

2. IR 1.1 Indicators

Indicators for both 1.1(a) and 1.1(b), or the first set of secondary and tertiary intermediate results under IR 1, are presented in this section.

a) IR 1.1(a): Malian NGOs and Federations Support COs

- Community organizations receive capacity building in democratic self-governance and civic action from NGOs or federations.
- Targeted community organizations which report their organizations strengthened as a result of assistance from targeted NGOs or federations.

b) IR 1.1(b): The Capacity of NGOs and Federations Strengthened

- Targeted NGOs and federations receive technical assistance and training (e.g., generic capacity building, strategic planning and management, principles of democratic self-governance and civic action, rapid rural appraisal) to increase their capacity to work with COs.
- Targeted NGOs and federations which report their organizations strengthened as a result of assistance from PVO and/or other results package mechanisms.

3. IR 1.1 Activities

Activities discussed in this section relate to those required to achieve the first set of secondary and tertiary intermediate results: (i) Malian NGOs and Federations support CO capacity building for democratic self-governance and civic action (IR 1.1(a)); and (ii) Malian NGOs and federations are strengthened (IR 1.1(b)).

a) **IR 1.1(a): Malian NGOs and Federations Support COs**

The basic activity to take place under this IR is the delivery of training and technical assistance to COs by NGOs and federations. It is estimated that each NGO/federation will work with and strengthen some 25 COs in five communes over the course of six years (year one is results package start-up, including the training of NGOs/federations). There are two important considerations related to this strategy. First, the process of strengthening COs is estimated to take up to two years for those with little capacity in the area of democratic self-governance. Second, this work with five COs is, in principle, **additive** to the ongoing activities of the NGOs/federations, that is, the D/G SO will support existing NGOs that already have ongoing programs. The D/G SO will thus finance the marginal costs associated with the objectives of the results framework. As discussed in the following section on RPOs, NGOs/federations would in most cases also be working to strengthen the capacity of one or more communal level federations.

In order to permit NGOs/federations to be able to actually extend their on-going work to strengthening COs in democratic self-governance and civic action, modest grants will be provided to enable them to support the additional or marginal operational costs (e.g., additional staff, travel and transportation, etc.) associated with the strengthening of a CO. This approach will ensure that those NGOs/federations selected to strengthen COs will have minimum degree of credibility and legitimacy as partners to both COs and USAID.

b) **IR 1.1(b): The Capacity of NGOs and Federations is Strengthened**

In order to assure quality control in services/TA delivered to Malian NGOs and federations and subsequently to COs, the D/G SO Team agreed that the enumerated package of TA/training should be standardized. The standardized training/TA would then be delivered to Malian NGOs through a training of trainers (TOT) approach which would include training or delivery approaches and facilitation to enable these actors to more effectively deliver the package -- as needed -- to the target COs.

Strengthening of NGOs/federations will be undertaken by any number of qualified institutions, including non-profits (U.S. or international USPVOS, think-tanks), private sector organizations (e.g., management consulting firms), and even public institutions (e.g., a university political science department, the adult literacy department of a government ministry). What is of importance is that the institution chosen has demonstrated skills in the area of training or technical assistance required. The D/G SO Team also feels that the NGO/Federation should have a right to participate in the choice of the institution providing the service. Depending on the type of institutions chosen (non-profit or for-profit) grants or contracts will be used to procure the assistance.

D. IR 1.2: RPOs Represent CO Interests Beyond the Local Level

The second set of secondary and tertiary intermediate results designed to achieve the primary IR are: (i) Target RPOs effectively aggregate and represent the interests of COs beyond the local level (IR 1.2(a)); and (ii) the capacity of targeted RPOs is strengthened (IR 1.2(b)). In this section the underlying logic of the IR is presented as well as their indicators and activities.

1. The Underlying Logic of IR 1.2

In order for the interests of COs to be represented beyond the local level (the village or neighborhood) and thus participate in political life at higher levels of democratic governance, they will require institutional intermediaries to undertake this partner and representative function for them. In this regard, the D/G SO Team has identified two sets of institutional actors within civil society capable of performing this intermediary function. The SO Team has termed such institutions as Representative and Partner Organizations (RPOs), or those that occupy this intermediary realm between COs and higher levels of democratic governance. RPOs can be considered **multi-purpose organizations** in the sense that they undertake a range of services on behalf of COs and only occasionally enter the public realm and undertake civic action (aggregating and representing interests) on their behalf.

Representative Organizations (RO) are essentially federations of COs that undertake self-governing functions for their members. Thus a union of Associations of CSCOMs would represent the interests of individual members at the Communal Level of governance, while federations of CSCOMs at the Circle, Regional and National levels would represent CO interests beyond the communal level. The National Federation of Community Health Centers (FNCSCOM) is a good example of a Representative Organization that aggregates the interests of individual community health center associations from the community to the national levels. They are representative in the sense that each level of federation directly participates in the internal decision-making of the larger organization by directly electing their representatives.

What distinguishes a Partner Organization from a RO is that while the former can represent the interests of COs to higher levels of governance, it does not necessarily aggregate the interests of COs nor does a CO directly participate in the internal decision-making process of the Partner Organization. Partner Organizations such as Malian NGOs have strong linkages to COs, but the COs are considered clients of the NGO rather than constituent members of the same organization (a RO). As a general principle, the D/G SO Team will promote Representative Organizations as the preferred institutional intermediary to represent the interests of COs because of their more democratic nature.

While the activities taking place under this results package will support RPOs at all levels of democratic governance from the commune to the national level, the primary and overwhelming focus will be on those ROs that emerge to represent COs at the communal level.

2. IR 1.2: Indicators

a) IR 1.2(a): Target RPOs Effectively Aggregate and Represent COs

- Targeted federations which address the specific concerns of COs relating to government decision making beyond the local level (dissaggregated by women's federations).
- Public decisions relevant to COs, including policies, laws and regulations, which targeted RPOs analyze, formulate and influence/advocate.

- Issues related to the performance of decentralized local governments (communal level and beyond) addressed by RPOs.
- Targeted RPOs attending meetings of governing councils at the communal level and beyond discussing concerns relevant to community organizations.
- Open and organized meetings between governing council members and targeted RPOs representing the interests of community organizations initiated by RPOs at the communal level and beyond.

b) **IR 1.2(b): The Capacity of Target RPOs is Strengthened**

- Targeted RPOs (those that aggregate and represent the interests of COs) have requisite civic action and democratic self-governance skills.
- Community organizations which report their interests are effectively aggregated and represented at communal level and beyond by targeted RPOs.
- RPOs whose membership is stable or growing.

3. IR 1.2: Activities

a) **Targeted RPOs Effectively Aggregate and Represent COs**

Targeted RPOs will receive a combination of technical assistance and training and financial grant assistance under this results package. Training and TA are designed to increase the capacity of RPOs to undertake civic action on behalf of COs, primarily at the communal level but also at higher levels of democratic governance, including the national level. Federations will be supported in three-quarters of the 150 communes in which the D/G SO will operate, or roughly 120. Beyond the communal level, support will be provided for an additional 25 RPOs over the life of the D/G SO. In order to accomplish its role to represent COs, RPOs will also receive modest grants to carry out their linkage functions (e.g., policy identification, analysis, formulation and advocacy).

b) **The Capacity of Targeted RPOs is Strengthened**

As with NGOs and federations, a range of technical assistance providers will be engaged under the D/G SO to build RPO capacity in democratic self-governance and civic action.

E. IR 2: The Enabling Environment Empowers Community Organizations

As noted previously, the SO Team has deemed that the importance of an “enabling environment that empowers COs and RPOs ...” is so necessary to the achievement of the D/G SO as to merit being a

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discrete intermediate result in and of itself. As part of the process of refining the results framework and its logic, the D/G SO Team commissioned a study and analysis of the Malian enabling environment. The results of the study are presented in Annex 3.

1. The Underlying Logic of IR 2

The enabling environment is defined as the body of laws, regulations and policies that delineates the legal, judicial and regulatory framework, allocates power among political actors, and governs relations among and between both institutions and individuals. In addition to the body of laws or rules which limit the actions of political institutions and individual citizens, the enabling environment includes the institutions responsible for **enforcing** them (the Executive Branch) and the those which **adjudicate** their legality (the Judicial Branch). The enabling environment includes both **fundamental** law, that is, laws at the macro-political level which define the political system, the mandated institutions which operate in it, and powers allocated to them. Such laws are normally embodied in a constitution. A second order of **ordinary** laws, regulations and policies define the enabling environment at the operational level and are primarily concerned with governing the actions of economic and social life, rather than political life.

The analysis of the Malian enabling environment commissioned by the D/G SO Team provides the following findings: First, at the macro-political or constitutional level, the body of laws are generally favorable to civil society in general and COs in particular, that is, it provides an environment which favors both participation and partnership of civil society actors in the political system. Among the particular laws which provide this larger environment are the decentralization laws which have yet to be fully passed or implemented. Because of the importance of these laws to the achievement of the D/G SO, their full implementation has been treated as an **assumption**, rather than an activity which is to be undertaken under this IR.

While the D/G SO Team feels that the macro-political level provides the legal environment necessary to the attainment of the D/G SO, it is noted that the judicial system is particularly lacking in its capacity to adequately and fairly adjudicate public disputes. Also, as a previous assessment of the macro-political legal environment noted, a rule of law of culture has yet to be fully internalized and diffused among the body politic. What must be continually monitored, therefore, is the enforcement and adjudication of this legal environment to ensure that state institutions do not abuse fundamental freedoms (e.g., the right of association, speech, press, etc.). The D/G SO Team considers the enforcement and adjudication of these fundamental laws as assumptions because they are beyond the manageable interest of the Mission, and because other donors are expected to support legal system strengthening. The one area where the D/G SO Team believes that direct intervention may be required is in relation to the fundamental rights of women.

Of more direct concern to the ability of COs to undertake self-governance and civic action are ordinary laws and their enforcement. Such laws define the rights of COs to participate in the delivery of public services, the management of public resources, and the promotion of public economic growth. The enabling environment analysis indicates that ordinary laws in this regard are also generally favorable. Where they are not, other donors appear to be supporting their reform. However, the D/G SO Team believes that over the life of the Mission's Strategic Plan, there will be

instances where direct intervention may become necessary to ensure SO attainment. In this regard, constraints to CO participation in democratic governance will be identified, and constituencies for necessary reforms will be supported to undertake civic action leading to these desired reforms. Reforms targeted for support, and D/G SO resources allocated to them, are expected to be modest and based on constraints identified by COs themselves and by other SO teams working with COs.

2. IR 2: Indicators

- Targeted COs, NGOs, federations and RPOs have full rights of legal recognition.
- Targeted COs and RPOs have information on identified, regulations, and policies which affect their interests.
- Citizens reached by civic education campaigns in both French and local languages in targeted communes.
- Members of community organizations in targeted communes receive civic education-based functional literacy.

3. IR 2: Activities

In order to achieve the objective of this intermediate result, two principal activities are planned.

a) Identification and Action on Constraints Related to the Enabling Environment Affecting Community Organizations and their Partners

Where constraints to the enabling environment are identified by COs or other SO teams, resources under this intermediate result will be provided to address them. Funding will be provided to COs, RPOs or in special circumstances **specialized civic organizations** (e.g., think-tanks, professional associations, etc) to: analyze, formulate and advocate for reforms that remove the identified constraint. Where appropriate, the IR will encourage **constituencies for reform** that either bring together COs with similar interests, or forge alliances with other actors in civil society.

b) Civic Education Campaign

Under this results package funding will be provided for the development of civic education materials and messages as well as their actual dissemination. While the principal targets of this activity will be the members of targeted COs, civic education materials and messages will also benefit the wider Malian polity. Civic education materials and messages will be developed and disseminated to address such areas as decentralization and constitutionalism; laws, policies and regulations affecting COs and citizens; democratic governance principles and practice, etc. Dissemination methodologies used in civic education campaigns will include both modern public and private media (e.g., radio, particularly rural radio, newspapers, and television) as well as traditional methods (e.g., dance, theater, song).

A curriculum for functional literacy based on the role of community organizations as effective partners in democratic governance will also be developed.

D/G SO INDICATORS & TARGETS

Introduction

The indicators, summarized in the table on pages I.22-27, have been arrived at through an iterative process of refinement. The D/G Support Team's process started in November with a review of indicators in the Mali D/G strategic framework presented to Washington, indicators developed at the PPC sponsored indicators workshop in Washington last year and civil society indicators included in planning documents from a variety of Missions. A first set of indicators was presented in the Team's November report. After an introduction to indicator development, the Mission's D/G SO Team and the D/G Support Team tested the logic and utility of the indicators in the November report. Questions asked included: would they measure what the Mission hoped to accomplish through the D/G program, what the team could be reasonably held accountable for and were they measurable? Comments from a variety of Mission staff and some Washington contacts were solicited. Refinements were made and are represented in the indicators below.

Targets for indicators are still in their initial stage of development. Until a monitoring system is more fully designed, baseline data are collected, and selection criteria area developed for COs, NGOs and RPOs, some targets will remain rough estimates. Governance indicators and targets are still an area of development for USAID. Strategic frameworks from other missions with civil society objectives might provide additional ideas/bases for target levels for comparison/feasibility checks, especially from Bangladesh.

Target Assumptions for Indicators and Targets

What follows is a description of the assumptions underlying the indicators and targets, enumerated for the SO and each IR. Overall, it is assumed that 12-18 months will be required to fully strengthen each CO in its capacity to engage in democratic self-governance and civic action. Similarly, one year will be required to adequately strengthen NGOs' capacity through TOT and TA. Given these baseline assumptions, the related assumptions for the SO and each IR are as follows:

(Note: "NGOs" here refers to both NGOs and federations.)

SO Level:

1. Assume one new or modified government initiative per year for each CO engaging in civic action, starting the year after a CO receives training (as above).

Note: There probably will be many issues raised due to decentralization at the community level. It is possible this target for initiatives should be much higher once decentralization implementation begins.

2. Estimated 50% of targeted number of COs engaging in democratic self-governance the year after the CO receives training.
3. Estimated 10% of targeted COs implement public decisions, including the delivery of public services, the management of public resources and the promotion of public economic growth in a democratic manner.

IR1 Level:

The underlying logic of the primary level of intermediate results is predicated on the implementation of pilot activities, to start in FY97, which will target two NGOs with relatively high capacity. Approximately one year will be required for their strengthening and TOT (as above). Targets estimate that each NGO will train/strengthen 25 COs the year following the NGO's training. In subsequent years, it is assumed that the NGO will be fully occupied with sustaining and supporting the capacity of these 25 COs with no new COs targeted. Most likely, the D/G SO Team will work with high capacity NGOs the first couple of years, each of which will work with fewer than 25 in following years. In later years, early partners will continue training COs and newer lower capacity NGOs will be strengthened to work with many fewer than 25 COs each. The 25 COs per NGO may suffice as an overall guideline. The assumption is that NGOs will continue to provide other services. The governance /civic action training will be an added service.

The estimated yearly increments for number of NGOs strengthened is fairly arbitrary. Among the first three IR1 indicators, it is assumed that of all COs trained, 80% will engage in self-governance, and 80% of those doing self-governance will also engage in civic action, i.e., a 20% "non-compliance" rate.

IR1.2

1. It is assumed that an estimated 75% of communal level RPOs targeted will achieve all of the strengthening characteristics (see IR1.2b, indicator 1, targets.)
2. It is assumed that each RPO (commune level and beyond) will analyze, influence, advocate, or formulate two regulations each, each year, including the year they receive training, i.e., 2 issues per RPO per year. Again, with the onset of decentralization implementation, the number of issues addressed may increase.
3. It is estimated that each target RPO will address two performance issues per year starting the year after they receive training. This estimation will depend on the evolving response to the following questions: will performance issues regarding government be more difficult to address than local policy decisions? Will the number of issues needing attention dramatically increase with implementation of decentralization?
4. It is assumed that 80% of targeted communal RPOs will actually attend meetings of councils and 100% of RPOs beyond the communal level will attend such meetings.

5. It is assumed that each communal level RPO will initiate at least one meeting with governing council members per year starting the year after they receive training; each RPO beyond the communal level will initiate at least four meetings per year after receiving training.
6. It is assumed that *attending* meetings will be easier than initiating them and will likely happen even while RPOs are receiving training. Initiating meetings entails more energy and risk.

IR1.2b:

1. Regarding the number of RPOs targeted, the number is small the first two years while COs are being strengthened and much higher in later years when strengthened COs may federate and NGOs are working with more COs as partners. The end target anticipates a 20% "non-compliance" rate.
2. The percent of COs which report that RPOs are representing them assumes that the D/G SO Team will select relatively strong RPOs to work with the first year, and weaker ones the next couple of years (which will be relatively less effective). The average anticipated result is for 75% of targeted COs perceive that RPOs represent them effectively.
3. An additional new indicator was added because the Mission Director and others suggested that more attention to strengthened communes was needed as a result of assistance. It is assumed that USAID would work with less than 5 COs per commune in early years of the program, leading to 5 COs per commune the last two years. The underlying target calculations are that the Mission will work with 20% more communes than the targeted number of COs trained per year, divided by 5. For example:

Number of COs trained in FY98 = 50. So $50/5 = 10 \times 1.20 = 12$. 12 communes are targeted for FY98.

TABLE OF D/G SO INDICATORS & TARGETS

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
Strategic Objective Target COs are effective partners in democratic governance, including development decision-making and planning									
Number of new or modified government initiatives resulting from consultation between communal governments and COs in targeted communes			0	0	2	32	160	240	400
Number of target COs initiating their own delivery of public services or management of public resources					2	20	100	150	250
Percentage of target COs delivering public services which receive government support in this effort (financial, material, or technical)					0	2	10	15	25
Percentage of grievances against government personnel raised by COs or RPOs, resolved in a manner satisfactory to initiator of grievance									
IR1: Target COs are engaged in democratic self-governance and civic action at the local level and beyond									
COs are engaged in civic action Number of target COs that attend meetings of governing councils discussing relevant concerns -Community/Commune level			0	2	32	160	240	400	480
Number of open and organized meetings between governing council members and targeted CO representatives initiated by targeted CO representatives -Community level									
-Commune level									

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
Number of relevant development decisions, including policies, laws, regulations which target COs: -Analyze -Influence/advocate -Formulate									
Number of target COs that are engaging in democratic self-governance, i.e., have:									
Recognition (legal status) by the state			0	5	40	200	300	500	600
Democratic internal procedures									
Independent audits done and published									
Apply strategic planning & budget plans									
Functional numeracy & literacy									
Gender analysis & awareness									
Ethics/professional standards									
Conflict management & resolution									
Gender: Percent of targeted COs employing gender analysis									
Percent of women in leadership positions of COs									
Number of women's issues advocated by COs									

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
Number of COs advocating women's issues									
Number of communes where the D/G program is supporting COs			0	3	12	60	90	150	150
IR1.1a: Malian NGOs and federations support COs' democratic self-governance and civic action.									
Number of COs trained by Malian NGOs and federations			0	5	50	250	375	625	750
Percentage of targeted COs which report their organization is strengthened as a result of the targeted assistance by the Malian NGO or federation			0	80%	90%	90%	90%	90%	90%
IR1.1b: The capacity of target Malian NGOs and federations is strengthened.									
Target NGOs and federations (those who will empower targeted COs) have:									
Recognition (are registered) by the state			0	2	10	15	25	30	30
Democratic internal procedures									
Independent audits done & published									
Strategic planning and budgeting									
Gender analysis and awareness									
Ethics/professional standards									
Conflict mgt. & resolution skills									

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
IR1.2a: Target RPOs effectively aggregate and represent COs' interests at the local level and beyond									
Number of federations which form or join to address the specific concerns of COs relating to government decisions -overall			0	0	2	7	56	90	90
-women's organizations									
Number of development decisions relevant to COs, including policies, laws, regulations which target RPOs: -analyze, influence/advocate, formulate			0	2	10	24	158	250	250
Number of government performance issues addressed by RPOs			0	0	4	10	24	158	250
Number of target RPOs that attend meetings of governing councils discussing relevant concerns at: -communal level			0	1	3	8	60	96	96
-beyond communal level			0	1	2	2	4	5	5
Number of open and organized meetings between governing council members and targeted RPO representatives initiated by targeted RPO representatives at: -communal level			0	0	1	3	10	75	120
-beyond the communal level			0	1	4	8	8	16	20

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
IR1.2b: The capacity of target RPOs is strengthened									
Target RPOs (those who will empower targeted COs) strengthened:									
Recognition (are registered) by the state									
-Communal			0	1	3	10	75	120	120
-Beyond			0	1	2	2	4	5	5
Democratic internal procedures									
Independent audits done & published									
Strategic planning and budgeting									
Functional literacy & numeracy									
Gender analysis and awareness									
Ethics/professional standards									
Conflict mgt. & resolution skills									
Percent of targeted COs which report their organization's interests are effectively aggregated and represented by the target RPO				100%	60%	60%	75%	75%	75%
Percent of RPOs whose membership is stable or increasing				50%	50%	50%	60%	60%	60%
IR2: Enabling environment empowers target COs and RPOs									
Target COs, NGOs, federations, and RPOs have the right to full legal recognition				50%	75%	100%	100%	100%	100%

Performance Measures	Baseline Data		Performance Targets						
	Year	Value	FY96	FY97	FY98	FY99	FY00	FY01	FY02
Targeted COs and RPOs have information on identified laws, regulations, and policies which affect their interests				50%	75%	75%	75%	75%	75%
Number of people reached by civic education communication channels in local language			2,500	50,000	100,000	300,000	500,000	750,000	1,000,000

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RESULTS FRAMEWORK ASSUMPTIONS

Following are key assumptions which the D/G SO Team identified as being implicit in the structure of the Results Framework. Specifically, the assumptions address the various presumed causal linkages in the vertical logic of the framework. That is, they represent the additional factors which are assumed to exist in order for the various intermediate results to collectively result in the strategic objective. In each case, the D/G SO Team also identified the activities necessary to mitigate the impact of the assumption should it not hold true. These activities fall primarily in the realm of liaising with and/or monitoring and coordinating with the activities of other relevant actors.

Assumptions to monitor outside of program control:

(Indicators, monitoring activities, and timing are still to be developed. Some are suggested.)

1. Mali's democratic process is not reversed.
2. Mali's government implements decentralization effectively (including relevant linkages with Conseil Economic and Social and Haut Conseil des Collectivités).
Additional response activities:
 - Policy dialogue
 - Coordinate civic education with Decentralization Mission
3. Donors continue to support decentralization.
4. Communal governments are established and will have adequate resources to respond to COs.
5. Transparency occurs in Mali government's decision making.
IN particular, records regarding government decisions relevant to COs are open.
 - DG/SO team will also coordinate program activities regarding records with the INFOCOM SO Team
6. Mali's legal and procedural environment for civil society actors improves with assistance from other donors.
7. Mali's legal and judicial system is reformed with assistance from other donors.
8. Mali government's responsiveness to citizens as clients improves with assistance from the World Bank.
9. Efforts among donor development partners are coordinated. It remains to be seen who will initiate the coordination, i.e., the GOM or the donor community, and this too will need to be monitored.
10. Adequate resources are allocated to the D/G SO to meet approved estimated budget for targets set

Assumptions to be monitored which program sensibilisation activities are designed to influence:

1. NGOs and federations exist and are willing to provide TA and training to COs.
2. COs are willing to work with Malian NGOs and federations on civic action.
3. Interests will emerge for which COs will want to engage in civic action.
4. COs will be interested in federating.

Assumptions to be influenced through criteria to be applied for selecting COs, NGOs, federations and partner organizations, or for training delivered (e.g., conflict management training):

1. Competing interests at the community level do not inhibit decision making processes and development activities.
2. COs, and RPOs have absorptive capacity to participate in democratic self governance and civic action.
3. NGOs have absorptive capacity to participate in democratic self governance and provide training to COs in democratic self-governance and civic action.
4. Mission SO teams coordinate their efforts with target COs in target geographic areas.

OPERATIONALIZING THE D/G SO: GUIDING PRINCIPLES

Basic Premise: The overall thrust of the D/G SO is aimed at increasing the density and diversity of democratically self-governing community organizations (COs), i.e., those which engage in public service delivery, management of public resources, and/or stimulating economic growth for their members. *In order for these organizations to become sustainable, they must be able to influence the governance decision making which affects them.*

In pursuing this aim, the D/G SO Team embraces the following Guiding Principles:

- COs are the primary beneficiaries of the D/G SO program activities. Therefore, all activities will be targeted to COs. For example, the D/G SO will only work on policies (including laws and regulations) which directly impact COs.
- The D/G SO program activities will be demand driven. That is, COs need to express an interest in participating in the program activities; the D/G SO Team is not in the business of creating new COs.
- An incremental logic inherent in the program activities will be followed. COs must first have the capacity to be democratically self-governed *before* they can be effective civic actors.
- Similarly, the distinguishing feature of the D/G SO relative to the work of other SOs with COs, is its emphasis on civic action. COs cannot receive the capacity building training and technical assistance proposed by the D/G SO without also receiving civic action training.
- The training curriculum is a comprehensive package (generic capacity building; democratic self-governance, including gender analysis, and conflict management and resolution; and civic action), but capacity building training will only be delivered as needed.
- In order to promote sustainability and remain consistent with the USAID vision of “More Mali, Less Aid,” the D/G SO will *avoid* using international PVOs to work directly with COs. The D/G SO Team may choose to make exceptions on a case by case basis, but this is *not* the intention of the strategic approach. International PVOs will be used primarily to strengthen and support Malian NGOs and federations in their efforts to directly support COs.
- The D/G SO Team will work closely with the other SO Teams to identify particular reform needs relevant to COs, and will coordinate with them in working with target COs. Identified constraints will be pursued *from the bottom-up* (via COs’ efforts) *not the top-down*.

PRELIMINARY IDEAS FOR SELECTION CRITERIA

Following are criteria raised during discussions among the D/G SO Team and the Support Team. Reviewing criteria developed by other SO teams as suggested by the Results Center will provide ideas for additional criteria. No attempt has been made to differentiate which criteria should be applied to selection of COs by NGOs, or of NGOs or RPOs by USAID and its program administration unit. Levels and weights will need to be developed.

1. Level of interest of organization in doing civic action (potentially demonstrated by current civic action activities).
2. Current capacity level: high, medium, low in:
 - Democratic self governance
 - Civic action(The defining characteristics of the various capacity levels will need to be specified).
3. Geographic location:
 - some activities should be promoted in the North
 - Some, or potentially all may occur in rural areas or with rural linkages (given the demography of Mali)
4. Overlap with COs supported under the other SOS ; with NGOs/federations supported under other SOs. That is, synergy should be maximized by jointly working with the other SO Teams in supporting particular organizations in particular targeted geographic areas.
5. Important political reasons exist for support.
6. Compelling or complementary interests within one community and across communities exist, that is the D/G SO Team should avoid the potential to splinter the political arena by supporting competing or conflicting interests.
7. Absorptive capacity of the target organization, i.e., the degree of competing demands for their resources.
8. Diversity of interests represented among COs and RPOs to be supported. The D/G SO Team will need to monitor the implications if one sector is being supported over another, and avoid investing too many resources in a narrow area of interest.
9. Determine if some organizations in the area are already representing community interests to government regarding decentralization and if they need/want support for such civic action.



**MISSION TO
MALI**

MALI GOVERNANCE STRATEGIC OBJECTIVE:

Final Report of the DG/SO Support Team

PART II: ACTION PLAN

by

Leslie M. Fox, Team Leader

Jennifer M. Coston

and

Pat Isman (also a Virtual D/G SO Team Member, G/DG)

February 1996

Prepared by

Thunder & Associates, Inc,

719 Prince Street

Alexandria, VA 22314

(703) 684-5584, Fax (703) 684-3954

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PART II: ACTION PLAN

The following action plan begins to operationalize the D/G SO for the first year of implementation, as well as setting implicit guidelines for subsequent years of implementation. It should be noted that the limited time prohibited the comprehensive team (D/G SO Team and the Support Team) from finalizing all of the details of an action plan.

- The **implementation plan** includes activities to design several program related “plans,” to address: the D/G information center, training needs of the D/G SO Team, needs for analysis and studies, the D/G SO Team “Learning Lab,” sensibilisation, and pilot activities for Year One. As these plans are developed, the implementation plan will need to be further elaborated. An exemplary format for the implementation plan for subsequent years is also included to inspire the D/G SO Team to begin to think strategically about its activity requirements into the future.
- The **budget** information includes both a first year estimation and percentage breakdown by activity, in addition to projections of budget figures for the Life of Project (LOP). Wherever possible we have tried to outline the underlying assumptions which relate closely to the targets for the various activities (i.e., number of COs, Malian NGOs and federations, and RPOs we anticipate the D/G SO Team will work with in each year and their associated capacity).
- While the comprehensive team did not explicitly address the issue of **mechanisms** for the various activities, we have summarized some of the issues and recommendations that were raised.
- **Coordination with the other SO Teams** is an essential component of any action plan to operationalize an SO. While a “plan” per se was not developed, our interactions with the other SO Team members and our discussions with other Mission personnel stimulated our thoughts and enabled us to identify some initial ideas or parameters for such coordination. The D/G SO Team will need to refine and operationalize these ideas as it begins to implement its SO and as the other SO Teams begin to operationalize their own Results Frameworks.
- **Remaining issues** are briefly mentioned in the concluding section of the action plan.
- The **proposed M&E plan** includes an outline of methodologies, proposed components, a timeline, and guidelines for division of labor and technology transfer. Future refinement and design needs are also delineated.

Implementation Plan
(As of January 26, 1996)

Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
OPERATIONS										
Start-up Activities										
Determine Budget		Wed								
Determine which RF activities to pursue in Year One		Wed								
Sensibilisation with/approval of Mission Director		Wed								
Determine Mechanisms for RF Activities		Fri								
Resolve human resource needs/structure of D/G SO Team		Fri								
Determine TA needs & plan for D/G SO Team		Fri								
Determine targets & time frame for indicators		Fri								
Determine M&E needs & procedures		Fri								
Stakeholder analysis		Fri								
Determine plan for information center			mid							
Sensibilisation with each team			end							
Approval of D/G SO RF by USAID Mali			end							
Consult with gender specialists re RF			end							
Analyze "D/G" activities fr. Mission portfolio for consistency with D/G SO			end (chkdln)							

Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
Get on democracy network		end								
Selection criteria for implementing partners (with mechanisms)		end								
Team-building with TRG				end	early					
Develop training plan for D/G SO Team (conferences, short-term training, TA, study tours)	Team w/TRG			end	early					
Determine plan for analysis/study needs	Team w/TRG			end	early					
Sign contract for inventory & profile of Malian NGOs, Federations, & RPOs				15						
Inventory & profile of Malian NGOs, Federations, & RPOs	contract				end	complt				
Finalize M&E system & components				beg	complt					
Collect base-line data for indicators (with gender information)						beg	end			
Determine selection criteria for NGOs & COs						end				
Determine & implement plan for "learning lab" for D/G SO Team						end				
Resident advisor -- request --sign contract	contract		week 1	Mar						
NADs for results packages (investigate NAD models of other Missions)					beg					
Long-term advisor *Determine mechanism/contract				signed						

Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
*Write Scope of Work				Mar						
*Hire advisor (3 assignments @ 2 months each)				Mar + TBD						
Sensibilisation & Liaison Activities										
Distribute D/G definitions	Anna	Tues								
Needs assessment for each Sensibilisation target		end								
Develop contacts among government specialists community (donors, NGOs, specialized private orgs)		Now & on-going								
Complete database of the above										
Sensibilisation with US Embassy		end								
Coordinate/attend relevant meetings with US Embassy re: 116E activities			Feb	on-going						
Sensibilisation Plan (including needs assessment for each stakeholder)				end						
Develop sensibilisation presentation materials (part of plan above)				end						
Catalyze meetings with donors to coordinate decentralization support			start w/ sensibsn	on-going						
Coordinate civic education activities with those of decentralization mission			on-going							
Coordinate with other donors working with civil society				start w/ sensbln	on-going					

Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
Coordinate with virtual team in Washington		on-going								
Coordinate with INFOCOM regarding the monitoring of the openness of government records		on-going								
Coordinate with other SOs re: identified constraints to COs and work with target COs		on-going								
Monitoring Activities										
Enabling Environment: Monitor/update analysis on legal environment		now	on-going							
Monitor the openness of records regarding government decisions relevant to COs (in coordination with INFOCOM)			on-going							
Monitor progress on decentralization (including the establishment & available resources of communal governments)		now	on-going							
Monitor consolidation of democratization		now	on-going							
Monitor the efforts & progress of other donors in reforming Mali's legal & judicial system			on-going							
Monitor the effectiveness of the World Bank's customer service orientation to institutional development			on-going							

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Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
Program Related: Monitor the current and future resource availability for the D/G SO		now	on-going							
Monitor the willingness of NGOs and federations to provide TA & training to COs				on-going						
Monitor the willingness of COs to work with NGOs & federations							on-going			
Monitor the emergence of issues for which COs will want to engage in civic action			on-going							
Monitor the interests of COs in federating							on-going			
Monitor the existence of competing interests at the community level which may inhibit decision making processes & development activities							on-going			
Monitor absorptive capacity of COs & RPOs to participate in program activities								on-going		
Reporting Requirements (TBD with M&E system)										
Complete input for R2				Mar 1						
Implementation plan and budget for Year Two							May	Jun		

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Activity	Responsible Party	Jan	Feb	Mar	Apr.	May	Jun	Jul	Aug	Sep
PROGRAM ACTIVITIES										
Pilot Activities Plan pilot activities for Year One (identify: target geographical area; "mechanism" to deliver TA to a Malian NGO or federation, and to an RPO; Malian NGO or federation to do TOT; COs in target area for TOT; RPO for TA)					end					
Pilot activity implementation: *civic education in target area *deliver TOT to NGO or federation *deliver TA to RPO *NGO or federation delivers training/TA to COs								beg	beg	
Curriculum Development Complete SOW & initiate contract action for curriculum development					1					
Contract(s) for curriculum development (signed)						end				
Develop training curriculum for: *democratic self-governance *civic action *civic education	contract						end			
Preparation for civic education & training Translate identified relevant laws for civic education (those particular to COs & RPOs)							end			

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Implementation Plan LOP (Format)

Activity	Responsible Party	FY97				FY98				FY99				FY00				FY01				FY02			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
PROGRAM ACTIVITIES																									
<u>IR1: COs engage in democratic self-governance & civic action at the local level and beyond</u>																									
<u>IR1.1a. Malian NGOs and federations support COs' democratic self-governance and civic action</u>																									
<u>IR1.1b: Increased capacity/TOT of Malian NGOs & Federations</u>																									

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Activity	Responsible Party	FY97				FY98				FY99				FY00				FY01				FY02			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<u>IR1.2a: RPOs effectively aggregate and represent interests of COs beyond the local level</u>																									
<u>IR1.2b: Increased capacity of RPOs</u>																									
<u>IR2: Enabling Environment</u>																									

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Budget Projections

UNDERLYING BUDGET ASSUMPTIONS

1. NGO strengthening and TOT in the first two years will cost \$50,000 for each NGO. This assumes USAID will work with highly capable NGOs, learning while doing to refine the training curricula. A figure of \$30,000 per NGO is estimated for years 3-7 assuming USAID will work with lower capacity NGOs in later years and will have higher efficiency in delivering the training package.
2. NGO strengthening and their assumption of providing TOT services in self-governance and civic action requires administrative costs to hire new people and support them: vehicle use, accounting, orientation, office space, etc., and possibly incentives to take on these new activities. (However, a criteria for obtaining USAID's training is that the NGO perceive this activity as in their interests, thus increasing the probability of sustainability of this service capacity).
3. RPO capacity building will cost the same as for COs: \$10,000 each. This includes the training plus technical assistance over time -- perhaps beyond the 12-18 months estimate to get them "strengthened." The \$10,000 is budgeted all at once and at the time that the strengthening starts.
4. NGOs are providing eight weeks of training/TA to 25 organizations each over 12-18 months (or more) = 200 weeks or 4 full time equivalents for staff devoted to this activity.
5. The CO training cost of \$10,000 is somewhat arbitrary. The initial assumption is 8 weeks for the training/TA package by two trainers earning \$50/day plus \$10/day expenses:

8 weeks x 5 days = 40 days x 2 trainers = 80 days x \$50/day	= \$4000
Per diem at \$10/day for 80 days	= 800
Overhead at 35%	= 1440

Total 6240

Considering how much staff time is required to organize training, set schedules, invite participants and ongoing TA, the figure was rounded up to \$10,000.

Budget Projection, D/G SO Year 1¹
(\$ in thousands)

OE	150.00
TA (6 months intermittent) (NGO selection criteria, sensibilisation planning/initiating, etc.)	100.00
Inventory & Profile of Malian NGOs, federations, and RPOs	10.00
M&E plan completion, including instruments & baseline data	50.00
Enabling environment (Civic education, law/regulation information to COs, identification of legal status constraints)	100.00
Curriculum development for CO, NGO, & RPO training (capacity building, civic action & civic education) (includes translation and printing of materials)	150.00
Rapid response fund	100.00
Contingency	<u>40.00</u> \$700.00

¹This projection represents a first “brainstormed” draft. It should be noted that funding needs for the implementation of the pilot activity in Year One will need to be determined, and this budget should be revised to reflect this change.

D/G SO Activities Budget: Summary Totals/Percentages LOP

	<u>\$000</u>	<u>%TOTAL</u>
A. OPS USAID	900.00	5
B. TA	1500.00	7
C. CO	7500.00	38
D. NGO	1100.00	6
E. RPO	1250.00	6
F. CO MICRO-GRANT FUND	104.00	0.5
G. RPO LINKAGE	120.00	0.6
H. RAPID RESPONSE	1200.00	6
I. INFO	150.00	1
J. ENABLING ENVMT.	900.00	5
K. IMPL. MECHANISMS	4000.00	20
L. MONITORING (@5%)	937.00	5
TOTAL	<u>\$19,661</u>	100

Budget Projections, DG/SO Years 2-7
(\$ in thousands)

Activities	FY97	FY98	FY99	FY00	FY01	FY02	Total
Operating expenses, USAID	150.00	150.00	150.00	150.00	150.00	150.00	900.00
TA (resident expert)	250.00	250.00	250.00	250.00	250.00	250.00	1,500.00
CO strengthening (@ \$10,000/CO) ²	50.00	450.00	2,000.00	1,250.00	2,500.00	1,250.00	7,500.00
NGO strengthening + TOT ¹ (@ \$50,000 2 yrs; \$30,000 5 yrs)	100.00	400.00	150.00	300.00	150.00	---	1,100.00
RPO strengthening (@ \$10,000 yr)	20.00	30.00	70.00	670.00	460.00	---	1,250.00
CO micro-grants	2.00	5.00	12.00	20.00	30.00	35.00	104.00
RPO linkage grants & TA	5.00	10.00	15.00	30.00	30.00	30.00	120.00
Rapid response fund	200.00	200.00	200.00	200.00	200.00	200.00	1,200.00
Information Center start-up (\$1000 per 5 COs)	1.00	9.00	40.00	25.00	50.00	25.00	150.00
Enabling environment	150.00	150.00	150.00	150.00	150.00	150.00	900.00
Mechanism(s) expatriate coordination of effort	750.00	750.00	750.00	750.00	500.00	500.00	4,000.00
Subtotal	1,678.00	2,404.00	3,787.00	3,795.00	4,470.00	2,590.00	18,724.00
Monitoring @ 5% of program cost	84.00	120.00	189.00	190.00	224.00	130.00	937.00
TOTAL	\$1,741.00	\$2,545.00	\$3,913.00	\$3,512.00	\$4,347.00	\$2,825.00	\$19,661.00
Numbers are cumulative:	5	50	250	375	625	750	
#COs receiving full package of training							
#NGOs receiving full package of training + TOT	2	10	15	25	30	30	
#RPOs receiving full package of training							
-Community	1	3	10	75	120	120	
-Beyond	1	2	2	4	5	5	
#Communes targeted	3	6	12	60	90	150	

²Assumes each strengthened NGO trains 25 COs

Mechanisms

In general, the D/G Support Team believes that the D/G SO would be best served and implemented if coordinated by one (or two) primary mechanisms. It is expected that the implementation of the D/G SO program activities will require multiple implementing actors, which might include international or USPVOs, Malian NGOs and federations, and contractors. The D/G SO Team does not have the human resources to manage the complexity implied by so many implementing actors. The budget projections, above, reflect a line item for such a mechanism. As for the specification of what it would look like, the D/G SO Team will have to further consider the comparative advantages and disadvantages of various mechanism types and specific actors which could implement them. A rough table outlining the pros and cons of contractors and USPVOs appears in our first trip report.

Coordination With the Other SO Teams

Through reengineering each SO Team has been empowered to manage its own results framework. At the same time, the SOs were specifically designed to be cross-cutting and mutually supportive. These characteristics of the Mission's Strategic Plan will require careful attention to coordination. While each SO Team has specified a responsible "liaison" actor, the entire D/G SO Team should recognize its responsibility to proactively promote coordination and communication among the SO Teams. The D/G SO Team has already identified more specific coordination needs and activities.

As a first step, the D/G SO Team has decided to pursue sensibilisation activities *with each team individually*. This will maximize the opportunity not only to communicate the revised Results Framework, but also to engage in discussions to further clarify how it will be operationalized, particularly with reference to the other Teams' activities. In addition, the D/G SO Team will engage the other SO Teams in its identification of programmatic targets. That is, the D/G SO Team will monitor the activities of other Teams and work with them to identify potential constraints to the operations of COs and the anticipated results of the D/G Results Framework. It is also possible that the other Teams will propose target COs, NGOs and federations, and RPOs for the D/G SO Team to work with. Because *all* of the SO Teams will likely be working with COs, it is essential that the SO Teams closely cooperate and coordinate their efforts, *especially when they are working with the same organizations*.

Remaining Issues

This action plan lays the groundwork for operationalizing the D/G SO Results Framework. While doing so, it has also outlined areas which will require further elaboration. To keep the D/G SO Team focused on these next steps, we have summarized the remaining issues below:

- Further elaboration of the implementation plan(s) as the various component plans are developed
- Refinement of selection criteria
- Specification of desired mechanism(s)
- Identification of geographical target area(s) (in coordination with the Mission and its other SO Teams)
- Finalization of an appropriate M&E *system*

PROPOSED MONITORING & EVALUATION PLAN
FOR THE
DEMOCRATIC GOVERNANCE STRATEGIC OBJECTIVE

by
Jennifer M. Coston

Draft
January 26, 1996

Prepared by
Thunder & Associates, Inc.
719 Prince Street
Alexandria, VA 22314
(703) 684-5584, Fax (703) 684-3954

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Preface

The following describes a proposed M&E plan for the D/G SO. While the team did not have sufficient time to finalize an M&E *system* (which was not a requirement of our Scope of Work), we believe that the plan proposed below is an appropriate and responsive outline for the D/G SO's M&E needs required by reengineering. Additional effort will be required to finalize the survey instruments, collection procedures, and reporting requirements. These must respond to refined indicators and targets. The scope of the M&E system will also be determined by USAID Mali's and the D/G Team's defined target geographic areas. While the whole team reviewed this report, it was drafted by Jennifer Coston with revision support from Leslie Fox.

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INTRODUCTION: THE CHALLENGE OF M&E FOR D/G PROGRAMS

In its re-engineering effort, USAID is placing a relatively greater emphasis on *measuring results*. That is, the most significant questions monitoring and evaluation (M&E) systems seek to address under re-engineering is "Have the goals been reached?" "Have the problems been solved?" and "Do results justify expended resources?" A further analytical component of M&E systems would also seek to identify means of correcting for a negative response to the above.

The first challenge, then, for an M&E system with a re-engineering emphasis, is to ensure that the objectives and intended results are well-defined. Without a clear direction and specific measurable progress indicators, results cannot be adequately gauged. In the M&E field, there is a consensus that the more quantifiable the indicators and results, the more stable the operational environment, and the less variable the internal and external inputs -- the more reliable, simple, and effective the M&E system. Unfortunately, given the nature of the D/G SO and democratic governance in general, the D/G SO is faced with the greatest possible challenge to designing an effective M&E system. In fact, it is argued that the less clear, appropriate, and available the generalized knowledge of causal relationships between intended actions and desired results, i.e., the less developed the state-of-the-art of the sectoral knowledge, the more difficult to design an appropriate M&E system. While *theorizing* on democracy and governance has been around for a long time, broadly accepted theories regarding causal relationships, especially those which are operationally useful, are still under development.

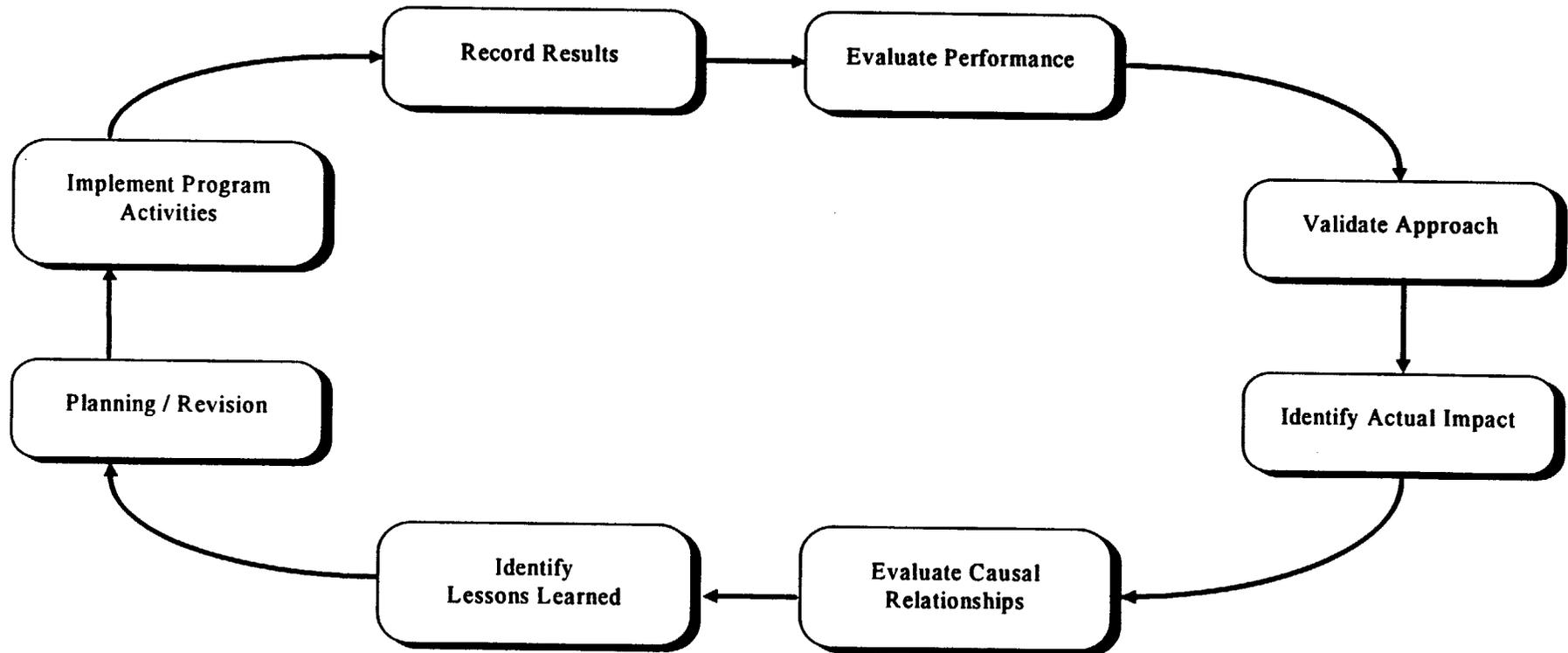
That said, how can we begin to address this challenge? First, as mentioned above, we need to be as specific and clear as possible about what we are trying to accomplish (objectives or intermediate results) and what we expect to see as outcomes (indicators). Second, especially given the D/G SO's emphasis on *democratic governance and practice*, we need to also include monitoring *process or behavior* in the implementation of the D/G SO activities. This will necessarily imply an inevitable and necessary emphasis on qualitative data, and, specifically, participant observation. The latter must be applied both to the target beneficiaries, i.e., community organizations and RPOs, as well as to implementing USAID agents and partners, i.e., the D/G Team, international or USPVOs, contractors, and Malian NGOs and federations. Of course, whenever process is a key evaluation target, it must be recognized (and safeguarded to the extent possible) that such evaluation is subject to subjective interpretation. For this reason, we must pursue a *multidimensional* approach to M&E. This would include a combination of both quantitative (where possible) and qualitative data, from multiple sources, in various locations, at several stages (time series).

Under the circumstances, in making evaluative conclusions, care must always be taken to re-examine whether poor results are attributable to program management or to unverified and potentially faulty assumptions about causal relationships. Finally, in any M&E system, and particularly under such challenging circumstances, the system must be flexible and open to adaptive changes on the basis of experienced failure, new developments in the sectoral state-of-the-art knowledge/theory of causal relationships, and interesting unintended results (positive or negative) from program implementation. In short, the developing nature of the democratic governance field necessitates a flexible M&E system with a strong feedback and learning component. The corresponding process and components are summarized in Figure 1.

Any M&E system will also face the inevitability of flaws and deficiencies. No one system can provide *all* the data for decision making which a manager thinks s/he will require. Care must be taken, then, to not expend an overabundance of resources to design a "perfect" system. Not all information can be obtained, not all indicators

Figure. 1

MONITORING & EVALUATION: PROCESS AND COMPONENTS



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are measurable, and 100% accuracy is unattainable.¹ The M&E plan proposed below seeks to incorporate these considerations, and the recommended major functions of USAID M&E systems, namely:

- Regular analyses of administrative data on select indicators of project progress and performance
- Planned or ad hoc studies on key management or impact questions
- Procedures for timely feedback of both types of information to managers (Norton & Benoliel, 1987, 32).

The plan is designed to address the three purposes of judging results as outlined by reengineering:

1. To *assure accountability* by verifying that our resources are being well-spent and that our programs are achieving expected results in improving the lives of our customers;
2. To *improve management* by identifying progress in achieving expected results, problems (and successes) as a basis for strategic and tactical decision-making, and information gaps where additional knowledge and attention is needed; and
3. To *improve our understanding of development* by assessing impact, identifying lessons learned, and advancing broader development theory and practice (USAID, 1995, I.26).

It is important to note that the design of a comprehensive monitoring and evaluation system is a significant endeavor which needs to be closely integrated with program and activity design. As the precise activities and mechanisms of the D/G SO are still under development, and as the endeavor will require a greater amount of time and resources than is allocated under the current assignment, the Support Team has undertaken to propose the components and timeline of an exemplary M&E plan. The precise survey instruments and methodologies remain to be determined. However, we believe that the plan outlined below is an appropriate and responsive outline for the D/G SO's M&E needs required by re-engineering.

THE PROPOSED M&E PLAN FOR D/G SO

According to a USAID Methodology report, "Experience shows that, in most cases, regular analysis of administrative data, small-scale surveys, case studies, and rapid, low-cost methods (rather than large-scale surveys or censuses) are the data gathering and analysis approaches that will be most useful and efficient for A.I.D. and counterpart managers..." (Ibid., 46). Consequently, these are the components incorporated and encouraged in the proposed M&E plan for the D/G SO. Before outlining the proposed plan, each of these methodologies will be briefly explained.

I. M&E METHODOLOGIES

A. IMPLEMENTATION MONITORING

Implementation monitoring seeks to measure the program progress and implementation performance (i.e., efficiency and effectiveness) of individual implementers and their activities. Such monitoring must occur both within USAID, i.e., targeted to the performance of the team; and among its implementing partners, i.e., international or USPVOs, Malian NGOs and federations, contractors, etc. An important component of both targets of implementation monitoring (USAID and its partners) is how each relates to the other.

Administrative records are a relatively inexpensive means to regularly evaluate program progress and implementation performance. Typically, this will entail simple, one-page reports submitted periodically by local implementers/partners, and D/G Team members. The results of these reports are quickly tabulated and analyzed,

¹ In fact, a World Bank study surveyed project managers and found that on the whole, they believed that an 80% accuracy rate was sufficient for management decision making (World Bank, 1980).

and the results are shared with management on a regular basis. The D/G Team will need to determine the various reporting requirements (i.e., specific content, and whether they should be submitted quarterly or semiannually). Reporting requirements from partners will need to be tied to the reporting requirements of the D/G Team to the Mission, and from the Mission to USAID Washington. The precise parameters of the data to be collected will depend on the particular activity and target population.

The D/G SO Team should establish a reporting plan with each implementing partner. Additional performance data will be acquired through the Team's "Learning Lab" activities. That is, the D/G Team's periodic monitoring of targeted areas through participant observation.

Under the D/G SO, it is recommended that the data be analyzed and more broadly reported on a semiannual basis. The results should be shared both with the D/G Team, the Results Center, and the relevant implementing partners. Exemplary questions, as suggested by reengineering documentation, can be found in Annex 1.

B. SURVEYS: BASELINE DATA AND TIME SERIES MONITORING

Before considering the conduct of surveys, it is highly recommended that the D/G Team investigate the data collection efforts of other actors in Mali, i.e., other donors, government agencies, etc. (See "Secondary Data" below). If some of the data recommended below is available elsewhere, the D/G Team could save valuable time and resources by drawing upon this available information. The D/G Team would need to confirm that this information would be consistently available on an updated annual basis and/or be prepared to take over the collection efforts if necessary. Given the specific results for which the D/G Team is responsible according to the Results Framework, it is likely that the D/G Team will want to take responsibility for its own baseline data collection and monitoring. However, to the extent possible, the D/G Team should decentralize M&E activities to its implementing partners, including its baseline data collection and monitoring.

As large-scale surveys are costly and unnecessary for the monitoring of key indicators related to program activities and objectives, small-scale and informal surveys will be used. These surveys will initially gather baseline data which will be monitored annually through time-series analysis. The surveys will be closely tied to the indicators and targets outlined in the Results Framework. The D/G Team is identifying additional indicators which will assist them in delineating more broadly the impact of program activities, but for which the Team will not be held responsible as part of the Results Framework. These indicators will also be reflected in the survey instruments. The suggested surveys encompass two methodologies: public opinion measurement, and knowledge, attitude, and practice (KAP) measurement. The surveys will examine both democratic governance practice at the local level and beyond, and more *localized* development results (stemming from this practice). Two surveys are suggested:

1. Small Scale Sample Survey on Participation in Governance

The aim of this survey is to measure whether or not individuals' and community organizations' participation in governance has been enhanced by program activities. The questionnaire would be in two parts: Part 1 would target individuals; Part 2 would be answered only by individuals who are participating in community organizations. Exemplary questions/information targets would include:

- As an individual (and as part of your participation in a community organization(s)), do you have contact with your elected representatives? Frequency & results.
- As an individual (and as part of your participation in a community organization(s)), do you have contact with government officials (administrative & executive)? Frequency & results.
- Perception that election results accurately represent the desires of the majority of constituents, if not, why?
- Expectations/anticipated results of elected representatives? Of decentralization efforts?

- Participatory/democratic practices within community organization(s) to which respondent belongs
- Relationship of community organization to Traditional Village Leadership
- Linkages with RPOs, capacity building NGOs and federations, and Government (local and state)?

2. Informal Survey on Quality of Life and Progress of Development

The ultimate goal is to assess whether or not the efforts of individuals and community organizations (either directly or via RPOs) to participate in governance result in their development priorities being addressed. Exemplary questions/information targets would include:

- What are your development priorities and a) desired timeline to meet these needs, and b) perceived realistic timeline
- Economic opportunities, literacy, average household income, access to primary and secondary education, sanitation, water supply, mill, Maternity, Primary Health Care Clinic, roads/transportation infrastructure, viable means to get goods to market, impediments to economic activities (e.g., regulation, getting goods to market, access to inputs at reasonable costs)
- Which of these priorities are being met and to what extent by:
 - COs directly
 - Communal governments in response to CO civic action
 - Other levels of government as a result of RPO civic action

C. RAPID, RURAL APPRAISAL

These appraisals or studies are designed to provide rapid feedback to managers at a relatively low cost. They are used to collect both regular information over time (for time series analysis), and ad hoc information on unanticipated implementation problems or impressive successes. Data can be both qualitative and quantitative; its collection can entail a number of different techniques and combinations thereof, including: record examination, group interviews, confidential interviews, key informants, participant-observation, informal surveys, and rapid, non-random sample surveys. A brief description of these techniques, from USAID's Program Design and Evaluation Methodology Report No. 10, can be found in Annex 2. This approach is guided by two principles: "1) 'optimal ignorance,' or the art of knowing what is not worth knowing, and 2) 'proportionate accuracy,' or the avoidance of unnecessary precision" (Chambers 1981, 99; qtd. in Norton & Benoliel, 1987, 13). With these principles in mind, the approach emphasizes low-cost, and timely and practical feedback. Finally, because sophisticated methods are not required, the studies can be easily replicated in multiple areas and can be conducted by local individuals and institutions.

D. CASE STUDIES

Case studies are more in-depth investigations of certain aspects of relatively successful or unsuccessful projects. Case studies seek 1) to determine those factors which enhance or impede implementation, and 2) to examine unanticipated and secondary effects of the project. The case study seeks to put the project in its historical and socio-economic context. Typically the data collection techniques will include an examination of secondary data (existing records), formal and informal interviews, small scale surveys, and direct observation. More than one case study should be conducted at any time to provide the basis for comparative evaluation and to facilitate the isolation of external factors beyond the control of project management. Case studies are particularly useful for documenting and explaining program successes for broad dissemination.

E. COMMISSIONED RESEARCH

Assessing the validity of causal relationships is essential to the M&E of any SO pursued under reengineering. However, especially given the state-of-the-art of knowledge about democratic governance (as discussed above), investigating these relationships is even more salient under the D/G SO. The Mission's ground-breaking work in

this area has the potential to make a significant contribution to the state-of-the-art theory and practice -- particularly as it is exercised in USAID's development work. On the other hand, without a strong commitment to learning and an appreciation of this challenge, the D/G Team risks continual investment in the pursuit of ineffective approaches based on unverified assumptions.

Commissioned research can seek 1) to verify important assumptions at critical points in the implementation process and the program's evolution; 2) to validate the attribution of outcomes to program efforts; 3) to investigate and begin to identify the causality of unanticipated results; and 4) to begin to draw important theoretical generalizations and practical implications of lessons learned. The results of the other M&E methodologies will likely identify important specific research questions. Indeed, because the research topics will be identified as the program and its implementation evolve, an appropriate research agenda cannot be specified in advance. Of particular interest will be periodic assessments of the enabling environment and key macro-political and economic developments (i.e., the progress of decentralization implementation), their effect on the development of democratic governance, and the specific implications for program activities.

It is recommended that the D/G Team appropriate a budget for research activities, especially for Year Two and beyond. It is anticipated that after Year Five of implementation, the D/G Team's experience would be adequately mature for significant conclusions -- based on research -- to be made. Therefore, we recommend that Years Three and Five be earmarked for significant evaluation and review, to specifically test causal relationships and assumptions underlying the D/G SO.

F. EVALUATIONS

Evaluations are tied to individual Results Packages and overall program results and performance. They measure both the impact of the Results Framework, and the effectiveness of individual partners. Particularly if the D/G SO Team decides not to pursue the scope of research activities described above, the questions elaborated above will have to be addressed through comprehensive evaluations. The D/G Team will need to further elaborate an evaluation plan. In general, it is recommended that evaluations be scheduled for Years Three and Five, and as program results and M&E findings warrant.

G. ACTION RESEARCH

Another important learning and evaluation opportunity will be the conduct of action research by the Malian NGOs and federations providing technical assistance and training to community organizations. Conducting action research would enable these implementing actors to systematically record key lessons learned at the community/grassroots level which is relatively less accessible to USAID's other implementing partners. Of course, such research would necessitate training these organizations in action research skills, and limits would need to be set in terms of how much action research would be pursued. It is recommended that the D/G SO pursue this opportunity as funding allows, and according to submitted research proposals, once these implementing partners have been trained in action research.

II. ADDITIONAL SOURCES & MANAGEMENT OF DATA

A. SECONDARY DATA

While the above mentioned methodologies will generate their own data, it is also important to draw upon existing or secondary data sources. The availability, accuracy, and usefulness of secondary data will need to be determined. Potential sources for investigation include the State Statistical Office, the Decentralization Mission, and other donors; as well as data available and/or collected by USAID partners and Pivot Groups. In particular, the potential contribution of the Decentralization Mission should be carefully investigated. The World Bank's survey work on the quality of public service delivery should also be examined; it might provide useful baseline data, and/or provide

interesting examples for the survey instruments. Relevant secondary data should be included in the analysis and reports of all surveys, case studies, and rapid, rural appraisals where appropriate.

B. USAID INFORMATION & COMMUNICATION SO (INFOCOM) INFORMATION CENTER

It is strongly recommended that the D/G Team draw upon the important information resources and services proposed by INFOCOM, namely the development of a public information center incorporating appropriate information technology. First, it is recommended that the D/G Team consider coordinating with INFOCOM regarding the selection of information to be made available. This information should include a general library on democratic governance, in addition to periodicals relevant to the Malian socio-economic and political context and related data. The D/G Team should be prepared to allocate resources to the INFOCOM Center for this purpose.

Second, the D/G SO should take full advantage of the information technology to be made available through the INFOCOM Center. This includes identifying and accessing databases and information sources available through the INTERNET. Most importantly, it is strongly recommended that the D/G Team utilize the GIS system, already available at the Mission, to monitor the progress of key indicators on a comparative geographical basis. This would allow the D/G Team to identify the need to explore geographic discrepancies in results which might be tied, for example, to the effectiveness of particular partner organizations in the various locations. Cultural differences might also be reflected regionally, which would enable the D/G Team to identify needs for more specialized services under the D/G SO.

C. REENGINEERING INFORMATION SERVICES

The D/G Team should also take full advantage of USAID's proposed new management system (NMS) supporting SOs and Results Packages. This will eventually include the Results Package Implementation System and the Results Tracking System. As this system is being specifically designed to support the tracking of results under reengineering, it should be used to its full advantage once it is in place.

III. IMPLEMENTING AGENTS/DIVISION OF LABOR

The proposed D/G SO M&E plan is designed to be multidimensional, which entails the collection of data from a variety of sources, conducted by a variety of implementers. The proposed division of labor will be subject to the capacity of the Results Center, and the M&E activities pursued under the other SOs. In all cases, the D/G Team should seek to coordinate and complement -- wherever feasible -- the activities and efforts of these other M&E systems.

We believe that the division of labor should meet several key criteria:

- It should be multi-sourced: data would be collected in a variety of locations within the program areas, from a variety of target beneficiaries, and implementing partners.
- It should incorporate the spirit of participation in its collection and dissemination processes: information should be solicited from implementers and target beneficiaries, results should be shared with implementing partners, and representatives of both groups should be invited to attend dissemination workshops and conferences.
- It should encourage close collaboration and input from the D/G Team, the Results Center, and the other SO Teams, in the spirit of team management inspired by re-engineering.
- Most importantly, it should entail significant capacity building and technology transfer to Malian counterparts.

Activities required to operationalize an appropriate M&E system (based on the proposed system) include:

- Initial refinement of the proposed M&E system, including the design of survey instruments, and key administrative indicators
- The identification of key M&E implementers within the D/G Team, the Mission, and/or among implementing partners, and the provision of technical assistance to them
- The training of target Malian NGOs and federations in action research (as funding allows)
- The conduct, analysis, and reporting of surveys and rapid rural appraisals. It is recommended that the responsibility for these activities be gradually transferred from a technical expert (either from USAID, an international or USPVO, or contractor) to a Malian counterpart (gradual transfer of responsibilities described below)
- The conduct of research and evaluations as deemed appropriate, particularly following Years Three and Five.
- The design and delivery of dissemination workshops and conferences, including the commissioning of specialized analytical reports and research products for presentation.

Some of the above activities will require a technical expert. The technical expert may come from USAID, an international or USPVO, or a contractor. More generally, implementing actors should include member(s) of the D/G Team, representatives of the Results Center, and USAID partners. The precise partners might include the Malian NGOs and federations engaged in CO capacity building, international or USPVOs engaged in the capacity building of Malian NGOs and Federations, and possibly contractors. To the extent possible, the D/G Team should decentralized M&E activities (particularly data collection) to implementing partners. A proposed data collection and monitoring plan should be required for each negotiated contract. Subsequently, the D/G Team will need to coordinate the various M&E actors and their respective processes.

It is strongly recommended that the D/G Team determine its M&E implementing actors as early as possible. Accordingly, an element of trust, collaboration, and team spirit can be cultivated both among the implementing partners and the D/G Team, and between the technical expert and the Malian counterpart. Furthermore, experience shows that such early established relationships can lead to greater acceptance of findings and a greater likelihood that negative findings will be appropriately addressed (Norton & Benoliel, 1987, 30). Overall such early involvement and continuity of effort will result in a gradual refinement of the system and its contribution to program management, *building* on results for greater effectiveness.

While the technical expert would remain accessible as needed, assuming the expert is from outside of the USAID Mission, its presence over the life of the program should diminish and its relative attention to various tasks should change. Initially, the technical expert would focus primarily on the design of the system; its role in refining the system is anticipated to diminish after the first three years of program implementation. While the technical expert will initially participate in the collection of data for the surveys and rapid rural appraisals, this role is also anticipated to diminish as the responsibility is increasingly transferred to a Malian counterpart. In fact, the technical expert's role from the beginning in this regard will be participation only to the extent that the Malian counterpart needs technical assistance during the process of learning-by-doing. Similarly, the Malian counterpart will assume increasing responsibility for data analysis and reporting. However, it is anticipated that the D/G Team will want to maintain a longer-term relationship with the technical expert to oversee data analysis and undertake specialized studies of complex issues as the program evolves.

The details of the proposed system's data collection, analysis, dissemination, and initial division of labor (dependent on the identified implementing actors and implementing partners' proposals) are outlined below.

IV. DATA COLLECTION

A. YEAR ONE

1. Implementation Monitoring

This will depend on each activity and/or implementing partner. Appropriate information requirements should be determined accordingly.

2. Small Scale Sample Survey on Participation in Governance

Description.

In Year One, the survey would provide baseline data.

Location.

Will depend on defined project area but might entail something like:

- 2 villages in each of four districts targeted
- 2 villages in each of 2 districts outside of project area but proximate (to eventually measure spread effects)
- 2 villages in each of 2 districts outside of and remote from project area (baseline comparison and eventually potential spread effects)
- Additional villages if and when the program area expands

3. Informal Survey on Quality of Life and Progress of Development

Description.

In Year One, the survey would provide baseline data.

Location.

Will depend on defined project area but might entail something like (as above):

- 2 villages in each of four districts targeted
- 2 villages in each of 2 districts outside of project area but proximate (to eventually measure spread effects)
- 2 villages in each of 2 districts outside of and remote from project area (baseline comparison and eventually potential spread effects)
- Additional villages if and when the program area expands

B. YEAR TWO

1. Implementation Monitoring

Continuation of Year One and to be on-going. At the end of Year One and each subsequent year (for the first three years) a technical expert would be commissioned to review the usefulness of the administrative data collection, analysis, reporting procedures, and management responsiveness to data analysis. The administrative system would be revised accordingly. After the first three years, the Results Center would continue this annual review.

2. Small Scale Sample Survey on Participation in Governance

Entails time series data to monitor progress on key indicators, using Year One results as baseline. The survey would be conducted in the same locations as the previous year, and additional ones if the program target area(s) expand.

3. Informal Survey on Quality of Life and Progress of Development

Entails time series data to monitor progress on key indicators, using Year One results as baseline. The survey would be conducted in the same locations as the previous year, and additional ones if the program target area(s) expand.

4. Rapid Rural Appraisal in Areas with Unexpected Results (Poor Performance)

Description.

To find out what didn't work and why.

Methodology.

Should entail one, more, or all of the following: participant observation, focus groups, targeted interviews, informal surveys as appropriate.

Location.

A minimum of two to three villages each that 1) reported no increase in citizen participation in governance, or 2) reported major discrepancies with anticipated development results.

5. Rapid Rural Appraisal in Areas with Significant Improvements

Description.

To find out what was different from other areas and why it worked.

Methodology.

Should entail one, more, or all of the following: participant observation, focus groups, targeted interviews, informal surveys as appropriate.

Location.

Two to three villages reporting significant improvements.

C. YEAR THREE

1. Implementation Monitoring

Continuation of Years One and Two and to be on-going.

2. Small Scale Sample Survey on Participation in Governance

Entails time series data to monitor progress on key indicators, using Years One and Two results to monitor progress. The survey would be conducted in the same locations as the previous year, and additional ones if the program target area(s) expand.

3. Informal Survey on Quality of Life and Progress of Development

Entails time series data to monitor progress on key indicators, using Years One and Two results to monitor progress. The survey would be conducted in the same locations as the previous year, and additional ones if the program target area(s) expand.

4. Rapid Rural Appraisal in Areas with Unexpected Results from Year Two

Description.

To find out what changes were made based on Year Two's assessment, if they yielded good results, why or why not.

Location.

Same four to six villages examined in Year Two.

5. Case Studies of Villages Identified in Year Two as Yielding Significant Improvements**Description.**

To further explore in greater detail what worked and why; how the successful villages differ from an average project village; if the results from Year Three were consistent with Year Two and if not why; how issues addressed in Year Two were successfully addressed; and to draw recommendations, where appropriate, for other village operations.

Methodology.

Should entail one, more, or all of the following: participant observation, focus groups, targeted interviews, informal surveys as appropriate; in addition to secondary sources.

Location.

The same two to three villages reporting significant improvements in Year Two, in addition to a village reporting moderate to average results.

6. Commissioned Research

A broader based research effort would be conducted to assess the enabling environment for democratic governance in Mali in light of the social, economic, and macro-political developments during the first three years of implementation. Of specific interest will be the development and interaction of decentralization with D/G SO customers. A separate, or more comprehensive, piece will also assess the validity of the causal relationships inherent in the results package in light of program outcomes.

D. FUTURE AND ON-GOING**1. Emerging Issues**

Additional activities, particularly rapid rural appraisals and commissioned research, should be implemented as needs are identified, e.g., to answer questions regarding project management adjustments, identified issues resulting from Monitoring and Evaluation activities, and new challenges in the enabling environment. For example, as different phases of the Decentralization Program are implemented, the effects of this effort on the project areas should be carefully examined.

2. Action Research

Additional findings can and should be obtained from the action research conducted by implementing Malian NGOs and federations, as the funding allows. Findings should be incorporated into the analyses of the other M&E activities.

3. Participant Observation

Through its "Learning Lab," the D/G Team should use participant observation to periodically (and regularly) monitor the democratic internal working of associations, and at meetings between associations and RPOs. This effort would target specifically assigned villages and be on-going.

4. Evaluation

Evaluations should be considered following years Three (smaller-scale), and Five (comprehensive), as needed (i.e., if associated research is not conducted).

5. Beyond Year Three

It is anticipated that similar activities, i.e., implementation monitoring, surveys, rapid rural appraisals, case studies, commissioned research, and action research (as above) will continue throughout the life of the program. The implementation monitoring and surveys should continue as outlined above. However, the D/G Team may decide to conduct the surveys in newly targeted areas. Rapid rural appraisals similar to the ones recommended in years two and three should also be repeated in subsequent years. It is anticipated that additional information requirements will be identified as the program evolves and it is recommended that supplemental rapid rural appraisals, case studies, commissioned research, and action research be conducted accordingly. Finally, it is recommended that the technical expert be engaged at the end of year three to design an extended M&E system, with as much specification as is appropriate for the coming years based on the results of Years One through Three.

V. DATA ANALYSIS AND DISSEMINATION (AND DIVISION OF LABOR)

These activities must be closely coordinated with the Results Center and the M&E implementers of the other SOs. Specific roles and responsibilities may vary accordingly. Discussion of the division of labor is intended to demonstrate how technical expertise and responsibility can be transferred to a Malian counterpart. The "technical expert" may be an individual or an institution, i.e., a member of the D/G Team, a representative from USAID Washington, the Results Center, an international or USPVO, or a contractor.

A. YEAR ONE

1. Implementation Monitoring

One annual report will be compiled. The D/G Team will carefully monitor the results of the administrative data throughout the year and make adjustments to program operations as deemed necessary. The results of the administrative data collection and its analysis for the comprehensive year, including a report of responsive changes to management systems will be compiled by the D/G Team with support from the technical expert (particularly for the analysis). The report will be shared with implementing partners for their feedback and information. In cases of poor performance, the D/G Team may want to consider requesting action plans from implementing partners regarding how they plan to address shortcomings identified in the report.

At the end of Year One and each subsequent year (for the first three years) the technical expert would review the usefulness of the administrative data collection, analysis, reporting procedures, and management responsiveness to data analysis. The administrative system would be revised accordingly. After the first three years, the Results Center would continue this annual review.

2. Small Scale Sample Survey on Participation in Governance & Informal Survey on Quality of Life and Progress of Development

- Technical expert designs the surveys and works with a Malian counterpart to collect the data.
- Technical expert will review the results of the surveys, determine whether the desired information was captured by the instrument, and summarize the findings in a report.
- Technical expert will review D/G SO goals, objectives, and activities to ensure that they will address priority needs in target areas. Findings will be summarized in a report which would also make recommendations for adjustments as needs are identified.
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

B. YEAR TWO

1. Implementation Monitoring

Semiannual analysis and reports will be conducted. The system will be reviewed and revised as in Year One. The reports will be compiled by the technical expert in close collaboration with the D/G Team (for Year Two only), and with input from the Results Center. The reports will be shared with implementing partners for their feedback and information. In cases of poor performance, the D/G Team may want to consider requesting action plans from implementing partners regarding how they plan to address shortcomings identified in the report.

2. Surveys

- Technical expert will revise the instruments for use in subsequent data collection according to the findings of Year One.
- Technical expert provides assistance to Malian counterpart to collect the data.
- Technical expert analyzes data and produces a report with participation of Malian counterpart.
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

3. Rapid Rural Appraisals

- Technical expert collaborates with Malian counterpart to conduct the studies, analyze the results, and write the respective reports.
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

4. Dissemination Workshop

The results of Year Two's data collection and analysis will be presented and discussed at a one to two day workshop. Conclusions will be drawn regarding the successes, challenges, and progress; needed revisions in the M&E system will be identified. Initial discussions of project management implications may also be discussed. The audience would include the D/G Team, representatives of the Results Center, and Program Development Officers of USAID; USAID implementing partners; and representatives of selective Malian NGOs and federations, RPOs, and community organizations. Other relevant stakeholders and donors might also be included. The workshop will be organized and facilitated by the M&E technical expert in close collaboration with its Malian counterpart.

5. Monitoring Review Committee

Following the workshop, the monitoring review committee -- to include the D/G Team, the technical expert and Malian counterpart, and the Results Center -- will meet to review the feedback reports and draw implications for program management. Revisions will be planned and implemented accordingly. These meetings will focus on the management of the overall D/G SO and each results package individually as needed.

C. YEAR THREE

1. Implementation Monitoring

Semiannual analysis and reports will be conducted. The system will be reviewed and revised as in Years One and Two (and each subsequent year as needed, though major revisions after Year Three are not anticipated). The reports will be compiled by the D/G Team (with optional assistance from the technical expert), with participation from the Results Center (as deemed appropriate). The reports will be shared with implementing partners for their feedback and information. In cases of poor performance, the D/G Team may want to consider requesting action plans from implementing partners regarding how they plan to address shortcomings identified in the report.

2. Surveys

- Technical expert will revise the instruments for use in subsequent data collection according to the findings of Years One and Two (substantial revision after year Three is not anticipated).
- Malian counterpart to collect the data (with optional assistance from the technical expert).
- Malian counterpart analyzes data and produces a report with assistance from the technical expert.
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

3. Rapid Rural Appraisals (To be Determined according to M&E results and management concerns)

- Technical expert collaborates with Malian counterpart to conduct the studies, analyze the results, and write the respective reports. Eventually the Malian counterpart should be qualified and experienced enough to conduct the studies independently or with minimal guidance from the technical expert.
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

4. Case Studies

- Technical expert and Malian counterpart collaborate to conduct the case studies and produce an analytical report
- All reports will be presented and discussed with the D/G Team and the Results Center, and be shared with implementing partners (as above).

5. Dissemination Conference

- Technical expert and Malian counterpart (with input and assistance from the D/G Team) compile a comprehensive report of all of the M&E activities and reports from Year Three, including an analytical section on progress, prospects, and challenges based on the first three years of implementation of the D/G SO.
- The results of this report will be presented and discussed at a three to four day conference. The conference will include sessions on the prospects for the future of Mali's civil society and its contribution to democratic governance, including analyses of the evolving enabling environment. Conclusions will be drawn regarding the successes, challenges, and progress, and needed revisions in the D/G SO, its activities, and management.

The audience would include the D/G Team, representatives of the Results Center, and Program Development Officers of USAID; USAID implementing partners; representatives of selective Malian NGOs and federations, RPOs, and community organizations; GRM representatives from relevant Ministries, agencies, and elected bodies; and other donors working to support democratic governance in Mali. The conference will be organized and facilitated by the M&E technical expert in close collaboration with its Malian counterpart. Both these entities would be commissioned to write appropriate reports and analyses (e.g., on the enabling environment) and deliver sessions.

6. Monitoring Review Committee

Following the conference, the monitoring review committee -- to include the D/G Team, the technical expert and Malian counterpart, and the Results Center -- will meet to review the feedback reports and draw implications for project management. Revisions will be planned and implemented accordingly. These meetings will focus on the management of the overall D/G SO and each results package individually as needed. An M&E revision team will be assembled to include the technical expert and Malian counterpart, and members of the D/G Team and the Results Center to more fully review and revise the M&E system and design an extended system for the coming years.

CONCLUSION

The plan proposed above will address the various functions and requirements of M&E under reengineering. While it begins to outline important components and time lines, it requires substantial further work to refine these, and particularly to specify the data gathering instruments and roles and responsibilities. These activities may require the input of the Results Center and related USAID management decisions. Finally, these decisions, and most importantly the determined budget for implementing the D/G SO, will determine the number, scope, and relative emphasis of each of the proposed activities. While it is not possible to specify a budget and agenda at this time, the finalized system should follow the general rule that "the cost of an information system should be between 0.5 percent and 3 percent of the total project costs, depending on the significance of the project and the need for low- or high-cost options for data gathering, processing, and analysis" (World Bank, 1980; qtd. in Norton & Benoliel, 1987, 50). Due to the innovative nature of the D/G SO and its potential contribution to the state-of-the-art understanding of D/G promotion, it is recommended that the D/G Team invest adequate funds in an M&E system which would appropriately incorporate a continual learning process, and assessment of presumed causal relationships.

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ANNEX 1: EXEMPLARY QUESTIONS FOR ADMINISTRATIVE DATA²

For SO/RP managers during the performance period:

- Was the team assembled, motivated and effective in doing its work?
- Was the type of partnership selected fully reflective of the core values and particular development situation?
- Was the partnership mobilized and engaged in support of achieving the development results?
- Were the available resources deployed in a timely and effective manner?
- Was needed feedback from customers, from monitoring and evaluation, as appropriate, obtained and used by the SO/RP team in implementing the SO/RP?
- Was any needed redirection of tactics and tools to enhance the prospects for achieving the significant development results accomplished by the RP team? Was this redirection effective?
- Was continuity of team effort maintained despite team member turnover?
- What development results were achieved (intermediate, etc.) during the performance period?
- Were appropriate problems raised and resolved in a timely manner with the SO team/manger as needed?
- Were lessons learned, if available, fully documented?
- Were evaluations of team members completed and accurate in documenting their performance and potential?
- Were evaluations of partners/contractors completed and accurate in documenting their performance?

For SO/RP team members during the performance period:

- What development results were achieved (intermediate, etc.) during the performance period by the team?
- Was the designated role of the team member fulfilled?
- Were the team tasks assigned to the team member completed and effective?
- What was the full contribution of the team member to the RP effort?
- Was the members' evaluation of team mangers fully reflective of his/her performance during the period?

For USAID managers evaluating partners during the performance period:

- Did they deliver on their commitments agreed to in developing the SO/RP?
- Did they fully engage customers during the performance period?
- Did they make full contributions to team decision-making in needed changes in tactics/tools as the SO/RP effort evolved?
- Within the partnership, what contribution to achieving development results did they make?

²From USAID. Preliminary Report of the Business Area Analysis Team for Operations Reengineering: "Making a Difference for Development." Washington, DC: USAID, January 1995: II.3.14-15.

ANNEX 2. DATA COLLECTION TECHNIQUES³

The most common data gathering techniques used in conducting rapid, low-cost studies are discussions with key informants, group interviews, guided interviews, observation, informal surveys, and rapid, non-random sample surveys. These techniques are described in greater detail below.⁴

1. **Key informants.** In the key informant method, the researcher seeks the desired information from a few people in a community or organization who, by virtue of their position and role, are knowledgeable about the phenomenon under study. Key informants are usually those who are better off, better educated, and more powerful (e.g., the village headman, local school teachers, or the head of the local women's organization). Although there are dangers of bias (which can be offset by also talking to the disadvantaged and less powerful members of the community), these individuals can provide valuable insights. This technique can be very useful, for example, in obtaining information concerning the following:

- Anticipated and unanticipated project effects
- Village-level constraints to effective implementation

2. **Group interviews.** This social science technique brings together a small group of people for an extended discussion cued by a series of questions or discussion topics put forward by the investigator. This technique is also referred to as "focus group" interviews. The discussions usually last 30 minutes to 1 hour. A degree of rigor is imposed by conducting group interviews with both project participants and nonparticipants. One advantage of group interviews is that there is a tendency for mutual checking. That is, if one group member misrepresents certain topics, the rest of the group usually speaks up to correct any false impressions. A disadvantage is that sometimes a few individuals or special interests may dominate the discussion. The group interview technique can be useful in obtaining information concerning the following:

- Participants' perceptions of project benefits and equity
- The degree to which certain project components are working out as planned
- Village participation in and understanding of the project

3. **Guided interviews.** In conducting guided interviews, the interviewer uses a checklist of questions as a flexible guide rather than a formal questionnaire. Not all points are raised in all interviews, but a composite picture usually emerges after several interviews. The checklist has been found to be an effective tool for quickly diagnosing farming problems and opportunities. It is a valuable technique for investigators with professional training but without extensive field experience. A drawback of this technique is the difficulty in organizing the data generated from these discussions. The guided interview can be useful in obtaining information such as the following:

- Farmers' perceptions, problems, and use of new technological packages
- Families' use and acceptance of family planning methods
- Families' use of health services

³This Annex is a recreation of: "Data Gathering Techniques for Conducting Rapid, Low-Cost Studies," Appendix B, B:1-4, Norton & Benoiel, 1987. It is included in order to further clarify the distinction between the various techniques mentioned and give a clearer picture of the low-cost options.

⁴This section draws, in part, on two sources: Robert Chambers, "Shortcut Methods for Information Gathering for Rural Development Projects," Paper for World Bank Agriculture Sector Symposium, January 1980; and Daniel Santo Pietro (ed.), Evaluation Sourcebook for Private and Voluntary Organizations, American Council of Voluntary Agencies for Foreign Service, Inc., 1983.

- Village/household acceptance and use of potable water installations

4. **Observation.** Observation is fundamental to the investigation of almost any phenomenon. Observation techniques involve viewing project activities. Observations of project results or activities can be obtrusive (everyone knows why the evaluator is there) or unobtrusive (people are not told the real purpose of the visit). For evaluative purposes, observation must systematically try to answer specific questions. Evaluators need to agree on time (how much is adequate at each site?) And focus (what will be observed?).

Observation is useful for gaining insight into behavior. To obtain information on the sanitation practices of villagers, it may be more useful to observe (unobtrusively) whether soap is available in washing areas than to ask directly. A variation of this approach is called "participant observation." Observers participate in project activities and prepare regular reports on their perceptions. The advantages of observation are that it is easy to do, requires minimal preparation, and is useful in identifying unintended, as well as intended, project outcomes. A disadvantage is that the analysis depends heavily on the perceptiveness of observers and will be influenced by their biases. These deficiencies may be partly compensated for by carefully selecting a balanced team of observers.

Observation can be useful in obtaining information concerning the following:

- The nature and effectiveness of the implementation process
- Villager participation in project activities
- Farmer contributions to operation and maintenance.

5. **Informal Survey.**⁵ Both quantitative and qualitative data can be gathered through informal surveys incorporating innovative features. There are two principal types of informal surveys.

The first type is based on the use of proxy indicators. For example, to assess quality of life, a researcher may gather information on household roof and floor materials and quality rather than attempt to gather precise household income data. By using innovative indicators, the investigator tries to get a general idea of the situation without undertaking comprehensive surveys that directly measure standard indicators. This approach is quite new and its usefulness remains to be tested.

Another promising approach, which has already proven useful in framing systems research,⁶ can be termed "informal, multi-disciplinary surveys." In such surveys, a multidisciplinary team (e.g., agronomists, economists, anthropologists) spends 1-2 weeks in the project area interviewing farmers and community leaders. Team members compare notes, exchange ideas, and write up their report. This mutual checking by all disciplines encourages accuracy and contributes to a broad-based, yet integrated perspective. In farming systems projects, for example, this type of survey has been used to orient the research program, but it can also be used to identify on-farm changes that have taken place.

⁵The discussion of informal surveys and rapid, non-random sample surveys is taken from Krishna Kumar, "Rapid, Low-Cost Data Collection Methods for Project Design, Monitoring and Evaluation: Outline of Proposal," A.I.D., Center for Development Information and Evaluation, July 1985.

⁶Dr. Peter Hildebrand has developed and used this approach at the Institute de Ciencia Tecnologia Agricola (ICTA) Guatemala. (See "Summary of the Sondeo Methodology Used by ICTA," prepared for the Workshop on Rapid Rural Appraisal, 26-27 October, Institute of Development Studies, University of Sussex, 1979.)

6. Rapid, non-random sample surveys. Rapid, non-random sample surveys are distinguished from sample surveys in two ways. First, the number of variables is kept to a minimum. Only a few questions are asked, and an interview can usually be completed within 5-10 minutes. Second, the norm of random sampling is abandoned in favor of a purposive sample which is deliberately kept small. Because the number of variables is limited and the sample size is small, the data can be quickly tabulated manually, thus facilitating rapid analysis.

One distinctive advantage of these surveys is that they can generate quantitative data which can be statistically manipulated. Only sampling error cannot be estimated for them. Moreover, because of their smaller size, non-sampling errors remain low, which enhances the validity of findings. Non-random sample surveys are otherwise conducted like other surveys.

Rapid , non-random sample surveys can be useful in providing information concerning the following:

- Agricultural production levels and adoption of new technologies
- Use of and access to health services
- Irrigation systems operation and maintenance



**MISSION TO
MALI**

MALI GOVERNANCE STRATEGIC OBJECTIVE:

Final Report of the DG/SO Support Team

PART III : ANNEXES

by

Leslie M. Fox, Team Leader

Jennifer M. Coston

and

Pat Isman(also a Virtual D/G SO Team Member, G/DG)

February 1996

Prepared by

Thunder & Associates, Inc,

719 Prince Street

Alexandria, VA 22314

(703) 684-5584, Fax (703) 684-3954

under

Contract AEP-5451-I-00-2050-00

Delivery Order 17

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DELIVERY ORDER STATEMENT OF WORK

ARTICLE I - BACKGROUND

Under USAID Mali's previous Strategic Plan, democracy and governance was a cross-cutting concern that contributed to the accomplishment of the Mission's three Strategic Objectives:

increase private sector participation in the economy;
increase incomes in areas of high productive potential; and
improve the delivery of health and educational services.

Under the new Strategic Plan, the Mission will have a Governance Strategic Objective. It will focus on enabling community organizations to lead governance activities at the local level. Intermediate results have been identified in the following areas: community organizations; non-governmental organizations; professional, civic and trade associations; and the enabling environment for empowering community organizations.

The Mission's Governance Strategic Objective is "community organizations play a leading role in governance, including development decision-making and planning, in targeted communes." The purpose of this objective is to establish the conditions necessary for sustainable development in a decentralized environment through greater public participation by civil society actors.

During the last several months, the technical and program staff of the Global Bureau, the Africa Regional Bureau and USAID Mali discussed and agreed upon funding levels and activities to be supported by FY 1995 Field Support Funds (Ex-G Funds) attributed to USAID Mali. USAID Mali, as an Agency Country Experimental Laboratory, has just gained approval to implement the new Strategic Plan. The approved Strategic Plan contains a Strategic Objective focusing on governance.

ARTICLE II - TITLE

PROJECT: PROGRAM DEVELOPMENT AND SUPPORT (688-0510)

ARTICLE III - OBJECTIVE

To support the USAID Mali Governance Strategic Objective Team in the development of an Action Plan, including indicators, targets, activities and implementation planning.

ARTICLE III- STATEMENT OF WORK

The purpose of the buy-in is to assist the Mission in further clarifying its Governance Strategic Objective and to develop an Action Plan primarily focussing on the first year's activities.

The consultants will assist the Mission to draft, on an iterative basis and within a results framework, a detailed Action Plan that is consistent with the opportunities and constraints posed by the country's political and economic climate. The Plan will respond to the interests of the identified customers, partners and stakeholders and will include the development of indicators and targets to demonstrate progress. The team will help develop baseline data, indicators and targets, gain consensus on the approach to achieving the targets, and plan a monitoring system for collecting information and measuring progress.

Specifically, the consultants will support USAID Mali's Strategic Objective Team by:

- A. providing technical assistance, logistical support, and material for activities including but not limited to: the organization and implementation of workshops and/or seminars with stakeholders, partners and customers for Action Plan development, and;
- B. analyzing the enabling environment for empowering community organizations; developing indicators, targets, and recommended approaches to achieving the targets; and planning monitoring systems.

ACTIVITIES

- A. Review key documents, specifically democracy assessments, evaluations, governance/civic education studies and surveys dealing with civil society capacity and needs.
- B. In consultation with the Mission's Governance Strategic Objective team, the Government of Mali, Malian NGOs, PVOs, community organizations and other civil society actors:
 - 1) develop indicators and targets;
 - 2) identify and describe specific program activities to achieve these targets;
 - 3) prepare estimated budgets for these program activities;
 - 4) draft an implementation plan.

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- 5) identify other key stakeholders and customers and conduct a stakeholder analysis to determine interests in local governance issues;
 - 6) assist the Mission and its partners to design and gain consensus on an approach to accomplishing the planned results based upon the above.
- C. With assistance from Global/EG, identify outstanding issues related to re-engineering and USAID Democracy and Governance Policy Guidelines and their implications for USAID Mali's Strategic Objectives.

D. Deliverables:

- 1) a short (about ten pages) report analyzing the enabling environment for empowering community organizations, due in draft at the end of the first trip by the consultants to Mali. A final version of the report will be submitted at the end of the consultants' second trip.
- 2) a report presenting plans for collecting baseline data, recommended indicators and targets, plans for a monitoring system to track results, and a description of agreed-upon activities, budget and implementation plans. This report shall include recommendations for next steps and is due in final at the end of the second trip by the consultants to Mali.

E. Required debriefings:

Present at least one executive briefing on the development of the Action Plan for Mission staff, partners, stakeholders and customers, and a briefing on the same to Global/EG in USAID Washington.

F. Travel:

It is anticipated that two trips of three weeks in duration will be required. In-country travel will be necessary.

Level Of Effort

The contractor will provide a team of two people: The team leader, a senior institutional development specialist and facilitator, for 48 days; and one senior democracy and governance and civil society expert for 48 days. The total level of effort will be 96 days.



**LOCAL LEVEL CIVIL SOCIETY:
EFFECTIVE PARTNERS IN DEMOCRATIC
GOVERNANCE**

A CONCEPTUAL FRAMEWORK

by

Leslie Fox

January 26, 1996

Prepared by

Thunder & Associates, Inc.
719 Prince Street
Alexandria, VA 22314
(703) 684 - 5584, Fax (703) 684 - 3954

under
Contract AEP-5451-I-00-2050-00
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INTRODUCTION AND OVERVIEW

The purpose of including an analytic section in this report is to place the Mission's Governance Strategic Objective (SO) within a larger conceptual framework that relates the role of civil society to the objective of improving governance in Mali. The Support Team also sees the following discussion as forming the basis -- should it be accepted by the Mission's D/G SO Team -- for developing a short course or "primer" for use in the substantive training of the D/G SO Team, other concerned SO teams, and external partners working in the democracy and governance (D/G) sector. In this section, then, we look at the concept of governance, or more precisely "democratic governance," and the way in which the Mission's D/G SO contributes to it. Following sections take up discussions of civil society and its role in promoting democratic governance reform, including its participation in national and local decision making and planning; and the enabling environment which permits and promotes civil society's participation in constructing a system of democratic governance. As conceptual issues tend towards the abstract, the following discussion will be grounded in the actual political and governance experience of Mali since the colonial era.

A. Democratic Governance

Governance is often defined as: "the way in which any social entity organizes itself to allocate and manage *public* resources." In this regard, it can be viewed as the body of rules (or regime type) that sets the framework for the conduct of politics. At the societal level, a specific governance regime would then define the nature of a country's macro-political system, while at the local level of social organization it would describe the way in which primary units of associational life are organized to allocate and manage public resources including both the provision of goods and services. There are a variety of governance regimes (political systems) from which a society can choose, including *inter-alia* patrimonial, libertarian, authoritarian, and democratic. The specific choice of a system of democratic governance implies that a given society has decided that a regime type which embodies values and practices of political competition and participation, a respect for human rights, and institutional pluralism -- democracy, in short -- are the basis for organizing the way in which governance will be undertaken in that society. In March 1991, the Malian people took an historic and courageous step by rejecting some thirty years of authoritarian and patrimonial governance rule in favor of one embodying the values and practice of democratic governance.

The underlying notion of democratic governance is the inherent right of society to participate, along-side the state, in undertaking a range of public governance functions. Such governance functions include:

- (i) ensuring the integrity of constitutional rule, and limiting the arbitrary exercise of authority and particularly the potential abuse of power by any given social or political entity;
- (ii) participating in public policy decision making around issues of national and local interest;

- (iii) undertaking the actual execution of public policy through the delivery of goods and services; and,
- (iv) promoting and deepening civic norms and values of trust, inclusion, tolerance, reciprocity and participation ... the basis for collective action and decision making.

Governance is above all a process of collective problem solving, that is, how to marshal available resources for the purposes of addressing common problems or advancing shared interests. Democratic governance thus implies shared participation in this process. At the level of national governance this would take place between institutions of the central state, i.e., the executive, legislative and judicial, on the one hand, and those of civil society (e.g., the media, federations or unions, professional and civic associations) on the other; at the sub-national level, between decentralized (elected) governments and self-governing associations most directly representing the interests and aspirations of citizens. The ultimate result of collective problem and decision-making as embodied by a system of democratic governance is the enhancement of the state's legitimacy and credibility as they are derived from and have their origins in society. In short, it is from the voluntary consent of the governed rather than from the coercive actions of the governors that the overall political system gains its legitimacy.

B. The Role of Civil Society in Promoting Democratic Governance

The Mission's D/G SO is based on the assumption that the best means for achieving improved or democratic governance in Mali at this time is through support to the demand side, or civil society, by increasing its capacity to engage state institutions at the local and national level in both policy making and through the provision of public oversight. Specifically, the Mission has chosen to focus its civil society support on the proliferating number of community organizations which represent the aspirations of Malian citizens and provide them with a voice in local and national level decision making. In this section, the discussion centers on providing a conceptual framework for understanding the logic of the governance *results framework*.

There are probably as many definitions of civil society as there are those that have written about it. For the purposes of this summary conceptual overview, we choose a definition which includes elements upon which most writers on the subject agree. Civil Society is "*the autonomous realm of voluntary associational life that resides between the household and the state.*" This realm obviously includes a wide variety of associational types ranging from sports clubs and cultural groups to human rights organizations and developmental NGOs. Our concern, consistent with the D/G SO, is with the subset of civil society which participates in undertaking the range of public governance functions noted in Section A, above. Specifically, we are interested in those civil society organizations (CSOs) which:

- (i) engage state (national or subnational) institutions in the *public realm* where public policies are made and where the rule of law is ensured ... what are considered **demand-side** governance functions; and/or,

- (ii) undertake themselves the execution of public policy and promote the values and practice of democratic governance ... thought of as **supply-side** governance functions.

It is this subset of civil society organizations -- collectively called *civic society* and individually as *civic organizations* -- which undertake supply and demand *public* governance functions -- or what will also be referred to as *civic action* -- that are the object of programs supporting democratic governance in general, and the Mission's D/G SO in particular. In this regard, the notion of civic society can be taken as an operational definition of the larger concept of civil society, thus permitting the identification and targeting of individual civic organizations as the most likely means for advancing democratic and governance reforms.

There are two basic attributes which most writers agree define civil society organizations in general and civic organizations in particular from other social and political actors. These are the attributes of voluntary association on the one hand and autonomy from the state on the other. What distinguishes the non-state actors of the Third Republic from those formed under the French colonial regime and First and Second Republics is the voluntary coming together of citizens around issues of common concern and independent from state control and management. In fact, it is hard to conceive of a true civil society having existed under any of these previous regimes because there existed virtually no *autonomous realm of voluntary associational life between the household and the state*. Under the First and Second Republics society was organized vertically and subordinated to a set of *corporatist* entities (e.g., women's and youth wings of the single party, the cooperative system) affiliated either to a *partie unique* or a military government, each of which was headed by a personalistic ruler and a narrow elite of followers. Patronage was the oil that lubricated the functioning of these authoritarian regimes and maintained those who controlled their corporatist mechanisms in power. With Mali's economic collapse in the late 1980s, and the imposition of economic reforms and structural adjustment measures, the financial resources necessary to maintain the corporatist system dried up and led to the pro-democracy movement and popular revolution of March 1991.

While the proliferation of Malian autonomous and voluntary associations has been well-documented since the March 1991 revolution, the legacy of thirty years of authoritarian rule has greatly impacted the development of an effective civic society along three basic dimensions, i.e., structural, normative, and the capacity to undertake civic action functions. The following three sections discuss each of these three indicators of civic society effectiveness in turn.

1. The Structural Dimension

A pre-requisite to the emergence of a strong civil society lies in both the **density** and **diversity** of voluntary associational life. The greater the number and variety of autonomous self-generating organizations -- often called institutional pluralism -- the more choices ordinary people have for solving problems, expressing their interests and voicing their concerns on public issues. Achieving a **critical mass** of such organizations at all levels of society, therefore, is a critical and first step in the development of a civic society capable of undertaking civic action. Mali in 1995 appears to have achieved a minimum level of such associational life.

One of the characteristics of an effective civil society -- and which depends on the achievement of a critical mass of autonomous and voluntary associations -- is the degree to which it has begun to differentiate functionally with growing specialization among different actors. One level of differentiation is in terms of where CSOs fall along a continuum from the national to local level of governance. At the lowest or primary level of associational life are what have been termed *self-governing associations*. These are building-blocks of both democracy and development, and undertake a number of "supply and demand-side" civic action functions. On the supply-side, self-governing associations are involved in the delivery of public services, the management of public resources, and the promotion of economic activities for their members. In addition, to the extent that they practice internal democratic governance, these associations promote and deepen democracy throughout society. On the demand-side, self-governing associations have the possibility of both participating in policy making at the lowest level of decentralized government -- in the case of Mali, the communal level -- and to hold them accountable for the supply of democratic governance. Examples of self-governing associations -- or in the Mission's parlance: **community organizations** -- in the Malian context include: village associations (AVs); parent associations, both APEs and the management committees of community schools; management committees of community health centers; Tons, primary savings and credit associations and cooperatives; and such resource management organizations as the Ogokaana and Welekelle.

At the intermediate level of associational life are civic organizations that work directly with, and in some cases represent, self-governing associations at the local level. Development NGOs and PVOs are the most numerous of civic organizations falling into this category, but other actors including federations of self-governing associations, and more specialized civic organizations located at the national level also have a mandate to catalyze the formation and strengthen the capacity of base level units. USAID/Mali has been working with a significant number of US PVOs and Malian NGOs that have and continue to act in the capacity of intermediary COs. Examples of federations which provide services to their member organizations include such organizations as the Federation of Community Health Centers (FNESCOM), the farmers cotton producer union in the CMDT zone (SYCOV), and the Chamber of Agriculture.

At the national level are a range of civic organizations that directly engage the state in the public realm, either participating in policy making and governance reform or providing oversight of state institutions in their performance of governance activities. Two types of national level civic organizations undertake these demand-side functions, i.e., *specialized civic organizations* and *multi-purpose CSOs*. *Specialized civic organizations (S/COs)* sometimes thought of as pro-democracy groups, have as their primary mandate undertaking civic action functions, including policy analysis, formulation and advocacy; providing civic and voter education and elections monitoring; human rights protection and monitoring; conflict mediation and alternative dispute resolution; and oversight of government budget expenditures and allocation of public resources. Normally, S/COs do not have a large membership base but are rather formed by a small group of "founder members" with a public interest orientation. Such groups would include, in the Malian context, human rights organizations; professional and business associations such as the local bar association (Ordre des Avocats), association of women jurists, the independent journalist

association, chamber of commerce; and think-tanks and policy institutes such as IMRAD and some Faculties (e.g., Law, Political Science) at the national university.

Multi-purpose CSOs (M/CSOs) on the other hand, are primarily concerned with providing services to members and/or clients, and only occasionally enter the public realm to advocate for policies and legislation which touch on member/client interests or concerns. Whereas S/COs focus primarily on policies and reforms related to the overall *macro-political* system (e.g., the rule of law, freedoms of association and the press, decentralization, electoral reform, etc.), M/CSOs' concerns are more narrowly defined to sectoral policies and reforms (e.g., access to credit, trade and investment, natural resource use and management, health, education, etc.) that are of immediate concern to members/clients. Except for development NGOs working as catalysts of and service providers to local community organizations, most M/CSOs are, or aspire to be, broad-based membership organizations representing base level self-governing associations. Examples of membership-based M/CSOs include cooperatives such as SYCOV, federations of peasant associations such as the Chamber of Agriculture or ASARAD, the National Federation of Artisans (FNAM), the federation of community health centers (FNESCOM), trade and labor unions, etc. While individual development NGOs may occasionally undertake civic action functions on behalf of their clients, it is through their representative bodies at both the sectoral and national levels, that both their own interests as well as those of their clients find voice vis-a-vis state institutions. Thus, sectoral networks in health, education, enterprise development and natural resources such as the Groupe Pivots often undertake representative and advocacy functions on behalf of their NGO members, while both CCA-ONG and SECO-ONG tend to represent the overall interests of the NGO community and advocate for issues that cut across sectoral lines.

The importance of M/CSOs, and particularly federations or unions with a broad-based membership originating at the grassroots, is in their ability to articulate and aggregate the interests and concerns of their members and present them in a unified manner to higher levels of the state governance apparatus. In principal they are also more democratically structured than development NGOs with elections used in selecting ever higher levels of governing boards. One of the major impacts of Mali's previous authoritarian regimes, and the corporatist bodies that they created, was to inhibit not only the formation of autonomous and voluntary associations at the local level, but *horizontal linkages* between community organizations with similar goals. The ability to forge horizontal linkages under both the First and Second Republics among, for instance, village Tons and APEs, was thwarted by the imposed top-down structures of the DNA-COOP, Chamber of Agriculture and National level APE structure which vertically affiliated these local entities to the personalistic regimes of both Republics. In short, solidarity among local people and their organizations was denied at both the primary level of association and beyond. The importance of M/CSOs, therefore, is in their ability to give citizens a voice in communal level decision-making and planning through horizontal linkages creating supra-village associations, and then through federating, to higher arenas of national decision making.

In summary, the ability of Malian citizens to participate in local and national level decision-making is still constrained by the dearth of truly representative civic organizations capable of

operating in the public realm and engaging state institutions at either national or subnational levels. This is particularly true of mass-based federations aggregating the interests of self-governing associations at the local level. What does exist are the many "public interest" civic organizations, including NGOs and NGO networks and "apex" organizations as well as the more specialized civic organizations engaging in human rights monitoring, policy advocacy and civic education. The absence of either specialized civic organizations or multi-purpose CSOs at the local communal level is particularly pronounced. This is the result of a history of centralized governance decision making which is still much in evidence today. While the density and diversity of associational life at the local level has increased dramatically since 1991, there has been little evidence of horizontal linkages and bottoms-up federating taking place which would provide the institutional locus for citizen participation in governance decision-making at the communal level and beyond.

2. The Normative Dimension

The basis of an effective civil society is that of voluntary collective action -- whether for solving problems, making decisions, or mobilizing resources to address shared interests -- in which individuals give up a degree of personal autonomy in order gain the benefits of group membership and solidarity. Underlying the notion of voluntary collective action is the concept of *social capital*. Social capital essentially refers to the degree to which the "norms and networks of civic engagement" including *tolerance, inclusion, reciprocity, trust and participation* exist as values upon which individual citizens base their calculations for participating in voluntary associations. While traditional Malian associations affiliated around such **ascriptive** traits as age-grade, gender, clan, ethnicity, region, and caste, are known for and have historically exhibited extremely high degrees of social capital, a major impact of decades of authoritarian rule have had a detrimental effect on the creation of social capital among more modern forms of associations such as cooperatives, women's organizations, and trade unions. Because of the hierarchical, centralized and patronage-oriented nature of political, social and economic institutions dating from the colonial era until the end of the Second Republic, individuals have generally eschewed voluntary collective action in favor of patron-client networks which were seen as the best means for achieving individual objectives.

Obviously, with the advent of the Third Republic and an enabling environment promoting more open, representative and democratic practices and values, the basis was laid for increasing trust, inclusivity and participation in decision making, tolerance and reciprocity among people. One of the more heartening results has been the emergence, at both the local and national levels, of civil society organizations that transcend ethnicity, region, age and gender. On the other hand, three major constraints related to the lack of social capital still remain. The first relates to the tendency within COs at all levels to exhibit less than participatory internal practices with decision-making still concentrated among a small number of individuals at the top. It should not be surprising to see the habits and values of the larger society being replicated among CSOs given underlying traditional cultural values and the more recent history of authoritarianism both of which promote hierarchy, centralization and gerontocracy.

Secondly, the lack of social capital has inhibited the growth of solidarity and the ability to build alliances and coalitions for collective action, particularly at levels beyond the village or community. The policies of successive authoritarian regimes had the ultimate impact of destroying the base of social capital that had historically existed among the traditional social units of Malian culture. In a manner of speaking this led to the *loss of the art or habit of association* particularly at levels above the village. In addition to promoting the formation of supra-village associations of like-minded self-governing associations and their later federating at higher levels of solidarity, there exists a real need to promote and build alliances and coalitions among individual civil society organizations or subsectors and between them and other political and economic actors. Broadbased coalitions among civil society actors is a prerequisite for pushing governance reforms of either a macro-political or sectoral nature and/or for holding state institutions accountable for their performance and actions.

The third effect of a low social capital base in the Malian context is the *lack of initiative* that individual members of CSOs take in the management of their organizations' affairs. The tendency towards hierarchy and centralization, the dynamics of patron-client relations, and the overall lack of participatory decision-making processes in associational life, has led to a hesitancy to not only join voluntary associations but once joined to participate fully; previous political and associational behavior having created a disincentive to do so.

One issue which is of particular interest, and should be the object of future study, is the way in which newly emerging associations at both the local and national levels, are selecting their leaders and making collective decisions. Specifically: To what degree does the traditional practice of *consensus* decision-making and leadership selection still exist? How does this process affect the building of social capital in modern and emerging voluntary associations. Are more modern practices of political competition in the form of elections better suited than consensual decision making for ensuring internal participation in decision-making and accountability of an association's leadership to its membership? The Support Team's limited experience in terms of visits to local community organizations and discussions with a range of informants on this subject, indicates that both the traditional practice consensus decision making and leadership selection and the more modern practice of elections as both a decision-making process and leadership selection tool exist side-by-side in many communities and within community organizations. In some situations the two systems seem to co-exist well with democratic practice benefiting; in others, historical power asymmetries which have marked traditional relationships (e.g., between age groups, sexes, ethnic groups) appear to have carried over into more modern associations with a diminishing of social capital and by consequence, participation and solidarity.

3. The Capacity for Civic Action

The third requirement, and hence indicator, of an effective civil society, is the capacity of individual organizations to undertake the supply and demand functions of public governance, or what we have termed here as civic action. The capacity of civic organizations to undertake civic action, whether at the local self-governing level or at higher levels of public governance, is a function of three sets of skills and expertise. The first, *generic institutional capacity*, refers to

the set skills and expertise in the areas of management development. This would include skills in financial management and accounting; human resource and personnel management; information and communications management; program and activity design and proposal development, planning and management and monitoring and evaluation; and general office administration and logistics. In addition to such skills and expertise, generic institutional capacity includes the *institutional infrastructure*, i.e., staff, office, equipment and normal operating expenses, necessary to translate an organization's mission into concrete programs and activities.

The vast majority of Malian civic organizations operate with little if any institutional infrastructure including skilled staff and management systems or procedures in place to undertake civic action, or any other activity, on more than a limited scale. Most such organizations depend on the voluntary labor of their members and limited funds collected from them, the general public or from donors. From an organizational sustainability perspective they would be rated low.

The second set of skills and expertise can be categorized as a capacity for *strategic planning and management*. In general, this refers to the understanding of individual civic organizations of their mission; where they fit into the larger conception of civil society and the specific roles and responsibilities which derive therefrom; the most effective structure which can translate vision and mission into concrete activities; and a long-term plan for financial sustainability. Capacity building in this regard starts with the ability to conceive and develop a constitution and internal regulations and a flexible and relevant organizational structure, all of which promote democratic self-governance practice and values; developing long-range program and fundraising strategies; and forging alliances and coalitions with other civil society members, including the media, and/or with private and public sector actors to advance organizational objectives.

Most Malian civic organizations lack this capacity for long-term strategic planning and management which is due, in large part, to operating in an environment of resource scarcity and the subsequent development of short-term tactical or survival strategies. This tends to diffuse their mission and programmatic focus in favor of a more flexible approach which is capable of responding quickly to the funding opportunities made available by donors. Because of limited funding opportunities, the competition which takes place among them tends to mitigate against the forging of alliances with what are considered potential competitors.

Finally, the capacity to undertake civic action depends on a special set of what can best be termed as *civic action skills*. Such skills would include the capacity for policy analysis, formulation and advocacy; promoting horizontal linkages of solidarity and the capacity for federating that increases the power of civic organizations, including self-governing associations, to push their policy and reform agendas; conflict mediation and alternative dispute resolution; civic and voter education; election monitoring; public opinion polling and research; human rights monitoring and protection; and the oversight of state institutional performance.

Where this capacity exists within Malian civic society, it is primarily at the national level and among the subsector of **specialized civic organizations** of the public interest variety and less so among **multi-purposes CSOs** with mass-based, grassroots origins.

C. Synthesis and Conclusions

We have attempted to provide the D/G SO Team with a conceptual framework that looks at civil society and its relationship to and role in the construction of a system of democratic governance. In the process, we have provided a typology of civil society which isolated an operational institutional subset, civic society, which undertakes a set of civic action functions that contribute to improving governance at both the national and local levels. Finally, we have presented an analysis of the dimensions which underlie an effective civic society and the organizations which compose it. We believe this framework using Malian examples, provides the D/G SO Team with a more coherent and logical way to look at the governance results framework and, thus, to develop a set of activities which will enhance the ability of the D/G SO Team to achieve overall SO impact. We believe this framework leads to a number of modifications in D/G SO intermediate results and results packages as initially presented in the Mission's CPSP. Specifically, we see a logic which would lead to a focus on the following intermediate results:

- continuing to support the density and diversity of local self-governing associations (community organizations);
- facilitating horizontal linkages among community organizations that lead to supra-village (communal level) organizations capable of engaging local government in decision-making and planning;
- strengthening the capacity of both self-governing associations and supra-village organizations to participate in communal level governance;
- promoting the federation of supra-village organizations so that local people have a voice in decision-making and planning beyond the local level;
- targeting development NGOs and other civil society intermediaries for support in their role as catalysts in the growth and diversity of self-governing associations, in stimulating horizontal linkages and supra-village organizations, and in promoting the process of federating at higher levels of associations;
- promoting the growth and development of specialized civic organizations and multi-purpose CSOs as a means for giving citizens and their organizations at the local level a voice in national level decision making; and,
- specifically targeting women's and youth associations at all levels to participate in undertaking civic action activities.

The sum total of these intermediate results, plus the improvement of the enabling environment discussed in the following chapter, would contribute to the achievement of the D/G SO (slightly modified) of: community organizations being effective partners in democratic governance, including development decision-making and planning. While this objective is based on the

assumption that a decentralization program, including the creation of communal level government, will be implemented in the near future, the strategy noted above holds true whether it happens in one or many years. In fact, in terms of a two phase governance strategy, we see the period prior to the full implementation of the decentralization program (phase 1) as being designed to make the reality of community organizations undertaking recognized public governance functions so *irreversible*, as to prevent newly formed communal governments from later usurping them. In other words, the public realm where governance decision-making takes place would both *de facto* and hopefully *de jure* include community organizations as legitimate partners in democratic governance at the communal level and beyond.

3. Enabling Environment for Community
Organizations in Mali



**THE ENABLING ENVIRONMENT
FOR COMMUNITY ORGANIZATIONS IN MALI**

by

Leslie Fox

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Prepared by

Thunder & Associates, Inc.
719 Prince Street
Alexandria, VA 22314
(703) 684 - 5584, Fax (703) 684 - 3954

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THE ENABLING ENVIRONMENT FOR COMMUNITY ORGANIZATIONS

A. Introduction and Overview

The D/G Support Team's scope of work called for a review of the enabling environment within which community organizations operate. The Support Team has undertaken this task by providing a framework for assessing the ensemble of laws, regulatory bodies and fiscal incentives/disincentives which either promote or limit the participation of community organizations in local and national level governance, including development decision-making and planning. This analytic framework has not only permitted the Support Team to begin the process of reviewing the legal, regulatory and fiscal environment for community organizations -- as well as their civil society partners operating at national and subnational levels -- but will permit the D/G SOT and other Mission SO Teams to undertake this analysis on their own, thus permitting an on-going capacity for review and analysis. While we have had the opportunity to review in some detail the elements which compose this enabling environment, given the breadth of information required for a comprehensive analysis, and the on-going evolution of the enabling environment itself, the process will continue to require USAID monitoring and analysis. Follow-on activities in this regard, are discussed at the end of this report.

It should be noted that the importance of assessing the enabling environment is in being able to identify those areas in the legal, regulatory and fiscal environments which either have as yet to be acted upon and reformed by the government of the Third Republic or which require further reform. This will provide both donors, including USAID, and the members of Malian civil society to advocate for such reforms vis-à-vis state institutions.

B. An Analytic Framework for Assessing the Enabling Environment

Before discussing the extent to which the enabling environment supports or limits community organizations to participate in the construction of a system of democratic governance, it is necessary to first define what it is they are expected to undertake in this regard. We believe that the conceptual framework presented in Annex 2, and upon which the D/G SO Results Framework was elaborated, provides the answer to this question. Viewed in this larger context it should be clear that not only are we interested in community organizations, but also the intermediary organizations of civil society (e.g., development NGOs and federations) that catalyze their formation and help to strengthen their capacity for democratic self-governance, as well as the set of specialized civic organizations (e.g., think-tanks, human rights organizations, professional associations) and multi-purpose CSOs (e.g., NGO sectoral networks and apex organizations, peasant federations and cooperative unions) which give voice to the interests and concerns of ordinary citizens at higher levels of governance decision-making. Thus, we will analyze the enabling environment which effects the ability of these organizations -- in essence civil society writ large -- to participate in local and national governance matters.

Secondly, while our focus is on the enabling environment that impacts on community organizations and their partners, we will also be required to review fundamental laws, i.e., the

constitution and organic laws and institutions which define the nature and functioning of the **macro-political** system, as well as the lower order set of **operational** laws, policies and regulations which define the responsibilities of state and society in the execution of public governance functions. In other words, the ability of community organizations to participate at the local level is equally dependent on the laws and institutions that enforce and interpret them, that are mandated at the constitutional level and define the larger macro-political system.

1. Civil Society's Public Governance Functions

As we have noted in Annex 2, a system of democratic governance implies a significant, if not equal, role for civil society in the management of public affairs. Not only do the institutions and organizations of civil society have the right to participate in national and local policy making, and ensure the integrity of the constitution and rule of law (demand-side civic action functions), but equally so to undertake the implementation of public policy, including governance reforms, as well as to deepen the practice of democratic governance throughout society thus increasing the overall legitimacy and credibility of the macro-political system (supply-side civic action functions). Our preference to utilize the term *democratic self-governing associations* rather than community organizations is based on two reasons.

First, it recognizes that these base units of associational life are both voluntarily formed and independent of state control, and that the form of governance they are practicing is consistent with democratic values. Although the term community organization does not necessarily imply formation around a particular administrative unit -- in this case, the village or community -- there has been a tendency among some Mission staff and external partners to confuse the two. While self-governing associations may, in fact, coincide with village administrative units, their basic organizing principle is one of voluntary association rather than being imposed in the sense that people have little choice over where they are born or live. Moreover, villages or neighborhoods do have a constitutionally mandated governance structure, i.e., the chieftaincy and advisory council, which has specified governance functions vis-à-vis all members of these administrative units. Self-governing associations on the other hand, whether legally constituted or not, are formed around a limited collective activity, interest or problem agreed-upon by their members. In short, their immediate realm of self-governance is limited to a defined area of endeavor and affecting the narrower associational domain of their membership.

Secondly, terming such associations as self-governing, explicitly acknowledges the legitimacy of the governance role that these base level units of democracy and governance undertake. Specifically, they have the right (I) to make decisions about the way in which public resources will be allocated and managed, including their self-management; (ii) to promote the economic welfare of their members; and (iii) to participate in the management and resolution of conflicts when resource allocations lead to strife between contending resource users. Our concern with the enabling environment for democratic self-governing associations thus centers on the rights of organizations to: (I) manage natural resources in the public commons including forests, grazing lands, and water; (ii) deliver such public services as education, health and sanitation, and undertake safety-net functions, when appropriate; (iii) promote social peace and public

reconciliation; and (iv) have the legal standing to promote the economic welfare of their members including negotiating contracts with and taking and making loans from private or public institutions.

The enabling environment must also permit, if not promote, the formation and operations of voluntary associations beyond these base-level self-governing units, as well as the range of intermediary, specialized civic organizations and multi-purpose CSOs which support the civic action functions of democratic self-governing associations. This would include the ability for self-governing associations to join together horizontally in local level voluntary associations and to federate at higher levels of governance; and for these federations and other civil society actors to undertake a range of services on behalf of their clients or members, including representation and advocacy.

2. Defining the Enabling Environment for Community Organizations

The most basic guarantees for the right of community organizations in particular, and wider civil society in general, to participate in the construction and functioning of a system of democratic governance lies at the *constitutional level of law* and the body of fundamental rights and freedoms contained therein. The constitution also defines the nature of the macro-political system, i.e., constitutionally mandated institutions and the allocation of powers between them. In this case, it defines three sets of power relationships and rights and obligations accorded to institutional actors in each. The first relationship allocates power among the institutions of the state, i.e., the executive, legislative and judicial branches, and defines their specific rights and obligations. The second, defines the relationship between central state institutions and decentralized local governments. And lastly, the allocation of power between state institutions, both central and decentralized local governments, and civil society. In addition to these "political" relationships, constitutions also provide a set of inalienable and fundamental freedoms and liberties pertaining to the rights of citizens, often contained in single article or, as in the case of our own democratic system, a bill of rights. Finally, a constitution will provide for the way in which representation of citizens' interests and rights are determined (e.g., elections using proportional representation or winner take all representation, appointments, etc.).

In order to translate the generalized principles contained in the constitution into more detailed and actionable law, a number of *organic laws* are enacted by legislation, normally following closely on the adoption of the constitution. Under French or **Napoleonic** law -- from which the Malian legal system derives its origins -- fundamental law does not become operational until enabling legislation is passed. In other words, fundamental law in most cases only sets the legal **framework** which must then be made operational. Organic laws, are normally those which enable fundamental law. Organic laws include electoral codes, political party laws, decentralization laws, and those which deal with the establishment and operations of other constitutionally mandated institutions such as, in the Malian case, the Economic, Social and Cultural Council and Independent Media Commission. Another important organic law is that governing the conditions for becoming a recognized and legally constituted association, a law

which flows from the constitutionally-mandated *right of association*; a particularly important law in the context of the enabling environment for civil society.

The final level of law which concerns this discussion is that of *ordinary law* which requires enactment by the legislative branch and various *decrees and ordinances* which are issued by the executive branch. These are obviously lower order legal instruments, but are particularly important because many of them, together with organic laws, are used by state institutions to define those areas of public governance which remain the responsibility of the state and decentralized local government and those which are devolved to society. Many of these laws, decrees and ordinances deal with the management of natural resources found in the public commons, the delivery of public services, and the right of self-governing associations to promote the economic interests of their members.

While the body of a country's laws, as discussed above, is the principle element constituting the enabling environment, the regulatory bodies which enforce them and the judicial system which both permits individual citizens to invoke and challenge these laws, as well as adjudicate them, are of equal importance to civil society and its ability to participate in governance matters. In summary then, the enabling environment for civil society is a far broader issue and area of study than the defense of associational autonomy which the Mission's Country Program Strategy and the Poulton paper seem to have equated with a positive enabling environment for community organizations. In the following section we present our findings and conclusions relative to the Malian enabling environment for community organizations and their civil society partners.

C. An Analysis of Mali's Enabling Environment

The following discussion is divided into sections assessing both the *macro-political* and *operational* levels of the enabling environment in Mali in terms of whether they enable or impede civil society's participation in national and local governance matters. It should be obvious by this point that the time available for the Support Team to undertake a complete review and analysis of the enabling environment was inadequate. The *Assessment of Democratic Governance in Mali* undertaken over a six month period in 1993 and 1994 by the Africa Bureau and USAID/Mali spent considerable effort in assessing the enabling environment for democratic governance in Mali but, ultimately, left significant areas relevant to community organizations as discussed above untouched. It should, however, be noted that at the time of this macro-political assessment, much of the organic or *enabling* legislation, and many of the constitutionally-mandated democratic institutions of the Third Republic had either not been enacted or had not been established. But as a point of departure, the D/G Assessment offers us an excellent body of information, particularly at the level of the macro-political environment, for our own analysis of the enabling environment.

1. At the Macro-political Level

The constitution of the Third Republic was a major departure from those defining both the First and Second Republics. Article One of the Constitution, essentially served as a Malian Bill of

Rights guaranteeing, *inter-alia*, freedoms of **speech, press, assembly and association**, prerequisites for the participation of society in the political process. Its choice of a multiparty democratic system with elections have led to the first free and open elections for the presidency and national legislature since the end of the colonial era. While the winner-take-all electoral system for choosing national assembly deputies, and the formation of a ruling coalition which excluded much of the political opposition, led to instability and the fall of three separate governments, the eventual reaching out by the ruling party to a broader cross-section of the political universe appears to have led to a period of stability over the past 18 months. As previously discussed, the D/G Assessment pointed out that the greatest current problem of the new democratic system is the poor state of the judicial system and a general lack of *arule of law culture*. The lack of faith in the judiciary obviously impacts the ability of fair and impartial treatment by any citizen before the law. Of particular note, is the creation of a separate *Constitutional Court* with the right of citizens to challenge the state over the legality of its actions including the issuance of ordinances and decrees. The Mission has rightly determined that its ability to effect meaningful change in any of the three institutions of the central state are limited and outside its manageable interest. It was also clearly understood that our comparative advantage did not lie in a legal system based on Napoleonic law, nor a parliamentary legislative system. Finally, the Mission had determined that other donors with both an interest and a comparative advantage in the legal and legislative domains were prepared to support them.

Perhaps the most important point to note at the macro-political level is the fact that neither all the enabling or organic legislation nor all the democratic institutions mandated under the Third Republic Constitution have been enacted or established. Specifically, the decentralization law is still in the process of being completed with three legislative initiatives enacted and several others either before the National Assembly (NA) or being drafted by government. One of the most important and potentially divisive pieces of this law yet to be passed is redistricting (decoupage) legislation dividing the country into new communal, circle and regional administrative units. As of this writing, there are, thus, no Communal Councils or Governing Boards or any other level of elected territorial administration below the national level. Thus one of the principal democratic institutions of the Third Republic, that is, *the High Council of Communities* (a second chamber of the National Assembly), has yet to be formed. The absence of communal councils as well as the High Council thus denies citizens and their organizations a major channel for engaging the state at all levels in matters of governance and policy making.

It is worth taking a moment to discuss the likelihood of the government achieving its calendar for the passage of the entire decentralization law and holding local elections throughout the country. According to our discussions with the Decentralization Commission, it is their intention that all laws will be completed and passed by the end of this year with local elections being held by the end of 1996. This is a fairly tall order for any government, let alone one with a range of major social and economic problems facing it, and requiring its serious attention and best efforts. In addition to the considerable debate that is likely to be entailed with the redistricting legislation, at the local level, the newly created communes will also have to deal with which village will become the seat of communal government; an issue which, according to our discussions, will require delicate negotiation and time. Moreover, a number of informants have raised the issue

of the electoral code governing local elections and its provision that only political parties may put forth candidates for election. This issue seems to be generating considerable debate and may not, in fact, be completely resolved. The fact that the former *Partie Unique*, USRDA seems to be gearing itself up for these coming elections adds an exciting dimension to the future of elected local government.

Assuming that the decentralization law is passed and legal issues related to local elections are sorted out, the magnitude of the elections themselves in terms of financing and logistics is a major one lending some doubt as to whether all the preparations can actually be completed and elections held before the end of 1996. But even assuming they are held on time, the tremendous task of finding space for both councils and governing board members, equipping and training them, integrating current employees of central state ministries into local governments, straightening out their financial situation, not to mention further elections for Cercle and Regional councils and assemblies and the High Council itself, are so daunting as to leave us wondering about the realism of the timing if not the process itself. The point to be made, however, is that it will be at least two full years before community organizations will have local government counterparts with which to interact. In our opinion this is not necessarily a negative factor as it will give civil society at the local level that much more additional time to consolidate itself and the public governance functions that COs are already carrying out. And, therefore, they will be in a position to resist encroachments by local governments into areas of public services in which they are already active.

Specific facts concerning the status of decentralization efforts are as follows. To date, three laws have been enacted and one decree issued by the president. They are:

- Law number 93-008 of January 29, 1993: Determining the conditions of the free administration Territorial Collectivities.
- Law number 95-022 of January 28, 1995: Defining the status of functionaries in the new territorial collectivities.
- Law number 95-034 of January 27, 1995: Defining the Code for Territorial Collectivities.
- Decree number 95-210/PP-RM of February 11, 1993: Determining the conditions for nomination and attributions of state representatives at the various levels of territorial collectivities.

In addition to the Redistricting Law, there remain an additional seven to nine laws yet to be enacted. Among the most important of these laws are those that deal with a) governance responsibilities ("competences") which will be devolved to the decentralized levels of local governments from the central state; b) the formula for the allocation of state revenues to decentralized local governments; and c) the allocation and management of public lands including natural resources. While all of these laws are obviously important, the allocation and management of public lands has perhaps the greatest impact on the right of community

organizations to use and manage natural resources. In general, the D/G SOT will need to monitor very closely the decentralization process to ensure that laws, policies and regulations do not preclude participation of community organizations in the local democratic self-governing functions. Like other areas of reform that may need to be addressed in order to protect the rights of community organizations, the D/G SOT has decided to support the enabling environment through a combination of policy dialogue and support for the advocacy functions of Representative and Partner organizations, that is, from the demand side.

Several additional points are raised at the macro-political level and particularly in relation to the potential role and effectiveness of what we term *linkage institutions* in providing civic organizations with a means for engaging state institutions in policy making. The first such institution concerns the effectiveness of the Economic, Social and Cultural Council. While we were unable to meet with this constitutionally mandated body during either of our visits, discussions with a number of informants indicated that it was not yet particularly operational, and that the neutrality or non-partisan nature of its leadership was in question. Given the potential importance of this new institution which represents various sectors of civil society and acts in an advisory capacity to the government, the fact that it is not living up to expectations is cause for concern. Secondly, although we did not have the opportunity to interview any members of the National Assembly (NA), we believe it is necessary to determine the degree to which deputies are accessible to citizens and civic organizations, and whether NA commissions have provided a forum, through open hearing, for civic organizations to testify on legislation before it. Thirdly, we note the role played by GREMs/GLEMs (Groupes Regional/Locaux d'Etudes et de Mobilization) in providing a forum for CO input into the decentralization policy making process. From the limited information we gained about these institutions, we wonder how truly representative they are of the majority Mali's citizens, i.e., the rural peasantry and urban poor, and whether they can or should be improved and continued after local elections are held.

We have recommended that a **rapid response facility** be created to be able to respond to **targets of opportunity** either on the demand-side (civil society) or on the supply-side (central state and decentralized local governments) which increase the ability of community organizations and their partners at higher levels of governance to gain access to the policy making arena.

Finally, we note the significant freedom of Mali's independent media, particularly print and broadcast, and the tremendous impact that it has had in providing networks of communication on issues of public importance and in keeping government accountable through reporting on its performance. As in many African countries in the early stages of democratic transition or consolidation, the Malian media is perhaps the strongest element of civil society. Providing support to it is certainly an area which needs further reflection on the part of the Mission, either through the D/G SO or the InfoCom SO.

2. At the Operational Level

What is of specific interest to the Support Team in the assessment of the enabling environment, is the degree to which democratic self-governing associations are able to undertake public

governance functions at the local level. That is, what are the legal and regulatory constraints and opportunities for these associations to manage the natural resources found in the public domain in their immediate localities; to provide a range of public services of importance to their daily lives; and to promote the economic welfare of their members. We have found that many of the laws and regulatory agencies governing or responsible for the activities of self-governing associations are related to the *operational* level of the enabling environment, and specifically to laws and the ministries responsible for monitoring and enforcing them on a sectoral basis (e.g., health, education, natural resources and economic growth). At the same time, we were continually brought back to the *Law of Associations*, and its overall importance in determining the legal status of organizational applicants. As this law also governs the status of NGOs, we begin our analysis of the operational level with a discussion of this all important law and its impact on the ability of all COs to participate in Malian governance.

Like most African countries, whether Anglophone or Francophone, Mali's Law of Associations dates from just before independence in 1959, and has, in this particular case, its origins in the French Law of Associations of 1901. During virtually the entirety of the colonial period through the end of the Second Republic, the Ministry of Territorial Administration (previously the Ministry of Interior) wielded this law to limit rather than promote autonomous voluntary associational life. The few organizations that were registered under the law prior to the March 1991 revolution were international NGOs that came initially during the first great Sahelian drought in 1973-74 and in greater numbers during the second drought in 1984/85. With the change to democratic rule in 1991, and the reaffirmation of the right of association, the Law of Associations and its implementation were greatly liberalized, ultimately leading to the registration of some 2,000 to 3,000 new associations and some 400 to 500 NGOs. While the Law of Associations distinguishes between four types of association with corresponding degrees of requirements for registration and recognition for each, in practice the Ministry of Territorial Administration has been fairly lax in making these distinctions. The exception has largely been in the case of NGOs, and this is because of their desire to receive exemptions on duties and taxes for imported commodities. The result has been the abuse by some NGOs of this right in terms of both the importation of "project" equipment and the non-taxation of revenues which in other circumstances would be called profits.

One of the results has been the call for the creation of an Order of NGOs, similar to those of other professional associations such as the *Ordre des Avocats* (Bar Association) and *Journalistes* (Journalists Association) as a means for certifying NGOs as legitimate organizations. **This is a bad idea** under any circumstance. The underlying principle of such certifying organizations is that they are created by an act of the legislative branch and thus become a state-mandated entity. The experience of all state mandated "associations" in the Malian context has been a dismal one, basically serving as a means for controlling those sanctioned under the law. Nowhere in the free world to the best of the Team's knowledge, including Africa, Asia and Latin American, have governments sanctioned the creation of NGOs, NGO professional bodies, or other associations in civil society. The precedent would be a bad one and would constrain rather than promote associational life in Mali. A better way to ensure that legitimate NGOs and other associations receive the recognition and corresponding benefits that derive therefrom, is the development of

a Code or Standards of Ethics for the NGO community on the one hand, and the tighter application of the existing Law of Associations on the other. While it will take some time to develop such an NGO code, the larger problem will be in who administers it. Neither the CCA-ONG nor SECO-ONG have the breadth of representativeness nor even the legitimacy to serve in such a global capacity at this time, although each could develop and administer their own Codes if their members agree.

The Law of Associations beyond the NGO community is important for a range of other civil society actors, from human rights associations to many local self-governing associations. The problem appears to be in terms of which types of associations fall under the jurisdiction of this law, as well as the types of benefits and obligations that are accorded to them. Given the fact that the law has not been changed since 1959, there is ample justification for undertaking a thorough review with the intent of instituting basic reform in the immediate future. It is our understanding that both CCA-ONG and SECO-ONG have been holding discussions with the Ministry of Territorial Administration and Department of Rural Development and Environment on this issue and we would recommend that such efforts be supported by USAID/Mali.

In fact, a very favorable development has already developed in this regard. Sponsored by the Ministry of Rural Development and the Environment, and financed by UNDP and the ILO, series of workshops and working groups has reviewed laws pertaining to **associations, cooperatives, and mutuels** (savings and loan clubs). The final reforms to be enacted will directly effect a wide range of community organizations engaged in economic activities, and particularly Village Associations (AVs). Village associations have become one of the principle types of democratic self-governing associations promoting the economic and social welfare of their members. The problem is that they have no legal standing under current Malian law (the law of associations), thus limiting their ability to enter into contracts and take and make loans from the formal banking sector. This is discussed in greater detail below.

a) Economic Associations

One of the more important legal and regulatory domains, at least for many self-governing associations, pertains to economic activities. In our document review, interviews with USAID personnel and external partners, as well as our field visits, we identified a variety of self-governing associations engaged in the promotion of economic activities benefitting their members. Such associations include: village Associations (AVs), Tons, Economic Interest Groups (GIEs), cooperatives and credit unions, and savings and credit associations. In the case of Tons and cooperatives, both institutions are carry-overs from the First and Second Republics, and thus have negative connotations attached to them. Village Tons, adaptations of traditional Malian work associations, were used by the Second Republic to organize villages for the delivery of inputs and the extraction of peasant surpluses. While they have legal status under the law, they have all but been discarded except in the CMDT production zone. In short, their legitimacy has been severely called into question. The formal cooperative system, currently governed by a cooperative law last modified in 1988 and dating to the 1960s, has totally fallen into disrepute given its role under both the First and Second Republics as the principal *corporatist* entity structuring peasant

participation in national life. Today DNA-Coop remains but a shell of its former grandeur, with funding able to cover little more than the salaries of remaining staff.

Despite the fact that these two institutions (Tons and Cooperatives) have little credibility or legitimacy, and that they are eschewed in most cases by Malians, the mere fact of their continued existence serves as a constraint to the emergence and evolution of truly autonomous and representative self-governing associations. While it may be possible to resurrect the Ton as a component or base unit in a new cooperative system, it can be argued that the entire system itself should be dismantled in order to permit the natural and organic emergence of a peasant driven cooperative movement originating at the grassroots and federating from the ground-up into a national level structure with the capacity for independent representation and advocacy. As noted above, a major conference sponsored by the Ministry of Rural Development and Environment was held on November 15-16, reviewing the state of the cooperative movement, as well as associational laws and putting forth new draft texts for consideration. The evolving status of these texts should be monitored closely by the D/G SOT.

Over the previous three years a new type of economic association has emerged, i.e., the village association (AV), which appears to have far greater credibility among the rural population than either Tons or formal cooperatives. While we understand that there exist various categories of AV -- just as there are with Tons -- it is clear that they receive no official government recognition (perhaps under the Law of Associations) except in such production zones as the OHVN (the Office of the Haute Vallée Niger) where they are issued with certificates testifying to their legal status thus entitling them to take loans from the banking system.

Whatever the actual legal status of the AV, they have come to play a significant role in promoting the economic welfare of their members. By definition the AV is supposed to encompass the population of an entire village. This runs counter to the principle of voluntary association upon which civil society rests. However, they do appear to engage in democratic decision-making -- to the extent that the traditional village authority is barred from holding posts in the AV -- and they thus serve as representatives of their village members. On the other hand, we have also heard that many AVs arrive at leadership selection through consensus by the traditional village leadership. Given the importance of these relatively new self-governing structures, the lack of clarity of their legal status, and the variety of decision-making and leadership selection mechanisms, we believe that considerable study should be conducted. In interviews with John Davis, a graduate student from Michigan State University, we found that many of the issues that concern us in relation to Tons, cooperatives and AVs, have been the object of Mr. Davis' research. While the D/G SOT was briefed by Mr. Davis prior to his departure from Mali, we strongly recommend that the D/G SOT continue to support his activities, and perhaps bringing him back to assist in the development of survey methodology required in the collection of baseline data.

GIEs are also a relatively new type of association which have emerged post-revolution and represent the governments commitment to economic reform and liberalizing the commercial environment. GIEs have legal standing under the Commercial Code, and have become an

important means for people with a similar economic interest to engage in profit-making activities with a minimum of government red-tape and interference. They appear to be a favored means for unemployed college graduates and secondary school students to find employment and generate income. We have also found that GIEs are used by non-profit, self-governing associations as a means to undertake profit-making activities which support community welfare activities (e.g., waste removal and sanitation). In short, the law which permits GIEs is certainly supportive of local level civil society, by providing it with an economic basis for autonomy from the state ... in addition to the employment and income opportunities they afford their members. It should be noted, however, that GIEs because of their profit making objective do not **technically** qualify as civil society actors.

b) Public Service Delivery

In the area of public service provision, the legal environment has changed in several ways providing the opportunity for self-governing associations at the local level to provide such services as basic education and primary health care as components of decentralized public service delivery. In the field of education, law 94-032 of July 25, 1994, Decree No. 94-448 of December 28, 1994 and *Arrete* No. 94-10810 of December 28, 1994 all contribute to providing the legal status of community management committees (Comite de Gestion) to create and manage *Community Schools*. Given the poor state of primary education in Mali, these laws have had considerable impact and, more importantly, have contributed to democratic self-governance at the local level. A continuing problem, however, surrounds the continued existence of the national structure of the Association of Parents of Students (APE), whose local members participate in the management of formal primary schools. The APE structure is another corporatist entity carrying over from the Second Republic, and like similar top-down and imposed structures, was used by the state to channel local participation in non-threatening ways. While individual APEs at the local level appear to be regaining some credibility by local people, the national structure which is unelected and unrepresentative acts, similar to that of the cooperative structure, to inhibit the formation of horizontal linkages and higher levels of federation.

Community health centers, governed by local management committees, have also benefitted by favorable legislation and a supportive Ministry of Health. Although we were unable to locate the law(s) specifically governing the formation and functioning of community health committees, it is evident that they have contributed greatly to the provision of health services at the local level. It should also be noted, that the Malian MOH, as its counterparts in many countries, has been in the forefront of decentralization reforms, with considerable donor assistance provided.

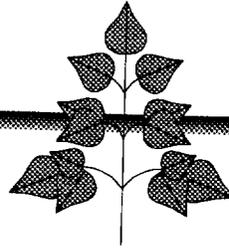
c) Natural Resource Management

Finally, we turn to the self-governing associations affiliated around natural resource use and management. Such associations include forest and water (irrigation and potable water) users, and grazing or livestock groups. We were only able to locate a set of recently passed laws (Laws 95-002 through 004) on the allocation and management of forests and forest products. What we do know is that these laws place some categories of forests under the jurisdiction of communities

and permit them to develop management plans which are negotiated through contract with a newly created National Direction of Forest Resources, Fauna and Flora, which includes the conditions under which these resources may be exploited, transformed and transported. While we are unsure as to the legal status of the self-governing associations that are springing up to manage these forests, we do know that such traditional forms of association as the Ogokaana, are making a reappearance and, with the help of international and national NGOs, are negotiating forest management plans.

We are also aware that in both the CMDT and OHVN production zones, the water user associations have been in evidence for some years managing irrigation use along with the parastatal organizations responsible for these zones. In general, this domain of self-governing associations and the enabling environment which governs it require far greater investigation upon our return.

Finally, as noted during the discussion of fundamental law, one of the major pieces of legislation yet to be enacted and which directly touches on the right of community organizations to manage local resources, comes under the body of decentralization laws. This will require close monitoring by the D/G SOT in order to ensure that the law which is finally passed is one that provides community organizations and their host communities to control their local resources.



The DG/SO Results Framework:

What Are Our Goals?

How Will We Pursue Them?

How Do We Know We've Succeeded?

1

Agenda

- *What are we talking about?: Definitions*
- *What are our goals?: SO & Intermediate Results*
- *How will we measure success?: Indicators*
- *What will we do to get there?: Activities*

2

Part I: Definitions

- *Governance, good governance, and democratic governance*
- *Functions of democratic governance*
- *Self-governing associations*
- *Civic action*
- *Target Organizations*

3

Governance

- *The way in which any social unit -- from an entire society to the smallest association -- organizes itself to make collective decisions, to promote shared interests, or to solve common problems*

4

Good Governance

Effective problem solving, decision-making or the efficient allocation and management of public resources; normally achieved when there is:

- **Transparency** in the way decisions or policies are made
- **Accountability** by those making and executing policies
- **Responsiveness** of those making policies to the needs of those who will be affected by them

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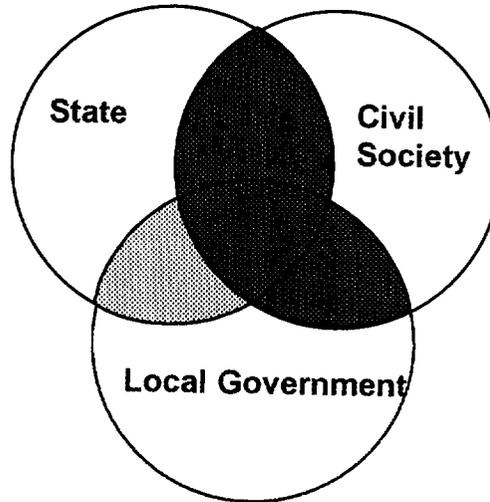
What is Democratic Governance?

- **Shared governance** in which not only **central state institutions** but also **civil society and local governments** have a right to participate in governance matters at both the local level and beyond

6

Model of Governance Interaction: In a Democratic Governance System

Our focus is on the darkly shaded areas, where there is a potential for government and community organizations to be **partners in governance**



7

Functions of Democratic Governance

- **Accountability:** Ensuring the integrity of constitutional rule and limiting the arbitrary exercise of authority and particularly the potential abuse of power by any given social or political entity;
- **Policy Making:** Participating in the formulation of public policy including governance reforms around issues of national and local interest

8

Functions of Democratic Governance Cont...

- Policy Implementation:** Undertaking the actual execution of public policies and governance reforms, including the delivery of public services, the management of public resources, and the promotion of public economic welfare
- **Citizenship & Socialization:** Promoting and deepening norms and networks of civic engagement through democratic governance practice

9

Self Governing Associations

- Those associations which undertake the **supply** of public governance to either their members or the larger public, whether at the local community level or for a larger societal grouping

10

Civic Society

- *That subset of civil society that undertakes **demand**-side public governance functions and in many cases supply-side governance functions as well*

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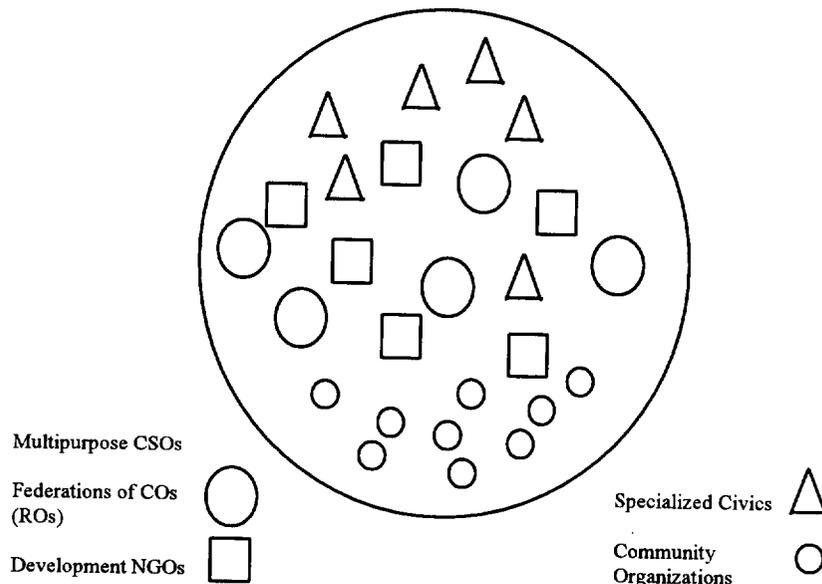
Civic Action

Any effort which seeks to

- *Hold the state accountable for its governance performance (watchdog)*
- *Participate in determining the shape of public policy*
 - *Identification of relevant issues/policies/problems*
 - *Analysis*
 - *Formulation*
 - *Influence/advocacy*

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Typology of Civil Society



Organizational Definitions: ○ □

Multipurpose Civil Society Organizations (M/CSOs)

- Those organizations that undertake civic action as one of many services provided either to members or clients. M/CSOs are normally formed around a specific sectoral need of their members or clients

M/CSO Partner Organizations

Those M/CSOs who deal with client organizations which are technically outside their organizational framework in a legal sense.

- *Client groups have an **indirect voice** in the decisions that the M/CSO Partner Organization makes concerning its activities.*
- *These organizations must have direct linkages with and knowledge of their target or client groups.*

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Representative Organizations

M/CSOs which are grassroots membership based associations and the federations which represent them at higher levels of state governance.

- *All decision-making concerning what activities will be undertaken is **directly** made by the members of the representative organization.*

16

Representative and Partner Organizations (RPOs)

- *Since COs are our ultimate customers, we will target RPOs as a means to extend their influence beyond the local level.*
- *RPOs are those organizations which are either representative of or partners to community organizations as defined above.*

17

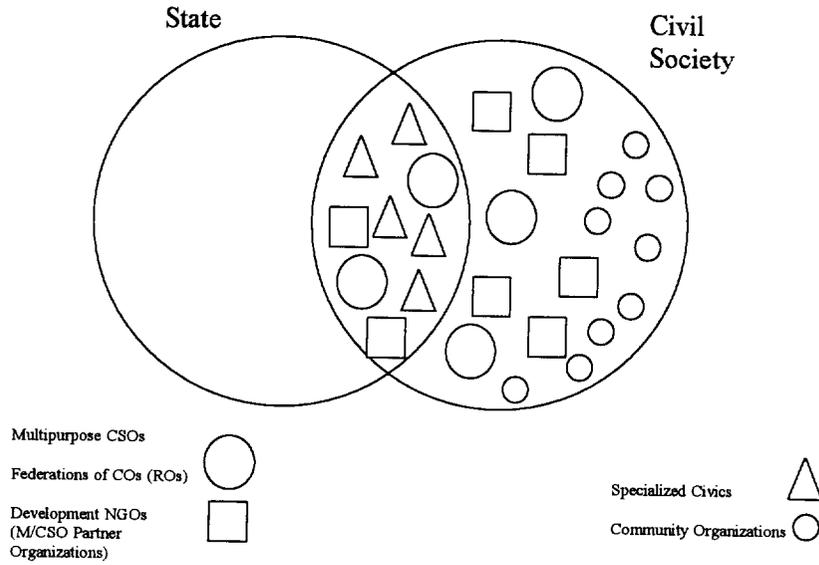
Specialized Civic Organizations (Civics)



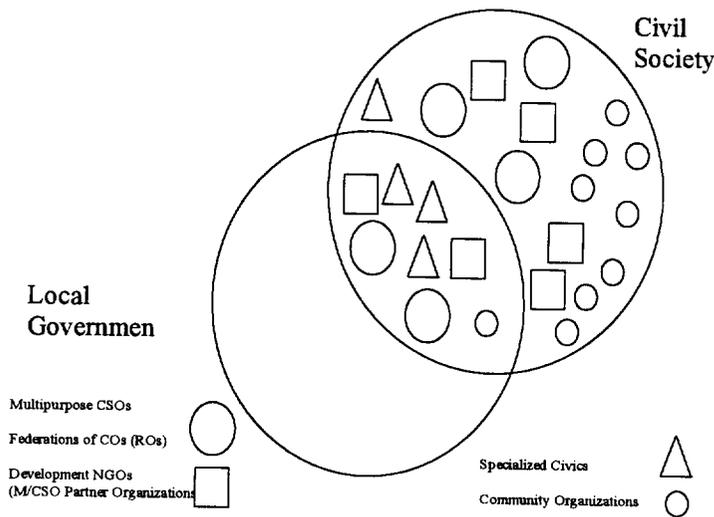
- *The **only** activity of Civics is civic action: either holding the state accountable for its governance performance (watchdog) and/or trying to influence the shape of public policy.*
- *Civics do not normally have either a mass-based membership or a defined client group, at least at the primary level of association*
- *The types of policies civics try to change and the state institutions they attempt to influence or monitor are at the macro social, political, or economic level.*

18

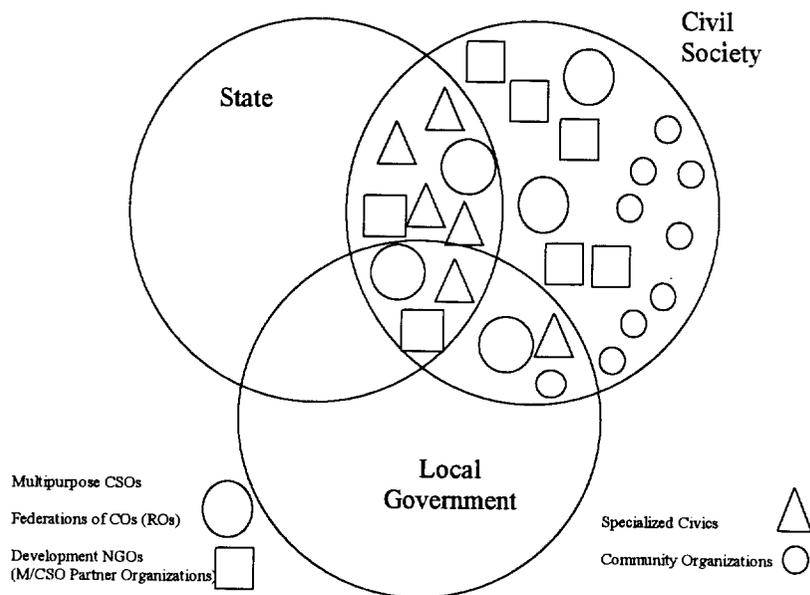
State & Civil Society: Civic Action with the State



Local Government & Civil Society: Civic Action at the Local Level



Model of Government Interaction



Part II: What Are Our Goals?

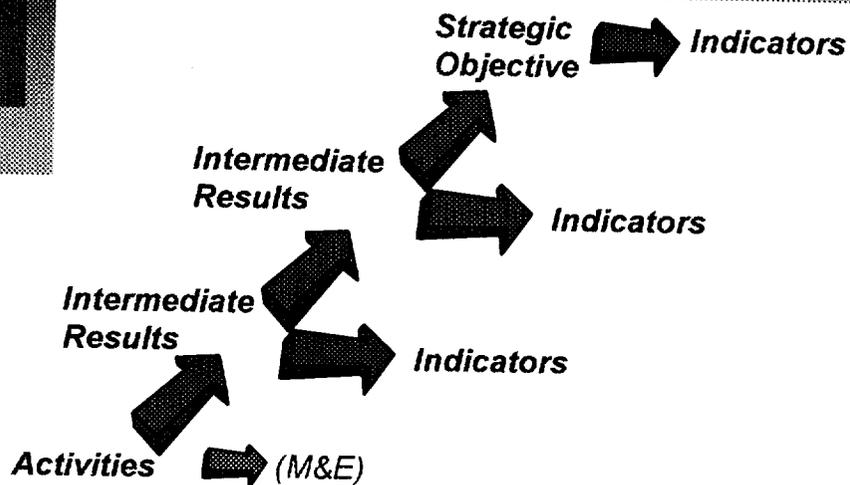
- *Underlying logic*
- *Development hypothesis*
- *Intermediate results*

The Vertical Logic of Results Frameworks

- *Strategic Objective: Development Hypothesis*
- *Intermediate Results: Desired change*
- *Activities: How to get to that change*
- *Indicators: How to measure that change*

23

Cause & Effect, & Indicators



24

The DG/Strategic Objective

DG/SO Development Hypothesis:

- *If target community organizations are effective partners in democratic governance, including decision-making and planning, then they will contribute to Mali's **sustainable** social, political, and economic development.*

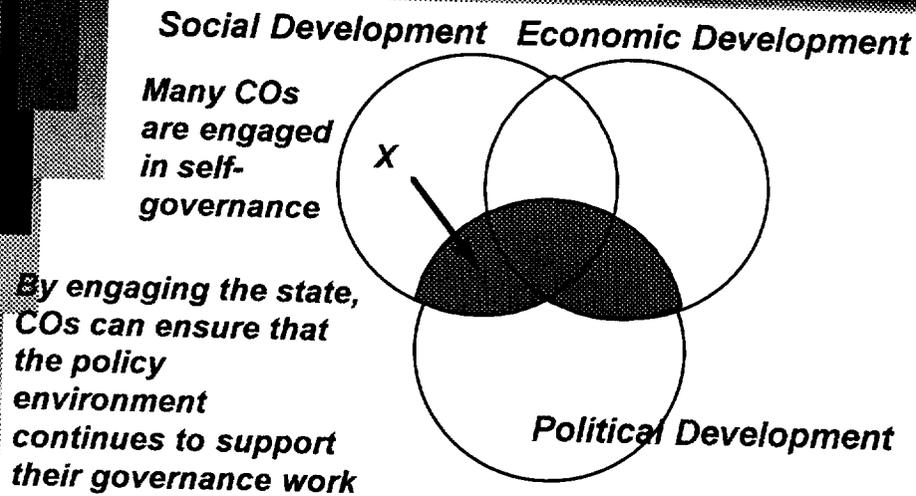
25

What Does it Mean to be a "Partner"?

- *Recognized and legitimate role in governance*
- *Joint participation in providing governance functions (i.e., providing public services, managing public resources)*

26

Why is Partnership Sustainable?



27

Vertical Logic: What Should the intermediate results be?

- Intermediate Results should encompass some behavioral change in intended beneficiary groups, i.e., community organizations, RPOs, Malian NGOs and federations, the Government of Mali, etc.
- Different levels of intermediate results indicate cause-effect relationships in the accomplishment of the SO

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What is the Relationship between the SO & the Intermediate Results?

- *The Strategic Objective is expected to result from the **combination** of behavioral changes represented by the intermediate results.*
 - *Most intermediate results are not sufficient to independently produce the objective*
 - *Other factors may also be necessary to produce the objective but are beyond the control or scope of the program*

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What should the intermediate results be?

- *Intermediate results should be low enough in cause-effect chain to be feasible as a "stretch concept," and thus evoke commitment from all key development actors: SO team, USAID Mission, customers, partners, and other key stakeholders.*

30

DG/SO

- *Target community organizations are effective partners in democratic governance, including decision-making and planning*

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DG/SO Intermediate Results

Intermediate Result #1

- *Target COs are engaged in democratic self-governance and civic action at the local level and beyond
(Self-governance, while an end in itself, also demonstrates the requisite capacity to be able to engage in civic action)*

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Intermediate Results: Secondary Level (and Tertiary)

Intermediate Result #1.1

- *Malian NGOs and federations support COs' democratic self-governance and civic action*
 - *The capacity of target Malian NGOs and federations is strengthened*

(While an important end in itself, strengthened NGOs and federations will afford sustained support of COs when donors and USPVOs terminate their support, and corresponds to "More Mali, Less Aid")

33

Intermediate Results: Secondary Level (and Tertiary)

Intermediate Result #1.2

- *Target RPOs effectively aggregate and represent COs interests at the local level and beyond*
 - *The capacity of RPOs is strengthened*

*(Sustainable COs will need to defend their interests at higher levels of government; a single CO in isolation lacks the scale to do so. RPOs, again, afford a **sustainable link**)*

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Intermediate Result #2

Intermediate Result #2

- *Enabling environment empowers target COs and RPOs*

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Part III: How Will We Measure Success?

- *Criteria for indicators*
- *SO indicators*
- *IR indicators*

36

What Should the Indicators Be?

- *Measurable at a reasonable cost*
- *Appropriately specific, referring to:*
 - *quality (indicator)*
 - *quantity (target)*
 - *time (within a time frame)*
- *Sufficient to measure behavioral changes, **but not exhaustive***
- *Directly related to the IR (or SO) and within USAID's manageable interest*

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DG/SO Indicators

- *Are target COs affecting development decisions in their communities and within their communes?*
- *Are target COs delivering public services?*
- *Does the government recognize target COs as legitimate partners in the delivery of public services and support their efforts, in the spirit of "partnership"?*

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IR1 Indicators: COs engaging in self-governance & civic action

- Do COs have the capacity to practice democratic self-governance?
- Do they attend meetings at which governance decisions are made?
- Do they initiate such meetings?

39

IR1.1 Indicators: Malian NGOs and Federations Support COs

- Do Malian NGOs and Federations provide **quality** training and technical assistance to COs?

40

IR1.1a Indicators: The Capacity of Malian NGOs & Federations

- *Do Malian NGOs and federations have the capacity to practice self-governance?*
- *Do they have the capacity to train COs to do so?*
- *Do they have the capacity to train COs to engage in civic action?*

41

IR1.2 Indicators: RPOs effectively represent interests of COs

- *Are new RPOs emerging as a result of DG/SO activities?*
- *Are development decisions which affect COs analyzed, influenced, and/or formulated?*
- *Do RPOs address government performance which affects COs?*
- *Do RPOs attend relevant governance meetings? Do they initiate them?*

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IR1.2a Indicators: The capacity of RPOs

- *Do RPOs have the capacity to practice self-governance? To engage in civic action?*
- *Is RPOs' capacity and effectiveness to do so recognized?*

43

IR2 Indicators: Enabling Environment

- *Do targeted COs and RPOs have full legal status?*
- *Do they have information regarding the laws, regulations, and policies which are identified to affect them?*
- *How many people are aware of their right to participate in governance and realize their potential to do so?*

44

Part IV: How Will We Get There?

- *Activity criteria*
- *Activities for each IR*
- *Activities for the DG Team*

45

Activity Criteria

- *Reasonable cost*
- *Manageable interest*
- *Necessary and sufficient
to reach the IR*

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IRI Activities: COs engaging in self-governance & civic action

Training & facilitation (by Malian NGOs and federations) to COs for:

- *Democratic self-governance (as needed)*
 - *sensibilisation (DG & their role)*
 - *institutional capacity building*
 - *strategic planning*
 - *functional literacy & numeracy*
 - *ethics & professionalism*
 - *gender analysis & awareness training*
 - *conflict resolution*
- *Civic action skills training (mandatory to receive the above)*

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IRI Activities cont...

- *Matching start-up grant for local "Centre d'animation et de formation civique"*
- *TOT for representative animateurs (men & women)*
- *Micro-grant fund for COs (to participate in fora or special commissions)*

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IR1.1 Activities: Malian NGOs & Federations Support COs

Malian NGOs & Federations deliver TA & Training to COs in:

- **Democratic self-governance**
 - sensibilisation (DG & their role)
 - institutional capacity building
 - strategic planning
 - functional literacy & numeracy
 - ethics & professionalism
 - gender analysis & awareness training
 - conflict management & resolution
- **Civic action skills training**

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IR1.1a Activities: The Capacity of Malian NGOs & Federations

TA & TOT in:

- **Democratic self-governance**
 - sensibilisation (DG & their role)
 - institutional capacity building
 - strategic planning
 - training & facilitation skills
 - functional literacy & numeracy
 - ethics & professionalism
 - gender analysis & awareness training
 - conflict mgt & resolution
- **Civic action skills training**

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IR1.2 Activities: RPOs effectively represent interests of COs

■ Grants & TA for linkage activities:

- policy analysis
- policy formulation
- policy advocacy
- regional & national fora
- consultation with COs & information dissemination

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IR1.2a Activities: The Capacity of RPOs

TA & Training as needed:

■ Democratic self-governance

(as needed)

- sensibilisation (DG & their role)
- institutional capacity building
- strategic planning
- training & facilitation skills
- functional literacy & numeracy
- ethics & professionalism
- gender analysis & awareness training
- conflict mgt & resolution

■ Civic action skills training

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IR2 Activities: Enabling Environment

- *Identify, analyze and address constraints in existing laws, regulations, and policies which affect COs and RPOs*
- *Rapid response and supply-side fund:*
 - *to support linkage institutions & activities*
 - *a possible mechanism for the above*

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IR2 Activities: Enabling Environment cont...

- *Civic education campaigns for civil society at all levels, and state and local government*
 - *Basic systems, decentralization*
 - *DG theory & civil society*
 - *Specific laws, regulations, and policies affecting COs*
 - *Translation and dissemination of these relevant laws, regulations and policies*

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Activities for the DG Team

In addition to managing the above,

- *Sensibilisation training*
 - *Within USAID Mission*
 - *With USAID partners, and other relevant stakeholders*
- *Monitor progress on decentralization*
- *Monitor other policies and developments relevant to the enabling environment*
 - e.g., Laws regarding the legal status and registration requirements of COs and RPOs*

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Primary Level:

COMMUNITY ORGANIZATIONS

Target COs are engaged in democratic self-governance and civic action at the local level and beyond

Secondary Level:

Malian NGOs and Federations support COs' democratic self-governance and civic action

Target RPOs effectively aggregate and represent COs' interests at the local level and beyond.

Tertiary Level:

The capacity of target NGOs & Federations is strengthened

The capacity of target RPOs is strengthened

ENABLING ENVIRONMENT

Enabling environment empowers target COs and RPOs

1/2

Including Development Decision-Making and Planning

- Average number of new or modified government initiatives resulting from consultation between governing councils and COs in targeted communities
- Number of target COs initiating their own delivery of public services or management of public resources
- Percentage of target COs delivering public services which receive government support in this effort (financial, material, or technical)

COMMUNITY ORGANIZATIONS

Target COs are engaged in democratic self-governance and civic action at the local level and beyond

- Number of target COs that attend meetings of governing councils discussing relevant concerns
 - Community level
 - Commune level
- Number of open and organized meetings between governing council members and targeted CO representatives initiated by targeted CO representatives
 - Community level
 - Commune level
- Number of relevant development decisions, including policies, laws, regulations which target COs:
 - Analyze
 - Influence/advocate
 - Formulate
- Number of target COs that are engaging in democratic self-governance, i.e., have:
 - Recognition (legal status) by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Apply strategic planning and budget plans
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict management resolution
- Gender:
 - Percent of targeted community organizations employing gender analysis
 - Percentage of women in leadership positions of COs
 - Number of women's issues advocated by COs
 - Number of COs advocating women's issues

ENABLING ENVIRONMENT

Enabling environment empowers target COs and RPOs

- Targeted COs, NGOs, federations, and RPOs, have the right to full legal recognition
- Targeted COs and RPOs have information on identified laws, regulations, and policies which affect their interests
- Number of people reached by civic education communication channels in local language

Training & TA:

- Democratic self-governance (capacity building as needed)
- Civic Action (mandatory to receive capacity building)
- Matching start-up grant for local DG information center: "Centre d'animation et de formation civique"
- TOT for representative animateurs (men & women)
- Micro-grant fund for COs (fora, commissions)

Malian NGOs and Federations support COs' democratic self-governance and civic action

- Number of COs trained by targeted Malian NGOs and federations
- Percentage of targeted community organizations which report their organization is strengthened as a result of the targeted assistance by the Malian NGO or federation

Malian NGOs & Federations deliver training to COs in:

- Democratic Self-Governance
- Civic Action Skills Training (mandatory to receive capacity building training)

The capacity of target NGOs & Federations is strengthened

- Target NGOs and federations (those who will empower targeted COs) have:
 - Recognition by the State
 - Democratic internal procedures
 - Independent audits done and published
 - Strategic planning and budgeting
 - Training & facilitation skills
 - Gender analysis and awareness
 - Ethics/professional standards
 - Conflict management & resolution skills

TOT (& TA) as above, plus training & facilitation skills

Target RPOs effectively aggregate and represent COs' interests at the local level and beyond.

- Number of federations which form or join to address the specific concerns of COs relating to government decisions (disaggregated by women's federations)
- Number of development decisions relevant to COs, including policies, laws, regulations which target RPOs: analyze, influence/advocate, formulate
- Number of government performance issues addressed by RPOs
- Number of target RPOs that attend meetings of governing councils discussing relevant concerns at: commune level, and beyond
- Number of open and organized meetings between governing council members and targeted RPO representatives initiated by targeted RPO representatives at: commune level, and beyond.

Grants & TA for linkage activities

The capacity of target RPOs is strengthened

- Target RPOs (those who will aggregate and represent the interests of targeted COs) have requisite skills/capacity (as above)
- Percentage of targeted COs which report their organization's interests are effectively aggregated and represented by the target RPO
- Percent of RPOs whose membership is stable or increasing

TOT & TA as needed

- Identify, analyze, and address constraints in existing laws, regulations/policies, affecting COs and RPOs
- Civic education campaigns for civil society at all levels and state and local government, including: basic systems, decentralization, DG theory and civil society, and specific laws/policies affecting COs; also includes the translation and dissemination of laws/policies

INTERESTS

INDICATORS

MS

Including Development Decision-Making and Planning

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- Number of target COs initiating their own delivery of public services or management of public resources
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ENABLING ENVIRONMENT

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INDICATORS

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The capacity of target NGOs & Federations is strengthened

The capacity of target RPOs is strengthened

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 - Conflict management & resolution skills
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- Percentage of targeted COs which report their organization's interests are effectively aggregated and represented by the target RPO
- Percent of RPOs whose membership is stable or increasing

Leslie Fox, Thunder & Associates, Inc.

The Role of Local Level Civil Society

In the Promotion of
Democratic Governance

2/22/96



Governance

- The way in which any social unit -- from an entire society to the smallest association -- organizes itself to make collective decisions, to promote shared interests, or to solve common problems

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Public

- Any social unit that is performing a governance function, that is, making collective decisions, allocating and managing shared resources or solving common problems, can be considered public

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Good Governance

Effective problem solving, decision-making or the efficient allocation and management of public resources; normally achieved when there is:

- **Transparency** in the way decisions or policies are made
- **Accountability** by those making and executing policies
- **Responsiveness** of those making policies to the needs of those who will be affected by them

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Democracy

A set of governance rules which promotes

- **political competition and participation** as a means for gaining political accountability; normally attained through elections
- adherence to the **rule of law** as the basis for regulating political, economic and social life, and as a way of ensuring **basic human rights**

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Democratic Governance

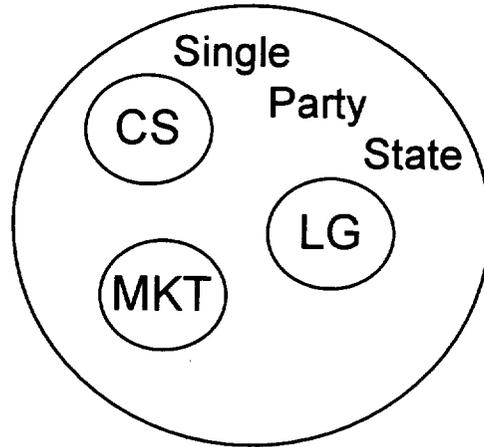
- **Shared governance** in which not only **central state institutions** but also **civil society and local governments** have a right to participate in governance matters at both the local level and beyond

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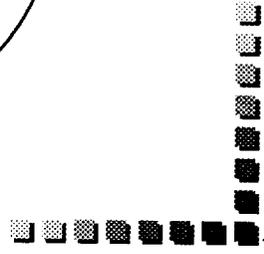
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Authoritarian Governance



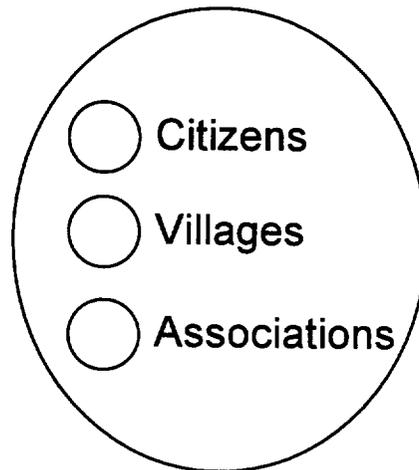
No Legitimacy

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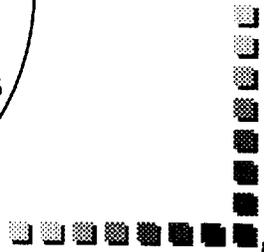


Democratic Governance

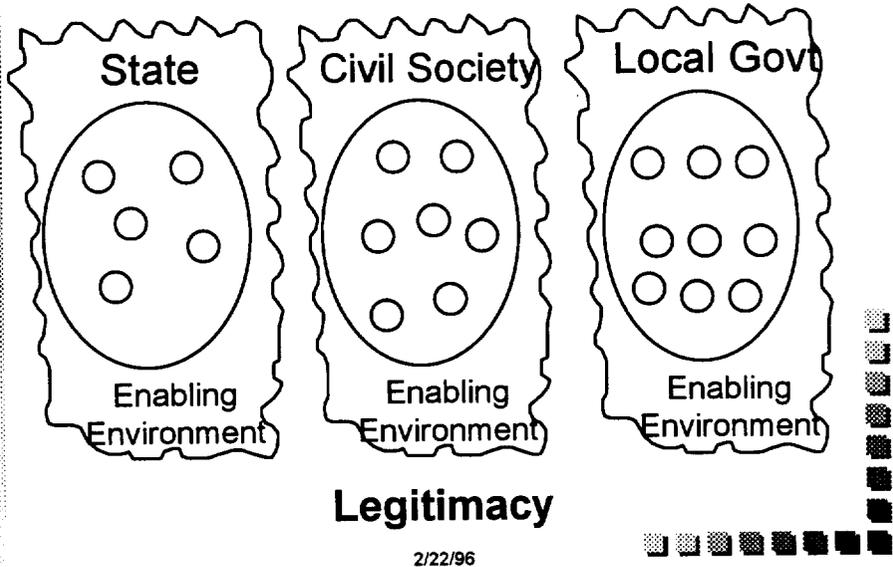
Society



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Autonomous Realms of Governance



Functions of Democratic Governance

- **Accountability:** Ensuring the integrity of constitutional rule and limiting the arbitrary exercise of authority and particularly the potential abuse of power by any given social or political entity;
- **Policy Making:** Participating in the formulation of public policy including governance reforms around issues of national and local interest

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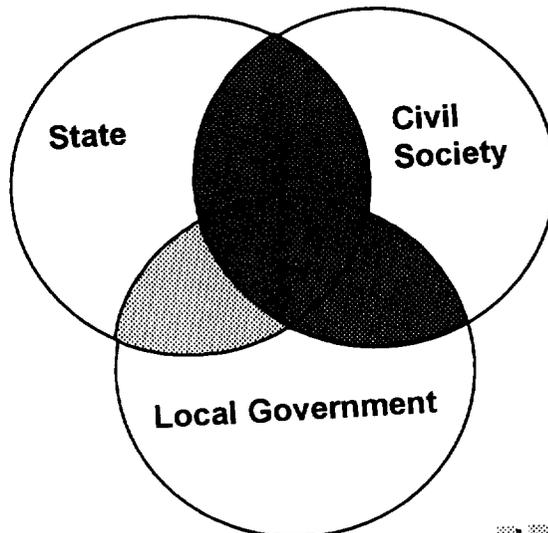
Functions of Democratic Governance

Cont...

- **Policy Implementation:** Undertaking the actual execution of public policies and governance reforms, including the delivery of public services, the management of public resources, and the promotion of public economic welfare
- **Citizenship & Socialization:** Promoting and deepening norms and networks of civic engagement through democratic governance practice

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Model of Governance Interaction



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Civic Society

- That subset of civil society that undertakes demand-side public governance functions and in many cases supply-side governance functions as well

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Multipurpose Civil Society Organizations (M/CSOs)

- Those organizations that undertake civic action as one of many services provided either to members or clients. M/CSOs are normally formed around a specific sectoral need of their members or clients

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M/CSO Partner Organizations

Those M/CSOs who deal with client organizations which are technically outside their organizational framework in a legal sense.

- Client groups have an **indirect voice** in the decisions that the M/CSO Partner Organization makes concerning its activities.
- These organizations must have direct linkages with and knowledge of their target or client groups.

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Representative Organizations

M/CSOs which are grassroots membership based associations and the federations which represent them at higher levels of state governance.

- All decision-making concerning what activities will be undertaken is **directly** made by the members of the representative organization.

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Specialized Civic Organizations (Civics)

The **only** activity of Civics is civic action: either holding the state accountable for its governance performance (watchdog) and/or trying to influence the shape of public policy.

- Civics do not normally have either a mass-based membership or a defined client group, at least at the primary level of association
- The types of policies civics try to change and the state institutions they attempt to influence or monitor are at the macro social, political, or economic level.

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Objectives of the DG/SO

What Do We Want to Accomplish?

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1

The Vertical Logic of Program Design

- **Objective Trees**
 - *Strategic Objective: Development Hypothesis*
 - *Intermediate Results: Desired change*
 - *Activities: How to get to that change*
 - *Indicators: How to measure that change*

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2

Vertical Logic: What Should the intermediate results be?

Intermediate Results should encompass some behavioral change in intended beneficiary groups, i.e., community organizations, RPOs, Malian intermediary organizations, the Government of Mali, etc.

- *Intermediate Result: Evidence of actual behavioral change*
- *Indicators: How to measure that evidence*

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3

The DG/Strategic Objective

■ DG/SO Development Hypothesis:

If community organizations from targeted communes play a leading role in governance at the local level and beyond, including development decision-making and planning, then they will contribute to Mali's social, political and economic development.

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4

What is the Relationship between the SO & the Intermediate Results?

■ *The Strategic Objective is expected to result from the **combination** of behavioral changes represented by the intermediate results.*

- *No one intermediate result is sufficient to produce the objective*
- *Other factors are also necessary to produce the objective but are beyond the control or scope of the program*

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5

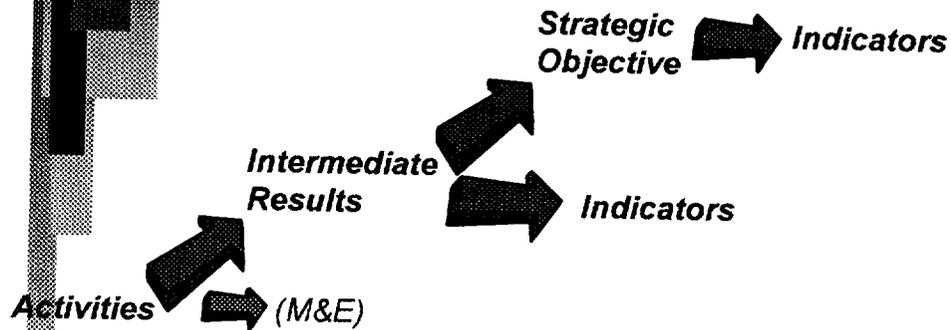
What should the intermediate results be?

■ *Intermediate results should be low enough in cause-effect chain to be feasible as a “stretch concept,” and thus evoke commitment from all key development actors: program team, sponsoring agency, beneficiaries, and external contributors/donors.*

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6

Cause & Effect, & Indicators



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7

Exercise: Vertical Logic I

- What is our logic so far?
 - Will the intermediate results contribute to the strategic objective?
 - Are they reasonably sufficient to meet the objective?

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8

*Exercise:
Vertical Logic II: Activities*

- Now complete the vertical logic of the objectives:
 - Will the proposed activities contribute to the intermediate results?
 - Are they reasonably sufficient to produce the desired behavioral changes (intermediate results)?

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9

*Exercise: Is Our Results
Framework Logical & Realistic?*

- What should be:
 - added
 - removed
 - revised?

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10



DG/SO Indicators:

How Do We Measure Our Results?

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1

What Should the Indicators Be?



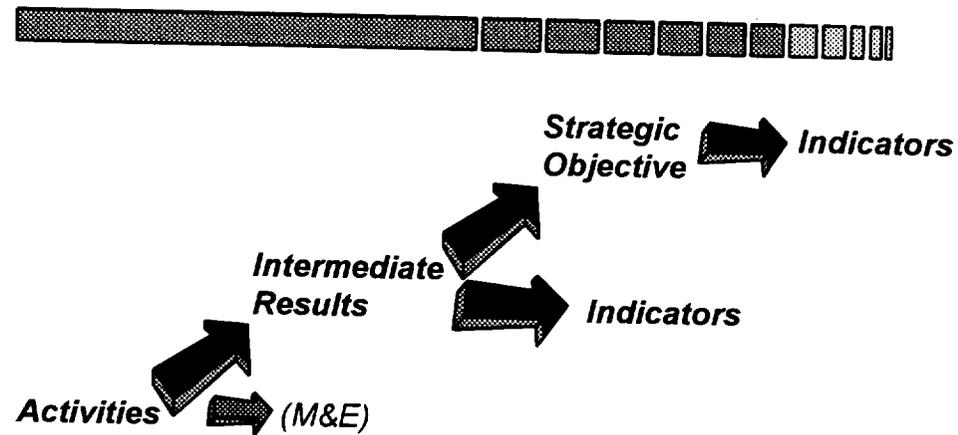
Indicators for Intermediate results should be:

- quantifiable or observable (reasonably measured)
- appropriately specific:
 - Indicators: Quality
 - Targets: Quantity
 - Time Frame: Time
- sufficient to measure behavioral changes, **but not exhaustive**

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2

Cause & Effect, & Indicators



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3

Exercise: Indicators



How can we measure these behavioral changes?

- Are the indicators:
 - Sufficient but not too redundant?
 - Reasonably measurable?
 - Appropriately specific?
- Which indicators should be:
 - Removed
 - Revised
 - Added?

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4

Stakeholders,
Customers, & Partners
Maximizing Responsiveness
and
Ensuring Effectiveness &
Sustainability

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1

Stakeholders:

**Institutions, groups, or individuals
who:**

- have an interest in the success of the program or its activities
- contribute to or are affected by the objectives of the program or its activities
- can influence the problems to which the program and its activities respond

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2

Customers:

Stakeholders (institutions, groups, or individuals):

- who are the direct and ultimate beneficiaries of the program, and
- whose participation is essential to achieving the Strategic Objective's results.

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3

Partners:

Stakeholders (institutions, groups, or individuals):

- who work cooperatively with the G Team to achieve mutually agreed upon objectives and to secure customer participation in support of the DG/SO

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4

Exemplary Stakeholders:

- **Customers:** Community organizations, RPOs, Malian intermediary organizations
- **Partners:** Malian intermediary organizations, RPOs, USPVOs, US & Malian contractors, independent consultants, US Embassy, Malian Government
- **Other:** Central Government, communal governments, political parties, other donors

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5

Stakeholder Analysis:

Technique for assessing the interest of influential institutions, groups, and individuals, and resources they can mobilize to affect outcomes

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6

Why is Stakeholder Analysis Important?

- ➔ To identify if an institution, group, or individual can damage or weaken the ability of the G Team and its partners to effectively pursue and achieve the DG/SO
- ➔ To give close consideration to whether an institution's, group's, or individual's support provides a net benefit or loss to, or strengthens or weakens the DG/SO's management and implementation structure and capacity
- ➔ To count as a stakeholder a group that is capable of influencing the direction of the DG/SO strategy

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7

Elements of the Approach

- **Program Issue or Decision** -- The Strategic Objective to be Achieved
- **Stakeholder Interest**-- The stakeholder's benefit or loss from the objective
- **Resources**-- Stakeholder's access to or potential contribution of resources to affect the objective's success

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8

What Are the "Resources" & the "Stakes"?

- Potential **resources** include the following: economic goods and services, force, authority, information, status, legitimacy, general political support, and financial, material, and human resources. Many of these might also be the "**stakes**" for particular groups.

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9

Strategic Analysis Matrix

Strategic Objective:

Stakeholder	Customer, Partner, Other?	Stake or Interest	Supportive of Objective?		Relative Importance	Potential Contribution
			Yes	No		
1						
2						
3						
4						
5						

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10

Task

Complete the Stakeholders Analysis Chart

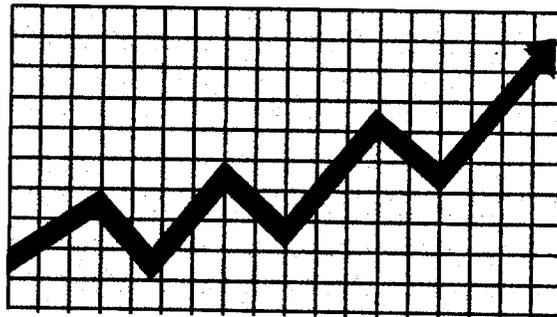
- Discuss & list the major “stake” or “interest” of each stakeholder
- Determine the degree of support or opposition
- Rank each stakeholder’s relative importance to the DG/SO’s success (1-10)
- Indicate their potential contribution

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11

Monitoring & Evaluation

The Challenge for the DG/SO



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What Can Be Measured?

- ◆ Inputs
- ◆ Throughputs (process or behavior)
- ◆ Outputs

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2

Emphasis Under Reengineering

Outputs:

- ◆ Have the goals been reached?
- ◆ Have the problems been solved?
- ◆ Do results justify expended resources?
- ◆ If no to the above, what needs to be changed?

The DG/SO Challenge

- ◆ Behavioral changes: unquantifiable results
- ◆ Unpredictable operational environment
- ◆ Unpredictable external environment
- ◆ Immature operationalization of DG theory (state-of-the-art)

Response

- ◆ Be specific about objectives and indicators
- ◆ Monitor and control *process* and *behavior* in implementation
- ◆ Use a *multidimensional* approach
- ◆ Incorporate a strong feedback and learning component

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5

Qualifier

No one system can provide *all* the needed or desired management information:

- ◆ Not all information can be obtained
- ◆ Not all indicators are measurable
- ◆ 100% accuracy is unattainable

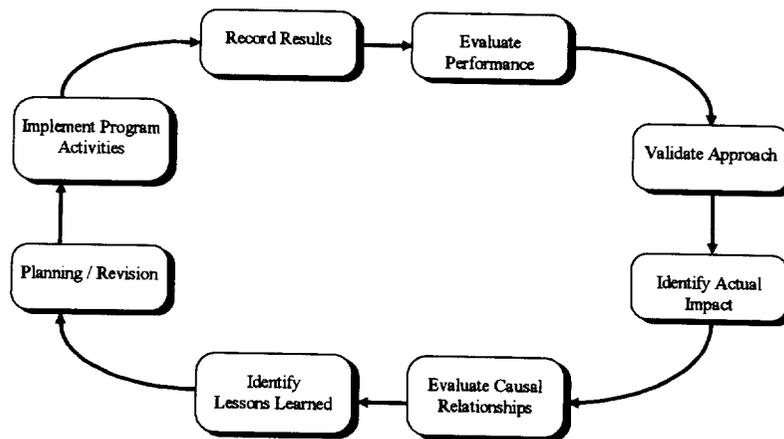
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6

Judging Results Under Reengineering

- ◆ To *assure accountability* by verifying that our resources are being well-spent and that our programs are achieving expected results
- ◆ To *improve management* by identifying 1) progress in achieving expected results, 2) problems (and successes) as a basis for strategic and tactical decision-making, and 3) information gaps where additional knowledge and attention is needed
- ◆ To *improve our understanding of development* by assessing impact, identifying lessons learned, and advancing broader development theory and practice

M&E: Process & Components



Methodologies

- ◆ Administrative Data
- ◆ Informal & Small-Scale Surveys
- ◆ Rapid, Low-Cost Studies
- ◆ Case Studies
- ◆ Commissioned Research
- ◆ Evaluations

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9

Administrative Data

- ◆ Regular submission of reports by Mission and local implementers/partners
- ◆ Results are quickly tabulated, analyzed and shared with management on a regular basis
- ◆ Results to be shared with the G Team, Results Center, and relevant implementing partners

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10

Small-Scale Sample Survey on Participation in Governance

- ◆ Base-line data in year one; subsequent time series analysis
- ◆ The aim of this survey is to measure whether or not individuals' and community organizations' participation in governance has been enhanced by program activities.

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11

Informal Survey on Quality of Life & Progress of Development

- ◆ Base-line data in year one; subsequent time series analysis
- ◆ The ultimate goal is to assess whether or not the efforts of individuals and community organizations to participate in governance result in their development priorities being addressed.

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12

Rapid, Low-Cost Studies

- ◆ Emphasis on gathering empirical data in informal ways
- ◆ Purpose:
 - To monitor specified indicators (time series)
 - To explore unanticipated implementation results
- ◆ Guiding principles:
 - Optimal ignorance: knowing what is not worth knowing
 - Proportionate accuracy: the avoidance of unnecessary precision

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13

Case Studies

- ◆ Purpose:
 - To determine those factors which enhance or impede implementation
 - To examine unanticipated and secondary effects of the project
- ◆ Puts the project in its historical and socio-economic context
- ◆ Not done in isolation:
 - Provides basis for comparative evaluation
 - Facilitates the isolation of external factors beyond the control of project management

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14

Commissioned Research

◆ Purpose:

- Verify important assumptions at critical points in the implementation process and the programs evolution (e.g., causal relationships)
- Validate the attribution of outcomes to program efforts
- Investigate and begin to identify the causality of unanticipated results
- Begin to draw important theoretical generalizations and practical implications of lessons learned
- Assess the affect of key macro-political and economic developments on the program's activities

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Evaluations

- ◆ More comprehensive analysis of program results over time

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16

USAID IC/SO Information Center

- ◆ Coordinate the selection of DG information, periodicals, and data to be made available
- ◆ Identify and access relevant information sources available through the INTERNET
- ◆ Utilize GIS to monitor the progress of key indicators on a comparative geographical basis

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Reengineering Information Services

- ◆ Results Package Information System
- ◆ Results Tracking System

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Components of Proposed System

- ◆ Administrative Records
- ◆ Small-Scale Sample Survey on Participation in Governance
- ◆ Informal Survey on Quality of Life and Progress of Development
- ◆ Rapid, Low-Cost Studies in Areas with Unexpected Results (poor performance)
- ◆ Rapid, Low-Cost Studies in Areas with Significant Improvements

Components of System Cont...

- ◆ Case Studies of Areas Yielding Significant Improvements
- ◆ Commissioned Research
- ◆ Evaluation
- ◆ Participant Observation: Periodic and regular monitoring of the democratic internal workings of associations and in the relationship of associations with RPOs (G Team as "Learning Lab")

Dissemination

- ◆ Administrative Records: Biannual
- ◆ Rapid, Low-Cost Studies and Case Studies: as completed
- ◆ Dissemination Workshop, Year Two: G Team, Results Center, PDO officers of USAID, USAID implementing partners, representatives of Malian NGOs and Federations, RPOs, and COs
- ◆ Dissemination Conference, Year Three: As above, in addition to: GOM representatives from relevant Ministries, agencies, and elected bodies, and other donors working to support DG in Mali (will include the commissioning, presentation, and discussion of research)

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Finalization of M&E System

- ◆ Will be iteratively refined throughout the program
- ◆ Short run will depend on Results Center, M&E efforts of other SOs, and available budget (0.5-3% of program budget)

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