HUMAN RESOURCES DEVELOPMENT SECTION
SOCIAL DEVELOPMENT DIVISION

ESCAP HRD Course for Poverty Alleviation

Module 8

Project Management

UNITED NATIONS

Economic and Social Commission for Asia and the Pacific

Overall Objectives of the Module

This module seeks to achieve the following objectives:

To familiarize participants with the project management cycle;

To equip participants with key project planning and implementation concepts, tools, and techniques;

To impart skills to participants in the area of people management; and

To enable participants to understand the importance of monitoring and evaluation, and how to put these principle into practice.

Structure of the Module

In order to implement effective poverty alleviation programmes, managers must be equipped with planning and management skills to implement projects that are needs-responsive, participatory, gender-responsive, effective, and sustainable. This Module provides the necessary tools for the successful implementation of poverty alleviation projects.

Session I of the Module provides an overview of the concepts and principles of project planning and management. Session II analyses the different tools necessary for project planning and management such as community needs assessment, logical framework analysis and proposal writing. Session III discusses people management problems encountered during project implementation. Finally, Session IV outlines the concepts of monitoring and evaluation and reviews the tools necessary to conduct such exercises including data collection and analysis techniques.

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Session

I

Overview of Project Planning and Management

Session Objective

The objective of this session is:

> To familiarize participants with the project management cycle and the basic principles of project planning and management in the context of a community-level poverty allevation programme

Session Contents

ACTIVITY 1

Icebreaker

(Option A)

Objectives

1. To create an atmosphere of learning and active participation among participants.
2. To enable participants to get to know one another.
3. To introduce an important subject to be covered in the training course in an informal manner.

Method

1. Distribute four blank cards to each participant.
2. Ask each participant to write down on each card a problem they frequently encounter in project implementation.
3. Collect all the cards from the participants, shuffle them, and lay them on the ground.
4. Have each participant select any four cards that are not their own.
5. Ask participants to pair up with someone that they do not know in the group and engage in a discussion based on the card responses.

Materials

Blank cards (A4 paper cut in half), crayons or coloured markers.

Facilitator's notes

1. The answers on the cards can be used in later exercises when project planning, implementation and management are discussed.

ACTIVITY 2

Icebreaker

(Option B)

Objectives

1. To create an atmosphere of learning and active participation among participants.
2. To enable participants to get to know one another.
3. To introduce topics to be covered in the training course in an informal manner.

Preparation

1. Set up a "station" in each corner of the room. Each of the 4 stations should contain a flip chart stand, flip chart paper and markers. Provide each station with a different name, for example, India, Cambodia, Mongolia, and Fiji.

2. Prepare one "ticket" for every participant. On each ticket, list the names of each station so that there are an equal number of tickets with one station assigned to every number. The sequencing of the stations should change with each number; for example, if there are 16 participants, four cards should have India as #1, four cards should have Cambodia as #1 and so on. The four people that had India as # 1 should have different countries for #2, except for two of them. This should be continued so that no two participants should meet at the same station more than twice.

3. At each station write one of the following questions on the flip chart paper:

Station 1 (India):	What are your expectations for this training workshop?
Station 2 (Cambodia):	What problems do you most frequently encounter in project implementation?
Station 3 (Mongolia):	What do you think are the characteristics of a good manager?
Station 4 (Fiji):	How do you know if your projects are effective?

Method

1. Distribute one of the prepared tickets to each participant.

2. Explain the steps of the exercise:

   Each participant will be asked to go to their first station on their ticket. They should conduct a short brainstorming session on the question posted on the flip-chart. Every one in the group should be encouraged to participate.

After ten minutes, the facilitator will indicate that it is time to proceed to the next station. The second group at the station should again brainstorm about the question on the flip-chart, but simply add answers to the chart that are not already posted. Should a participant agree with an answer on the chart, a tick can be made alongside the word to show the number of people that had the same response.

Participants should stay at their fourth station once they have finished brainstorming. One representative of the group will be asked to present the responses of that last station in plenary.

3. Ask participants to go to their first station.

4. After every ten-minute interval, have participants proceed to their next station.

5. At the final station, ask a representative of each station to present the findings of that station's brainstorming session.

Materials

Four flip-chart stands, flip-chart paper, four big coloured markers, A4 paper cut in half.

Facilitator's notes

1. During the brainstorming sessions, visit each group to make sure that the participants understand the question and are participating actively.

2. The third and fourth rounds may go more quickly as many of the answers may have already been provided by previous groups.

3. The results of the brainstorming sessions will be useful input into later exercises in the training course.

ACTIVITY 3

Icebreaker

(Option C)

Objectives

1. To stimulate active participation among participants.
2. To enable participants to get to know one another.

Preparation

1. Prepare a BINGO table with (3 horizontal squares x 3 vertical squares).
2. In each of the nine squares, write down a simple descriptive statement of an individual.

   For example:

BINGO Table

Has short hair	Drives a motorcycle	Has the biggest feet
Can sing well	Has two children	Has a dog
Has a younger sister	Tallest in the group	Youngest in the group

3. Reproduce the table so that every participant has a copy.

Method

1. Distribute a BINGO table to each participant.
2. Explain the steps of the exercise:

   The objective of the game is to fill in three squares so that they form a straight line on the table (horizontal, vertical or diagonal). The first person to do this should yell BINGO!

   Each participant asks others questions until they find a participant that satisfies the criteria in one of the nine squares. For example, if Participant X has a dog then his/her name can be placed in the corresponding square.

   Once a person's name has been filled in on the BINGO table, that name cannot be used again. For example, Participant Y cannot be filled in for being the youngest in the group and for having short hair.

3. After someone yells out BINGO, have participants continue to ask questions to other group members until all nine squares are completed.

4. When everyone has filled out their BINGO cards, ask participants in plenary what they found out about one another.
5. Ask participants random questions, such as who had the biggest feet or who was the tallest in the group. If a discrepancy was found in the answers, ask the concerned participants to come and stand in front of the group so that a comparison can be made by all the participants.

Materials

BINGO tables, pens.

ACTIVITY 4

Project Planning and Management: Concepts

Objective

1. To familiarize participants with the project management cycle and its principal concepts.

Method

1. Ask participants in plenary to briefly state what makes a poverty alleviation project successful. Summarize their responses in one or two words on the overhead projector.
2. Introduce the importance of planning and management and key questions to consider in planning, using Overhead 4-1 and Overhead 4-2 respectively.
3. Outline that the training course is primarily concerned with project level activities, but that programmes and policies can make a considerable impact on projects. Illustrate the difference between a project, programme and policy using Overhead 4-3 and Overhead 4-4.
4. Question participants in plenary on the components of a project cycle and write their responses on the overhead projector.
5. Have one participant order the components and then ask whether any of the other participants disagree and why.
6. Show Overhead 4-5 and stress that monitoring and evaluation should be an integral process of each component of the project cycle.

Materials

Overheads 4-1 to 4-5, overhead projector, blank transparencies, transparency markers, tissues.

Facilitator's Notes

1. Gender analysis and participation are cross-cutting issues that should always be considered when discussing project planning and management. The relevant tools and techniques are discussed in subsequent activities.

OVERHEAD 4-1

Why planning and management?

- Identifies clear objectives and expected output
- Ensures participation of intended beneficiaries
- Anticipates risks
- Meets the needs of varied stakeholders: community members, local/national government, NGOs, national/international donors
- Ensures sustainability

Overhead 4-2

Key planning questions:

What are the goals and objectives of the poverty alleviation programme?

Who is the target group?

What are the specific activities to be undertaken?

Who will undertake these activities?

What type of training is needed?

When are these activities to be undertaken?

What kind of problems might arise in connection with the activities?

What preparation is necessary to cope with those problems?

Where will these activities be implemented?

What resources will be required?

Who will provide the resources?

How will networking with other organizations be undertaken?

What are the strategies for resource mobilization?

What objectives and targets are to be achieved?

What kind of supervision and monitoring will be undertaken?

How will these activities be evaluated?

How will the programme planning include women’s participation?

What are the gender issues at the community level that might influence the poverty alleviation programme?

OVERHEAD 4-3

Project

Planned undertaking of interrelated and coordinated activities designed to achieve certain specific objectives within a given budget and period of time.

Programme

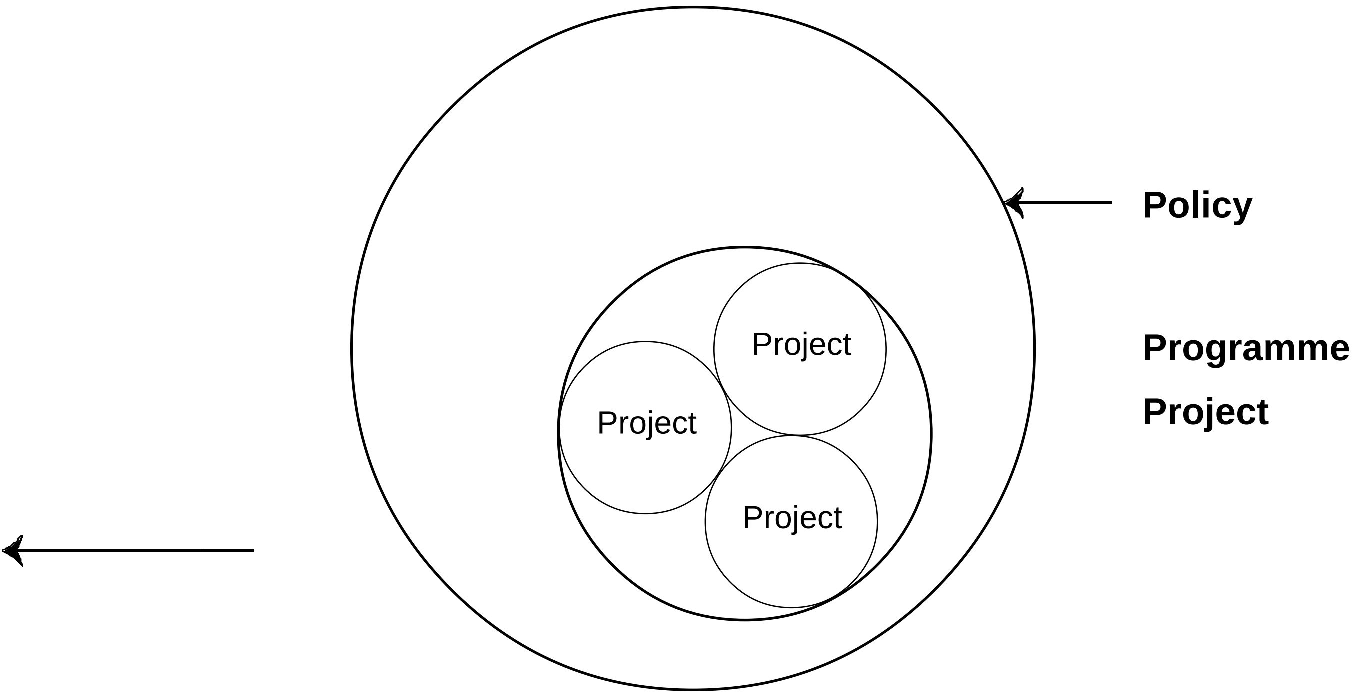
A coherent framework of action for achieving certain larger objectives, which comprise separate sets of activities oriented toward the attainment of specific objectives.

Policy

A public commitment to work towards achieving specific goals, set out objectives and priorities, and ensure implementation through resource provision (e.g. five-year development plans, sectoral policy papers, action plans).

OVERHEAD 4-4

Policy, programme and project



OVERHEAD 4-5

Project cycle

Reporting

Problem Identification/Analysis

M&E

Implementation

Design/Plan

Project Formulation

ACTIVITY 5

Participation and the Project Cycle

Objective

1. To introduce the concept of participation to participants in the context of community-level poverty alleviation activities.

Method

1. Ask participants to define participation in the context of community-level poverty alleviation activities. Write their responses on the flip-chart.
2. Lead a brief discussion on why participation should be integrated throughout the project cycle.
3. Summarize the two discussions using Overheads 5-1 and 5-2.
4. Discuss with participants the conditions that are conducive to participation, as well as those that impede it using Overheads 5-3, 5-4 and 5-5.
5. Divide the group into groups of five people. Ask them to brainstorm on ways to overcome the impediments to participation and write their responses on flip-chart paper.
6. In plenary, ask a member of one group to report the results of the small group discussion. Then, ask other groups to add to the list of responses of the first group if they have additional points to make.
7. Conclude that although participation may not always be easy or successful, participatory projects are more sustainable than non-participatory ones.

Materials

Overheads 5-1 to 5-5, overhead projector, flip-chart paper, markers, boards.

Facilitator's Notes

1. (For Overhead 5-1) The stakeholders of a project are those people who affect or who are affected by the outcome of a project in a positive and/or negative sense. Involving stakeholders in all stages of the project cycle includes project identification, design, appraisal, implementation, monitoring and evaluation. There are still relatively few examples of projects that have been monitored and evaluated in a participatory manner by target groups.
2. (For Overhead 5-2) Participation can be both the means and the end of a poverty alleviation project. As a means, the involvement of the target group in the whole project cycle increases chances for success, due to the fact that the target group has a stake in the project. As an end, an empowered and skilled target group can generate further activities to improve their livelihood and can better integrate with other communities.

3. (For Overhead 5-3) If the target group is involved in the monitoring and evaluation of the project, they can alter the project according to their needs. If the target group assesses that the project has been truly useful, the members will be more likely to ensure that efforts are sustained.

4. (For Overhead 5-4) In order to minimize the risks involved in participatory project management, try to avoid the following:

   - Creation of unrealistic expectations
   - Exclusion of the poor and marginalized groups by those people who falsely claim to represent them
   - Generation of conflicts among stakeholders
   - Failure to realize and accept cultural and political limitations
   - Allowance of participation to undermine technical work

5. Risks associated with participation can be managed in the following ways:

   - Introduce participation from the beginning of the project cycle and not as an afterthought, particularly in the identification of stakeholders
   - Hire people trained in participatory methodologies as necessary
   - Clarify the rights and responsibilities of all stakeholders at the start of the project
   - Be flexible, creative and responsive to the changing needs of all stakeholders during the project cycle
   - Fully understand the strengths and weaknesses of the participatory methods chosen in the social and cultural context of the community

Further Reading

ESCAP (1999). *Tools for Partcipatory Community Empowerment. Module 4 of the ESCAP HRD Training Series on Training for Development.* Bangkok: United Nations.

OVERHEAD 5-1

What is participation?

Involvement of stakeholders at all stages of the project cycle

- Stakeholders = poor women & men
  = NGOs
  = government officers

Control of stakeholders over decision-making processes and resources

Institutionalization of decentralized decision-making so that stakeholder involvement becomes a normal part of the development process

OVERHEAD 5-2

Why participation?

Address needs of target group

Empower target group

Ensure project success and sustainability

Generate social learning and invention

OVERHEAD 5-3

Conditions that are conducive to participation[1]

Stakeholders are willing to participate

Project has clear benefits

Project manages a common resource where benefits are divisible but the resource is not

Conflicts among stakeholders are over the means to attain goals, not the goals themselves

At least one of the stakeholders is committed to participation

[1] IADB 2000

OVERHEAD 5-4

Impediments to participation[2]

Fear of losing control on the part of the government or the institution proposing the project

Lack of experience and capacity of project managers in regard to participation

Absence of democratic institutions and practices as well as the presence of hostility toward participation

Inflexible and/or centralized government or donor

Belief in the merit of conducting activities in the traditional way

[2] IADB 2000

OVERHEAD 5-5

Use of participation rhetorically in order to secure donor funds

Use of participation to shift the responsibility for a failed project to local groups

Existence of social or religious conflict among stakeholders

Failure to commit sufficient resources to identify stakeholders, particularly poor and marginalized people

Lack of visible results and feedback to the target group

ACTIVITY 6

Gender Analysis and the Project Management Cycle

Objectives

1. To introduce participants to the key analytical concepts of gender and development, including gender, sex, gender roles, gender stereotypes, gender relations and gender analysis.

2. To enable participants to understand the relevance and importance of gender analysis in the context of the management of community-level poverty alleviation activities.

Method

1. Distribute a marker and two blank cards of different colours (e.g. one green and one yellow) to each participant.

2. Ask each participant to write on one of the coloured cards (e.g. the green one) the first word that comes to mind when they hear the word “woman”.

3. With the other card (e.g. the yellow one), ask each participant to write down the first thing that comes to mind when they hear the word “man”.

4. Collect all the cards from the participants and separate them into a yellow pile and a green pile.

5. Divide the board into two sections and stick a card with the word ‘woman’ on one side of the board and another card with the word ‘man’ on the other.

6. Stick all of the green cards under the heading ‘woman’ and then all of the yellow cards under the heading ‘man’.

7. Review the participants’ feedback in plenary.

8. Switch the two headings of ‘woman’ and ‘man’ so that all the green cards are under the heading ‘man’ and all the yellow cards are under the heading ‘woman’.

9. Discuss with the participants which cards are still applicable. Underline those which no longer belong under the heading. Show Overhead 6-1.

10. Switch the cards for ‘woman’ and ‘man’ back to their original position. Present Overhead 6-2. Ask participants to group the non-underlined cards into three categories: productive role, reproductive role and community role.

11. Discuss the impact of women’s triple role (productive, reproductive, and community roles) on their participation in the community and society, and on their needs. Present Overhead 6-3.

12. Explain that men and women’s participation can also be influenced by gender stereotypes. Provide a personal example of the origins of such stereotypes and illustrate that gender roles are not static but can change over time.

13. Discuss gender relations and their impact on the development process.

14. Distribute HANDOUT 6-1. Discuss the impact of gender stereotypes and gender relations on the development process.

15. Conclude the session by discussing Gender Analysis. Show Overhead 6-4.

Materials

Overheads 6-1 to 6-4, Handout 6-1, board, overhead projector, overhead pens, flipchart paper, coloured markers, masking tape, and A4 paper in two different colours cut in half.

Facilitator's Notes

1. After the cards 'woman' and 'man' have been switched (see Method #9), ask participants whether a woman can have the characteristics which are now listed under 'woman' but which are traditionally male, and whether a man can have the characteristics now listed under 'man' but which are traditionally female.

2. Underline those cards which are sex specific, such as pregnancy, child rearing, breastfeeding, and impregnation. Explain that these cards form the elements of the term sex whereas the remaining cards represent components of gender.

3. Illustrate that gender is reflected in gender roles, gender stereotypes and gender relations and that these three concepts impact development.

4. After presenting the concept of gender roles (Method #10), ask participants what the primary and secondary gender roles for women and men are in their society.

5. Explain the possible effects of women's triple roles on their participation due to their long working hours, lack of spare time, and limited movement on account of their reproductive roles. Discuss the needs that arise from women's reproductive roles. Conclude that planning development activities must be done in consultation with both women and men to ensure that the project design enables both parties to fully participate and benefit.

6. Gender stereotypes can also affect the participation of men and women. An example of political participation of women could be used to illustrate the point. In many societies, there is a pervasive belief that women cannot be leaders. This belief or stereotype stems in part from the roles adopted by women and men of past generations. If one looks at the generation of one's grandparents, the average family size in most cases was much larger than those of one's parents and oneself. In the past, having many children made it more difficult for women to be active outside their homes. With few role models of women politicians, women of the next generation tended to follow the lead of their parents. Over time, however, gender roles as well as gender stereotypes have been changing.

7. Gender relations refers to the relationship between men and women with an emphasis on power relations.

OVERHEAD 6-1

Sex

- Female/male
- Biologically determined
- Fixed at birth

Gender

- Feminine/Masculine
- Socially determined
- Not fixed; changes over time

OVERHEAD 6-2

What are gender roles?

- Reproductive roles
  - *Domestic responsibilities*
  - *Childcare*
- Productive roles
  - *Paid/Unpaid work*
- Community roles

OVERHEAD 6-3

Gender Roles affect

- Needs
- Participation

Example

Gender Role:
Woman cares for newborn.

Need:
Women require access to health care centres.

Participation:
A woman’s role as a mother can affect her participation in activities due to time and location constraints.

OVERHEAD 6-4

Gender Analysis

What?

A systematic effort to identify and understand the different roles, needs and interests of women and men in a given socio-cultural context

Why?

- Makes women visible
- Helps to anticipate the project's impact on both women and men

HANDOUT 6-1

What were the problems?

1. Fish preservation and processing project

District X, a group of fishing communities, had a problem of high unemployment of youth. The Ministry of Fisheries thus began a project to promote advanced techniques in fish preservation and processing in order to improve the situation. Skills training courses were organized in several communities for youth participants selected by a local extension worker and the necessary equipment and resources were provided.

After a period of three months, the progress of the project was assessed. It was found that the number of unemployed youth had remained constant. Furthermore, the activities of fish preservation and processing had not begun.

What were the possible problems?

2. Income generation project for women

An NGO discovered that Village Y had a high number of poor female-headed households and thus, initiated training courses in sewing for women in that village. After a high attendance on the first day of the class, the subsequent classes saw very low rates of participation.

What were the problems?

Session

II

Project Planning and Design

Session Objective

The objective of this session is:

> To familiarize participants with the project management cycle and the basic principles of project planning and management in the context of a community-level poverty allevation programme

Session Contents

ACTIVITY 6

Project planning: key components

Objective

1. To review the key steps involved in the project planning process.

Method

1. Provide participants with an overview of the planning process as well as the key steps involved using Overheads 6-1 and 6-2.
2. Conduct a brainstorming session in plenary on the elements of a good plan, writing the responses on a flip-chart.

Materials

Flip-chart, markers, Overheads 6-1 and 6-2.

Facilitator's Notes

1. For Overhead 6-2, the following questions could be used to elaborate on some of the planning steps as follows:

   Resources

   - What resources are needed?
   - How will resources be collected?
   - What are the local resources?
   - How will the resources be mobilized?

   Networking

   - Who are the potential networking partners?
   - What collaboration methods would be effective (for both NGOs and GOs)?

   Implementation strategy

   - What are the potential constraints (e.g. budget inadequacies, inter-personal conflicts, lack of staff capacity, high staff turnover, external problems such as political changes or natural disasters)?

   Allocation of job responsibilities

   - Who will perform the tasks?
   - What are the skills and knowledge required?
   - How will personnel be trained?
   - What is the organizational/supervisory structure?

OVERHEAD 6-1

Planning

Planning segment

- Identify and analyse problems
- Set goals, determine inputs and outputs, select indicators

Project formulation segment

- Organize information in a project document

OVERHEAD 6-2

Planning steps

Step 1

Establish baseline data and identify the project

Step 2

Set project goals, objectives, activities and time frame

Step 3

Formulate monitoring indicators

Step 4

Identify resources

Step 5

Design an implementation strategy

Step 6

Allocate job responsibilities

Step 7

Prepare monitoring, evaluation, feedback and follow-up strategies

ACTIVITY 7

Tools and Techniques for Project Identification

Objectives

1. To provide an overview of the steps involved in conducting a community needs assessment.
2. To highlight various tools to assess the development needs within a community.
3. To familiarize participants with mapping, a tool that is often used in the project identification phase of a participatory rural appraisal.

Method

1. Review with participants the steps involved in conducting a community needs assessment as well as various project identification tools, including key informant interviews and tree diagrams using Overheads 7-1 to 7-3.
2. Introduce mapping by showing a clip from the PRA video.
3. Ask participants to brainstorm in plenary the various types of information that maps can provide. Record the answers with markers on flip-chart paper.
4. Divide the group into smaller groups of 5 persons each. If possible, group people by sex.
5. If appropriate, have all groups assemble outside the building.[1] Ask each group to draw a map of the training facility. Encourage them to use chalk, sticks, stones, shells, leaves or other local materials as appropriate.
6. After each map is complete, have one person from each small group draw the group's map on a piece of flip-chart paper using a marker.
7. In plenary, compare the maps and discuss the differences.

Materials

Overheads 7-1 to 7-3, overhead projector, video player, television, PRA video, flip-chart, flip-chart paper, markers, chalk, local materials such as sticks, stones, leaves and shells.

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[1] If it it not possible to go outdoors, prepare materials such as sticks, stones, leaves and shells in advance, and conduct the exercise inside the training facility.

Facilitator's Notes[2]

1. Maps are spatial data gathering tools that give a visual picture of the community. They are useful in determining the following information:

   - Number of households or people living in the community;
   - Presence and location of community resources;
   - Importance of resources to different community groups (e.g. men may show roads in their map, while women may show water wells);
   - General community problems;
   - Specific characteristics of community members;
   - Households to sample for in-depth interviews; and
   - Baseline data for assessing change (de Negri et al 1998).

2. Mapping is a highly participatory tool as it allows everyone in the community the opportunity to participate. Literacy is not a prerequisite for mapping.

3. Several different types of information can be generated from a map. For example, if participants have marked out various households in the community, social development topics can be easily explored. The facilitator can ask the group to mark with a rock or chalk the households that:

   - Use family planning;
   - Have children in and out of school (how many of each);
   - Female-headed households;
   - Have members suffering from various diseases;
   - Have illiterate members (how many);
   - Experience violence against women; and
   - Are the poorest households.

4. The development of maps using local materials may put community members at ease if they are not used to using pen and paper. Once the map is finished, a paper map can be made in order to retain the information for future reference.

5. When examining the differences between the maps of various groups, it is important to note that variations may have occurred due to differing perspectives, priorities or biases. Some groups may have drawn the building in which the training facility is housed in detail and omitted people, whereas another group may have concentrated on the people. Explain to the group that differences often occur between men's maps and women's maps and therefore, it is critical to involve all members of the community in the exercise.

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2 (de Negri et al. 1998).

OVERHEAD 7-1

Community needs assessment steps

- Determine the target group
- Identify the group's needs and problems
- Prioritize the needs and problems
- Analyse the causes and effects of the problems and their relationships
- Identify the core problem
- Outline possible solutions
- Choose an appropriate solution

OVERHEAD 7-2

Key informant interviews

Partially-structured interviews

Preset questions for use as interview guides

Use of probing and open-ended questions
(e.g. Why? What? How?)

Active listening

Cross-checking information

Flexible methods which allow new topics

Conducted with local people (e.g. youth project)

- Leader of a youth group
- Teacher
- Local government official

Note-taking

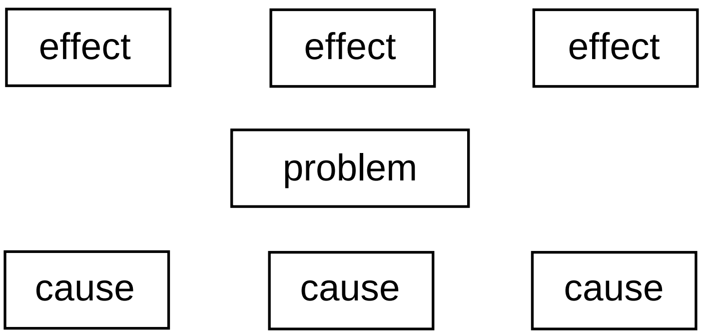
Individual or group interviews

OVERHEAD 7-3

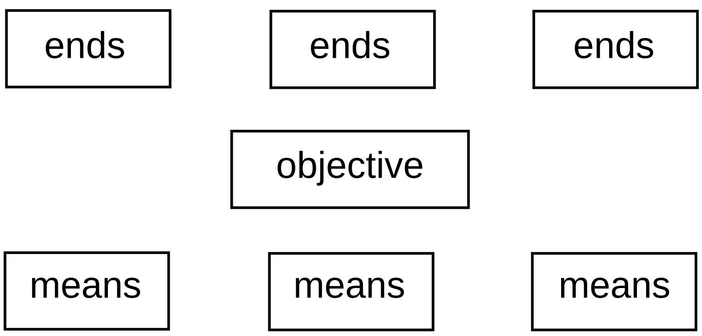
Tree diagrams

- Tool for prioritizing problems and objectives visually
- Analyses underlying causes and effects of problems
- Uncovers means and ends of objectives
- Used in ZOPP

Problem tree



Objective tree



ACTIVITY 8

Tools for Project Identification: Training Needs Assessment

Objective

1. To provide participants with the skills needed to conduct a training needs assessment.

Method

1. Define training needs and discuss the key components of a training needs assessment with participants using Overhead 8-1.
2. Review the various methods to conduct a training needs assessment with Overhead 8-2.
3. Distribute and discuss Handout 8-1.

Materials

Overhead projector, Overheads 8-1 and 8-2, Handout 8-1.

Facilitator's Notes

1. When introducing the activity, explain that training needs assessments are commonly conducted in human resources development projects, because training often forms one component of these projects. In such cases, training needs assessments are an essential part of the project planning process.

OVERHEAD 8-1

Key concepts

Training and development needs = performance gap

The difference between the desired performance level ('what should be') and the current performance level ('what is')

Steps in training needs assessment (TNA)

Establish training objectives

Assess current situation

Decide who will be involved

Select approach

Formulate TNA implementation plan

Gather information and data

- Needs and perception of others
- Problems affecting performance
- Current knowledge-skills-attitude (KSA) of task

KSA needed for the future

What needs to be done and how to do it?

Organize and analyse information

Prioritize issues

Prepare a plan of action

OVERHEAD 8-2

Methods

Observation

- Observe the actual situation
- Examine relationships, work processes, performance levels and people

Interviews

- Face-to-face contact to obtain tranining needs
- Structured and unstructured
- Conducted with individuals or groups

Questionnaire

- List of questions to determine KSA level and training needs

HANDOUT 8-1

Training Needs Assessment Questionnaire[3]
Part I (to be filled out by Staff)

1. Please rate your previous experience, present experience and training requirements related to your job.

	Previous Experience			*Present Job Requirement*			*Training Requirement*		
MANAGERIAL SKILLS									
Communication Skills									
Time Management									
Financial Management									
Project Planning									
Monitoring and Evaluation									
Trouble-shooting									
Report Writing Skills									
FINANCIAL SKILLS…									
ADMINISTRATION SKILLS…									

2. List five major responsibilities assigned under your job description.
3. List five major responsibilities you are presently undertaking.
4. Rate your level of satisfaction with your present job.

   Low 1 – 2 – 3 – 4 – 5 High
5. Are you facing any problems in performing your present duties? If yes, please specify.
6. What part of the job gives you the most difficulty? Specify.
7. In your opinion, how can these problems be resolved?
8. What type of training do you require to improve your working skills?
9. Do you know of any institutions that provide such training? Specify.
10. Please provide your name, title, qualifications, and any professional training that you have had.

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[3] (NRSP 1997).

Part II (to be filled out by Supervisor)

1. What are the major responsibilities of the staff member?
2. In your opinion, which skills are required to improve his/her performance (what training would you recommend)?
3. Do you have any other comments or suggestions concerning the staff member on enhancing his/her working skills?
4. Please provide your name and title.

ACTIVITY 9

Planning Tools and Techniques

Objective

1. To provide an overview of the common tools and techniques used in project planning including logical framework analysis (LFA), participatory rural appraisal (PRA), appreciation-influency-control (AIC), and objectives-oriented project planning (ZOPP).

2. To equip participants with the ability to use the logical framework analysis.

Method

1. Distribute Handouts 9-3 to 9-5 to participants.

2. Briefly outline the following planning tools and techniques: logical framework analysis (LFA), participatory rural appraisal (PRA), appreciation-influence-control (AIC), and objectives-oriented project planning (ZOPP). Show the video "Questions of Difference: PRA, Gender and Environment" (optional).

3. Review LFA in depth using Overheads 9-1 to 9-2.

4. Using Handout 9-2 as an example, outline one goal, objective, output and activity of the Programme Logframe.

5. Distribute Handout 9-1 to all participants.

6. Ask participants to develop a simple logframe for a poverty alleviation project, or part of a project, that they are familiar with, limiting themselves to three objectives, three outputs and three activities.

7. Collect all logframes and review them on an individual basis. Provide written feedback to participants on the following day of the workshop.

Materials

Overhead projector, video machine, television, Overheads 9-1 to 9-3, Handouts 9-1 to 9-5, video *Question of Difference: PRA, Gender and Environment,* pens.

OVERHEAD 9-1

Logical Framework Analysis

A planning and programming tool that:

- Creates a hierarchy of aims
- Highlights external factors that may impact the implementation of the project
- Establishes criteria for M and E
- Clarifies how planned activities will help to achieve the objectives
- States the implications of carrying out the planned activities in terms of resources, assumptions and risks

OVERHEAD 9-2

LogFrame Components

1. Goal

- Broad health, welfare and quality of life aim towards which the poverty alleviation project will seek to fulfill

2. Objective

- How the goal will be achieved
- SMART (specific, measurable, attainable, realistic, time-bound)

3. Outcome

- End products of the project

4. Activities

- Main elements of the project
- Accomplishment of which will result in delivery of output

OVERHEAD 9-3

5. Indicators

- Objective measures used to verify progress and achievement of the project

6. Means of Verification

- Methods of collecting & assessing information with regard to the indicators (e.g. progress reports).

7. Risks/Assumptions

- Events and conditions outside the control of planners and implementers that may impact the attainment of aims and objectives

HANDOUT 9-1

Logical Framework Matrix

	Indicators	*Means of Verification*	*Risks/ Assumptions*
Goal			
Objectives			
Outcome/Output			
Activities			

HANDOUT 9-2

Promoting HRD of young people through integrated approaches to sexual and reproductive health and prevention of substance abuse and HIV/AIDS

Programme LogFrame

Subcomponent 1

	Indicators	*Means of Verification*	*Risks/ Assumptions*
Goal			
To enhance the health and development of young people through integrated approaches to sexual and reproductive health, and prevention of substance abuse and HIV/AIDS	Increase in young women and men making informed decisions about their health	• Reports from health and social service clinics • Reports from NGOs and youth organizations • Government youth policies and programmes	• Government/NGO/ community commitment • Meaningful participation of young people • Absence of restrictions limiting young people's access to services and information
Objective			
Promote policies to mainstream health concerns for youth	Change in policies and programmes to integrate youth health concerns Improved communication among stakeholders on youth health concerns	• National policy documents • National programme documents • Meeting and workshop reports	Government commitment
Outputs			
1. Research and documentation that clarifies the health needs of young people, and existing relevant policies and programmes	Increase in knowledge and awareness of youth health needs and existing relevant policies and programmes	Meeting and workshop reports Research reports	Research will lead to a change in policies and programmes
2. Increased capacity of policy-makers and other concerned actors to understand the needs and health concerns of youth	Increased awareness among policy-makers Increased communication among different stakeholders	Policy and programme documents and plans of action	Willingness and commitment by government Different sectors capable of working together
3. Adoption and implementation of integrated policies and programmes concerned with youth health	Strengthened policy framework to address youth health concerns	Government action plans Policy and programme documents	Differing priorities and views of youth health concerns of the government
Activities			
1. Identify counterparts	MOU agreed upon	MOU signed	
2. Development of monitoring and evaluation system	Design and plan devised	Monitoring and evaluation report	
3. Design of primary research methodology and desk research guidelines	Research methodology conducted	Research reports	

	Indicators	***Means of Verification***	***Risks/ Assumptions***
Phase One, Year Two:			
1. Training of ESCAP staff on research methodology	Training workshop held	Training workshop report	
2. Third Asia-Pacific Inter-governmental Meeting on HRD for Youth: to promote integrated health policies	Meeting held Meeting participated in by key government personnel	Meeting report	
3. Training Workshop: training by ESCAP for national counterpart organizations on conduct of national research	Workshop held Workshop participated in by research team	Workshop report	
4. Primary research on youth views with regard to sexual and reproductive health, substance abuse and HIV/AIDS	Research conducted in accordance with research design	Research reports	
5. Two subregional studies on promoting HRD of youth in terms of integration policies and programmes for sexual and reproductive health and prevention of substance abuse and HIV/AIDS	Studies conducted	Two subregional studies	
6. Two subregional volumes of the country research results publicizing the voice of youth concerning sexual and reproductive health and prevention of substance abuse and HIV/AIDS	Volumes drafted	Two subregional volumes	
Phase Two, Year Three:			
1. National Policy Seminar: draft/revise policies and design programmes	• Seminar held • Policies and programmes drafted	Seminar reports Policy and programme documents	
2. National task forces on integrated youth health policies	• Task force action plans drafted/executed	Task force plan of action Progress reports	
Phase Three, Year Four:			
1. Subregional workshops	Workshops and visits held	Workshop and mission reports	
2. National task forces on integrated youth health policies	Task force action plans drafted/executed	Task force plan of action Progress reports	
3. Mid-term review by ESCAP and donor agencies	Mid-term review conducted in accordance with the monitoring and evaluation design	Mid-term review report	
Phase Three, Year Five:			
1. Regional level project evaluation workshop	Evaluation conducted in accordance with the monitoring and evaluation design	Evaluation report	
2. Publications	Publications completed	Publications disseminated	
3. Impact Assessment Report	Report completed	Report disseminated	

HANDOUT 9-3

Participatory Rural Appraisal[4]

Participatory rural appraisal (PRA) is the label attached to a growing family of approaches and methods which enable local (rural and urban) people to make their own appraisals, analyse and plan, share information, and monitor and evaluate development actions and programmes.

What is PRA?

Participatory rural appraisal evolved from a research technique entitled rapid rural appraisal (RRA) which was developed in the late 1970s and the early 1980s as an alternative to conventional techniques. In RRA, researchers from outside the community are involved in data collection and anlaysis, whereas in PRA these are done by the community members themselves, and development practicioners merely facilitate the process.

Both RRA and PRA were developed in a rural context but the techniques are now widely used in urban settings. In addition, RRA and PRA has expanded to include analysis, planning, monitoring and evaluation, as well as appraisal.

Key components

The principal elements of PRA consist of the following:

- A multi-disciplinary PRA team of various skills and backgrounds;
- Offsetting biases such as spatial, project, person/gender, elite, seasonal, professional, and courtesy;
- “Triangulation” or the use of different methods, sources, disciplines, and informants in a range of places, as well as cross-checks through successive approximations;
- Community members participating in the appraisal;
- Principal investigators maintaining face-to-face contact in the field;
- Role reversals that learn from and with rural people and use their criteria and categories;
- Optimal ignorance and approximate imprecision that aims to not find out more than necessary, measures more accurately, or ignores what is not necessary;
- On-the-spot analysis to determine the direction in which to proceed;
- The primacy of behavior, attitudes and rapport over methods;
- A culture of sharing information, methods, food, and field experiences; and
- A sense of critical self-awareness regarding our attitudes and behaviour.

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[4] Inter-American Development Bank.

PRA tools

The techniques used in PRA are varied and virtually limitless due to the development of new and creative communication techniques. Some of the common tools used in PRA are presented below:

- Semi-structured interviewing;
- Casual, random encounter, focus and/or specialist groups;
- Local people serving as investigators and researchers;
- Case studies and stories;
- Participatory mapping and modeling;
- Local analysis of secondary sources (e.g. aerial photographs);
- Transect walks;
- Time lines, trends and change analysis;
- Seasonal calendars and daily time use analysis;
- Institutional diagraming;
- Well-being or wealth ranking;
- Matrix scoring and ranking;
- Local indicators (e.g. what are poor people's criteria of well-being?);
- Team contracts and interactions with agreed norms and modes of behavior; and
- Shared presentations and analysis (Chambers 1995).

PRA is favoured as a research method to understand the opinions, behaviours and attitudes of local people, whereas conventional research techniques, such as questionnaires, are more suited to the collection of quantitative, representative data for statistical analysis.

PRA versus other Research Methods

Participatory Appraisal	***Questionnaire Research***
Takes a short time	Takes a long time
Low cost	High cost
Flexible	Fixed
High participation	Low participation
On-the-spot analysis	Analysis in the office
Light statistical analysis	Intense statistical analysis
Semi-structured interviews	Formal questionnaires
Opportunity sample	Random sample
Multi-disciplinary team	Enumerators
Non-hierarchical	Hierarchical

Further reading

Chambers, Robert R. (1992). "Rural Appraisal: Rapid, Relaxed and Participatory". Institute of Development Studies Discussion Paper 311. Sussex, United Kingdom: IDS.

Theis, J. and Grady, H. (1991). *Participatory Rapid Appraisal for Community Development.* London: Save the Children Fund.

HANDOUT 9-4

Appreciation-Influence-Control

What is AIC?

Appreciation-influence-control (AIC) is a "self-organizing process and an approach to collective planning and action that recognizes the complexity of communities and the importance of power relationships".[5] AIC is a philosophy that was translated for use in the context of development work by Dr. William Smith in the late 1970s.

AIC is concerned with the methods that "purposeful systems", such as groups, villages and communities, self-organize themselves. The philosophy is based on the premise that power relationships are central to this organizational process, and that the source of this power is purpose, rather than wealth, prestige or knowledge. The relationship between purpose and power is the primary concern of AIC.

AIC is derived from what Smith terms the three "fundamental and universal relationships involved in the design of any purposeful system – the relationship of the part to the whole (appreciation), the relationship between the parts of the whole system (influence), and the relationship of the individual parts to themselves (control)."

Principal components[6]

The process of AIC consists of:

The identification of the purpose to be served;

The framing of the power field around that purpose, identifying those who have control, influence and appreciation relative to that purpose;

The selection of those with the most influence relative to the purpose (stakeholders) from the three framed groups, and the design of a process of interaction between them; and

The facilitation of a self-organizing process which ensures that the stakeholders:

- Step back from the current problems to fully appreciate the realities of and the possibilities within the whole system;
- Examine the logical and strategic options as well as the subjective feelings and values involved in selecting strategies; and
- Allow free and informed action by those responsible for implementing decisions.

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5 MacNeil 2000.

6 Smith 2000 (website).

Methodology

The methodology used in an AIC workshop is not fixed, but provides a framework that facilitators can adapt to a particular context. During the first appreciation stage, methods such as drawing, brainstorming and story-telling can be used. In the second influence stage, methodologies such as dialogue, negotiation and conflict resolution can be adopted. The third control phase uses methods such as Logical Framework Analysis and ZOPP (Zielorientierte Projektplanung or Objectives-Oriented Project Planning).[7]

AIC in practice: a case study from Thailand[8]

A series of AIC workshops was organized at the village level in Thailand and facilitated by the Thailand Development Research Institute (TDRI), the Population and Community Development Association (PDA) and the Community Development Department (CDD) of the Ministry of Interior.

The duration of the workshop was 2.5 days. The participants consisted of 15 women and 15 men from four stakeholder groups: merchants, women's groups, youth associations and village leaders.

The workshop was divided into three sessions. In the first session, the appreciation stage, the group was divided into three focus groups: women, men and youth. Each participant was given several sheets of paper and a pencil. They were asked to draw a picture of the development and conditions of their village in the past and present. Each participant then explained their picture to the group. The individual members of the group then drew a third picture depicting the ideal state of their village. Again, each group member explained their drawing to the other members of the focus group.

This stage enabled every member of the group to speak and be heard through the use of drawings and explanations, as opposed to simply voicing one's opinion. Separating the women and men allowed women to speak more freely and comfortably. The drawings of the ideal villages differered significantly between men and women. The women's drawings centred on quality of life and social development issues, while the men's drawings focused on infrastructural and technical issues.

In the next stage, the participants of the focus group sketched a common picture which incorporated the ideas from each individual's picture. This common picture became the group's vision. Each participant then proposed various development projects or activities that would assist the village in attaining the common vision.

The focus groups then assembled in plenary to establish a common vision and to prioritize projects through discussion and negotiation. With the priorities set, participants again broke into small groups to develop action plans for realizing specific activities.

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7 See Gesellschaft fur Technische Zusammenarbeit (GTZ) (1988). Zopp: An Introduction to Method. Eschborn, Germany: GTZ.

8 MacNeil 2000.

Further reading

Ckearns, James M. and Turid Sato (1989). “New Practices for Development Professionals” in Development, The Journal of the Society for International Development. No. 4.

MacNeil, D. James. “The AIC Process: Generating Shared Visions for Community Development in Southeast Asia”. Massachusetts: Center for International Education, University of Massachusetts available at: <http://wwlw.odii.com/ (23 August 2000).

Smith, William E. “The AIC Process”. Washington D.C.: Organizing for Development – An International Institue (ODII) available at: <http://www.odii.com/ (23 August 2000).

Smith, William E. (1991). *The AIC Model: Concepts and Practice.* Washington, D.C.: Organizing for Development – An International Institue (ODII).

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HANDOUT 9-5

Objectives-Oriented Project Planning (zopp)[9]

Zielorientierte Projektplanung (ZOPP) or Objectives-Oriented Project Planning was developed by the Gesellschaft fur Technische Zusammenarbeit (GTZ) as a participatory project planning and management tool. Participation is encouraged through a series of five stakeholder workshops that take place throughout the project cycle and which include brainstorming, strategizing, information gathering, and consensus building. Each workshop produces a project planning matrix (PPM) that outlines a strategic plan and lays out the objectives, outputs and activities of the project.

The stakeholder workshops focus on five main issues:

1) *Participation analysis:* Taking stock of the range of stakeholder identities, interests, biases, expectations, and concerns;

2) *Problems:* Often made visually clear through a “problem tree,” through which key problems the project is meant to address are identified, grouped, and prioritized and their causes and effects brought to light;

3) *Objectives:* In a corresponding “objective tree”, the desired solutions are articulated, clustered and prioritized;

4) *Alternatives:* A project strategy is created by understanding the range of means for meeting objectives; and

5) *Assumptions:* These conditions are necessary for successful transformation of problems into secured objectives. Assumptions are systematically examined and arranged in the PPM (World Bank 1996).

The PPM provides answers to the following questions:

- Why is this the overall goal of the project?
- What is the project purpose?
- What results/outputs will the project achieve?
- How will the project achieve these results/outputs?
- What external factors (assumptions) are important?
- How can achievement of the objectives be measured?
- Where are the means/sources of the necessary data?
- What will the project cost? (World Bank 1996)

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9 IADB 2000.

Further reading

Gesellschaft fur Technische Zusammenarbeit (GTZ) (1991). Methods and Instruments for Project Planning and Implementation. Eschborn, Germany: GTZ.

_________ (1988). *Zopp: An Introduction to Method.* Eschborn, Germany: GTZ.

World Bank (1996). The World Bank Participation Sourcebook. Washington, D.C.: World Bank.

ACTIVITY 10

Project Proposal Formulation

Objective

1. To guide participants through the process of formulating effective project proposals.

Method

1. Review with participants the key components of a project proposal as well as donor considerations using Overheads 10-1 and 10-2.
2. Divide the participants into groups of 5 persons.
3. Ask each group to choose a rapporteur and conduct a brainstorming session on the characteristics of a good project proposal.
4. Ask the rapporteur of one of the groups to present the results of their brainstorming session in plenary.
5. Ask the rapporteurs of all the other groups to add any additional input that has not yet been discussed.
6. Present Overhead 10-3 with an emphasis on points that have not yet been discussed.
7. Ask each person to develop a short project proposal for a poverty alleviation project (optional).
8. Distribute Handout 10-1 as an example of a good project proposal in ESCAP style.

OVERHEAD 10-1

Project proposal: key components

Project title

Introduction/Background

- Brief background on your organization
- How the project relates to other activities
- The broad background of the project
- Where the project will occur
- The project time frame
- The requested funding

Justification

- The specific issue to be addressed
- How the proposed project will solve the problem

Goals/Objectives

- The overall goals and immediate objectives of the project

Activities/Work Schedule

- The project activities and their sequence
- The time frame
- The project methodology

Organizational/implementation structure

- The nature of the personnel needed
- How they fit in your organizational structure
- Organizations you will work with (e.g. at the field level)

Monitoring and evaluation

- Mechanisms that will be put in place
- Persons who will conduct it

Project budget

- The detailed budget for the project

OVERHEAD 10-2

Donor considerations

Who is/are the funding agency/agencies?

What are the interests and concerns of the funding agency?

Who makes the decisions regarding funding projects?

What are the criteria upon which such decisions are based?

What factors will help/hinder your project proposal?

Does the funding agency have specific project proposal requirements?

OVERHEAD 10-3

Developing a good proposal

Be realistic and specific.

- Provide the background of the project in addition to the issue(s).
- Focus on what you can actually accomplish without being overly ambitious.

Take the time factor into account.

- Put yourself in the shoes of the project implementor.
- Focus on a few essential activities.

Do your homework.

- Understand your project well and conduct research on what has already been done in that field.
- When working in a specific community, show that you have done your homework by including other ongoing community activities in your proposal.

Be logical in your structure.

- Create a logframe matrix to make your proposal more logical.
- Ensure that your goals, objectives, activities and outputs are consistent.

Be coherent.

- Ensure that the sections of the proposal correspond to one another. Ensure that there are no discrepencies in the information conveyed.

Use clear and correct language.

- Have your proposal edited by a native speaker of the language. In the case of an international donor, the proposal will be more effective if it is written in proper English.

HANDOUT 10-1

UNITED NATIONS

ECONOMIC AND SOCIAL COMMISSION FOR ASIA AND THE PACIFIC (ESCAP)

PROJECT DOCUMENT

1.	*Project Title:*	**1997 ESCAP HRD Award: Focus on empowering the urban poor**
2.	*Theme:*	Poverty Alleviation through Economic Growth and Social Development
3.	*Starting Date:*	June 1997
	Duration:	One year
4.	*Participating Countries:*	All ESCAP developing countries and territories
5.	*Donor Assistance in Cash:* Total:	 US$ xxx
6.	*Donor Assistance in Kind:*	N.A.
7.	*Inputs from Participating Countries:*	Nominations of nationals and organizations for the Award
8.	*ESCAP Inputs (by Division):*	Social Development Division (HRD Section): 3 professional work/months 1 general service work/month Technical inputs from the Human Settlements Section/RUDD Technical support on public information activities for the Award from the United Nations Information Service (UNIS)
9.	*Inputs from Collaborating Bodies:*	Assistance from national HRD Focal Points, human settlements agencies and NGOs, and UN agencies in generating nominations for the Award
10.	*Type of Activity:*	Competence building, research and analysis, information dissemination

I. OBJECTIVES OF THE THEME/SUB-PROGRAMME

To promote competence-building in the field of human resources development (HRD) with special focus on HRD policies and programmes to promote empowerment of the urban poor.

II. PROJECT'S IMMEDIATE OBJECTIVES

To encourage exemplary research and other innovative HRD initiatives to promote the empowerment of the urban poor in the Asian and Pacific region.

III. JUSTIFICATION

The ESCAP HRD Award was established by the Commission as a means of encouraging exemplary research and other innovative achievements in priority areas of human resources development in Asia and the Pacific. The Award aims to tap the potential role of individuals, NGOs and governments as testing grounds for exploring alternative, innovative approaches to human resources development.

The Award is granted on a periodical basis with a special theme selected for each round. Sponsorship of the Award is undertaken on a rotational basis, as indicated below. To date, the Governments of France, the Netherlands and Japan have funded the Award. The current Award has been submitted for funding to the Government of the Republic of Korea for the first time.

Year	***Donor***	***Theme***
1990	**France**	HRD aspects of environment
1992	**France**	HRD aspects of drug abuse prevention and rehabilitation
1994	**Netherlands**	HRD for women in extreme poverty
1995	**Japan**	HRD to promote productive employment for youth
1996	**Netherlands**	HRD for people's participation in community development
1997	**(Submitted to Korea**)	HRD for empowerment of the urban poor

This project seeks to continue the Award process in line with the letter and spirit of the Jakarta Plan of Action on Human Resources Development, as adopted by the Commission in 1988 and revised in 1994. The proposed theme for the 1997 Award is *"Empowerment of the Urban Poor".*

Urbanization has been a distinctive feature of development in Asia and the Pacific. In the last ten years, the growth of cities and megacities in Asia and the Pacific has been faster than in any other region. It is generally accepted that the uncontrolled growth of urban populations in the region requires urgent attention. Governments have been unable to adequately provide for the needs of the millions of urban poor, particularly for their basic requirements, such as adequate shelter, education, basic health care, and employment. New ways are necessary to better address their needs.

At the Second United Nations Conference on Human Settlements (Habitat II), held during June 1996 in Istanbul, the principles of democratization, decentralization and the emphasis on local actions were recognized as basic concepts to guide governments in fulfilling their commitments to provide shelter and other HRD services for the poor. Empowerment of the urban poor, which gives urban groups living in poverty a direct voice in decisions concerning their livelihood, has become a crucial tool for attacking urban problems in a decentralized manner.

Many initiatives in that spirit of empowerment have been implemented in Asia and the Pacific, both at the grassroots level and in collaboration with local authorities and/or the business sector. The selection of the theme "Empowerment of the Urban Poor" for the 1997 ESCAP HRD Award will hopefully lead to the recognition that these initiatives are viable means of sustainable human settlements development through HRD, and will provide a vehicle for the replication of such work in other countries of the region.

IV. SPECIAL CONSIDERATIONS

The project has been designed in direct pursuance of the *Jakarta Plan of Action on Human Resources Development in the ESCAP Region, as Revised in 1994.*

Through selection of the theme "Empowerment of the Urban Poor", the Secretariat aims to focus attention on a major issue that will be considered at the Second Ministerial Conference on Urbanization in Asia and the Pacific, to be held in late 1998.

V. INTENDED IMPACT

The project is intended to encourage exemplary action research or other innovative achievements in the field of human resources development in Asia and the Pacific, with particular focus on empowerment of the urban poor. Such encouragement will serve as a basis for strengthened national programmes for human resources development.

VI. ACTIVITIES

1. Conditions of the Award

The 1997 ESCAP HRD Award will be presented in recognition of exemplary research or other innovative achievement in the field of human resources development, with specific reference to the selected theme of "Empowerment of the Urban Poor." Calls for applications for the Award will be announced through a brochure, to be distributed to HRD Focal Points, Seats of Government, national agencies and NGOs, and all relevant United Nations agencies and bodies in the region. In addition, an advertisement announcing the Award will be placed in *The Economist.* The Award will be open to resident nationals of and organizations (Government and NGO) in developing and transitional countries and territories of the ESCAP region. The research or achievement submitted for consideration must be recent and relate to the theme selected.

The criteria for selection of the Award-winner will include:

- Degree of HRD commitment;
- Responsiveness to the needs of the intended target group;
- Innovativeness of the approaches;
- Sustainability of the activities; and
- Impact of the activities.

Evidence to be submitted in application for the Award should be in the form of a published book or article, photographs, models or other physical evidence, and include a clear description of the activity and output (limited to 5,000 words). Applicants will also be required to submit a brief proposal for the use of the Award-winning grant of $ 15,000 for further work to promote HRD for empowerment of the urban poor. Affidavits of authenticity may be requested if required.

2. Prize

The total amount of the prize is $ xxx. Of that sum, $ xxx will be in the form of a monetary prize and the remaining $ xxx in the form of a grant in support of further work to promote HRD for empowerment of the urban poor.

3. Administration of the Award

The 1997 Award process will be administered by the ESCAP Secretariat in close consultation with the Government of the Republic of Korea in its capacity as the sponsor for this year's Award. An independent international Jury of three members will be established to review and select the Award-winner.

Applications and nominations from individuals and organizations will be solicited during the period July to December 1997. In addition, a team of three subregional advisors will be recruited to assist the Secretariat in nominating and verifying the authenticity of applications. Each advisor will be responsible for applications from a particular subregion(s): Central/South Asia, Southeast/East Asia, and the Pacific.

On the basis of the applications received, the Secretariat will screen and prepare executive summaries of each application for review by the Jury. The Jury will be composed of three senior regional experts in the field of HRD and an ex-official member from UNCHS. A meeting of the Jury will convene in February 1997 to review the applications and make the final selection of the Award-winner.

4. Award-presentation ceremony

The Award-presentation ceremony will be held on the first day of the Ministerial segment of the 1998 Commission session. The Executive Secretary and the Head of the Delegation of the Republic of Korea will preside over the ceremony. The Award-winner will travel to Bangkok to receive the Award at the ceremony. As part of the ceremony, a short film on the work of the winner will be shown.

5. Publicity concerning Award-winning work

The ESCAP Secretariat will disseminate information on the Award-winning work to promote TCDC (Third Country Development Cooperation) in the region as well as to generate public awareness of key HRD issues related to empowerment of the urban poor.

To this end, ESCAP will prepare: (a) an information kit for use by the press and other interested parties, (b) a short film on the work of the Award-winner, and (c) a publication on selected outstanding applications. The information kit will be prepared and disseminated in collaboration with the United Nations Information Service (UNIS) and will be distributed before the Award presentation ceremony. The film will be shown during the Award presentation ceremony at the 1998 Commission session. The publication will contain summaries of the innovative achievements and approaches of the winner and other selected applicants.

VII. INPUTS

(a) Inputs from Donor:

- Monetary prize and research grant to the Award-winner.
- Cost of the advertisement to announce the Award in an international periodical.
- Honoraria for three sub-regional advisors to identify and nominate individuals for the Award and to verify the authenticity of the applications.

- Cost of a consultant to assist the Secretariat in screening and preparing preliminary evaluations of each application for the Meeting of the Jury.
- Travel and DSA expenses for three Jury members to attend a three-day meeting in Bangkok to review nominations for the Award and to select the Award-winner.
- Travel and DSA expenses for the Award-winner to attend an Award-presentation ceremony during the 1998 session of the Commission, to be presided jointly by the Executive Secretary of ESCAP and a representative of the Government of the Republic of Korea.
- Travel and DSA for a Secretariat staff to visit the Award-winning project site to prepare materials for the Award presentation ceremony, and for a publication on the work of the winner of the Award.
- Cost of a consultant to produce a short feature film on the work of the Award-winner, to be shown during the Award presentation ceremony at the 1998 Commission session.
- Cost for sub-contracting a film production company to carry out the shooting and online editing of the film.
- Printing and dissemination costs for a publication on innovative achievements and approaches of the Award-winner and other selected applicants.
- Sundry

(b) Inputs by ESCAP:

- 3 Professional and 1 general service work-months (HRD Section/SDD) to administer the Award process.
- Technical inputs from the Human Settlements Section of the Rural and Urban Development Division (RUDD) of ESCAP.
- Support from the United Nations Information Service (UNIS) in the dissemination of an information kit on the Award and its winner for members of the press.
- Conference services and meeting facilities.

(c) Inputs from Collaborating Bodies:

- Assistance from the national HRD Focal Points, national agencies, NGOs and concerned United Nations bodies and agencies in nominating candidates for the Award.

VIII. OUTPUTS

- The Award-winning HRD research/work or other innovative achievement focusing on the promotion of HRD for empowerment of the urban poor.
- Meeting of the Jury to select the Award-winner.
- Award-presentation ceremony.
- Further research or other work to promote HRD for empowerment of the urban poor.
- Feature film on the work of the winner to be shown during the 1998 session of the Commission.
- Publication on innovative activities/approaches of selected applicants for further replication in the region.

IX. TIME SCHEDULE

	Activities	***Start-completion date***
1.	Printing of brochure and advertisement announcing the 1997 ESCAP HRD Award	June 1997
2.	Dissemination of brochure to individuals, governments, national agencies, NGOs, UN bodies and agencies in the region	June-July 1997
3.	Nominations and applications for the Award	August-December 1997
4.	Screening of all applications and preparation of executive summaries of applications for the meeting of the Jury	January-February 1998
5.	Meeting of the Jury to select the Award-winner	February 1998 (3-day meeting)
6.	Production of feature film on the work of the winner	March 1998
7.	Award presentation ceremony during 1998 Commission session	April 1998
8.	Publication on work of Award-winner and other selected applicants	July 1998

X. FOLLOW-UP ACTION

The Secretariat will monitor the use of the grant to the Award-winner and report on the progress achieved to the donor country.

XI. PROJECT REVIEW AND EVALUATION

The project will be evaluated using the guidelines for self-evaluation provided in the Evaluation Manual of the United Nations. Questionnaires will be used to assess the impact of the project. Information on the evaluation undertaken by the Secretariat will be provided in the terminal report of the project.

XII. PROJECT BUDGET

The total project budget (donor contribution) is US$xxx. A detailed breakdown is shown below.

	US$
1130-04 Consultants* (See Annex I)	xxx

– Honoraria for three sub-regional advisors (3 x $ xxx = $ xxx)

– Consultant to screen and prepare executive summaries of applications ($ xxx)

– Consultant to direct the preparation of a documentary film on the work of the Award-winner ($ xxx)

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* Inclusive of one per cent provision for Appexdix D coverage.

1530-00 Travel on official business (see Annex II)	xxx
– Travel to visit the Award-winning project site for preparation of background materials for the Award-presentation ceremony	
2230-00 Grants	xxx
– Cash prize to the Award-winner ($ xxx)	
– Grant for further HRD work to promote HRD for empowerment of the urban poor ($ xxx)	
3230-00 Group training (see Annex II)	xxx
– Travel to Bangkok and DSA for three jury members to attend a three-day meeting in Bangkok (total $ xxx)	
– Travel to Bangkok and DSA for the Award-winner to attend the award presentation ceremony during the 1998 Commission session in Bangkok ($ xxx)	
5230-00 Reporting costs	xxx
– Printing of brochure announcing the Award ($ xxx)	
– Production of film ($ xxx) and printing of documentation ($ xxx) concerning the Award and the award-winning research or other innovative achievements	
5330-00 Sundry	xxx
– Advertisement in *The Economist* ($ xxx)	
– Other expenses ($ xxx)	
Sub-total	xxx
5630-00 Administrative programme support	xxx
Total	**xxx**

ANNEX I

Terms of reference for consultants

Sub-regional advisors

The three advisors will be responsible for fielding and verifying the authenticity of applications from their respective assigned subregion: Central/South Asia, East/Southeast Asia, and the Pacific.

Each advisor will have a minimum of 10 years experience in the area(s) of HRD, urban planning, or local level governance. They should have extensive knowledge of recent developments and initiatives toward assessing the problems of the urban poor in the region.

Consultant to assist in screening applications

The consultant will assist the Secretariat for one month in screening all applications and preparing executive summaries. This will entail the review of all supporting documents and the evaluation of each application in conformity with the Award criteria. The consultant's work will be reviewed by the Meeting of the Jury in their selection of the Award-winner.

The minimum qualifications of the consultant will be as follows: Advanced university degree in the social sciences, with at least seven years of direct experience in formulating projects on urban planning or local level governance, focusing on HRD.

Consultant to direct the preparation of a documentary film

The consultant must be an experienced professional in the production of public information audio-visual materials, preferably with experience in directing short documentaries.

The consultant will direct, with the assistance of a production crew, an audio-visual presentation or short feature film on the work of the 1997 ESCAP HRD Award-winner. This film will be shown during the Award-presentation ceremony and used for promotional purposes.

ANNEX II

1530-00 Travel on official business **(total $ xxx)**

Tentative destination	*Airfare*	*DSA*	*Total*
	US$	US$	US$
(site of the Award-winner)	xxx	xxx	xxx

3230-00 Group training **(total $ xxx)**

– Estimated costs of travel to Bangkok and DSA for three jury members to attend a three-day meeting in Bangkok in 1998 (total $ xxx)

Tentative country	*Airfare*	*DSA (5 days)*	*Total*
	US$	US$	US$
Rep. of Korea (Seoul)	xxx	xxx	xxx
Indonesia (Jakarta)	xxx	xxx	xxx
India (Delhi)	xxx	xxx	xxx
Total	**xxx**	**xxx**	**xxx**

– Estimated cost of travel to Bangkok and DSA for the Award-winner (total $ xxx)

Tentative country	*Airfare*	*DSA (4 days)*	*Total*
	US$	US$	US$
(unable to identify now)	xxx	xxx	xxx

Session

III

People Management

Session Objective

To equip participants with key people management concepts, tools and techniques, and the understanding of the importance of participatory management processes.

Session Contents

ACTIVITY 11

People Management: Concepts and Tools

Objective

1. To review with participants the roles and core competencies of a good manager.
2. To provide participants with tips on making effective presentations and running meetings.

Method

1. Introduce the main roles played by a manager as well as the core competencies of a manager using Overheads 11-1 to 11-9.
2. Review the skills of effective presentation and meeting facilitation using Overheads 11-10 to 11-12.
3. Distribute Handout 11-1. Ask participants to answer each of the questions in their own time.

Materials

Overhead projector, Overheads 11-1 to 11-6, Handout 11-1.

OVERHEAD 11-1

Management roles

Planning

Coordination

Supervision

Training

Monitoring and follow-up

Budgeting

Reporting

OVERHEAD 11-2

Core competencies of an effective manager[1]

Integrity

- Takes responsibility for his/her own shortcomings
- Treats all people with dignity and respect
- Takes prompt action in the case of unprofessional or unethical behaviour
- Treats men and women equally
- Is trustworthy
- Demonstrates commitment to the organization
- Acts without consideration of personal gain
- Is consistent
- Resists undue political pressure in decision-making

Creating vision and strategy

- Develops strategies to satisfy the needs of the work unit's clients
- Develops a clear vision of where the work unit should target its energy and resources
- Identifies strategic issues, opportunities and threats to the work unit

[1] (United Nations Training Service 2000).

OVERHEAD 11-3

Communicating a vision

- Makes clear links between the organization's strategy and work unit goals
- Expresses enthusiasm concerning future possibilities
- Communicates a vision for the work unit in an inspiring and compelling way

Vision into action

- Adjusts strategies to take account of changing circumstances
- Challenges the status quo when necessary to move the work unit in new directions
- Converts work unit vision into action and results

Fostering cooperation and building teams

- Builds cooperative and productive teams
- Works collaboratively with colleagues to achieve organizational goals
- Brings out the best in people
- Inspires loyalty and commitment from others
- Creates a climate of trust, respect and understanding

OVERHEAD 11-4

Involving and appreciating people

- Involves staff in activities that give them visibility outside the work unit
- Instills a sense of self-confidence in others
- Gives staff autonomy in significant areas of their work
- Genuinely values all staff members' input and expertise
- Shows appreciation for both effort and achievement

Achievement orientation

- Sets challenging personal goals and acts to attain them
- Is conscientious about meeting commitments, observing deadlines, and achieving results
- Shows persistence when faced with difficult problems
- Takes calculated risks to achieve important goals

Maturity

- Manages in a deliberate and predictable way
- Is aware of the impact he/she has on others
- Remains calm in stressful situations
- Seeks feedback to improve his/her own performance
- Adapts his/her own behaviour to accommodate different perspectives
- Acts on valid suggestions, regardless of who raises them

OVERHEAD 11-5

Openness and flexibility

- Shows flexibility without compromising the achievement of objectives
- Copes well with ambiguity, uncertainty and change
- Shows willingness to learn from others
- Takes an interest in new ideas and ways of doing things

Communicating

- Speaks clearly
- Listens well
- Is approachable
- Shows empathy
- Is informed
- Holds regular meetings

Decision-making

- Checks assumptions against facts
- Collects relevant information before making decisions
- Involves people in decisions that affect them
- Considers the impact of decisions before making them
- Is analytical
- Identifies key issues amidst complexity
- Able to make tough decisions

OVERHEAD 11-6

Conflict management and resolution

- Demonstrates sensitivity to different cultural values
- Resolves conflict without the overuse of power
- Resolves disagreements before conflicts arise
- States his/her own position tactfully and clearly
- Resolves conflicts using mutually agreeable solutions
- Improves communication between parties

Persuasion and consensus building

- Seeks to understand problems from other viewpoints
- Is persuasive with people outside his/her own hierarchy
- Seeks consensus by building on areas of agreement
- Establishes friendly relations with people who may be able to provide information or assistance

Planning performance

- Delegates appropriate responsibility, accountability and decision-making authority
- Accurately assesses the amount of time and resources needed to accomplish a task
- Makes sure that roles and responsibilities are evident to each staff member
- Involves staff in establishing individual goals
- Shows concern for the development and career aspirations of staff members

OVERHEAD 11-7

Monitoring performance and providing feedback

- Talks regularly with individual staff members about their performance
- Gives candid and helpful feedback when there is a problem
- Monitors progress toward goals against milestones and deadlines
- Works with staff to adjust plans in response to change

Evaluating performance

- Appraises performance in a fair manner
- Supports staff when they make mistakes and helps them to learn from those mistakes
- Seeks feedback from staff about how his/her own performance as a supervisor is helping or hindering the achievement of goals

Networking/External Relations

- Forms links with organizations at all levels
- Shares information readily in a cooperative spirit
- Promotes the work of his/her own organization

OVERHEAD 11-8

Management Styles[2]

Controlling	Empowering
Staff need to be watched and pushed	Manager creates conditions under which people want to give their best
Manager knows best; staff need specific instruction	Manager utilizes the unique capabilities of each individual and integrates them into the group effort
Adversarial relationships with people	Cooperation and collaboration
Strategy-structure-systems	Purpose-process-people

2 (United Nations Training Service 2000).

OVERHEAD 11-9

Empowering management

Develop and support your staff

Create an environment of self-esteem, recognition and appreciation

Seek the maximum level of appropriate involvement in decision-making

Delegate

Ensure that staff are assigned important and meaningful work

Ask for input

Listen to ideas

Spend time with people

Welcome differences

OVERHEAD 11-10

Presentation Skills

Determine the purpose of the presentation:

- Is it to inform?
- Is it to persuade?
- Is it to entertain?

Analyze your audience:

- Do they know about the subject matter?
- What can you tell them that they don't know?
- What level are they at?
- What do you know about them? (e.g. their attitudes, education, work experience, etc.)

Focus on the specific purpose of the presentation:

- Establish beforehand exactly what you want your audience to know, believe, think, or do by the end of your presentation.
- Take into account the time allocation and maintain a realistic purpose.

Ensure the content of your presentation is relevant:

- Research your topic.
- Use facts to back up your statements.
- Use statistics as a powerful tool to support statements but do not incorporate too much detail.
- Use examples of real life experiences to make it easier for the audience to relate.

OVERHEAD 11-11

Ensure that the content of your presentation is clear:

- Develop a few key messages in your statement that will leave an impact on the audience.
- Organize the statement in a logical sequence, with a purpose for each section and a conclusion at the end.

Use effective speech delivery:

- Keep wording short and simple.
- Be concrete, rather than abstract.
- Restate main ideas.
- Use different tones to emphasize points and use a variety of sentence structures.
- Introduce main points at the beginning of the speech and conclude with a summary of those key points.

Use your voice and body effectively:

- Speak with the right volume and voice quality.
- Pace your speaking rate.
- Make eye contact.
- Use gestures, such as hand and facial gestures, to an appropriate degree; too many gestures can be distracting.
- Dress appropriately by taking into account your own personality, your audience and the occasion.
- Ensure you monitor your audience to determine their level of attention and adjust accordingly.

Use audio-visual aids

- Choose the right aids.
- Make sure that they are neat and attractive.
- Ensure that any text is legible, visible and concise.

OVERHEAD 11-12

Running a meeting that works

Decide first whether a meeting is the best way to accomplish your purpose. Meetings are appropriate when you need to:

- Pass to or collect information from people.
- Resolve an office conflict or a difference of opinion.
- Obtain a majority decision or evaluation on an issue.
- Generate a sense of team spirit.
- Ensure that staff understand the nature of a project.
- Persuade people to change their minds on an issue.
- Secure an immediate response to a problem.

Meeting preparation:

- Inform participants of the purpose of the Meeting as well as the subjects to be covered.
- Be sure to have an agenda that is clear, specific and brief.
- Determine a timeframe for the Meeting and try to stick to it.
- Do your homework before the Meeting.

Conduct the Meeting effectively:

- Establish rules and maintain control.
- Help others express their ideas and then listen to their views.
- Approach each issue fairly and openly.
- Keep the discussions relevant and probe if necessary to ensure the discussion stays focused.
- Summarize the discussions as you proceed.
- Keep an eye on the clock.
- Treat participants with respect.
- Insist on conclusions and actions.

Keep accurate records of the major decisions of the Meeting and circulate them to participants to ensure clarity.

Handout 10-1

Personal Development Planning As A Manager[3]

Exercise 1:

Ask yourself:

- What special qualities and abilities do you bring to your job?
- What things have people praised you for?
- What could you be better at?
- What would you be better able to resolve if you strengthened certain abilities?
- What have you been told more than once that you could improve?

Exercise 2:

Carefully study the feedback that you have received from your supervisor, your staff and your peers. Ask yourself:

- What are the important gaps that exist in your own perception of your performance and that of others?
- What are your acknowledged strengths?
- What are your acknowledged weaknesses?
- Where do you have unacknowledged strengths?
- What are your blind spots?

Exercise 3:

Prepare a plan for your development. Ask yourself:

- What are the two or three most important development goals for you to work on?
- What will keep you motivated to achieve each goal?
- What are the new behaviours you plan to implement?
- What situations, people or events will trigger daily action?
- How will you reflect on your learning experience and consolidate what you've learned each day? How will you take stock at major milestones to reevaluate your goals and priorities?

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3 (United Nations Training Service 2000).

- How will you seek information to measure your progress? How can you get information and feedback at major milestones and on an ongoing basis?
- What other resources and opportunities do you need in order to learn and apply your new behaviours (e.g. change partner team, mentors, training, books)?

Exercise 4:

After the workshop, identify a learning partner.

- Find someone who can help you clarify your strengths and weaknesses.
- Acquire get input on your development priorities and the skills that you require.

ACTIVITY 12

People Management in Practice: Appreciation of Team Members

Objectives

1. To enable participants to recognize and value a variety of working styles.
2. To display to participants through management the importance of cooperation and team-building.

Method

1. Distribute Handout 12-1. Ask participants to answer the questions by comparing each set of statements and circling the letter in the front of the statement that best describes them.
2. Ask participants to read the instructions found in Handout 12-1 and to plot their score on the grid in Handout 12-2 to develop a behavioural “self-portrait”.
3. Lead a discussion on the results of the exercise using Overheads 12-1 to 12-4.

Materials

Overhead projector, Overheads 12-1 to 12-4, Handouts 12-1 and 12-2, pens.

Facilitator’s Notes

1. Emphasize in the discussion (Method # 4) that each person has a different working style and that one style is not superior to another. As a manager, therefore, it is important to recognize the value of the various styles and to interact with individuals by taking their working styles into account.

HANDOUT 12-1

Behavioural Style Assessment[4]

1. **(S)** Open to getting to know people better and establishing new relationships; OR

   (C) Exerts more control over who you get involved with, including how well you get to know them.

2. **C** Focuses conversations on tasks, issues, business, or the subject at hand; OR

   S Allows conversations to take the direction of interest of the parties involved, even though this may stray from the business or subject at hand.

3. **I** An infrequent contributor to group conversations; OR

   D A frequent contributor to group conversations.

4. **I** Tends to keep personal thoughts or feelings private, sharing only when asked to and when necessary; OR

   D Tends to express personal thoughts and feelings about things, whether asked to or not.

5. **C** Tends to make decisions based on objectives, facts, or evidence; OR

   S Tends to make decisions based on feelings, experience, or relationships.

6. **D** Frequently uses gestures, facial expressions and voice intonation to emphasize a point; OR

   I Unlikely to use gestures, facial expressions and voice intonation to emphasize a point.

7. **D** More likely to make statements such as: “That’s the way it is!” or “I feel…”; OR

   I More likely to ask questions or make less assertive statements such as: “How does this fit?” or “As I understand it…”

8. **C** More likely to expect and respond to conflicts; OR

   S Less likely to expect conflict and more motivated to deal with conflict in a personal manner.

9. **S** More likely to accept others’ points of view (e.g. ideas, feelings and concerns); OR

   C Less likely to accept other people’s points of view.

10. **C** Tends to focus mostly on the idea, concept, or outcome; OR

    S Tends to focus primarily on the interest level, the persons involved, and the process.

11. **I** More likely to wait for others to introduce you at a social gathering; OR

    D More likely to introduce yourself at a social gathering.

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4 UNSDS 1999.

12. **S** More open about your own time commitment to others; OR
    C Less open about your own time commitment to others.

13. **C** Likely to stick to your own agendas and concerns while tuning into the power motives of others; OR
    S Likely to tune into others' agendas and concerns while minimizing conflicts or disagreements.

14. **I** Tends to remain involved with known situations, conditions, and relationships; OR
    D Tends to seek new experiences, situations, and opportunities.

15. **D** Likely to readily express your own views; OR
    I Likely to withhold the expression of your own views.

16. **I** Tends to react more slowly and deliberately; OR
    D Tends to react more quickly and spontaneously.

17. **C** Prefers to work independently or dictate the conditions that involve others; OR
    S Prefers to work with and through others and provide support when possible.

18. **I** Likely to respond to risk and change in a more cautious and predictable manner; OR
    D Likely to respond to risk and change in a more dynamic and unpredictable manner.

Total Number of:

C's __________ **S's** __________ **I's** __________ **D's** __________

Plotting your behavioural profile

2. Count the number of "S" and "C" responses (together they should total 9). Do the same for the "D" and "I" responses.

3. Subtract the number of "C" responses from the number of "S" responses. Then subtract the number of "I" responses from the number of "D" responses; these numbers may be positive or negative.

4. On the Behavioural Grid, make an "X" on the vertical line at the number corresponding to the difference between your "S" and "C" totals. If your total is between +1 and +9 place your "X" on the "S" portion of the vertical line. If your total is between –1 through –9, place your "X" on the "C" portion of the vertical line. Afterwards, darken that horizontal line.

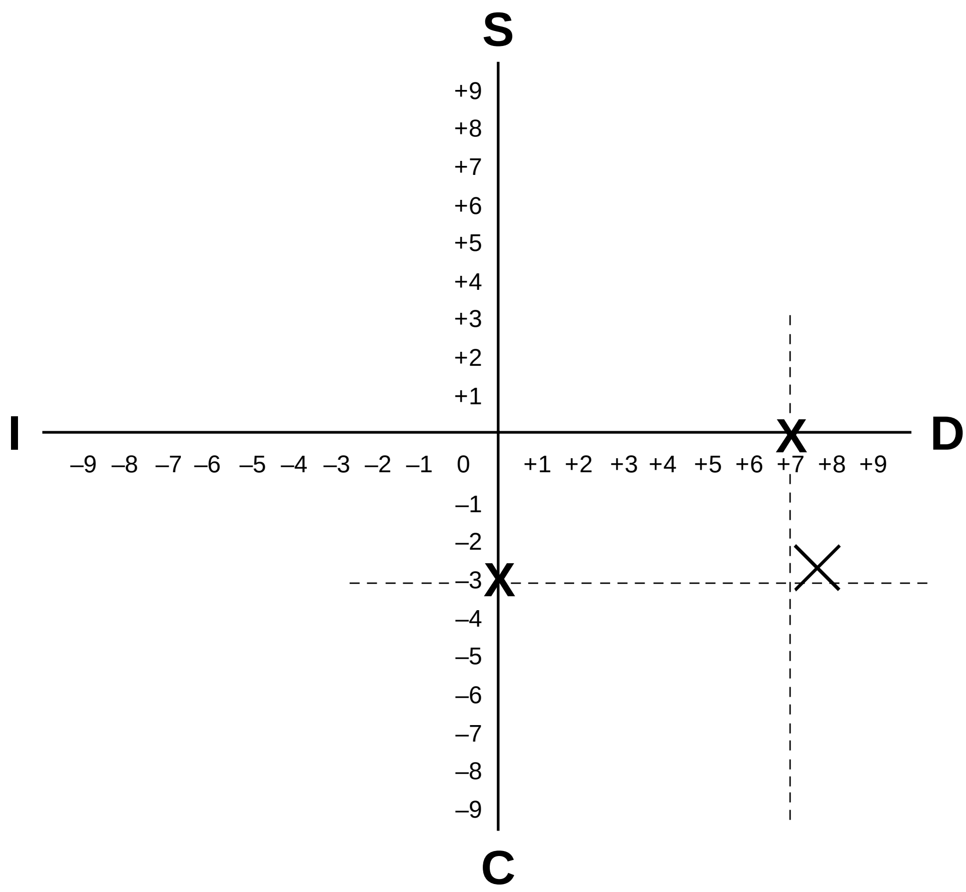
   Example:

+3 S's	8 D's
+6 C's	1 I
+3 S	8 D
–6 C	–1 I
–3 C	7 D

5. On the same grid, make another "X", this time on the horizontal line at the number corresponding to the difference between the "I" and "D" totals. If your total is between –1 and –9, place your "X" on the "D" side of the horizontal line. If your total is between –1 and 19, place your "X" on the "I" side of the horizontal line. Afterwards, darken that vertical line.

6. Make a checkmark at the intersection of the two darkened lines.

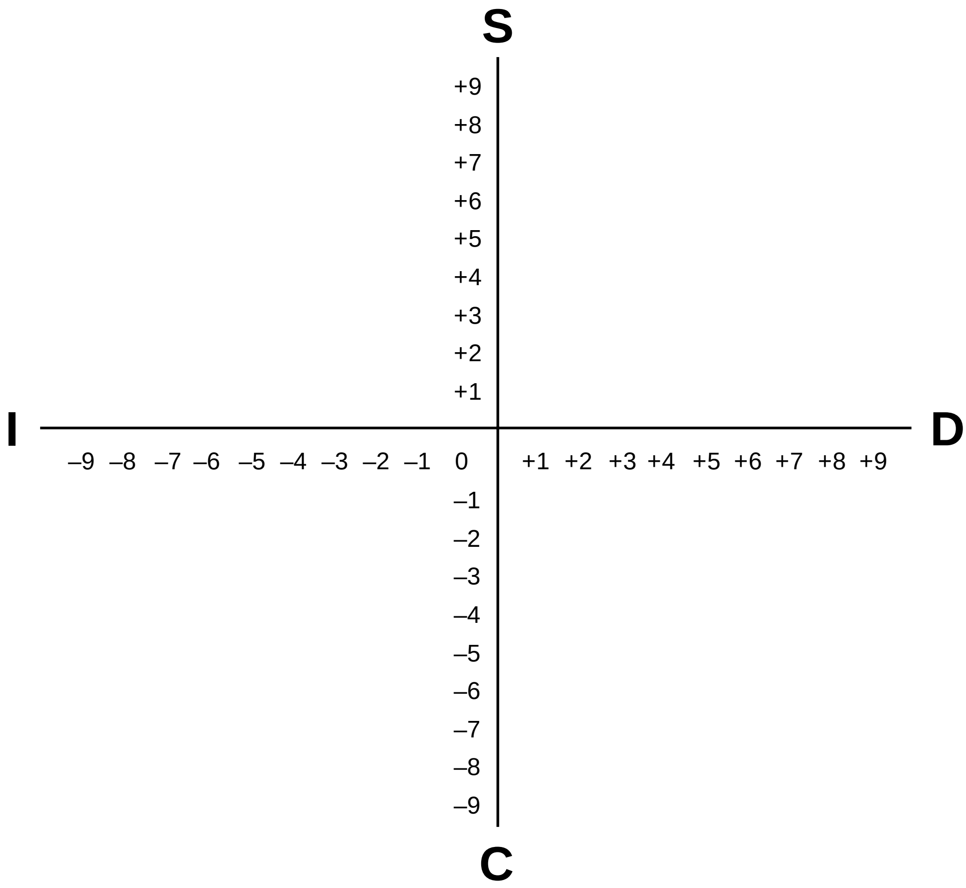
Behavioural Profile Plotting Example



HANDOUT 12-2

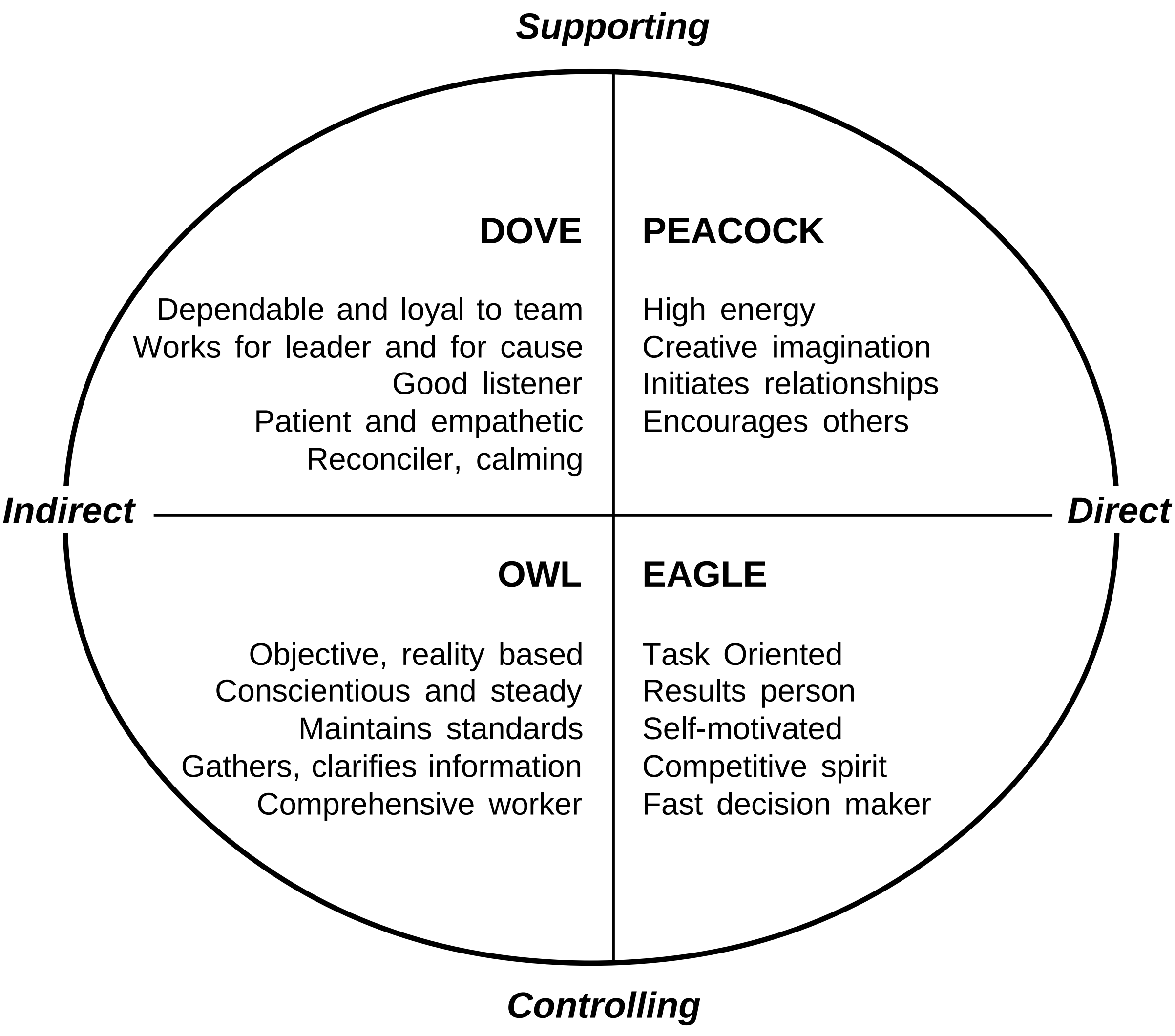
Behavioural Grid

Plot your behavioural-style assessment on this grid.



OVERHEAD 12-1

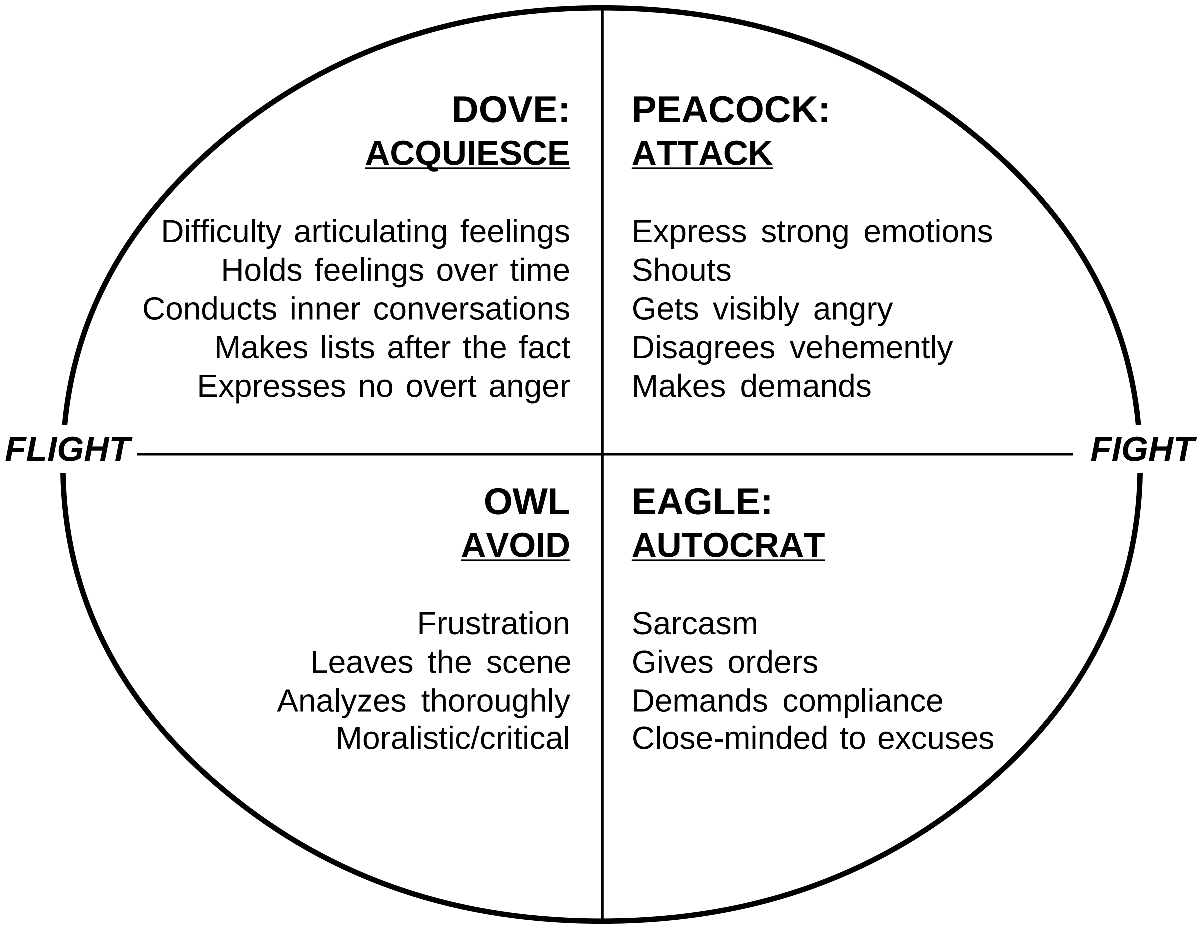
Contributions of Styles[5]



5 UNSDS 1999.

OVERHEAD 12-2

Back up Styles[6]



Just as there are patterns of behavior, there are ways in which each style tends to behave under stress. We call these “back up” styles because they illustrate what happens when we get our back up.

The behaviors are separated into flight and fight behaviors. Flight behaviors are avoiding or acquiescing under stress. Fight behaviors are autocratic and attacking.

Owls and Doves are flight oriented; Owls avoid and Doves acquiesce. Eagles and Peacocks are fight oriented; Eagles become autocratic and Peacocks attack.

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[6] UNSDS 1999.

OVERHEAD 12-3

General Strategies by Behavioural Type[7]

In Relationships With Doves:

- Support their feelings by showing personal interest
- Assume that they'll take everything personally
- When you disagree, discuss personal feelings
- Allow them time to trust you
- Move along in an informal, slow manner
- Show that you are "actively" listening
- Provide guarantees and personal assurances that any actions will involve a minimum of risk

Above all, be warm and sincere.

In Relationships With Peacocks:

- Support their opinions, ideas and dreams
- Don't hurry the discussion
- Try not to argue-you seldom can win
- Agree on the specifics of any agreement
- Summarize in writing who is to do what, where, when
- Be entertaining and fast moving
- Use testimonials and incentives to positively affect decisions

Above all, be interested in them.

In Relationships With Owls:

- Support their organized, thoughtful approach
- Demonstrate through actions rather than words
- Be systematic, exact, organized, and prepared
- List advantages and disadvantages of any plan
- Provide solid, tangible, factual evidence
- Provide guarantees that actions can't back-fires

Above all, be thorough and well prepared.

In Relationships With Eagles:

- Support their goals and objectives
- Keep your relationship business-like
- If you disagree, argue facts-not personal feelings
- Recognize their ideas-not them personally
- To influence decisions, provide alternative actions with brief supporting analysis
- Be precise, efficient, and well organized

Above all, be efficient and compotent.

7 UNSDS 1999.

OVERHEAD 12-4

Do something for others[8]

Do something for the Dove:

1. Show intitative early in the relationship and take interest in the Dove as an individual. Be supportive of personal needs.
2. Establish a cooperative effort with a Dove.
3. Communicate patiently.
4. If you disagree, encourage discussions about opinions and feelings.
5. Recognize Doves with warm recognition and praise.

Do something for the Peacock:

1. Ask for opinions and ideas.
2. Spend time exploring mutually stimulating ideas and solutions.
3. If you disagree, look for alternative solutions that both can agree to.
4. Summarize objectives and recommend steps for implementation.
5. Reward good results quickly; public praise will be valued.

Do something for the Eagle:

1. Ask questions about specifics.
2. Ask “what” questions. Don’t hinder discussion with how, why, and when.

[8] UNSDS 1999.

3. Don't waste time trying to build a "personal" relationship.
4. Keep the relationship business-like.
5. Support the "results" that an Eagle wants, NOT the Eagle him/herself.
6. Reward the Eagle with material gain.

Do something for the Owl:

1. Demonstrate support through actions rather than words.
2. Stick to specifics and do what you say you will do.
3. Take the time to be persistent.
4. If you disagree, present a logical, organized presentation of your perspectives.
5. Reward Owls by praising their planning methods and strategies.

ACTIVITY 13

People Management in Practice: Effective Communication

Objective

1. To review and practice effective communication techniques with participants.

Preparation

1. Prepare Scenario Cards based on the scenarios found in Handout 13-1, placing one scenario on each card.

Method

1. Discuss with participants in plenary the OASIS model for effective communication using Overhead 13-1.

2. Divide participants into groups of 6 persons, and ask each person to choose a partner within his/her own group.

3. Distribute a Scenario Card to each pair of participants and ask them to read through the scenario.

4. Ask each pair to role play their scenario in front of the other members of their small group.

5. Ask the observers to comment on the role play based on the OASIS model.

Materials

Overhead projector, Overhead 13-1, Handout 13-1.

OVERHEAD 13-1

OASIS Model for Effective Communication

O Observable Data

- Describe your observations of the behaviour based on facts.
- Separate behaviour from evaluation, judgement, labeling, attribution or motives.

When I see, hear…

A Assumptions & Feelings

- Share your thoughts
- Share your feelings

I assume, believe, interpret… I feel…

S Suspend Judgement & Inquire

- Clarify understanding of differences/perspectives

Do I understand? Tell me more…

I Identify Common Ground & Shared Purpose

- Identify shared interests and purpose through questions and an atmosphere of openness.

What do you need? What do I need? What are our common needs?

S Select Behaviour

- Clearly state the behaviour or action you are requesting, offering, or promising

I would like you to… You would like me to…

HANDOUT 13-1

Scenarios[9]

One of your staff members leaves the office at precisely 5:00 pm every day, regardless of what is going on. This bothers you and makes you question his/her commitment to the job. Give feedback to the staff member.

Each of your assignments is returned with red editing marks all over the pages. Most of the comments are regarding style differences, not content. Begin a conversation with your supervisor to share how this makes you feel and discuss how you could work together more effectively.

You have been working on an assignment that is due Friday. You asked your colleague to review a section that relates to his/her specialty. He/she said that he/she would have it to you by Tuesday. It is now Thursday and your colleague still has not given you any feedback. Initiate a conversation with him/her regarding this issue.

Three weeks ago, you submitted a project proposal to your supervisor, and since then, he/she hasn't said a word to you about your work. With each passing day, you feel increasingly worried that your supervisor isn't happy with what you've done. Give him/her feeback explaining your feelings and ask for feedback on the project.

You are a member of the administrative staff of your organization. Often, one project officer walks by your desk without saying a word; when he/she does communicate with you, it is usually just to give you an assignment. He/she rarely says please or thank you. Generally, the project officer's behaviour makes you feel that he/she doesn't respect you or value your contribution as a member of the team. Talk to him/her about the issue.

A position at a higher level than yours has recently opened up. In your organization, supervisors must recommend employees for position changes. Express your desire to be recommended for the position to your supervisor.

You are in a perfomance appraisal meeting and your supervisor has just finished an evaluation of your perfermance. You are shocked; you thought for the last six months you were working very hard and doing a great job. However, it seems that your supervisor is using a different set of criteria by which to judge you. Tell your supervisor what you are thinking.

You have been paired for a project with a colleague who has a very different working style than you have. You are detail-oriented, diligent and usually turn in projects prior to deadlines. He/she, however, is much more relaxed in style and usually barely meets deadlines. For this particular project, you believe a conversation about your different work styles might help the partnership. Begin a conversation with some feedback.

---

9 UNSDS 1999.

ACTIVITY 14

People Management in Practice: Delegation

Objective

1. To enable participants to understand the importance of delegation in people management.

Method

1. Distribute Handout 14-1. Explain that the statements on the handout represent common delegation dilemmas experienced by managers.

2. Ask participants on an individual basis to write down what arguments they would use to convince a colleague to look at the problem from a different angle.

3. Divide the participants into groups of 5 persons and ask them to discuss their responses with the other group members.

Materials

Handout 14-1, pens.

Facilitator's Notes

1. Possible answers for the Delegation Dilemmas presented in Handout 14-1 are as follows:

Thoughts	*Arguments*
1. It's quicker to do it myself.	It is more time-consuming if you do this all the time.
2. My staff are already far too busy and I can't give them any more work.	Ask first if they are able to do it.
3. She/he knows nothing about the job and doesn't want to work.	How can you be sure if you never give him/her any work?
4. It's too risky and I'll be blamed if she/he makes mistakes.	Give clear guidelines.
5. I'm overworked and don't have the time or the energy to train my staff.	You'll be even more overworked if you don't change and delegate.
6. If I do invest the time to train them, the staff members may leave to take a higher paying job in another organization.	Think of the present benefits they can contribute.
7. My boss will only respect me if I appear to work extraordinarily hard.	Your boss will respect you more if your team produces more output.
8. I don't feel confident doing these tasks myself, so I can't possibly delegate them to others.	Capitalize on the strengths of your staff to get the job done.
9. You can't delegate unless you have a clear strategy. In our organization, we still do not know what our strategic priorities are.	Work with your staff to develop your priorities.
10. If I delegate, I will lose control and not know exactly what is going on.	Delegation implies meeting agreed goals, periodic reviews and agreed solutions. It does not translate to a loss of control.
11. I once delegated something important, and the results were catastrophic. Now I control everything more carefully.	You should review what went wrong and see how it can be corrected in the future.

HANDOUT 14-1

Delegation Dilemmas[10]

Thoughts	***Arguments***
1. It's quicker to do it myself.	
2. My staff are already far too busy and I can't give them any more work.	
3. She/he knows nothing about the job and doesn't want to work.	
4. It's too risky and I'll be blamed if she/he makes mistakes.	
5. I'm overworked and don't have the time or the energy to train my staff.	
6. If I do invest the time to train them, the staff members may leave to take a higher paying job in another organization.	
7. My boss will only respect me if I appear to work extraordinarily hard.	
8. I don't feel confident doing these tasks myself, so I can't possibly delegate them to others.	
9. You can't delegate unless you have a clear strategy. In our organization, we still do not know what our strategic priorities are.	
10. If I delegate, I will lose control and not know exactly what is going on.	
11. I once delegated something important, and the results were catastrophic. Now I control everything more carefully.	

10 (UNTS 2000).

ACTIVITY 15

Trouble-shooting

Objective

1. To enable participants to exchange experiences on various ways to handle common management dilemmas.

Preparatory Work

1. Dilemma cards should be prepared before the start of this activity. The content of the cards can be based on the responses given during the brainstorming exercise in Activity 1, which identified common project implementation problems.
2. Alternative problems that can be used:

   Sample problem A:

   Sample problem B:

   Sample problem C:

   Sample problem D:

   Sample problem E:

Method

1. Explain the activity as follows:
   - The group will be divided into small groups of 5 persons each.
   - Each group will receive a stack of dilemma cards and each individual in the group will receive a set of blank cards.
   - One member of each group will begin the exercise by picking up the top card on the pile of dilemma cards and read it aloud.
   - The other members of the group should write down their responses to the dilemma on one of their blank cards.
   - When the reader gives the signal, the other group members should simultaneously place the card containing their response face up on the table.
   - The groups members should discuss why they responded in the way they did, even if all members gave the same answer.
   - Another person from the group draws another dilemma card and the exercise is repeated.
2. Divide the participants, distribute the cards and ask them to begin the exercise.
3. Once all the small groups have finished the exercise, assemble all participants together again.
4. Ask participants in plenary which dilemmas were the most difficult and why.

Materials

Dilemma cards, blank cards, pens.

Session

IV

Project Monitoring and Evaluation

Session Objective

The objective of this session is:

> To enable participants to understand the importance of monitoring and evaluation, and how to put them into practice.

Session Contents

ACTIVITY 16

Monitoring and Evaluation: Concepts

Objectives

1. To highlight the key concepts involved in monitoring and evaluation.
2. To introduce the concept of participatory monitoring and evaluation.

Method

1. Present the concepts of monitoring and evaluation as well as the components of a good M & E design and ask participants for their input using Handouts 16-1 and 16-2.
2. Discuss the various types of indicators used in M & E with participants using Handout 16-3.
3. Have participants think about their own projects and ask them to brainstorm and come up with examples of the various types of indicators from their own work experience.
4. Introduce participatory monitoring and evaluation by having participants divide into pairs and reflect on an evaluation they participated in during the past. Write the following questions on a flip-chart at the front of the room and have them ask each other the following questions:
   - Who was the evaluation conducted for?
   - Who designed it?
   - Who collected and analysed the information?
   - What happened to the information after it was collected?
5. In plenary, ask some of the pairs to share their responses.
6. Ask participants how the responses to each question would change if the community was more involved in the M & E process.

Materials

Overhead projector, overhead, flip-chart, flip-chart paper, markers.

Facilitator's notes[1]

1. As the terms monitoring and evaluation are often confused, it is important that participants are able to distinguish between them. Monitoring allows project managers and the target group to adjust and improve upon the strategies used in project implementation throughout the project. It focuses on measuring outputs using process or output indicators.

[1] de Negri 1998.

2. Examples of process or output indicators include the following:

   - Number of girls who enroll in primary school
   - Number of health workers trained
   - Percentage of households that attended income generation training workshops
   - Number of condoms distributed

3. Evaluation is frequently used to assess project outcomes (short-term effects) or project impacts (long-term effects) using outcome indicators or impact indicators. It can also be used to describe the initial assessment of a situation or monitor the progress of a project relative to its objectives.

4. Examples of outcome indicators and impact indicators include:

   - Number of girls who complete primary school (outcome)
   - Level of maternal mortality (impact)
   - Level of income among those with new income generation skills (impact)
   - Incidence of AIDS related deaths among young men (impact)

5. The major difference between traditional monitoring and evaluation practice and participatory monitoring and evaluation is that in the latter, the community is directly involved in monitoring the progress of its development projects. The community members themselves decide what works, what doesn't and how to proceed. The members control the process but are assisted by outsiders (including donors).

6. Traditional M & E processes are useful in certain situations but are not appropriate in projects designed in a participatory manner by the community members themselves through techniques such as PRA.

OVERHEAD 16-1

Monitoring[2]

- A tool used throughout the project cycle to measure the progress of a project relative to expected outputs.
- Ensures that objectives are attained in an effective and efficient manner.
- Identifies successes and problems as early as possible to facilitate changes in project implementation.

Evaluation[3]

- An appraisal process used in project implementation.
- Assesses the relevance, performance, efficiency, impact and sustainability of a project.
- Provides the means for more effective project design in the future.
- A tool used throughout the project cycle.

[2] World Bank 1996a.
[3] World Bank 1996a.

OVERHEAD 16-2

Components of a good M & E design

- Clear statement of measurable project objectives that indicators can be effectively designed for (see Logframe Session II).
- Structured set of indicators that covers outputs of goods and services generated by the project and their impact on beneficiaries.
- Provisions for collecting data and managing project records so that data required for indicators are compatible with existing statistics and are available at a reasonable cost.
- Institutional arrangements for gathering, analysing, and reporting project data, as well as for investing in capacity building to sustain the M & E service.
- Proposals for ways in which M & E findings will feed back into the project's decision making process.

OVERHEAD 16-3

Indicators

Input indicators

- Quantified time-bound statements of resources to be provided.
- Originate from accounting and management records.

Process indicators

- Measure what happens during implementation.
- Often taken from the workplan.

Outcome indicators

- Show immediate physical and financial outputs of the project.

Impact indicators

- Show medium or long-term developmental changes that result from the project.

ACTIVITY 17

Monitoring and Evaluation: Tools and Techniques

Objectives

1. To introduce the steps involved in monitoring and evaluation as well as some relevant tools and techniques.

Method

1. Discuss with participants the steps involved in conducting M & E using Overhead 17-1 and Handouts 17-1 and 17-2.

2. Explain the process of conducting participatory M & E.

3. Distribute Handout 17-3 and ask participants to divide into pairs and read the case study. Have each group think of one process/output indicator, one outcome indicator, and one impact indicator that could be used to evaluate the project. Also, ask each pair to brainstorm about which participatory techniques could be used to measure these indicators.

4. Assemble all participants together and have some of the pairs share the results of their discussion.

Materials

Overhead projector, Overhead 17-1, Handouts 17-1, 17-2 and 17-3.

Facilitator's notes

1. Participatory M & E begins at the planning stage of a project. Community members and facilitators together identify a list of indicators that can be regularly monitored by the community members.

2. The same techniques used for participatory project planning can be used for participatory monitoring and evaluation as follows:

   Mapping

   - How many households have participated in the project's activities?
   - Which households have enrolled their girls in school and which ones have not?

Semi-structured interviews

- Discussions with community members about their perceptions of the project's success.
- Discussions about problems encountered during project implementation.
- Discussions about the direct and indirect effects of the project on the lives of community members.

3. The project's progress can be assessed by community members by comparing the information they gathered in the project's planning stages with current information.

4. For the case study on the AIDS Information Network, the following indicators can be suggested:

Process indicators

Number of condoms distributed during the harvest

Number of health education activities conducted

Outcome indicators

Percentage of men accompanying women to isolated places

Percentage of women going in groups to collect firewood

Percentage of couples that have discussed how to share the workload

Percentage of men helping their wives with chores

Percentage of men using condoms during the harvest

Impact indicators

Number of AIDS-related deaths during the past year

Further Reading

http://www.mande.co.uk/news.html

OVERHEAD 17-1

M & E Steps

STEP 1

What/who is it for?

STEP 2

Who will do it?

STEP 3

Preparation

STEP 4

Collection of information

STEP 5

Analysis of information

STEP 6

Report preparation, presentation and feedback

STEP 7

Follow-up

OVERHEAD 17-2

M & E Step 1

What/who is it for?

- Project staff
- Donors
- Partners
- Target group
- Other concerned parties

OVERHEAD 17-3

M & E Step 2

Who will do it?

- Project staff, facilitators, supervisors
- Outside evaluator/consultant

OVERHEAD 17-4

M & E Step 3

Preparation

Set smart objectives

- Process/monitoring objectives
- Impact/evaluation objectives

Develop key questions and indicators

Gather background information

Develop a process for gathering information

OVERHEAD 17-5

M & E Step 4

Collection of information

Group review meetings

Individual interviews

Observation

Casual conversations and observations

Review of existing documents

Interviews with project staff

Supervision

Field visits

Sampling

OVERHEAD 17-6

M & E Step 5

Analysis of information

- Data entry
- Use of computer projects
- Record information
- Summarize findings
- Translate documents

OVERHEAD 17-7

M & E Step 6

Report preparation, presentation and feedback

Conclusions

- Based on results
- Reflect opinions

Recommendations

- Course of action
- How, when and by whom action should be taken
- Inputs and resources required
- Obstacles to implementation
- Follow-up and monitoring systems

Report preparation and presentation

- Written report
- Audio-visual aids

OVERHEAD 17-8

M & E Step 7

Follow-up

Share project conclusions and recommendations with all concerned parties

Implement recommendations

Allocate time and resources during the planning stage

HANDOUT 17-1

Step One: What/Who is it for?

a. Monitoring

A monitoring system should be developed according to project objectives and the organizational structure. The monitoring system will provide the necessary information for different aspects of the project and the different stakeholders. For example, information is needed for:

- *Daily decisions which affect the project,* such as progress, those relating to the use of resources, the identification of problems and achievements, the recording of events, and the provision of information for future evaluations.
- *Accountability to donors,* which includes resource management, effective projects, impact, lessons learned, and sustainability.
- *Accountability to partners,* such as decision-making processes, the inclusion of other stakeholders' objectives, and common opportunities.
- *Accountability to the target group and other affected populations,* which includes their progress, their thoughts on the project, their perception of the problems and solutions, and their contributions.

In addition, the information gathered through monitoring can be later used for evaluation exercises. Thus, a monitoring system is a very effective tool that can be used in later assessments of the project.

b. Evaluation

Many different people will use the findings of the evaluation exercises. It is therefore necessary to determine at the beginning how the results will be used. This will help to determine the objectives of the exercise, what information is needed, what approach should be used, how the information should be gathered, what degree of accuracy is needed, and how and to whom the results will be presented.

An evaluation is necessary to:

- Assess the objectives and their relevance
- Assess the progress in achieving the objectives
- Evaluate the impact of the project
- Assess the long-term sustainability of the project
- Provide a basis for further decision-making
- Influence donors, governments, and other actors
- Look at external factors that may affect the project

An ***internal*** evaluation is used within the organization to bring about improvements in project implementation. An ***external*** evaluation is undertaken by outside evaluators, often at the request of donor agencies, because they are usually considered to be reliable, objective, and unbiased. This Handout concentrates on the internal evaluation, due to its focus on project improvement and on target group involvement in the process.

Evaluations should use evidence from all categories of participants: the poor, facilitators, planners, and the wider community. An internal evaluation should primarily aim to improve future practice, learn from mistakes and contribute to strategic planning.

Step two: Who will do it?

As noted above in Step One, monitoring is an internal tool, and thus, monitoring should be conducted by project staff. For example, facilitators and supervisors should monitor daily project activities. Internal evaluations should also be conducted by project staff, while external evaluations may be conducted by an outside consultant.

Some training may be necessary for potential evaluators. This could include sessions on participatory processes, giving and receiving feedback, observation techniques, questioning techniques, observation check list development, record-keeping, and the presentation of results. This training is very important, as the information gathered during the exercises must be carefully and accurately analysed.

Step three: Preparation

In this step, the ground preparations are made for the monitoring or evaluation exercise. This includes finalizing the objectives of the exercise, looking at information already gathered, and deciding on data collection and analysis methods.

a. Objectives

For any monitoring or evaluation exercise, objectives should be set depending on the overall purpose of the exercise, and for whom it is being conducted. The objectives should always be SMART.

Like indicators, there are two types of objectives: process and impact. ***Process*** monitoring assesses how the project is progressing and the way it is being carried out, while process evaluation looks at how the project was conducted. ***Impact*** monitoring assesses the project in relation to the achievement of its overall purpose, whereas impact monitoring measures the effects of the project.

Monitoring

Monitoring objectives should intend to:

- Assess if the activities are conducted as planned
- Identify and solve problems as they occur
- Locate strengths and opportunities as they arise

- Assess the project and management style
- Monitor changes in the target population
- Assess changes in the external environment
- Identify if there is a need to alter project objectives
- Monitor the progress of activities in reaching the objectives

Evaluation

Objectives for an evaluation include assessments of the following:

- Is the project progressing toward its objectives?
- What has the impact been?
- Who has benefited, and how?
- Are the objectives of the project still relevant?
- Is the project cost-effective?
- Is the project sustainable?

Objectives also include recommendations, such as:

- How the project can be improved
- How the goal and objectives can be changed

b. Key questions

Next, key questions to be answered during the exercise should be developed. Key questions should focus the exercise on the objectives of the project or the part of the project being analysed. Key questions must always be realistic. Therefore, when formulating the questions for the exercise, it is important to take into account the resources available to answer the question, the importance to the project of answering the question, and what is already known about the issue.

Indicators are integral to the formulation of key questions and how they will be answered. Indicators, which should be developed during the project planning stage, are very useful for the monitoring and evaluation of the project. These indicators can measure project processes, progress made in achieving the objectives and the project's impact.

c. Background information

Background information about the project is useful when planning a monitoring or evaluation exercise. Worthwhile information to examine includes: a) details about the issue, such as information about the local context, services and resources that already exist in the community, and how the issue affects the target group; and b) details about the project, such as its history, its progress and process, and its impact thus far.

d. How information can be obtained

Developing means for obtaining information should include brainstorming about:

- What information is needed?
- Where can the information be found?
- What methods should be used for collection?
- What information is available from previous monitoring or evaluation?
- What information can be gathered from a field visit?
- How will the information be analysed?
- What skills and technical expertise are needed to gather and analyse the information?
- What sort of communication skills and language abilities are needed for interviewing people?
- What equipment will be needed, and how will it be obtained?

Step four: Collecting information

Collecting information is central to the monitoring and evaluation processes. It includes analysing existing information, conducting field visits, interviewing people, organizing meetings, and ensuring all key stakeholders are included.

As with teaching and learning methods, there is no single correct way of conducting a monitoring or evaluation exercise. Ideally, use more than one method for collecting data. Two or three methods that complement each other can provide the most complete picture possible. As mentioned earlier, participatory methods and tools are quite useful in gathering information and ensuring that all target group members are heard. Some of the methods that can be used are:

(i) Group review meetings

Periodic group review meetings can be one of the most effective ways of obtaining information and encouraging learners to analyse problems, share experiences and assess lessons learned.

(ii) Individual interviews

Personal interviews can be valuable throughout the poverty alleviation project. The facilitator can interview each member of the target group, or alternatively, members could interview each other in pairs and provide the information in an oral, written, or tape-recorded form. In addition, individual interviews could be conducted with key community members. Interviews can then be written up as case studies to provide useful illustrations.

(iii) Observation

Observation of poverty alleviation projects can be an extremely useful method of monitoring and evaluation. All those involved, including the observers, facilitators, and the members of the target group should recognize that the purpose of the exercise is to provide support and not to make judgements on their performance. For example, feedback is almost always useful to the facilitator, and observers are in a good position to comment on how the target group is responding and coping. The purpose is to obtain accurate information on everyday practices, which can later be discussed and lead to a better project.

(iv) Casual conversations and observations

Casual conversations and observations are rarely regarded as useful methods of evaluation. However, casual conversations, even non-verbal behaviour such as gestures and facial expressions, can be very revealing and provide helpful information.

(v) Review of existing documents

Looking at existing project documents as well as previous monitoring and evaluation exercises can provide important supplementary information.

(vi) Interviews with project staff

Another important component is talking with project staff members. They can provide insight on how the project is running, and they often will have suggestions for improvement.

a. Monitoring

(i) The role of supervision

A good way to regularly monitor poverty alleviation projects and provide support for managers is through a supervisor. A supervisor may be assigned to one or several communities. He/she should be hired locally and will probably require training.

The role of the supervisor includes:

- Personal visits to the community
- Providing technical assistance and problem-solving
- Counselling to managers
- Taking initiatives
- Motivating the managers and the community
- Providing guidance
- Reporting to project management staff

The areas of supervision may be broadly classified as follows:

- *Project implementation:* includes checking timely implementation of projects, coverage in terms of number and type of participants, venue, training of facilitators, etc.

- *Project management:* for example, documentation, preservation of resources, timely payment of salaries, timely reporting, etc.

While the supervisor can make periodic reports, monitoring missions by project staff should also be undertaken regularly.

(ii) Field visit

Conducting a field visit is a good way to assess firsthand the project implementation as well as meet with the target group and manager.

During the field visit, the person in charge of the project in the community should provide you with a project overview. This should include:

- Background of the project
- Goal and objectives
- Project duration
- Implementation logistics, methodologies, and financial issues
- Staffing issues, responsibilities and supervision
- Constraints that have arisen during implementation
- Successes

The next step of a field visit is to meet with the target group and manager, as well as other community members. The following is a sample of questions to consider during the field visit:

Community participation

- How was the community involved in the needs assessment?
- How is the community involved in project implementation?
- How does the community support the project?
- Is there a difference in the way men and women contribute?
- Does the project impact women differently from men?

Staffing, training and supervision

- Do the staff have job descriptions?
- Do the staff understand their responsibilities?
- How were community needs identified?

- What is the supervision and feedback process?
- What activities have taken place?
- Is the workload appropriate?
- What are the staff's motivations?
- What is the staff breakdown by sex? How might this affect project implementation?

Financial accountability

- What kind of financial records are maintained? By whom?
- How are the records used to monitor the project?

Project

- Are the project goal and objectives clear to project staff? To the target group?
- Are the objectives SMART?
- Is there an evaluation plan?
- Are there indicators to monitor and evaluate?
- What kind of records are maintained?

Logistics

- Where do the supplies come from?
- How are the materials stored?
- What records are maintained?

Technical issues

- What are the implementation methods?
- What is being conducted?
- Is the target group involved in the materials selection and/or development?
- Is the technical content appropriate?

(iii) Sample[4]

The following chart provides an example of monitoring information, and how the information can be collected.

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[4] Save the Children 1995.

	Information to be collected	***Sources of information***	***Use of information***
Management/Administration			
Staff/personnel	• performance • expectations • achievement • constraints • team work • organization and structures for support	• staff/team meetings • staff reviews • supervision • informal meetings • observation	• give staff support and feedback • provide staff training and development • improve management practices • modify/clarify job descriptions
Project budget/ expenditure	• expenditure by project • balance remaining • regularly recurring expenses • last year's budget • rate of inflation and the exchange rate • staff salaries	• invoices and vouchers • budget break down • analysis of budget • banks • staff records • pay slips	• predict expenditure • compare costs of different projects • identify areas of excessive spending and saving • compare costs with achievements • ensure staff are paid according to pay scale
Project			
Results of activities/project outputs	• what has been done and not yet been done • problems that have been encountered and how they have been addressed • how the external situation has changed	• records of activities • supervision reports • meetings and workshops • staff reviews • observation	• plan future project(s) • identify project successes and weaknesses • review priorities • identify training needs
Project inputs	• what is needed and where it can be found	• from suppliers, other organizations, etc.	• plan and schedule activities • monitor budget
Progress of project according to objectives	• progress toward achieving objectives • relevance of the objectives	• information on key indicators • observation	• modify objectives if necessary • provide feedback • identify the need for evaluation
Style of work	• how the decisions are made • existence of a sense of ownership	• indicators that show participation • meetings • observation	• show need to change management style • encourage participation
Background information on target population and context	• any significant political, social or economic changes that have affected the target group	• surveys • meetings with other agencies • observation	• collect baseline data • respond to the changing situation • keep in touch with relevant agencies

b. Evaluation

The following is a sample of the types of information that can be collected for an evaluation:

Objectives

- Were the initial project objectives realistic and did they address a real need?
- Were the desired outcomes clear and measurable? What should they have been if not?
- Were the target groups identified in the beginning? Were they the right ones?

Budget

- Was the budget adequate, too small or too large to meet the objectives? How did this affect project implementation?
- Were financial reporting requirements adequate? In what way did you report? What would you do differently?

Implementation of the project

- Was the project implemented in a systematic manner?
- Did the project implementation match the needs of the target group?
- Did the target group feel a sense of ownership over the project?

Management

- Were the project objectives achieved on schedule? If not, why?
- Was the project timing too tight, too loose, or just right?
- Was the project completed within the budget? If not, why?
- Was the support to project staff sufficient?
- What improvements are necessary for effective project management?
- What worked particularly well?

Substantive

- How well were the project objectives achieved?
- Were all the planned outputs achieved?
- Were other outputs produced? If so, why?
- What tangible impact did the project objectives have on the beneficiaries?
- Did the project benefit others who were not initially part of the target group?
- What impact did the project have on the implementing agencies?
- What must be undertaken to make the project sustainable?

Impact

- How did people's knowledge change?
- In what way did people's skills change?
- How do people use the new knowledge and skills?
- How have their attitudes changed?
- What effect will these changes have on people's lives?

Step five: Analysing the information

It is very important that the collected data is accurately analysed. Analysis may include entering data, use of computer projects, recording information, summarizing findings, and translating documents. The analysis should be unbiased, and should take into consideration different points of view. The project planning must be done correctly, as the indicators and tools used during the planning phase will be used again for monitoring and evaluation.

Step six: Report preparation, presentation and feedback

(i) Drawing conclusions and recommendations

Conclusions can be drawn as a result of the monitoring and evaluation exercises. These conclusions, which are always based on the exercise results, will reflect the information gathered and the course of future directions to take. Conclusions can also reflect differing opinions, if applicable. It is often useful to use case studies or quotes to illustrate points.

Recommendations are then made based on the conclusions.

Recommendations should:

- Propose a course of action
- Demonstrate how, when, and by whom the actions should be taken
- Mention the inputs and resources required for the action
- Discuss obstacles that may be faced in implementation
- Propose follow-up and monitoring systems necessary for ensuring that action is taken

(ii) Report preparation and presentation

It is best to decide on your report format as early as possible. A mixture of print and visual reports can clarify your messages. The type of report depends on whom it is for. Also, you should determine what language(s) the report will be in, and thus, the translations that may be required.

Sample evaluation report format

Front cover

- Name of organization, name of project, location

Summary page

- Name of organization, project, and location
- Who carried out the evaluation
- Purpose of the exercise
- Dates it was undertaken
- Date of report completion
- Acknowledgments of those who contributed

Table of contents

Executive summary

- A brief summary of the report, including the goal and objectives of the exercise, who it was for, and how it was undertaken. In addition, conclusions and recommendations should be listed.

Background information

- Information about the local context (political, economic, social) as well as project history, objectives, etc.

Purpose and methodology of the evaluation

- Objectives and key questions
- Data collection methods chosen
- Data collection process, including who was interviewed, where, the duration, etc.
- Any data collection constraints and how they were overcome

Results

- What the findings were (categorized into subheadings)
- Utilization of case studies and quotes

Conclusions

- Based on the results, draw main conclusions which reflect the original objectives and key questions

Recommendations

- What should be done and how it should be undertaken

Appendices (if applicable)

- Data collection methodologies used (e.g. questionnaire, interview format, etc.)
- Actual data collected
- Terms of reference for evaluators

(iii) Dissemination and feedback

After the report is complete, it should be disseminated to the people for whom it was written (depending on if it is internal or external) and also to all who participated in the process. This could include the learners, facilitators, community members, project staff, other agencies, and donors.

It is usually best to write a draft report, receive feedback, and then finalize it. The report should then be stored so that it will be available to people currently working on the project, as well as for future projects and monitoring and evaluation exercises.

Step seven: Follow-up

Follow-ups to recommendations are integral to any monitoring and evaluation exercise. Thus, when planning an exercise, it is crucial to allow time and resources to be spent on following up the recommended changes and actions to be taken. These actions are extremely important for project improvement.

Furthermore, the information must be shared with all concerned parties, so that they are kept informed on your project's process and impact, and can make any necessary adjustments to their own projects. Results should be shared with the facilitators, supervisors, community management team, etc.

HANDOUT 17-2

Checklist for monitoring and evaluation

Who is it for?

- The learners?
- The facilitator?
- Project managers?
- Funders/donors?

Who will conduct it?

- The learner(s)?
- The facilitator?
- Project staff?
- Outside consultant?

What is the purpose?

- To find out what is going right?
- To find out what is not going well?
- To identify progress toward objectives?
- To assess the impact?
- To assess sustainability?

Preparation

- Set objectives
- Prepare key questions
- Review background information
- Identify how information will be obtained

How should information be collected?

- Interviews
- Group discussions
- Observation
- Field visits
- Records of learners' progress
- Interviews with project staff

Report preparation

- Draw conclusions and recommendations
- Write report
- Disseminate and receive feedback

How to report?

- Written reports
- Visual aids/graphs
- Case studies

Follow-up

- Implement recommendations
- Make changes to project implementation

HANDOUT 17-3

AIDS Information Network[5]

Background

The AIDS Information Network is non-governmental network that aims to reduce the spread of HIV infection in District A. It is run and managed by health care providers, health educators, counsellors and trainers from District A. The organization's strategy is to provide integrated AIDS prevention interventions within a community-based health care framework. Its programmes include community-based health care (which trains village health communities), community health workers, and traditional birth attendants. The NGO also runs a peer education programme for village youth and provides HIV counselling, testing and medical treatment through eight sub-clinics.

The PRA Workshop

Identifying Risk Factors

The first PRA activity conducted was mapping. The participants divided themselves by village, and each group drew a map of its village using locally-available materials (e.g. ash, beans, maize and stones). The participants first drew physical landmarks, such as hills, swamps and roads, and then added social markers, such as homes, religious institutions, schools and farms. For each house, participants identified the number, age and sex of the inhabitants, as well as the number of deaths that had occurred during the previous year. The PRA facilitators asked the community members to indicate how many of the deaths were AIDS-related, but the villagers did not want to reveal this information due to the stigma associated with the disease.

The village maps were transferred to paper, and then presented to the group at large. By identifying the number of deaths in the past twelve months, participants realized that there had been at least one death in each home. Although the causes of death were not identified, participants knew that many were AIDS-related. As a result, participants realized how widespread AIDS was in their community and the implications this has for the community's survival.

Next, participants identified specific locations where they might be at risk of HIV infection. For example, they identified bars where men took casual sex partners, and located isolated areas, such as wells and wooded lots, where women were at risk of being raped.

After mapping, a group of community members created a seasonal calendar on the ground in order to examine the patterns of various diseases. For each of the twelve months of the year, participants identified when cases of malaria and diarrhea were prevalent. After they had finished and transferred the map to paper, some of the more educated participants related the occurrence of the two illnesses to weather patterns, such as the presence of sunshine or rain.

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5 de Negri 1998.

Many of the participants were surprised by this relationship, because they had previously associated malaria and diarrhea with the consumption of certain seasonal foods (e.g. maize and mangoes). The PRA facilitator then asked the participants whether HIV had a transmission season. Surprisingly, the villagers responded yes, that HIV transmission was highest during the harvest season (June, July and August), when men had more money and could afford to drink more alcohol and pay for casual sex.

The final exercise involved the creation of twenty-four hour activity clocks (daily schedules) to allow the villagers to identify differences in the amount of work performed by men and women, and to identify leisure time that might lead to risky behaviours. The men and women conducted the exercise separately, and members of each group discussed what they did for each hour of the day. The exercise revealed that women engaged in many more activities than men during the day, and that men had more leisure time than women. The exercise also showed that women were frequently asked by their husbands to have sex as many as three times per day, and that the women were often too tired to comply. Due to their extra leisure time and their wives' inability to partake in sex, many men took on additional sex partners. Both sexes realized that this behaviour was putting both men and their wives at risk of contracting HIV.

Proposed solutions

After each activity, participants were asked to think of solutions to the problems that were identified.

After the mapping activity, participants realized that men were at risk of contracting HIV at bars (where they would pick up casual sex partners) and women were at risk of rape in certain isolated places. The men proposed as a solution that all drinking should occur during the day and that they come home early in the evening. To protect themselves from attack, women decided to travel in groups to collect firewood and water, and some of the men offered to accompany their wives.

When it became evident that HIV transmission was greatest at the times of the year when men had the most money, the NGO staff decided to increase their condom distribution efforts and health education activities during these months. The village women also realized that they should protect themselves more during the harvest, and that they needed to encourage their husbands to take extra precautions during this time.

As a result of the creation of the twenty-four hour activity clocks, the villagers proposed that husbands and wives decide together how to better share the workload. This would prevent the women from becoming fatigued and keep the men more occupied.

ACTIVITY 18

Monitoring and Evaluation in Practice

Objectives

1. To provide participants with the opportunity to reflect on how the monitoring and evaluation tools and techniques can be incorporated into their projects.
2. To conduct an evaluation exercise for the Module.

Method

1. Ask participants to individually consider how they will incorporate monitoring and evaluation into their ongoing projects.
2. In plenary, answer any queries participants may have.
3. Distribute the evaluation form for the Module and ask participants to fill it out.

Materials

Handout 18-1

Facilitator's Notes

1. Emphasize the importance of monitoring and evaluation in project management for the target group and the donors.
2. Stress that monitoring and evaluation need not be costly or time consuming if they are incorporated into existing project activities.

HANDOUT 18-1

ESCAP HRD Course for Poverty Alleviation
Module 8: Project Management

Overall Evaluation Form

Name: (optional) ____________________

Title/Position: (optional) ____________________

Please choose one: NGO
Government agency
Other *(please specify)* ____________________

Country: ____________________

Please rate your answers according to the degree of relevance:				
5	**4**	**3**	**2**	**1**
excellent	**good**	**average**	**poor**	**very poor**

Q1. How would you rate the overall quality of Module 8 of the ESCAP HRD Course for Poverty Alleviation? *(please circle your answer)*

5 4 3 2 1

Q2. How would you rate the following aspects of Module 8 of the ESCAP HRD Course for Poverty Alleviation? *(please circle your answer)*

2-2. Content

5 4 3 2 1

2-2. Methodology

5 4 3 2 1

2-3. Overall quality of the trainers/resource persons

5 4 3 2 1

2-4. Quality of the documentation

5 4 3 2 1

2-5. Organization

5 4 3 2 1

2-6. Quality of in-training servicing by the ESCAP Secretariat

5 4 3 2 1

2-7. Quality of administrative assistance provided by the ESCAP Secretariat

5 4 3 2 1

Q3. **What was the level of the Module?** *(please circle your answer)*

Very Easy *Easy* *Appropriate* *Difficult* *Very Difficult*

Q4. **(a)** **What is your opinion on the duration of the Module?** *(please circle your answer)*

Too Short *Too Long* *Perfect*

(b) **Was the allocation of scheduled time (free time, study time, etc.) satisfactory?** *(please check the appropriate box and provide comments)*

Yes
No

Q5. **(a)** **Have the participants' different skill levels been sufficiently taken into account during the Module?** *(please check the appropriate box and provide comments)*

Yes
No

Q6. **What do you think you have gained from the Module?**

Q7. **To what extent has the Module changed your attitude towards your work?** *(please circle your answer)*

Completely	*Substantially*	*Fairly*	*Minimally*	*Not at All*
5	4	3	2	1

Q8. **(a)** **Overall, what aspect of Module 8 of the ESCAP HRD Course for Poverty Alleviation was *most* useful? Please explain.**

(b) **Overall, what aspect of Module 8 of the ESCAP HRD Course for Poverty Alleviation was *least* useful? Please explain.**

Q9. **(a)** **Which sessions were most relevant or useful to your work?**
Please explain.

(b) **Which sessions were least relevant or useful to your work?**
Please explain.

Q10. How will you use what you have learned in your work?

Q11. What might stop you from using what you have learned (including your own attitudes and fears)?

Q12. How would you like ESCAP to assist you in using what you have learned?

Q13. Any other comments/suggestions/questions for ESCAP Secretariat concerning Module 8 of the ESCAP HRD Course for Poverty Alleviation?

Thank you for your cooperation in filling out this questionnaire!

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