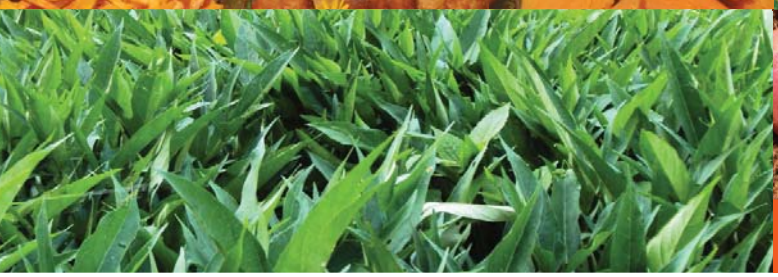
Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, Monitoring and Evaluation

A LEARNING KIT

VOLUME 1

Introduction
A Comprehensive Implementation Plan



REACHING AGENTS OF CHANGE (RAC)

Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, Monitoring and Evaluation: A Learning Kit

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A Learning Kit

Volumes 1–5

Reaching Agents of Change (RAC) Project

CIP, Nairobi, Kenya

April 2014

A learning kit adapted from the learning module redesigned in November 2012 by the Reaching Agents of Change (RAC) Project, International Potato Center (CIP) Nairobi, Kenya, April 2014

Engendered Orange-Fleshed Sweetpotato
Project Planning, Implementation, Monitoring and Evaluation

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Volume 1

Preface

In 2009, the International Potato Center (CIP) and its partners launched the Sweetpotato for Profit and Health Initiative (SPHI), aiming to improve the lives of 10 million African households in 10 years through effective production and expanded use of sweetpotato.

SPHI contributes to reducing child malnutrition and improving smallholder incomes.

The Reaching Agents of Change (RAC) Project advocates for increased investment in orange-fleshed sweetpotato (OFSP) to combat Vitamin A Deficiency (VAD) among young children and women of reproductive age. RAC also builds institutional capacity to design and implement gender-sensitive projects to ensure wide access and utilization of OFSP in Mozambique, Nigeria, Tanzania, and Burkina Faso and Ghana.

To build institutional capacity in three African countries, in 2012 RAC team designed a six-day Learning Module on 'Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, and M&E', by adapting and complementing the contents and processes from learning plans developed by the International Food Policy Research Institute (IFPRI)/the International Services for National Agricultural Research (ISNAR)/the Agricultural Research and Development Support Facility (ARDSF) to respond to the needs of RAC stakeholders. The RAC team tailored the IFPRI/ISNAR/ARSDF materials to make them relevant to the RAC agenda. This involved adding sections and sessions on mainstreaming gender in project design, project budgets, project implementation, monitoring and evaluation, and including the theory of change.

This learning kit maximizes the use of the RAC learning module by redesigning it into a publication comprising five volumes on 'Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, and M&E'. The learning kit was designed in this new format: (i) to guide the prospective learning facilitators to implement workshops which are composed of sessions based on the needs of the users in a less formal six-day workshop; and (ii) to facilitate wider distribution of the learning plan which was developed and implemented successfully during six-day workshops in Mozambique, Nigeria, and Tanzania. This was to support RAC strategic objective 2 which states: *building capacity of implementing agencies to design and implement technically strong and cost-effective interventions that drive uptake of OFSP.* This objective stresses that capacity must include gender sensitivity in OFSP projects.

The learning kit concentrates on Project planning, Implementation, Monitoring, and Evaluation to promote the development of knowledge, attitudes and skills on: (a) identifying project areas and objectives, and leading project teams; (b) preparing project proposals; (c) reviewing project proposals; (d) approving projects and committing resources; and (e) implementing projects, monitoring and evaluation, that includes theory of change.

The learning kit provides a thorough plan to support the implementation of 14 sessions of a workshop — *at the best time of the users* — to provide the learning facilitators with the sequential information to strengthen capacity of event participants to undertake each phase of the project cycle management, which includes planning, implementation, monitoring and evaluation of identified OFSP-related priority projects.

The learning kit includes instructions to guide learning facilitators to implement events to multiply learning among other professionals in the country, a summary of PowerPoint presentations, brief descriptive presentations and a range of exercises designed for building teams to work together during and after the workshops. The learning module also

provides instruments to collect daily feedback, to record the Participant Action Plan Approach (PAPA) and undertake evaluation.

It is expected that by *implementing each step* of all phases of the project cycle management this learning kit will inspire and motivate participants to use it to plan and lead new workshops or events to promote learning and capacity building to strengthen the quality of OFSP project planning, implementation, monitoring and evaluation. This will not only attract financial support to reduce child malnutrition and improve smallholder incomes, but also ensure that OFSP projects are moving in the right direction towards obtaining effective results.

In preparing to transform the six-day workshop plan into this learning kit, the RAC team, under the leadership of Dr. Adiel Mbabu, RAC Project Manager, and Dr. Zenete Peixoto França, specialist in Learning and Capacity Building, have adapted the contents and design of IFPRI/ISNAR/ARDSF learning modules, and added new sections to better align it with agricultural research for development (AR4D) approach.

Dr. Adiel Mbabu
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Acknowledgments

We acknowledge the generous support of the Bill & Melinda Gates Foundation which has enabled the International Potato Center (CIP) to create the Reaching Agents of Change (RAC) Project: Catalyzing African Advocacy and Development Efforts to Achieve Broad Impact with Orange-Fleshed Sweetpotato to reach out to five African countries: Mozambique, Nigeria, Tanzania, Burkina Faso and Ghana.

Special thanks go to Dr. Jan Low, Program Leader for Sweetpotato for Profit and Health Initiative (SPHI), for support and commitment to the RAC agenda.

We owe a very special thank you to the RAC Team, Dr. Hilda Munyua, Mr. Godfrey Mulongo, and Mr. Frank Ojwang, for sharing the delivery of sessions in three workshops, which took place in April and May 2013 in Tanzania, Mozambique and Nigeria. In Mozambique, we thank Mr. Elias Munda for his participation as a RAC team member.

This special thank you is extended to the Helen Keller International (HKI) team, Dr. Sonii David and Dr. Adekeye Marion (who participated in the Nigeria workshop) and to Mr. Dércio Matale and Ms. Gabriela Teixeira (who participated in the Mozambique workshop). In addition, RAC is grateful to Mr. Frank Ojwang and other colleagues from the three countries for providing necessary logistics for the workshops.

We are pleased to express a deep thank you to all participants of the workshops in Mozambique, Nigeria and Tanzania, whose names are listed in the respective workshop reports for each country. The workshops were carried out during six consecutive days following the learning module, which was specifically designed to adapt the contents to reflect the RAC objectives and the felt needs of the respective partners in the collaborating African countries.

The commitment and interest of the participants in providing feedback on the high value of the learning module triggered the decision to transform this learning plan into this publication, comprising five volumes, to promote higher distribution and increase its impact among needy communities.

This learning kit is expected to contribute to equipping professionals to access financial support for their orange-fleshed sweetpotato (OFSP) projects.

We are grateful to Dr. Zenete Peixoto França of Zenete França & Associates for joining the RAC team to transform the learning module design into this learning kit. RAC wanted to ensure that this new publication guarantees effective learning by maintaining guidance for the ideal sequence and details to implement the sessions, which follow the principles of adult learning as defined in the previous learning plan. We are also grateful to Mr. Stephen Parker for his support in designing the covers and CD-ROM for this publication.

Volume 1: Introduction

Volume 1 of this learning kit comprises three parts.

Part 1. The Design of the Learning Kit

This part guides the user of this learning kit on the design of the learning material, which includes a comprehensive explanation about aspects of the event that the leading facilitator must consider during the implementation phase to be efficient and guarantee the expected and effective results. In summary, Part 1 provides: (a) information on how the learning kit is organized, which emphasizes important aspects for the implementation of the event and (b) a sample for the event brochure that can be adapted by the leading facilitatorto emphasize the sessions which will be carried out during the learning process.

Part 2. Pre-Workshop Assignment

This part presents the materials that should be sent to participants — two or three weeks before the date of the event — to enable them prepare to attend the planned sessions. The exercises are self-explanatory and participants are expected to complete and bring them to the venue of the workshop.

Part 3. A Comprehensive Implementation Plan

This part presents a comprehensive plan to implement the following four sessions:

- *Session 1. Introduction to the workshop*. This session presents the event overview, a summary of the project planning stages and information about the end-of-session evaluation and Participant Action Plan Approach (PAPA). PAPA is used to make sure participants apply in their organizations the learning developed during the event, after the event is over. This session must be adapted by the learning facilitator when selecting the sessions that will be part of the workshop.
- *Session 2. What do we need to learn to lead and manage project teams?* This session aims to equip the participants with competence and attitudes on how to lead and manage project teams.
- *Session 3. Overview of project cycle management. Major OFSP project requirements: principles, vocabulary and writing to persuade*. Overall, this session aims to discuss the nature of projects; identify steps in the project cycle and analyze the major OFSP project requirements: principles (gender mainstreaming, partnership, etc.), vocabulary and writing to persuade.
- *Session 4. Project identification: stakeholder and problems analysis. Picking the right topic.* Overall, this session aims to promote learning on project identification and other aspects related to stakeholder participation in analysis of problems and opportunities.

Important activities to be carried out by the lead facilitators while implementing Volume 1 of this learning kit are:

1. Pre-session 1. Before opening the workshop, the facilitators should have a registration form for participants to record their personal and professional information. This procedure is important for the human talent management and development of the organization. This procedure improves participant's selection process to attend workshops or learning events; it serves as a basis to assess staff performance improvement and the impact of learning in the

organization environment. As suggested, Volume 5, Annex 1 of this learning kit presents a special form to undertake this activity.

2. During Session 1 — after using the PowerPoint slides to introduce the event, it is recommended that the leading facilitator invites participants to introduce themselves to facilitate their interaction through getting to know each other. As suggested, Volume 5, Annex 1 of this learning kit presents special forms to undertake this activity.
3. This learning plan suggests a time frame for all sessions of this learning kit. It aims to facilitate the implementation of activities by the learning facilitators. Remember to consider the suggestions of the time frame in the plan of respective sessions.
4. The learning plan recommends including 15 minutes — during the morning and afternoon sessions — for participants to have tea/coffee breaks to promote socialization and, consequently, a great opportunity for learning.
5. In addition, the learning plan strongly recommends that participants undertake PAPA and feedback exercises daily, at the end of the sessions. A time of 15 minutes will be enough to complete the forms. This learning kit provides specific forms at the end of each volume, to complete PAPA and feedback.
6. Identify participants for the daily plan to review the previous session's activities to assess the progress of the workshop. *Item 4 of the Pre-workshop plan section, Volume 1,* guides the facilitator on how they could go about identifying these participants.

Note on the figures

Figures are numbered as in the original source documents.

Part 1
The Design of the Learning Kit

How the Learning Kit is Organized

INTRODUCTION

The learning kit provides the learning facilitator with all the information and materials required to plan and implement each session of the workshop or learning event. It contains suggested activities that have been field tested, with instructions for facilitators. The learning facilitator is encouraged to draw on these ideas to devise tailor-made exercises appropriate for their specific learning and capacity-building (L&CB) situation. The learning plan section is organized in the following way:

1. Pre-workshop instructions
2. Tips for learning facilitators
3. Session and workshop evaluation
4. Plan for each learning session. This section provides:
   - An overview of each volume
   - A time frame for each volume
   - Instructions to learning facilitators
   - Summary of overheads
   - Participant handouts
5. PowerPoint presentations are organized by session, and reference materials are presented at the end of the sessions.

MATERIALS

Overview: Includes the learning objectives for the sessions of each volume and a list of participant handouts.
Time frame: Includes suggested times for the sessions of each volume. It is recommended that each facilitator consider the time frame based on the situation and participants' needs, and revise as appropriate.
Instructions to learning facilitators: Provides facilitators with specific information on the flow of sessions and instructions on how to facilitate activities. A sample format of the 'instructions to facilitators' appears on the next page.
Participant handouts: Handouts to be distributed to the participants are numbered by Volume/Session/Handout. For example, Volume 1/Session 1/Handout 1 (1.1.1), Volume 2/Session 5/Handout 3 (2.5.3)
PowerPoints slides: A set of PowerPoint slides used appears in reduced format within each session. The slides are numbered by Volume/Session/PowerPoint (2.6.1) (i.e., Volume 2/Session 6/PowerPoint 1). Participants should be provided with the soft copy (CD-ROM) of this learning kit that includes the PowerPoint presentations. If you plan to carry out a similar learning event in your organization, please feel free to use and share copies of the CD-ROM.

A Sample Format: Instructions to Facilitators

SESSION 3 — **Project identification: stakeholder analysis, etc.**

Instructions to Facilitators

TIME FRAME

Session 3. Presentation & Exercise (1 *hour 45 min*)

← The suggested time for each session.

OBJECTIVES

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

- Practice stakeholder analysis, etc. Explain the issues related to Pick the Right Topic

← The objectives are stated in terms of participant's ability by the end of each session.

PROCEDURE

Learning strategies: brief presentation, group work

← Various learning techniques used during the session.

PRESENTATION

(experience) Distribute handouts. Give a brief presentation. Use the set of PowerPoint slides to facilitate understanding of the topics of session 3. At the end of the presentation, be sure to ask participants if they have any comments or questions, or if they need clarification.

(*30 minutes*)

← Time: Total time for an activity appears in parentheses.

EXERCISE 3a

Stakeholder Analysis (total *60 minutes*)

← Each exercise is numbered chronologically. The title of each exercise appears here.

Phase 1. Brainstorming in plenary (*10 minutes*)

1. *(experience)* Invite participants to read the case study.
2. *(experience*) Prepare a flip chart and invite a volunteer to assist you. The volunteer will write the inputs from the audience on the flip chart.
3. *(experience, process)* You lead the brainstorming and the group will make a list of possible stakeholders from the case study.

Phase 2. Group work (*10 minutes*)

Tips for Learning Facilitators

INTRODUCTION

As a learning facilitator, you are responsible for creating the learning environment and maintaining the flow of the workshop. You must be aware of the participants' needs and be sensitive to their concerns. Following are several tips to help you achieve a successful workshop.

TIPS FOR SUCCESS

Ten tips for your success as a learning facilitator:

1. Begin your volume sessions of the working day by presenting:
   - objectives
   - schedule and time frame

   Make sure that the participants are aware of what they are expected to learn at each session.
2. Manage time wisely. Time is a motivating factor in learning. If you slow down, the participants will lose interest and commitment.
3. Give brief presentations. Encourage your participants to speak up and participate actively in discussions and exercises.
4. Follow the instructions of the proposed exercises:
   - use different techniques
   - promote active participation
   - increase interest and level of motivation
5. Avoid 'shortcuts' while working on topics. Keep the same level of interest while making presentations, doing exercises, and listening to reports. Remember that as a learning facilitator you are responsible for the results of the six-day workshop.
6. Do not let your interest and willingness to facilitate diminish. Show care for the participants' learning, and be patient!
7. Be an attentive and good listener. The participants expect you to value their ideas and to look at them while speaking. These positive attitudes increase your credibility with the participants.
8. Praise the participants for their efforts and for good performance. This shows that you recognize their input and this consequently increases their level of motivation.
9. Make sure that the participants feel positive and that they are satisfied with the workshop. Ask for their feedback at the end of each day.
10. Be confident of your success as a learning facilitator. Go through the whole plan and be well prepared. Let them see you are competent and self-confident.

MANAGING TEAMS OR GROUPS

Many of the exercises require the participants to work together in small groups and there must be a way to share the information with the rest of the workshop participants. The most common way is to have group presentations. You are responsible for managing the group activities and ensuring active participation. The following tips will help.

TIPS FOR FACILITATING GROUPS

Seven tips for facilitating group exercises:

1. Be attentive to and supportive of the participants' needs in every situation.
2. Help them understand the steps they must take to accomplish all the tasks.
3. Manage time effectively. Be sure to remind participants of the time remaining. Be firm! Keep to the schedule.
4. Show interest and be willing to assist them at all times. Circulate from group to group while they are working.
5. Follow the entire process. Remain in the classroom during all activities.
6. Provide the groups with constructive feedback.
7. Always summarize the major points made by the groups and relate them to the objectives of the session and exercise.

Engendered OFSP Project Planning, Implementation, M&E

Workshop Prospectus

Introduction

This learning kit on Engendered OFSP Project Planning, Implementation, M&E supports RAC efforts to promote opportunity to improve capacity among African advocates already committed to the health and wellbeing of needy people in countries under the scope of the Project. These professionals are seen as change agents.

RAC believes that through this learning kit, the workshop users (facilitators and participants) will get acquainted with special features of writing proposals that attract partner interest to increase utilization of OFSP to promote effective impact on young children and women of reproductive age. As a result, the workshop users participants will be guided to design draft projects to influence decision makers and donors to support the initiatives of their organizations to provide impact through increasing vitamin A intake at the household level, reduce food insecurity and reduce child malnutrition.

Through this learning kit, RAC will also be guiding selected workshop participants to identify priority projects along the value chain, i.e. from production to consumption (e.g. secondary seed multiplication and distribution), which is expected to be supported by the respective organizations.

This learning kit concentrates on how to write project proposals to access resources for OFSP projects (volumes 1–3), how to implement and undertake project M&E with competence (volume 4), and how to evaluate the learning event, undertake PAPA and provide additional information (volume 5). It aims to provide the facilitators and participants with a thorough plan to support implementation of workshops and further implementation of similar events that participants will lead in their respective countries.

RAC has re-designed this learning kit from a previous learning module. It follows adult education principles and approaches to promote a multiplier effect through strengthening quality of learning, facilitation to write project proposals to mobilize resources to ensure OFSP utilization, and to undertake project M&E properly.

Learning Approach

This learning kit provides the facilitators with information, specific activities, and materials they need to effectively plan and deliver a Project Planning, Implementation, and M&E workshop. Because each facilitator and each project and situation is unique, planning is critical to the success of any project. This learning kit encourages participation and provides hands-on, problem-solving experiences and exercises.

Applying the Experiential Learning Cycle

This learning approach is based on experiential learning theory (Kolb and Fry 1975; McCaffery 1986) and is participatory by design. It is a learner-centered approach involving active experience followed by a process of reviewing, reflecting, and applying what has been learned through the experience. Participatory methods keep learners active in the learning process. They are involving and interactive. They encourage communication and group work, and they are action oriented and experience based.

This experiential and participatory approach was chosen to enhance effective skills transfer, to facilitate conceptual and attitudinal development, and to encourage appropriate

changes in participant behavior. The experiential learning cycle is especially useful for skill development because most of its techniques are active and designed to involve the participant in practicing the skill.

The experiential model helps people assume responsibility for their own learning because it asks them to reflect on their experience, draw conclusions, and identify applications. Participants ground the lessons in their actual work environment by considering the question: 'What can or should I do differently as a result of this L&CB experience?' For this model to be effective, it must be applied in both the design and delivery stages of learning. The sessions, activities, and notes in this learning kit present learning facilitators with guidelines for reaching learning objectives by applying the experiential learning methodology. An understanding of the adult learner, the role of the resource person as a facilitator, and the experiential learning cycle are important to this approach.

The Adult Learner

Understanding the adult learner is critical to the success of this learning approach. The adult learner has particular needs (Knowles 1978; McCaffery 1986; Zemke and Zemke 1981). Adult learners need continual opportunities to identify their needs and recognize the relevance of their learning in terms of their own lives. Adult learners need self-directed learning opportunities in which they can actively participate. They need to actively think, do, and reflect on experiences, discuss with others, and practice and learn new skills. The adult learner needs interactive communication with both the learning facilitator and fellow learners, which is different from one-way teacher-to-student communication. The learner needs to continually reassess the question, 'Where am I now and where do I want to go?'

The Learning Facilitator

The role of a learning facilitator is to manage or guide the learning process rather than to manage the content of learning. Adult learners can share the responsibility for their learning with the facilitator. The experiences of adult learners should be viewed and used as a rich resource in the learning environment. Adult learners should be encouraged to contribute to the learning environment whenever possible.

The Experiential Learning Cycle[1]

Experiential learning is a phrase often heard in the educational world. The strength of the approach is in the completeness of its cycle, which consists of four stages, each as important as the one that comes before or after. The four stages are: (1) experience, (2) process, (3) generalization, and (4) application.

[1] *This section on the experiential learning cycle is adapted from: USDA/OICD/ITD. (no date). Agricultural trainer development: Training of trainers. Instructor's manual, and McCaffery, J.A. 1986. Interdependent effectiveness: A reconsideration of cross-cultural orientation and training International Journal of Intercultural Relations*

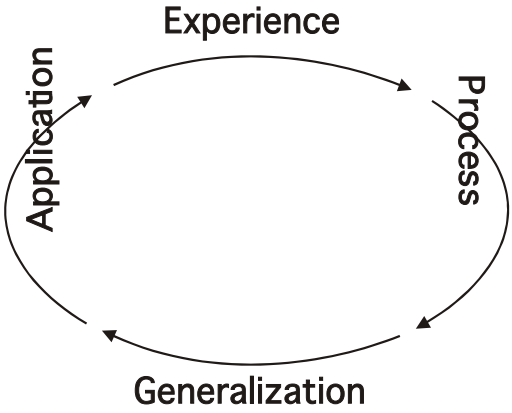

Figure 1. Experiential Learning Cycle

Source: McCaffery (1986) and adapted from Kolb and Fry (1975)

The term experiential is often misused in practice. Experiential learning processes seem to mean letting people participate in a presentation, having a question and answer session after a lecture, or a role-play or case study without the subsequent steps of the model. The final stages are often left out of the design of the program. As a result, the power of experiential learning is significantly diminished or negated altogether. Figure 1 outlines the stages of the experiential learning cycle.

Experience. The experience stage is the initial activity and data-producing part of the cycle. This phase is structured to enable participants to 'do' something. 'Doing' includes a range of activities, such as participating in a case study, role-play, simulation, or game, or listening to a lecture, watching a film or slide show, practicing a skill, or completing an exercise.

Process. In this stage, participants reflect on the activity undertaken during the experience stage. They share their reactions in a structured way with other members of the group. They may speak individually, in small groups, or as a full learning group. They discuss both their intellectual and attitudinal (cognitive and affective) reactions to the activities in which they have engaged. The facilitator helps the participants think critically about the experience and verbalize their feelings and perceptions. The facilitator also draws attention to any recurrent themes or patterns that appear in the participants' reactions. The facilitators must also help participants conceptualize their reflections so they can move towards drawing conclusions.

Generalization. In the generalization stage, participants form conclusions and generalizations that might be derived from, or stimulated by, the first two phases of the cycle. The facilitator helps participants think critically in order to draw conclusions that might generally or theoretically apply to real life. This stage is best symbolized by the following questions: 'What did you learn from all this?' and 'What more general meaning does this have for you?'

Application. After participants have formed some generalizations, the facilitator must guide participants into the application stage. Drawing upon the insights and conclusions reached during the generalization stage (and previous stages), participants can begin to

incorporate what they have learned into their lives by developing plans for more effective behavior in the future. Techniques used to facilitate the application stage can include action plans, reviewing each other's action plans, formulating ideas for action, sharing action plans with the whole group, and identifying additional learning needs. The facilitator assists during this process by helping participants to be as specific as possible.

Participant Action Plan Approach (PAPA)

An integral aspect of the workshop is the ultimate application of the skills by participants in the work environment. The PAPA approach was developed by the United States Office of Personnel Management to help participants consider specific applications to their job sites of lessons learned during learning programs. Participants commit themselves to action through a written plan developed at the end of the workshop. PAPA can help participants transfer to their jobs what they learned in the workshop, thus reaching the application stage of the experiential learning cycle.

Goal of the Learning Kit

The goal of this learning kit is to support implementation of workshops to strengthen the competence (knowledge and skills) and attitudes of change agents already committed to the health and wellbeing of needy people in the OFSP project planning, implementation, monitoring and evaluation.

The learning kit supports the major workshop objectives

At the end of the workshop, the participants will be able to do the following:

1. Discuss the background and rationale for the workshop: goals, general objectives, and expected outputs.
2. Discuss domains of learning to identify leadership and management skills.
3. Develop strategies to manage project team time and tasks.
4. Define project cycle management.
5. Differentiate programs, projects, and activities.
6. Practice stakeholder analysis, etc.
7. Discuss selected project ideas.
8. Identify the key parts of a concept note.
9. Conduct an open concept note review.
10. Use the logical framework approach to break down the project objectives into specific objectives, objective and goal.
11. Write a draft full proposal.
12. Identify budget formats.
13. Prepare an executive summary of a proposal.
14. Prepare a covering letter.
15. Explain the value of a donor relations office.
16. Identify the importance of project monitoring and evaluation.
17. Analyze the project implementation requirements (through a case study).
18. Describe the major uses of M&E.
19. Develop a theory of change and M&E framework matrix.

20. Use the results of the exercise on the theory of change and M&E framework matrix to identify strengths and challenges of writing project proposals.
21. List factors that could affect the development of a project M&E plan and describe actions to overcome them.
22. Develop PAPA (participant action plan) to follow-up implementation of competence and attitudes to design, implement, monitor and evaluate a project within the work environment.

Duration

The learning kit must provide the facilitators and participants with flexibility to plan workshops through putting together sessions presented in this publication to respond to the needs of prospective participants. It will be the responsibility of the leading facilitator to determine the duration of the workshop. The time frame to implement the sessions is provided in each volume — based on the implementation of a tight schedule for a six-day workshop.

However, it is strongly recommended that the leading facilitator adjust the time frame and design an overall schedule according to the time available for selected participants to achieve the goal of the learning process.

Target Audience for this Module

The target audience for this learning kit includes change agents already committed to the health and wellbeing of needy people in the OFSP projects. They are expected to be senior professionals working in both public and private organizations.

Facilitating the Project Planning, Implementation, M&E 'Hands-on' Event

This learning kit recommends that at least two facilitators and one assistant form a team to carry out the workshop. One of these facilitators must be a scientist with sound knowledge of OFSP and experience in strategic planning, program and project planning, monitoring and evaluation of projects. The other facilitator must be an education specialist with experience in learning and capacity building (L&CB) strategies within agricultural or health and nutrition organizations. The assistant will be responsible for the event logistics.

Expected Outputs

At the end of the 14 sessions of the workshop — whose facilitators followed this learning kit — participants are expected to have developed *knowledge, attitudes and skills to:*

a) design engendered OFSP project proposals effectively to access resources to implement it;

b) develop main parts of a draft OFSP project proposal including theory of change and M&E framework matrix;

c) identify approaches and methods to monitor and evaluate OFSP project proposals appropriately.

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Pre-Workshop Plan

INTRODUCTION

Instructions to Learning Facilitators

As a learning facilitator, you are responsible for the preparation and management of the entire program. This requires pre-workshop actions. It is advisable that you discuss the preparation responsibilities with the workshop sponsoring or partner institutions. Some things that you should be sure to arrange are included in the following list. There may be several others. Pre-planning is essential to the success of your learning and capacity building (L&CB) event.

ACTIONS NEEDED

You should:

(a) take action *to provide the selected participants with the texts and exercises presented under* ***pre-workshop assignment*** in the Part 2 below to be undertaken in their own places, in preparation for the learning event. Remember to prepare these handouts to be sent to the participants in advance. The leading project team needs to guide the participants closely. It is advisable that this guidance be undertaken through face-to-face or at distance mode. This would raise interest and awareness of participants about the importance of this assignment, which must be seen as the core of the learning process, to equip them with the competence and attitudes related to the project of their own organization. This would promote effective learning results.

(b) arrange for the following, long before the learning event starts:

1. In pre-workshop communication, be sure to inform the participants of any information they will require before they arrive at the venue of the event. This can be accomplished by means of a pre-workshop letter. Consult with the sponsoring institutions for plans for pre-workshop communication with participants.
2. Arrange for appropriate officials to welcome the participants.
3. Compile a file for each participant. Participants will use the files to organize the learning materials from each session. Before it is distributed at the workshop, each file should contain the following items:
    - Welcome letter (see suggestion in Annex 1.B)
    - Workshop prospectus
    - Session plans along with time frame

- Registration form (see suggestion in Annex 1.A)

Samples of these items appear on the following pages.

4. Plan for implementing systematic activities. Prepare yourself to instruct participants during the opening session on the systematic activities of the learning event:

   a. Review of session activities

   b. Post-sessions PAPA exercise

   c. Post-sessions brief feedback or evaluation

5. During session 1 (welcome session), use one of the following strategies to select a few participants to prepare a brief report on the previous session (maximum 10 minutes duration) to review the activities and point out the major lessons learned by participants and their observations of others:

   - Prepare in advance a flipchart (in front of the audience) and a basket with each participant's name written on a piece of paper. Then the facilitator approaches any participant to pick one piece of paper and read out the name of the participant who will be committed to prepare the session review which begins the following day. Remember to write his/her name on the flipchart. Repeat this exercise 'picking up' names for review the sessions of the learning event and continue listing the names to the last sessions of the event plan. Post this flipchart paper on a board or wall where you will be able to point it — at the end of the sessions — and remind the participant responsible for the following session review.

   - A second strategy (much less effective) is to invite a volunteer daily to prepare this brief report; reviewing the session's activities and summarizing major lessons learned, to be presented during the first session of the following encounter.

6. Remember to discuss with 'daily morning rapporteur' how they will present this report, which will be part of the workshop report. Provide they with computer or flipchart paper to record the report for the audience; s/he should also deliver a copy of the presentation to the facilitator. This presentation should be delivered in 10 minutes.

7. At the end of the last session of the day:

   - Distribute the PAPA form and invite the

participants to list major skills from the day's activities that could be applied in their job environment. Request that they keep the PAPA form in their own notebooks. You will ask them to review these forms during the last session, when they will fill out the action plan for the follow-up process.

- Distribute the evaluation form and invite the participants to briefly evaluate the session's activities. Collect the forms and summarize the results to report to them at the beginning of the following session as planned. Note that it is necessary to cluster the answers. *There is a guideline to facilitate the participants' evaluation on the diverse features of the session's activities.* You should provide the participants with a copy and/or present it in PowerPoint during the evaluation session.

8. Your task is to cluster the results of the sessions' evaluation and to report and discuss with the participants at the beginning of the following session as planned.
9. Arrange for the certificates to be ready for distribution at the end of the workshop.
10. Prepare in advance the following materials to implement the learning event.
    - beamer to project PowerPoint presentations
    - projection screen
    - flipchart stands (four or five)
    - staplers (2) and five boxes of staples
    - scissors (2 pairs)
    - push pins (2 boxes)
    - pencil sharpeners (2)
    - extension cords (few sets)
    - photocopying facilities
    - photocopying paper (1 package per/workshop)
    - flipchart paper/pads (usually spent 12 sheets per day)
    - markers for writing on the flipcharts (major colors: blue, black, brown — and fewer green and red); 8 marker sets (composed of the 5 colors above) for 5-day workshops.

- paperclips (2 boxes)
- blank cards (multi-colors) (minimum 200 cards) cutting A4 in three pieces – making cards (card board)
- tape (strong masking tape (2 rolls) and regular tape (2 rolls)
- glue (1 stick)
- Blu tac (3 packages)
- pencils/notepads/pens (enough for the participants)

WORKSHOP-SPECIFIC REQUIREMENTS

The exercises in the sessions focus on the participants' responsibility to design a project proposal for respective organizations**. Participants must be requested to be prepared and equipped with:**

(a) *Pre-workshop assignment complete in accordance with the exercises presented in the Part 2 below.*

(b) *Identified priority project ideas.*

(c) *Background materials related to the priority project ideas to respond to: (a) Why is this priority project important for your organization to implement? And (b) What has already been done in relation to the identified project idea?*

Part 2

Pre-Workshop Assignment

Pre-workshop assignment

Picking the right topic, standardization of vocabulary and general writing tips

(This assignment is expected to be sent to the selected participants in advance)

Instructions for Workshop Participants

KEY REQUIREMENTS

Picking a topic is the very first step in designing a project. RAC strongly recommends that you, as the workshop participant, pick the project topic/idea along the OFSP value chain, such as:

1. Secondary seed multiplication and distribution
2. OFSP utilization to combat Vitamin A Deficiency
3. Market access for OFSP
4. Value addition for OFSP

It is also strongly recommended that you, as the workshop participant, use a group — in preparation for the event — to help you select your project topic/idea that will:

- be sufficiently important to attract investment funds
- be relevant enough to be internally approved by your organization's senior management
- be useful and seen as a priority by the project beneficiaries
- be 'manageable', i.e. have a reasonable chance of achieving results within a limited amount of time, with a reasonable quantity of available inputs
- have the right balance of risk and return
- attract project partners that have a comparative advantage to carry out the project

and will thus ultimately attract donor interest and support.

In addition, as the workshop participant, you are expected to practice skills on writing up convincing proposals. This makes it necessary to master standardized vocabulary in project management (including project planning); and learn some simple rules about writing, which will make your project proposal more attractive to the readers; mainly to the donors.

OBJECTIVES

By the end of this Pre-workshop assignment, you will have been able to:

- Pick a project topic along the value chain.

- Practice skills on writing a project proposal that can 'win' donor funds.
- Define specific terms related to project management with accuracy.
- Use simple rules while writing your project proposal to make it clearer, attractive and convincing to the readers.

PROCEDURE

The selected workshop participant is expected to be responsible for working on an OFSP project design, implementation, and M&E after the workshop is over. The participants are invited to persuade one or two colleagues to undertake this assignment with them, in their respective organizations. This will strengthen the results of this exercise.

In summary, the selected workshop participants are expected to:

1. read the assignment instructions to complete its four phases.
2. read the attached texts with attention, to be able to respond to the exercise requirements.
3. use the exercise worksheets below to record the results of this pre-workshop assignment, which will be shared with other participants during Session 4 of the workshop.

It is important to keep reminded that the *priority project ideas, chosen with peers along the value chain, should* respond to **the needs of target African families and communities to combat Vitamin A Deficiency (VAD) and generate income**. This workshop will primarily be focusing on these two objectives.

The workshop participants must be committed to increase investment in OFSP to combat VAD among young children and women of reproductive age.

EXPECTED RESULTS

Participants demonstrated competence and self-confidence in discussing openly with the workshop participants on: (a) how and why they decided on specific project ideas; (b) the new vocabulary related to project management which they have acquired through the assignment; and (c) the simple rules to write convincing proposals to donors.

Preparatory Exercise

Picking the right topic, standardization of vocabulary and general writing tips

Phase 1: Picking the right topic for your project proposal

Step 1. Work with a few peers in your organization (if possible provide them with copies of the texts for this assignment). Plan for 1 hour to undertake this step.

1. Read handout below on 'Picking the right topic'. Remember that RAC strongly recommends that you, as the workshop participant, ***picks the*** *project topic/idea along the value chain*, such as:
    a. Secondary seed multiplication and distribution
    b. OFSP utilization to combat Vitamin A Deficiency
    c. Market access for OFSP
    d. Value addition for OFSP
2. Imagine you are a donor. Consider the four potential project examples above for your reflection and decision.
3. You and your peers are invited to further analyze these topics in line with other projects of your organization or related organizations to ensure that the planned project builds on past investments in combating VAD and associated income-generation activities.
4. You and your peers are free to create new projects ideas — along the OFSP value chain to respond to the need of combating VAD among children under five years of age and their mothers.
5. In the step 1, use two worksheets below to facilitate your group work and analysis. (a) worksheet 1 presents the four project ideas above along with six criteria for you and your peers to discuss and summarize your assessment (use key words) and (b) worksheet 2 are additional forms for you to create new project ideas and respond to the same criteria.
6. Remember that you and your peers need to be prepared to search for information — in order to respond to six criteria as follows: (1) problem that is important; (2) project topic that is of priority to target beneficiaries; (3) a manageable topic; (4) topic with the right balance of risk and return; (5) topic that is attractive to partners; and (6) topic that is most likely to attract the interest of donors.

Step 2. Selecting two most attractive topics to report the audience

7. Use worksheet 3 below to write down the two most attractive topics and list the three criteria used to select the two topics.
8. You are requested to take the worksheets of this exercise to the workshop venue. You will be invited to share these results during group work in Session 4 of this volume

Phase 2. Standardization of vocabulary used in project planning

Step 3. Reading and processing the information

9. Read the text below on 'standardization of vocabulary' and write in your own words the following definitions. Use phase 2 worksheet to record your responses.

a. What is the difference between project and program?
b. How would you explain the project planning process?
c. Describe an annual work plan.

Phase 3. General writing tips

Step 4. Practicing writing skills

10. Read the text below on 'General writing tips' and after reflecting on 'The use of definite, concrete words', respond to the following:
    a. What is one important recommendation that will make you a better writer from now on?
    b. How would you summarize your learning on the use of definite and concrete words? Justify.
11. Use phase 3 worksheet to record your responses.

Phase 4. Reporting results and discussion

12. Remember that during Session 4 of the face-to-face workshop you will be invited to share the results of this assignment in small groups. These groups will elect a rapporteur to summarize these results on a flip chart or using PowerPoint to present to the workshop audience.
13. The summary will record the challenges that the group members faced in completing this assignment, major lessons learned and the list of priority project ideas along the OFSP value chain, which they were able to identify through this exercise.
14. The facilitator will reinforce the importance of this pre-workshop assignment and will provide participants with feedback on this exercise. At the end, the facilitator will close Session 4 and make transition to the next session.

Phase 1. Picking the right topic[1]

Think back to your university days, when you needed to select a topic for your dissertation or thesis. Your professor probably spent a good deal of time providing feedback on different ideas, trying to help you to select a topic that was: (a) interesting, (b) researchable, (c) not too big and not too small, and (d) significant enough to contribute to knowledge and earn you a degree.

In this session, we are going to try to give you advice on picking a topic that can 'win' donor funds. But before we get to that, we have to think about a topic that will:

- be sufficiently important to be worth doing;
- be internally approved by your management;
- be useful and seen as a priority by target beneficiaries;
- be 'manageable', i.e. have a reasonable chance of achieving results within a limited amount of time, with a reasonable quantity of available inputs;
- have the right balance of risk and return;
- attract partners that have a comparative advantage to carry out the project;

and will thus ultimately attract donor interest and support.

Picking a topic is the very first step in designing a project. Earlier, we saw the value of designing projects in groups. So it is strongly recommended that you use a group to help you select your research project topic.

1. Selecting a problem that is important

There is no point in choosing a topic of no interest to anyone but you. Your topic must be significant to you, your organization and importantly, to the potential beneficiaries. The first question a donor will ask when reading your project topic and objective is, 'So what?' This means both 'what is new about what you are doing?' and 'who will be better off, and in what way, as a result of what you propose to do?' You must have answers to these questions on page 1 of your project proposal if you are to have a topic worth submitting to a donor.

2. Selecting a topic that will be internally approved

In several previous sessions we have noted that projects need to form part of the host organization's priorities. These are determined by the organization's core business — vision, mission and strategic objectives. Thus, if you come up with a topic you like, look through organization's strategic documents to be sure that it fits in nicely with the goals and objectives of the organization!

You will also have a supervisor, who has his or her own likes and dislikes. You need to be sensible and practical and take this information into account when choosing your topic.

Equally, the scope of the project should match the objectives and available resources — human, financial and physical. This sounds simple and obvious, but you would be surprised how many project designers forget this!

[1] *From Marian Fuchs-Carsch. Capacity building learning module on How to Write Convincing Proposals. The Hague. The Netherlands. ISNAR. 1999/2000*

3. Selecting a project topic that is a beneficiary priority

You will need to demonstrate to a donor that the beneficiaries of your project really want the research information and outputs you are seeking. To demonstrate that beneficiaries are interested, you need to talk to them. This sounds simple and obvious, but you would be surprised how many project designers forget this! The very best way to ensure that beneficiaries are interested is to include them in your design team. At a minimum, you need to ask them what they want, and document their replies, to strengthen your proposal.

4. Selecting a manageable topic

Once you have a topic that will be internally popular and that your target group really wants, you need to be sure that the project is the right size, scale and type. Here are some questions you will need to debate in your design group:

- Project duration: How long will this project take? Can it show results (outputs certainly, and preferably impacts also) within a typical project lifetime (i.e. two to four years)? If it is going to take longer, can it be phased so that outputs and impacts can be demonstrated in a first phase of between two to four years? Bear in mind that building on previous investments in the same area of focus could save time and resources in delivering expected outputs and achieving desired outcomes.
- Project size: Is this project going to be cheap or expensive relative to other projects in my organization? Does it seem that it will need a very large budget, more than a donor may be willing to pay? How many partners will be needed to implement the project?
- Project sites: How many places will you need to involve in the project? Before going to a multi-site project, should you consider a pilot project in just one, or perhaps two sites? Are the sites you need easy to reach, or expensive to reach? Is there any likelihood of civil unrest in any of your target sites?
- Other practical considerations: Here are some sample questions. Does the project depend on good rains? If so, how likely are the rains to fail? What will you do if the rains fail in any of the years of the project? Do you need the permission or involvement of local officials? Have you consulted them about doing the project in their areas? Are they included in the design team? Are they going to want a piece of the action — i.e. will they need to be included in the project budget as a partner?

The purpose here is to select a project topic that has a reasonable chance of achieving its objectives and contributing towards its goal in a limited amount of time, with a reasonable quantity of available inputs.

5. Selecting a topic that is attractive to partners

Not all projects need partners. However, considering what it takes to deliver results at people level, it is likely that different disciplines and even different organizations may be needed to meet expected results. For example, to ensure widespread use of OFSP to combat VAD, there may be need for an organization to multiply and distribute planting materials (OFSP vines); or need for an organization to train communities on diverse uses of OFSP to combat VAD; and need for an organization to facilitate access to markets for those who produce more than they can consume at home. You may strengthen your chances of winning a grant by including such partners in your project.

Think twice before deciding to go it alone!

If you do select a topic that will involve collaborative implementation, remember the principles outlined in Session 7. Treat your partner with respect — do not attempt to dictate what the partner should do. The golden rule applies — *do to others as you would wish them to do to you*. Involve your partner in every aspect of the project design, including selection of the topic. If the partner is located far away, use e-mail, fax or phone to get full inputs before making any decisions.

Sometimes you will have your topic selected and then seek partner interest. This is fine, but be prepared for rejection if the potential partner has had no say in selecting the topic.

Remember, too, that in your proposal you are going to have to prove to the donor that you (and your partners) have a comparative advantage over others in the field to do the proposed work.

One advantage you have is that you thought of the topic first. But that will probably not be enough. You will need to show that you have the right staff with the right experience and qualifications and that you have access to the stakeholders who are going to either play a role in the project or be affected by it. You need to be able to prove that you have assembled a design and implementation team that is ideal for doing the job.

6. Selecting a topic with the right balance of risk and return

Donors (like other investors) look at projects in terms of risk and return. Ideally they are looking for low risks and high returns.

When you choose how to invest your savings (if you are lucky enough to have any), your first thought would be how to find a safe investment option. A safe investment is one with very little or no risk of losing your principal, i.e. the amount you put in. In the US, you can put up to $100,000 in any registered bank, and the government will pay you that money back in case the bank collapses. This is therefore a no-risk investment, unless you are worried about the US government itself collapsing. However, many Americans do not put their money in the bank because the rate of return is very low. Interest rates in the US nowadays are about 2–3 percent, which is about the rate of inflation. You cannot get rich by keeping your money in the bank. So many Americans (and many other people around the world) invest in the US stock market, which on average yields between 6 percent and 10 percent. In these heady days, some people make much, much more. You have probably heard about people who have become millionaires by ‘playing’ the stock markets of the world. However, these people take big risks. Stocks come down as well as go up. In the long run they always go up — at least they have so far — but most people want to take their savings out in the short or medium run.

The wise investor is looking for the right balance of risk and return. He looks for an investment opportunity that combines low risk with the prospect of a reasonably high return in the short or medium term.

A donor selecting among projects uses the same logic. The donor will ask two questions: How likely is this project to succeed (i.e. achieve its objectives)? If it does succeed, what sort of impact is it likely to have? If the likelihood of success is high, i.e. the risk of failure is low, and the chance that impact will be significantly high, the donor will think the project is a likely winner.

Phase 2. Standardization of vocabulary used in project planning[2]

- Project planning: is the third level of planning in an organization, also known as the operational planning level.
- The first two levels of organizational planning are concerned with visioning and identification of thematic program areas (strategic planning, as it pertains to organizational management) and identification of projects (program planning).
- Project planning takes each of the identified and prioritized projects further and breaks it down into several activities and also defines an implementation plan.
- Project planning (short-term) defines: (a) details of activities and methodology; (b) expected results (outputs); (c) indicators for monitoring and evaluating the project results at different levels (goal, purpose and outputs); (d) resources needed; (e) schedule for implementation; (f) annual work plan and budget; and (g) activities and resources required for the next year.
- Projects are normally implemented through annual work plans.
- An *annual work plan* comprises the objectives or result areas, the detailed activities for each objective, implementation time frame, resources necessary and indicators for M&E for the following year.
- The exercise is initiated by project leaders and endorsed by program/organizational leaders.
- The project plan should clearly define the indicators of success. These facilitate M&E and impact assessment.
- *Indicators* are the variables for M&E and impact assessment. They should be an integral part of project planning and implementation.
- A good monitoring and evaluation system starts with a good project plan.

What is a Project?

A project is a short-term endeavor with clearly defined aim or purpose, undertaken to bring about beneficial change or solve a problem. A project is undertaken to meet unique goals or objectives and promises outputs within a given time frame. It is limited in time and space (defined beginning and end) and has defined resources. Most projects last between two and four years. If they last longer, they are usually divided into *phases* of between one and four years.

A project objective may be based either on solving a constraint or taking advantage of an opportunity. To each constraint there is a corresponding objective which can be achieved by the implementation of the project. The project may be implemented by one or more institutions, depending on availability of competencies and the requirements of the project

[2] *Extracted from ARDSF documents, NARS Program Formulation Reports, D. Horton at al; (1993). A Sourcebook. Wallingford . UK. CAB International. In ISNAR Learning Module (1997) The Research Project Management Cycle: Planning, Monitoring and Evaluation. The Hague, The Netherlands.*
From Marian Fuchs-Carsch (1999) ISNAR Learning Module on How to Write a Convincing Proposal, The Hague, The Netherlands

to achieve its purpose. Projects are, in turn, made up of activities, such as experiments and studies that are necessary to deliver expected outputs capable of achieving project objective/purpose.

Here is a useful definition of a project:

A project is a combination of inputs managed in a certain way to deliver expected outputs necessary to achieve an expected purpose and contribute to a desired goal.

Inputs in a project include people (staff, partner personnel, farmers and their families, other rural people, government officials, etc.); equipment (vehicles, farm machines, computers, etc.); supplies and communications (paper, phones, e-mail, etc.); travel (to bring other inputs together); and learning events . Less obvious inputs include overall management, library, offices, etc.

The costs of the inputs of a project make up a *project budget*.

These inputs are managed in a certain way, spelled out in a *work plan*.

- Monitoring is observing or checking on project activities and their context, results, and impact. Its goals are: (a) to ensure that inputs, work schedules, and outputs are proceeding according to plan (in other words, that implementation is on course); (b) to provide a record of input use, activities, and results; and (c) to warn of deviations from expected outputs.
- Evaluation assesses relevance, efficiency, and effectiveness of delivered outputs to the purpose/outcome.
- Other key concepts in project design include:

1. **Accountability:** explaining decisions, actions or use of money to stakeholders
2. **Activity:** a specific piece of work carried out to deliver expected outputs
3. **Appraisal:** an assessment made before a project begins
4. **Assumption:** a condition that needs to be met if a project is to be successful
5. **Baseline:** data used as a reference with which future results can be compared
6. **Beneficiary:** someone and or communities benefiting from the project
7. **Donor:** someone, usually an organization, who gives funds or other contribution through trust or a charitable contribution for a project
8. **Efficiency:** making the best use of resources so that none are wasted
9. **Empowerment** the process by which people gain self-confidence and become agents of change
10. **Evidence:** information needed to measure performance
11. **Goal:** the wider development objective
12. **Identification:** priority need of a community to be addressed by the project
13. **Implementation:** when a project is actually carried out
14. **Indicator:** a sign showing progress towards achieving objectives
15. **Logical framework** (log frame): a table which gives a summary of project plans
16. **Needs assessment:** the process of identifying and understanding people's needs

17. **Objective:** a general word used for a desired change
18. **Output:** what a project actually delivers, coming from completed activities
19. **Participation:** the involvement of people in the decisions and processes that affect their lives
20. **Purpose:** the specific change that the project will make to contribute to the goal
21. **Qualitative:** where words are used to describe changes
22. **Quantitative:** where numbers are used to measure changes
23. **Review:** an occasional assessment of project progress
24. **Stakeholder:** a person with an interest in, or concern for a project that an organization carries out
25. **Sustainability:** when the benefits of a project continue after the project period
26. **Terms of reference:** a document outlining what is expected of a person's or an organization's piece of work
27. **Transparency:** open communication and decision-making
28. **Variance:** the difference between what was budgeted and what is actually spent
29. **Verifiable:** something which can be proved as true

Phase 3. General writing tips [3]

The suggestions in this session are not only relevant for writing up proposals, but will help you with all your writing activities. Here are some simple rules about writing:

1. Think about your readers before and while you are writing

When you write a love letter, you have your beloved in mind. You would not say wonderful things about her long hair if it is short; you would not praise his muscles if he is rather thin.

This approach is equally valid for all the writing you do. When you write a letter of complaint to a company, think about the company and its interests. Why should they care about you? Then think about the person who is going to open and read your letter first. What sort of person is this likely to be? What sort of feelings do you want that person to have when reading your complaint? What sort of action are you hoping that person will take? Notice that you are thinking not about your own feelings of anger or irritation, but about the feelings of the receiver. This will calm you and help you to write more clearly. You will also be more likely to get the action you want if you try to put yourself in the other person's place.

The same thing is true for writing project proposals. You cannot think about your audience if you know nothing about them. So part of the most important thing about writing is:

Know as much as possible about your readers before you start to write

Then, keep in mind who will read your proposals. This is the basis on which you need to learn more and more about the people who read your project proposal.

2. Spoon-feed your reader: make your writing as easy to read as possible

This is really part of thinking about your readers. You should assume that your readers are busy people, with many things to do other than read your work. To get their attention, and get the actions you want, you need to make your message as easy to read as possible.
Here are some tips on how to make your writing readable.

2a. Use simple words

Get into the habit of using the shortest and simplest word you can. You should have no difficulty in deciding which of the following two sentences is easier to read and understand.

(a) 'The scientific members of the establishment seek to ascertain whether the electricity supply has been merely temporarily discontinued or if they are suffering a permanent disconnection.'

(b) 'The scientists want to know if this is just a short power cut, or if the electricity has been cut off.'

[3] *From Marian Fuchs-Carsch. Capacity-building learning module on How to Write Convincing Proposals. The Hague. The Netherlands. ISNAR. 1999/2000.*

2b. Use simple, direct sentences

Do not be afraid to use simple language and short sentences. Readers will not think you are stupid but will thank you for making your meaning clear. In addition to using simple words, try to get into the habit of writing simple sentences.

Read the following sentences:

> "The policy environment within which research organizations operate sends signals about which types of research should be conducted and defines the structure and organization of the research bodies. It also establishes the level and nature of the resources provided to carry out the research mission. Financial policies for agricultural research strongly influence both the level of the research effort and the degree to which that effort is linked to particular sectoral or scientific goals and objectives."

This is the opening paragraph of an article. It makes sense, but it is not easy to read, and certainly not easy to read quickly — it does not entice you to read more, if you are only partially interested. Below is a paraphrase of this paragraph, which conveys almost the same meaning. It uses simple words, and simpler, more direct sentences. This version will certainly save the reader time and effort in absorbing the meaning.

> "Government financial policies have strong, direct effects on agricultural research. Policies influence how much research is done, where it is done, and for whom it is done."

2c. Use short paragraphs, plenty of white space and plenty of subheads.

Popular (or tabloid) newspapers are designed for lazy readers. Their material is very easy to read. They never have more than one idea per paragraph. Sometimes they have a new paragraph for every sentence. They use pictures and headlines to break up the text into small, easy-to-read chunks.

You can follow some of these rules. If you find your paragraphs going on and on, just break them into two. Set your word-processing program to use large margins. Never have a whole page of text without a subheading. Use bold text and italics to highlight the most important parts of your message. See how we have tried to make this course material as easy for you to read as possible.

One tip that is particularly useful for scientific writing is to use bullets whenever you write a long list sentence. See which of the following you find easier to read:

> "There are several reasons why participation in regional cooperation is not always fully costed out. They include a lack of awareness; a general attitude among institutions, countries, and individuals that 'it is always better to be in than out'; a tendency to focus more on the expected gains than on the costs when making such decisions; managers' fear of being seen as uncooperative; and, failure of members to seek inputs from financial specialists, especially at the design phase."
>
> "There are five reasons why participation in regional cooperation is not always fully costed:
>
> - lack of awareness
> - a general attitude that 'it is always better to be in than out'
> - a tendency to focus more on gains than costs

- managers' fear of being thought uncooperative
- a failure to seek inputs from financial specialists, especially during design."

Notice that in addition to using bullets, we have also simplified the sentences without losing too much of the meaning. By making the bullets shorter, they are now easier to read.

There are other tricks to making your writing a pleasure to read. These include:

- using the active voice
- choosing lively verbs
- putting your points positively
- re-reading your work
- using graphs, tables, and pictures to illustrate your words

You can find out more about these tips in other handouts of this session

3. Plan before you write

Very few writers can write anything except a short note or e-mail without having to first think about the structure of what they want to say.

Most writers will find that they write more clearly and more quickly, if they first prepare an outline of the whole document. Some people prepare their outlines in their head, but most people write it down, so that they can refer to it as they write. This is what we recommend you do, too.

We suggest that before you write anything you spend some time thinking about these four questions:

(a) What are you writing? (report, journal article, proposal, term paper, letter of complaint)

(b) Who will read it? (individual and organization)

(c) What is its purpose? (to explain, convince, get money, request action, analyze, etc.)

(d) What is the topic, and how many sections do you need?

You would probably then go on to sketch an outline of the report. We will be discussing outlines and formats for concept notes, proposals, reports and work plan later.

More Details on How to Make Your Writing Readable

Here are some examples of ways to spoon-feed your reader when you write reports or proposals. This handout provides specifics about the importance of:

1. Using simple words
2. Writing direct, simple sentences
3. Writing short sentences
4. Using lists of bullets
5. Using the active voice
6. Using clear and lively verbs

7. Putting points positively
8. Re-reading and editing your work
9. Using graphs, charts, and diagrams

1. Use simple words

The following examples come from a useful book: *Edit Yourself*: *A manual for everyone who works with words*, Bruce Ross-Larson, Norton, 1982. He recommends using short words wherever possible. For instance:

use	***do***	***instead of***	***accomplish***
	part		***component***
	help		***facilitate***
	long		***lengthy***
	use		***utilize***

Also:

use	***so***	***instead of***	***accordingly***
	find out		***ascertain***
	stop		***desist***
	cut off		***disconnect***
	end		***terminate***
	before		***prior to***
	about		***regarding***

Use concrete, specific words rather than abstractions. Thus:

use	***office building***	***instead of***	***facility***
	six		***several***
	car		***vehicle***
	illness		***morbidity***
	death		***mortality***
	dung		***natural fertilizer***

Never use:

aforementioned
hereunder
despite the fact that
at this point in time
it should be pointed out that

2. Write simple, direct sentences

Use only as many words as you really need. Here's an example from a paper written by two consultants for a UN agency.

The opening two sentences read:

> ***Quite soon, a majority of the world's population of some six billion people will be living in urban areas. This historical milestone will probably be passed within less than a decade after the turn into a new millennium, or around 2006***.

Is this clear? Is it simple? The meaning emerges more clearly in a single, short sentence:

> ***By 2006, a majority of the world's six billion people will, for the first time, be living in urban areas***.

The authors of this paper are non-native English speakers; all the more reason for them to choose simple words and write short sentences. Unfortunately, they do not do so. Here is another sentence from their paper:

> ***In an urbanizing world, it is somewhat awkward to iterate that the very basis for human livelihood and wellbeing, basically and inevitably, depends on how humans are able to manage land and water resources***.

It takes some detective work to find out that what the authors mean is:

> ***Although most people will in future live in towns, the wellbeing of everyone, both urban and rural dwellers, will continue to depend on the wise management of land and water***.

The following example comes from a British local government regulation:

> ***In the event of your being evicted from your dwelling as a result of willfully failing to pay your rent, the council may take the view that you have rendered yourself intentionally homeless and as such it would not be obliged to offer you alternative permanent housing.***

This sentence is not only too long, it also does not consider its readers who are most likely to be unemployed or in a low-paying job, and probably with limited education. A better way to express this idea might be:

> ***If you are evicted from your home because you deliberately fail to pay your rent, the council may decide that you have made yourself intentionally homeless. If so, the council need not offer you alternative permanent housing.***

3. Write short sentences

Here is an example of careless writing that manages to make things difficult to read.

> ***The project aims to improve the wellbeing of communities living in tsetse-infested areas by increasing the productivity of their livestock through sustainable technology to manage trypanosomiasis through suppression of insect-vector populations using conventional/novel/alternative techniques to include pathogens.***

Notice the number of 'throughs' or 'bys'. Here is one way to simplify and clarify this obscure sentence.

> ***The project will use a variety of conventional and novel techniques to seek to suppress trypanosomiasis. If the project succeeds, people who live in tsetse-infested areas will be better off, because the health of their cattle will improve***.

The point is not to write only short sentences; in fact a variety of short and slightly longer sentences turns out to be the easiest to read. One writing guide — *The Plain English Guide* by Martin Cutts, Oxford University Press, 1996 — suggests that over a whole document the average sentence length should be 15–20 words.

Some decades ago in America, an analysis of various types of documents revealed the following average sentence lengths:

Government documents	25 words/sentence
Scientific documents	24
Press reports	22
Romance novels	14
Science fiction and detective novels	13

Guess which documents we read for pleasure?

4. Use lists or bullets

See how the following example is improved by using a list:

> ***The attachment of the warmer support-bearing assembly system must be checked to ensure that it is adequately lubricated, its securing screws are tight, and that the warmer head can be easily repositioned.***
>
> ***The attachment of the warmer support-bearing assembly system must be checked to ensure that:***
>
> > ***(a) it is adequately lubricated;***
> > ***(b) its securing screws are tight;***
> > ***(c) the warmer head can be easily repositioned.***

A list helps to uncover the meaning of the following sentence, which is buried under too many words:

> ***The organizers of the event should try to achieve greater safety both from the point of view of ensuring that the bonfire itself does not contain any unacceptably dangerous materials such as aerosol cans or discarded foam furniture and from the point of view of ensuring the letting-off of fireworks in the designated area, with easily identifiable wardens to be available during the event to prevent people indiscriminately letting off fireworks, to the possible danger of people attending the event.***

What this sentence is trying to convey is:

> ***The event organizers should try to achieve greater safety by ensuring that:***
> - ***the bonfire does not contain any dangerous materials such as aerosol cans or foam furniture;***
> - ***fireworks are let off only in the designated area.***

5. Prefer the active voice

Compare: The director made three mistakes *to:* Three mistakes were made by the director. Which sounds more direct?

An active sentence is clearer, and responsibility more clearly defined — we know who is doing what.

Consider: ***A recommendation was made by the inspectors that consideration be given by the university to lengthening the examination period by one hour.***

Does this read as easily, and convey meaning as clearly as the following?

The inspectors recommended that the university consider lengthening the examination period by one hour.

Martin Cutts asked focus groups of 35 people each to say which sentences they preferred. On average, 28 out of 35 found the active sentences easier to understand.

This is not to say that you should never use passives. They are often useful, for instance when you want to spread or evade responsibility, as in **regrettably, your file has been lost!** Cutts suggests that if more than 50 percent of your sentences are written in the passive, you should make serious efforts to edit yourself out of this habit.

6. Use the clearest and liveliest verb

Cutts says, "Good verbs give your writing its power and passion and delicacy. It is a simple truth that in most sentences you should express action through verbs, just as you do when you speak. Yet in so many sentences the verbs are smothered, all their vitality trapped beneath heavy noun phrases."

See how a verb can convey meaning far more clearly than a noun phrase; *compare*:

An examination of the maintenance records of the plant was carried out by Mr. Patel

with: Mr. Patel examined the plant maintenance records.

7. Put points positively if possible

Which is easier to understand?

Vote for not more than one candidate. Vote for one candidate only.

Or another example:

'Dependent relative' includes a member's child or adopted child who has <u>not attained</u> the age of 18 or has <u>not ceased</u> to receive full time education or capacity building.

'Dependent relative' includes a member's child or adopted child who <u>is aged</u> 17 or under, and <u>is</u> in fulltime education or capacity building.

8. Re-read to be sure your meaning is clear

The following examples are quite funny, but do not help to make meaning clear:

> ***I enclose the completed application form together with a stamped, addressed envelope, which I trust you will consider very carefully.***
>
> ***Slightly loosen the wheel nuts, after first making sure that the brake is on, with the spanner provided.***
>
> ***Extra lessons in reading will be given to those who are slow learners from 6.00 p.m. to 7.00 p.m.***
>
> ***Kindly cane this boy.***
>
> ***If the baby does not thrive on fresh milk, boil it.***
>
> ***The dent was caused when I was reversing the car into a parking space that wasn't there.***
>
> ***The population of London is the same as that of Sweden.***
>
> ***Nervously opening the cupboard, a corpse in an advanced state of decomposition fell out.***

9. Use graphs, tables, diagrams

Just as lists can make a complex sentence clearer, graphs, charts, maps and diagrams can make numbers easier to understand. Look at any issue of *The Economist* to see how this excellent journal often makes quite difficult concepts easy by using graphics.

Phase 1. Worksheet 1. Pick the right topic

Which ones are potential topics for your organization? Analyze all, and select two priority topics. Use Worksheet 3 to record them

Potential project topics	Topic criteria: selecting			
	1. Problem that is important	2. Project topic that is beneficiary priority	3. A manageable topic	4. Topic with the right balance of risk and return
1. Secondary seed multiplication and distribution				
2. OFSP utilization to combat Vitamin A Deficiency				
3. Market access for OFSP				
4. Value addition for OFSP				

Phase 1. Worksheet 1 (Cont´d). Picking the right topic

Potential project topics	Topic criteria: selecting			
	5. Topic that is attractive to partners, why?	**6. Topic that is most likely to attract the interest of donors, why?**	**7. Topic that will be internally approved, why?**	
1. Secondary seed multiplication and distribution				
2. OFSP utilization to combat Vitamin A Deficiency				
3. Market access for OFSP				
4. Value addition for OFSP				

Phase 1. Worksheet #2. Other topics along the value chain.

Title and analyze them

Potential project topics	Topic criteria: selecting			
	1. Problem that is important	**2. Project topic that is beneficiary priority**	**3. A manageable topic**	**4. Topic with the right balance of risk and return**
1.				
2.				
3.				
4.				

Phase 1. Worksheet 2. Other topics along the value chain

Title and analyze them

Potential project topics	Topic criteria: selecting			
	5. Topic that is attractive to partners, why?	**6. Topic that is most likely to attract the interest of donors, why?**	**7. Topic that will be internally approved, why?**	
1.				
2.				
3.				
4.				

4

Phase 1. Worksheet 3. Two priority topics	
Two topics will be the most likely to attract the interest of donors	**Three (or more) criteria used to select the two topics**
1. **2.**	

Phase 2. Standardization of vocabulary used in project planning

Reading and processing the information. In your own words:

(a) What is the difference between project and program?
(b) How you would explain project planning process?
(d) Describe an annual work plan

Phase 3. Writing tips

Practicing writing skills

(a) One important recommendation that will make you a better writer from now on.
(b) How would you summarize your learning on the use of definite and concrete words?

Part 3
A Comprehensive Implementation Plan

SESSION 1 — Welcome, introduction to the workshop, PAPA and overview of an organization's planning stages

Instructions to Learning Facilitators

PRE-SESSION & TIME FRAME

Welcome and Registration:
30 minutes

Introduction to the workshop, overview of an organization's planning stages, presentation of PAPA. Interactive Exercise: ***1 hour 30 minutes***

Tea/Coffee Break: ***15 minutes***

OBJECTIVES

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

- Discuss the background and rationale for the workshop: goals, general objectives, and expected outputs. The prospectus provides this information.
- Describe the workshop timeframe for the sessions which will compose your workshop.
- Analyze an organization's plan stages: project planning and project activity planning.
- Explain the use of the participant action plan approach (PAPA).
- Identify participants and facilitators.

PROCEDURE

Learning strategies or facilitation techniques:
presentations, PAPA, interactive exercise.

(experience) Distribute handouts related to your presentation, before starting this session. Give a brief presentation providing background and rationale for the workshop. State the goals, general objectives of the workshop, and expected outputs. Use PowerPoint to facilitate your presentation. Ask if clarification is needed. *(20 minutes)*

PAPA

Introduction to the Participant Action Plan Approach (PAPA)

(experience) Introduce the participant action plan approach (PAPA) to the workshop participants using PowerPoint. You will find the key points (listed below) and the handout very useful. Encourage the participants to begin formulating action ideas as the workshop progresses.

Five basic steps

PAPA requires that participants develop action plans at the end of the workshop. They will prepare a list of activities that they want to try when they return to their jobs. The plans are based on the workshop activities just experienced. After some time (usually five months), the participants are expected to be contacted to evaluate which activities they have actually been able to implement. The five steps involved in carrying out this process are as follows:

Step 1. Planning for PAPA

In this step, the persons conducting the workshop determine the specific activities needed to apply PAPA, considering the available resources and the needs of the organizations involved. The facilitators assign and schedule the tasks necessary to carry out the approach.

Step 2. In-course activities

This step consists of two stages. At the beginning of the workshop, facilitators introduce participants to the idea of an action plan. They are asked to record, throughout the workshop, new ideas they may want to try when they return to their jobs.

Then at the end of the workshop, participants are asked to write an action plan. This is an edited list of new, workshop-related activities that they plan to try when they return to their jobs.

Step 3. Follow-up activities

At a planned time after the learning and capacity building (L&CB) event — usually five months, participants are interviewed or contacted by questionnaire. They are asked which of their planned activities they have been able to achieve up to that time, and what other activities they have attempted as a result of the workshop. Participants are also asked what effect their new activities have had on their work environment, and what problems, if any, they encountered in trying them.

Step 4. Analysis and conclusions

In this step, the data collected during the follow-up are categorized and displayed in order to show the extent and type of change resulting from the implementation of the action plan. The information can be displayed in the form of

descriptions of behavior change. It can be summarized numerically (e.g. how many of the participants changed in certain ways). It can also be reported using a combination of narrative experiences and numbers.

Step 5. Report

The findings from the analysis, conclusions, and recommendations regarding the workshop are reported in a form that meets the information needs of the organizations involved. The format may be an oral report, but a written document is preferred.

Information that can be collected

PAPA gathers information about participants' behavioral changes on the job due to the workshop. Since the instructor asks questions during the follow-up, data can also be obtained on the following:

Reaction — how well participants liked and accepted the workshop (reviewed five months after its completion)

Learning — the skills, knowledge, attitudes, etc., that participants feel they acquired during the workshop

Results — the impact the participants feel that the workshop had on their organization or work environment

Uses of PAPA

Participants commit themselves to action through a written plan developed at the end of the workshop. They leave a copy of the plan with the instructor for follow-up purposes.

Participants know that someone will be asking about efforts they have made to implement the action plan. This can motivate them to actually try new activities on the job. Thus, PAPA can help participants transfer to their jobs what they learned in the workshop — PAPA becomes a part of the workshop itself.

Besides directly helping participants with the transfer of skills and knowledge, the action plan process can play a role in supervisor/subordinate discussions of workshop utilization. In working with employees after the workshop, supervisors can help them implement the action plans and thus encourage and support the transfer of learning to the job.

Resources needed to use PAPA

No complex skills or knowledge are required for using PAPA. It does not require previous evaluation experience. No statistical tests are used in the analysis. If interviews are used to collect follow-up information, interviewing skills are needed. A general ability to synthesize data and draw logical conclusions is also important.

The major resource required is time, mainly time to collect the data about changed job behavior and time for analysis.

However, the facilitator can take shortcuts in using the approach and still produce valuable information about the workshop.

Reference

United States Office of Personnel Management. (no date.) Assessing changes in job behavior due to L&CB: a guide to the participant action plan approach. Washington, DC: Productivity Research and Evaluation Division, United States Office of Personnel Management.

INTERACTIVE EXERCISE 1 **Getting to know each other***: (1 hour 5 minutes)*

1. *(experience)* Prepare an exercise for this session. In Annex 1, Volume 5, you can find Forms to implement this activity. Distribute the forms to each participant. Note that each form has a different question. You must cut the forms before the session. Each participant fills out a form. Based on the information on the form, the participants introduce themselves to the group.
2. *(process)* Ask the participants how they felt doing this exercise. What have they learned about themselves? Others?
3. *(generalize)* How will this information/experience be useful during this workshop?

CLOSURE **Closure** *(5 minutes)*

1. *(application)* Ask the participants: How will you apply the lessons learned as a result of this session in your job?
2. Make a transition to the next session.

Special notes to facilitators

1. Make sure that copies of notebook materials are made and that the notebooks are ready for distribution. Remember that the binder or folder are composed of the following:
   - Welcome letter (see suggestion in Annex 1.B of Volume 5)
   - Workshop prospectus (Part 1. Volume 1)
   - Time frame for Volume 1. (Handout 1.1.2. Volume 1)
   - Registration form (see suggestion in Annex 1.A of Volume 5)
2. Make sure that the forms for the interactive exercise (suggestion Annex 1.C of Volume 5) are cut before session one begins.
3. *In case you do not offer the entire plan of Volume 1 to each participant during the opening of the workshop*, please make sure you staple all exercise instructions and worksheets together always <u>one day before</u> the sessions to deliver to them at the right time.

Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, Monitoring, and Evaluation

Volume 1 — Sessions Overview

Objectives

By the end of this Volume 1, the participants will be able to do the following:

- Discuss the background and rationale for the workshop: goals and general objectives.
- Describe the time frame for the workshop sessions.
- List the objectives for the workshop sessions.
- Analyze an organization's plan stages: project planning and project activity planning.
- Explain the use of the participant action plan approach (PAPA).
- Describe what people need to learn to lead and manage project teams.
- Discuss domains of learning to identify leadership and management skills.
- Analyze common characteristics of effective teams.
- Develop strategies to manage time and tasks.
- Define project.
- Discuss the nature of project.
- Define project cycle management.
- List examples of OFSP projects.
- Differentiate programs, projects and activities.
- Describe the steps of project cycle.
- Identify major OFSP project requirements: principles, (gender mainstreaming, partnership).
- Distinguish between writing to inform and writing to persuade.
- Define project identification.
- Discuss the importance of stakeholders´ participation in project identification.
- Practice stakeholder analysis and analysis of problems, objectives and strategy.
- Discuss selected Project Ideas.

Handouts

1.1.1 Volume 1. Sessions overview
1.1.2 Volume 2. Sessions time frame
1.1.3 PowerPoint presentation
1.1.4 Overview of organizations' planning stages
1.1.5 Participant Action Plan Approach (PAPA)
1.2.1 PowerPoint presentation
1.2.2 Summary of presentation. Domains of learning to identify skills of leaders.
1.2.3 Summary of presentation. Effective teamwork and managing team, time and tasks
1.2.4 Leadership skills questionnaire and scoring sheet.
1.2.5 Exercise 2. Getting to know myself better.
1.2.6 Exercise 2. Worksheet-column, five characteristics of leader.
1.2.7 Exercise 2. Worksheet. Five characteristics of a leader.
1.3.1 PowerPoint presentation: Overview of project cycle management, etc.

13. 2 Summary of presentation. Overview of project cycle management
1.3.3 Summary of presentation. Major OFSP project requirements: principles, etc.
1.3.4 Summary of presentation. Writing to persuade
1.3.5 Exercise 2 in pairs
1.3.6 Exercise Worksheets. Pairs A, B, C and D
1.4.1 PowerPoint presentation: Project identification, stakeholders' analysis, etc.
1.4.2 Summary of presentation. Project Identification: stakeholders' analysis
1.4.3 Summary of presentation. Analysis of problems, opportunities, objectives, etc.
1.4.4 Exercise 3a. Stakeholders' analysis
1.4.5 Kenya Case Study
1.4.6 Exercise 4a. Worksheet A
1.4.7 Exercise 4a. Worksheet B
1.4.8 Exercise 4b. Analysis of problems, opportunities, etc.
1.4.9 Exercise 4b. Worksheet
1.4.10 Feedback of the day
1.4.11 PAPA

Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, Monitoring, and Evaluation

Volume 1 — Sessions Time Frame

Welcome and Registration: ***30 minutes***

Session 1. Introduction to the workshop and PAPA: ***1 hour 30 minutes***

– Workshop introduction, objectives, and schedule
– Overview of day one
– Overview of an organization planning stages
– Introduction to PAPA
– Guidance to daily review plan
– Interactive Exercise 1

Tea/Coffee Break: ***15 minutes*** **(morning and afternoon)**

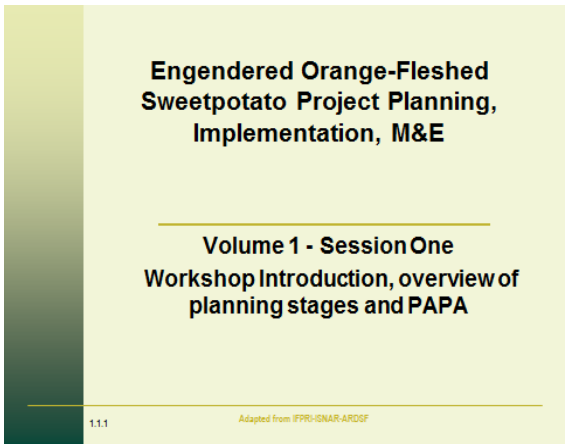
Session 2. What do we need to learn to lead and manage project teams?
(Presentation and Exercise 2): ***2 hours 45 minutes***

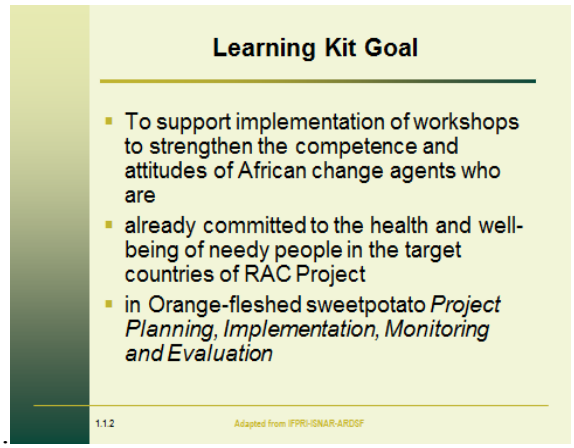
Session 3. Overview on Project cycle management. Major OFSP project requirements: principles, vocabulary and writing to persuade
(Presentation and Exercise 3)***: 1 hour 45 minutes***

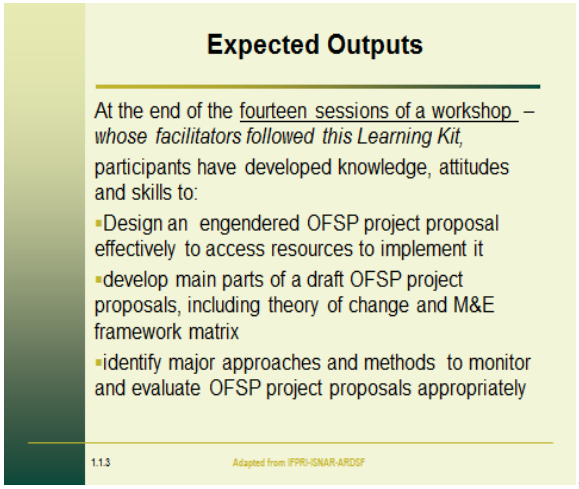
Session 4. Project identification: stakeholder analysis and analysis of problems, objectives and strategy. Picking the right topic
(Presentation and Exercises): ***3 hours 30 minutes***

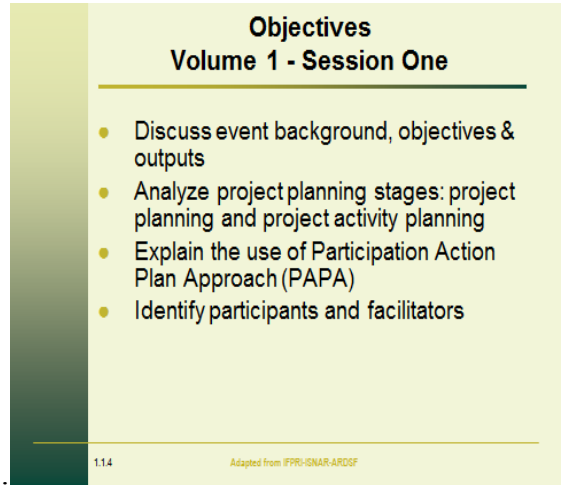
Feedback on the Day's Sessions and PAPA: ***15 minutes***

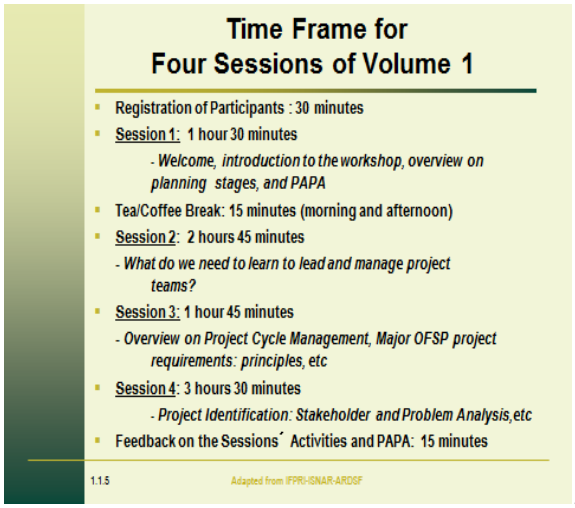
Session 1 PowerPoint Presentation

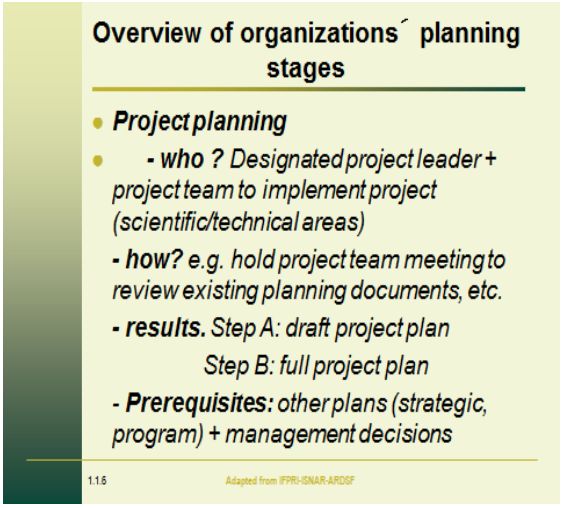












Overview of organizations´ planning stages (cont´d)

- ***Project activity planning***
  - ***who ?*** *Designated project leader + project team for review + coordinator*
  - ***how?*** *e.g. sub-team formed to plan particular project activities in detail*
  - ***results.*** *Project Activity Plan*
  - ***Prerequisites:*** *Draft project plan fully developed + list project activities to deliver project outputs and achieve project purpose*

Participant Action Plan Approach (PAPA)

Why PAPA?

- Systematic and continuous planning of future activities by participants as learning event evolves
- Formal link between participants and learning facilitators for follow-up activities
- Further involvement of participants in improving the learning and capacity building content after learning event

Uses of PAPA

- Provide information to improve the workshop content and approach
- Evaluate the most useful parts/quality of workshop
- Assess transfer of skills to work place
- Determine impact of change introduced
- Identify problems of implementation

Steps of PAPA

1. Planning for PAPA
2. In-course activities
3. Follow-up activities
4. Analysis and conclusions
5. Reporting

In-course Activities

First Stage:

- Aim to identify possible action ideas to be tried on the job
- Participants jot down action ideas during the learning event

Second Stage:

- Develop an action plan
- Prepare a preliminary list of action items
- Report individual action plans to the group

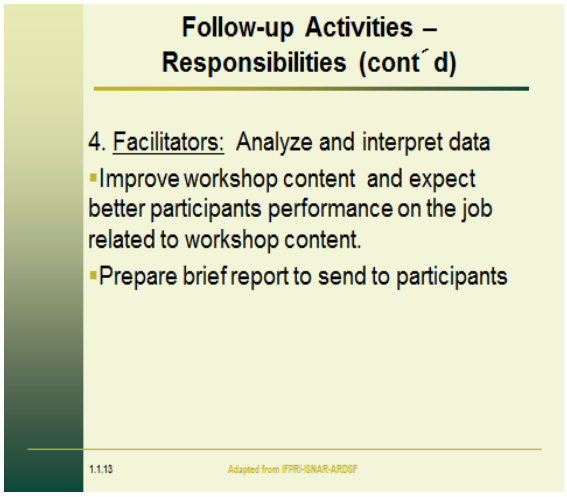
Follow-up Activities - Responsibilities

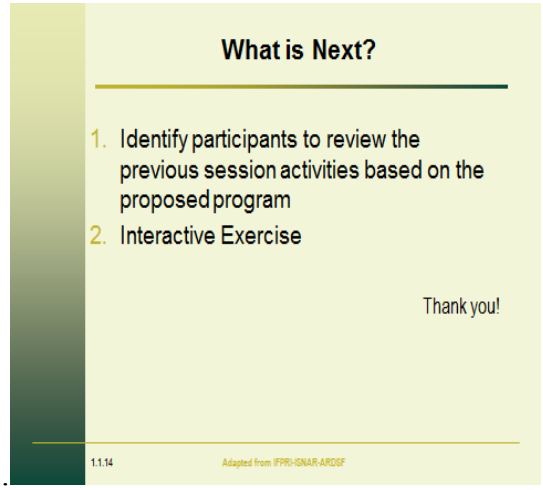
1. Leading Team/Facilitator

Receive PAPA plans and follow-up implementation of participants´ "promises"

2. Workshop *Participants* inform Leading Team on actions implemented (or not) with feedback

3. Leading team sends feedback to workshop graduates


Follow-up Activities – Responsibilities (cont´d)
4. Facilitators: Analyze and interpret data
Improve workshop content and expect better participants performance on the job related to workshop content.
Prepare brief report to send to participants
1.1.13
Adapted from IFPRI-ISNAR-ARDSF


What is Next?
1. Identify participants to review the previous session activities based on the proposed program
2. Interactive Exercise
Thank you!
1.1.14
Adapted from IFPRI-ISNAR-ARDSF

Summary of Presentations

Overview of organizations' planning stages: project planning and project activity planning[4]

Planning Stage	Who?	How?	Results	Prerequisites
Project Planning	Responsibility: designated Project Leader Assisted by Project Team composed of staff that will most likely be involved in implementing the project and/or staff that has particular expertise in the technical areas of the project Assisted by project teams of other projects in the organization (for internal review)	Step A. - hold project team meeting to review existing planning documents and management decision to develop a project concept note - team members may be given task to develop particular items of concept note - team members jointly identify the necessary project activities (brainstorming and discussion) - final concept note is internally reviewed by other project teams. *Use of concept note in project activity planning* Step B. (after project activity planning) - project leader develops full project document through aggregation of data from all approved project activities	Step A. Concept Note for each priority project Content: 1. Background a. The problem and why it is urgent b. What has already been done 2. Beneficiaries 3. Project logframe: impact, purpose, outputs 4. Project activities 5. Project management 6. Draft time frame/overall work plan 7. Draft summary of inputs 8. Draft budget estimate Step B. Full project document once the full proposals for project activities are developed and approved Content: - concept note from Step A - aggregated logframe (include elements of all approved project activities)	For Step A. - Strategic Planning document available - Program Planning document available clearly identifying the projects for each program. - Management decision on which projects are priority may be implemented in the next 2–3 years if resources are available For Step B. - Management approve project activity proposal for selected time span (1 year, 2 years?)

[4] *By Jorg Edsen, Module 6. AR4D Project Activity Planning: A complement to Module 4 – Impact Oriented Project Planning. ARDSF, Papua New Guinea, October 2010*

			- aggregated work plan (summarized and aggregated individual project activity work plans) - aggregated budget (summed up individual project activity budgets by year)	
Project Activity Planning	Main responsibility: designated Project Leader Assisted by whole project team (for review) Second responsibility: Coordinator designated to lead sub-team, possibly the future leader of the project activity Assisted by sub-team composed of members of project team designated to form sub-team to plan a specific project activity, possibly those members that will implement the project activity	- hold project team meeting to review existing planning documents, such as, program plan, project concept note - sub-teams are formed with the responsibility to plan particular project activities in detail - sub-teams develop concept note for the project activities - final concept notes are internally reviewed by all project team members - sub-teams include feedback received during internal review and develop a full project activity proposal - *project activity proposal will be approved by Management for selected time span (for year 1, year 2 ?)* - *project leader uses approved project activity proposals to aggregate data into full project document in Step B of project planning*	a. Project activity concept note: Content: 1. Background a. Rationale of project activity b. Relevance of project activity to deliver project output and achieve project purpose 2. Summary methodology: what are you going to do? 3. Project activity logframe: purpose, outputs, tasks 4. Draft summary of required inputs 5. Project activity team 6. Draft work plan 7. Draft budget b. Full project activity proposal: Content: - see unit 8: use items in content note and expand if necessary; develop detailed work plan and itemized budget	Project concept note fully developed including specific list of project activities necessary to deliver project outputs and achieve project purpose

Participant Action Plan Approach (PAPA)

As part of this L&CB, you will do an exercise designed to help you apply what you have learned. You may not find everything taught in the L&CB appropriate to your specific situation. In some cases, you may want to adapt some of the materials to fit your particular job or work setting.

To do this, the United States Office of Personnel Management developed the participant action plan approach (PAPA). PAPA is an easy-to-use method for determining how you changed your job behavior as a result of your attendance at an L&CB course or program. The method generates data that enable the facilitators to answer questions such as the following:

1. What happened on the job as a result of the L&CB?
2. Are the changes that occurred the ones intended by those providing the L&CB?
3. What may have interfered with participants trying to use on the job what they learned in the L&CB?

With the information from PAPA, facilitators (as evaluators) can also decide if and in what ways, the L&CB workshop should be modified. Managers can use the information to determine the worth of the L&CB and make informed decisions about its future.

Workshop Activities

The method consists of two stages. At the beginning of the L&CB you are introduced to the idea of an action plan and are asked to consider throughout the workshop tasks that you might want to do differently when you return to your job as a result of the L&CB. Then, at the end of the L&CB you are asked to write an action plan. This is a list of new, workshop-related activities that you plan to try when you return to your job.

Follow-up Activities

At a scheduled time after the workshop (usually several months), you will be interviewed or contacted by questionnaire. You will be asked which of your planned activities you have been able to implement up to that time, and what other new activities you have attempted as a result of attending the L&CB. You will also be asked what effect your new activities have had on your work environment, and what problems, if any, you encountered in trying them.

PAPA—FIRST STAGE

Ideas for Action Items

Workshop Title: **Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, M&E**

Date/Venue _____

Name _____

Organization: _____

Ideas I would like to try when I return to work at my institute, based on what I have learned in this L&CB workshop.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Note: You can use the workshop objectives, what you learn during the workshop, handouts, conversations with participants and facilitators, etc., to come up with ideas.

Guidelines for writing action items

The most important characteristic of an action item is that it is written so you — or someone else — *will know when it occurs*. One way to help achieve this is to use specific *action verbs*. The following is a list of such verbs:

Mental skills		Physical skills	Attitude
State	Demonstrate	Execute	Choose
Name	Discriminate	Operate	Volunteer
Describe	Classify	Repair	Allow
Relate	Generate (a solution)	Adjust	Recommend
Tell	Apply (a rule)	Manipulate	Defend
Write	Solve	Handle	Endorse
Express	Derive	Manufacture	Cooperate
Recount	Prove	Calibrate	Accept
	Analyze	Remove	Decide
	Evaluate	Replace	Agree

As you are working on the action items, ask yourself, *Is the behavior described observable? Will it be obvious to me or others when it happens?*

The following are examples of action items. *As a result of being in this L&CB I plan to:*

1. *Describe* this workshop to my superior within a week of returning to the job. As a result, my supervisor will know the contents of the L&CB workshop, how I can apply what I learned to the job, and whether or not others in the organization will attend.
2. *Handle* every piece of paper only once to improve the management of my own time. I will begin as soon as I am back on the job.
3. *Apply* the principles of performance analysis to the problem of incomplete or tardy case reviews in my research institute and request assistance from the L&CB unit, as needed. As a result I will know whether L&CB is required and/or if some other solution is appropriate. Begin within a month after returning.
4. *Talk* with my employees directly about a problem that arises, rather than avoiding a confrontation; discuss the situation in order to reach mutual understanding.
5. Within two weeks after I return, I will *implement* a _____ research management procedure/process in my research institute.

Implementing the action item

As you proceed to develop action items, *be sure to think of yourself in your actual job setting*, implementing the activity you have described.

If you have an idea of *when* you will be able to begin implementing the action items, make a note of it. Three categories can be chosen: 1) within two months, 2) after two months, and 3) as the opportunity arises (you do not know when the opportunity to try this item will occur).

You may find that you cannot try out your ideas exactly as you envisioned them, or that it is difficult to be specific. That is all right. It is still important to write out your *intent*, as a tentative plan, knowing you may have to modify it once you are back on the job. *Try to develop at least two or three action items*. One may not work, so it is handy to have others.

PAPA—SECOND STAGE

Ideas for Action Items

Workshop Title: **Engendered Orange-Fleshed Sweetpotato, Project Planning, Implementation, M&E**

Date/Venue _____

Name _____

Organization: _____

Action Items	Start to implement action plan (check if known)		
I plan to:	**Within 2 months**	**After 2 months**	**As the opportunity arises**

Participant Action Plan Approach

Supervisor's Contact Address

Name:	
Organization/Center:	
Name of Immediate Superior:	
Title of Immediate Superior:	
Address:	
Tel. No.:	
Fax No.:	
E-mail:	

Questions About Your Action Items

1. ***Preliminary nature of plan***

- Were you specific in writing the action item?
- What will you need to do when you return to work to determine which actions are possible?

2. *Resources*

- Who will be carrying out the proposed action, or helping with it (formally or informally)?
- Are the skills for carrying it out available?
- How much time would this take?
- Are special materials or equipment required?
- What is involved in obtaining them?
- Will you be using a tool or system or aid from this L&CB workshop?
- If so, how much adaptation is required?
- Is continual monitoring or follow-through required?
- If so, who will do it?

3. Implementation

- Do you have the authority to implement the action?
- If not, who does?
- How do you think you can go about getting approval?
- What do you think the degree of support is for your idea?
- Will you need to sell people on it?
- If so, who?

4. Effects

- Whom will this action affect?
- How will it affect them?
- Will anyone be worse for the results?
- Will anyone be better off?
- What will be affected?

5. Environment

- What factors in the organizational environment might interfere with your doing this?
- What factors in the organization will support your effort?

SESSION 2 What do we need to learn to lead and manage project teams?

Instructions to Learning Facilitators

TIME FRAME **Presentation and Exercises: *2 hours 45 minutes***

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

- Describe what people need to learn to lead and manage project teams.
- Discuss domains of learning to identify leadership and management skills.
- Analyze common characteristics of effective teams.
- Develop strategies to manage time and tasks.

Use PowerPoint to present the session's objectives. Distribute summary of PowerPoint and summary of presentations (Handouts from 1.2.1 to 1.2.3)

PROCEDURE Learning strategies or facilitation techniques: presentation, individual work and working in pairs.

PRESENTATION *(experience)* Give a brief presentation on the issues listed for this session. Remember to make two consecutive presentations (Handout 1.2.1). Use the PowerPoint presentation to facilitate understanding of the topics. Ask if clarifications are needed *(30 minutes).*

EXERCISE 2 **Exercise 2. Getting to know myself better as a project leader in an organization** (*2 hours 15 minutes).*

REMINDER *(experience)* Distribute Exercise 2 (Handout 1.2.4, 1.2.5, 1.2.6) and go over the instructions with the participants step-by-step. Ask if any clarifications are needed

Phase 1. Individual work *(15 minutes)*

(experience) Invite participants to fill out the questionnaire (Handout 1.2.4) and complete the score sheet. Also, ask them to respond to the questions (Handout 1.2.5) to discuss them in pairs during the next phase.

Phase 2. Work in pairs *(55 minutes)*

1. *(experience, process)* Invite participants to pair up and exchange the scoring sheet from the leadership skills questionnaire.
2. *(experience)* Ask each pair to transfer each other's results of the sum of 'total and mean' columns from 1 to 5 in the worksheet characteristics or attributes of a leader (Handout 1.2.6). They should share their responses to the questions 2 and 3, i.e. the strongest and weakest areas of his/her performance related to

leadership functions.

3. *(experience, process)* Invite each pair to compare the results of Sections 2 and 3 with the results of the work of the scoring sheet (Handout 1.2.4). Ask them to go over the statements in the questionnaire to understand better the scores. They should discuss and point out the similarities and differences of the outcomes.

4. *(experience)* Invite the participants to transfer the total scores from the scoring sheet to the second column of the worksheet (Handout 1.2.6).

5. *(process)* Next, deliver Handout 1.2.7 'Ten functions of a leader'). The pairs should list these functions in the appropriate column of Handout 1.2.6 and discuss Handout 1.2.7 briefly and attentively.

6. *(generalize)* Invite the pairs to discuss the results of this exercise and be prepared to write down and read to the audience two lessons learned during this session. Remember that this report is done without referring to the information and mentioning names. Ask them to use the worksheet (Handout 1.2.6) to record the results.

Phase 3. Plenary *(60 minutes)*

7. *(generalize)* Invite the participants to state the lessons learned and ask for their feedback on this exercise.

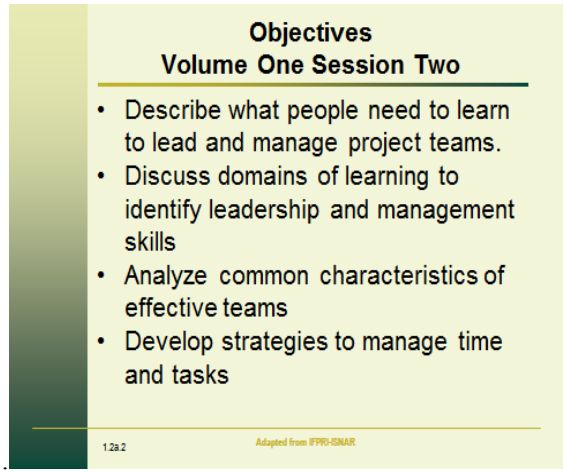
CLOSURE

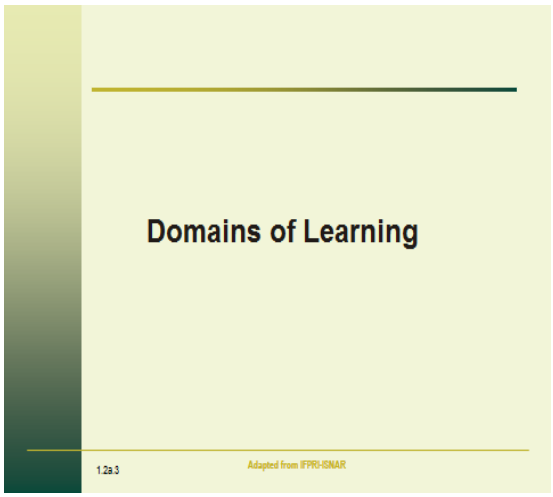
Closure *(5 minutes)*

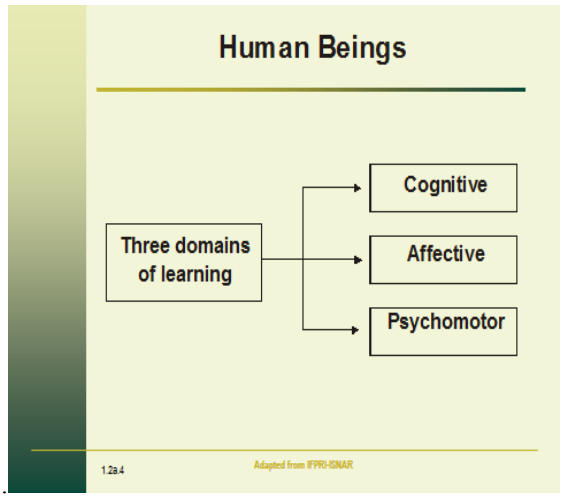
1. *(application)* Ask the participants to tell one of their neighbors two things they might do differently as a result of what they have learned. Ask volunteers to give examples.

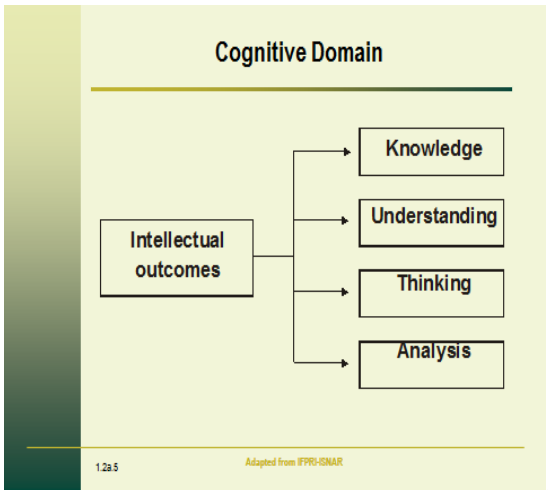
2. Make a transition to the next session.

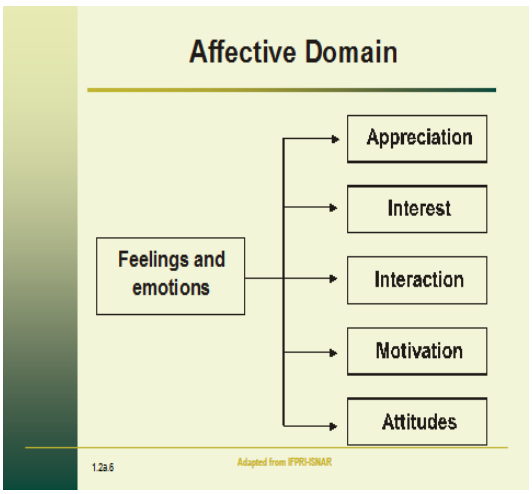
Session 2 PowerPoint Presentation



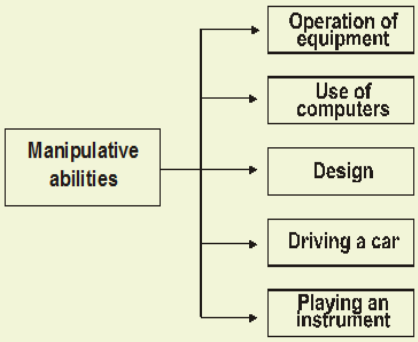








Psychomotor Domain



1.2a.7 Adapted from IFPRI-ISNAR

Development of Cognitive Domain

- Planned before we are born
- Parents plan school, college/universities

1.2a.8 Adapted from IFPRI-ISNAR

Cognitive Domain

- Knowledge (How to do things)
- We get knowledge from:
  - books
  - library
  - professor/teacher
  - consultant
  - university/college

1.2a.9 Adapted from IFPRI-ISNAR

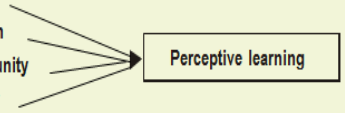
Development of Affective Domain

- Society shapes our development of this domain
- Nobody sits down and teaches systematically how to be polite; to express feelings/appreciation
- We develop attitudes through perception
  - Examples: family behavior, "boys don't cry"

1.2a.10 Adapted from IFPRI-ISNAR

Affective Domain

- Feelings and emotions
  - Attitudes
  - Behavior
- We develop attitudes in accordance with the environment
  - family
  - religion
  - community
  - society



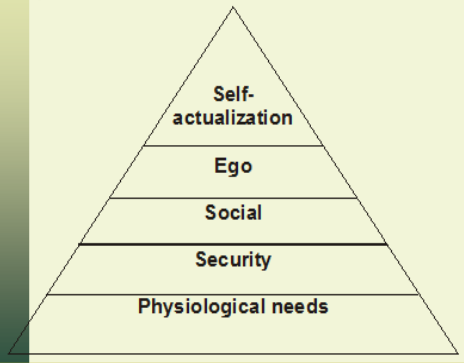
1.2a.11 Adapted from IFPRI-ISNAR

Psychomotor Domain

- Manipulative abilities
- We develop these abilities through systematic practice

1.2a.12 Adapted from IFPRI-ISNAR

Maslow's Hierarchy of Individual Needs



1.2a.13 Adapted from IFPRI-ISNAR

Knowledge

Retained information concerning facts, concepts and relationships

Knowledge:

- function of feedback
- how to obtain it

1.2a.14 Adapted from IFPRI-ISNAR

Attitudes

- Consist of feelings or statements for or against certain issues
- Reflect the predisposition of individuals to view their jobs, other people and work in a certain way
- Are reflected in people's behavior
  Examples: responsiveness
  flexibility
  self-confidence

1.2a.15 Adapted from IFPRI-ISNAR

Skills

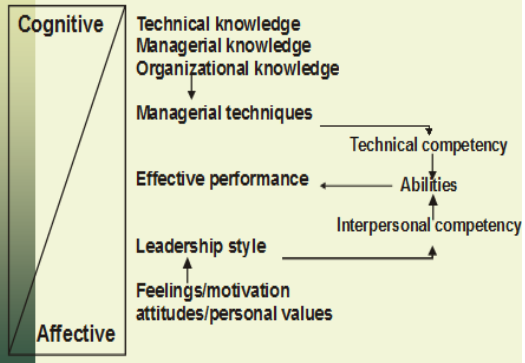
Abilities to:

- Do things
- Effectively apply knowledge and personal aptitude and attitudes in work situations

Examples: giving and receiving feedback
listening skills

1.2a.16 Adapted from IFPRI-ISNAR

Effective Behavior for Managers–Leaders

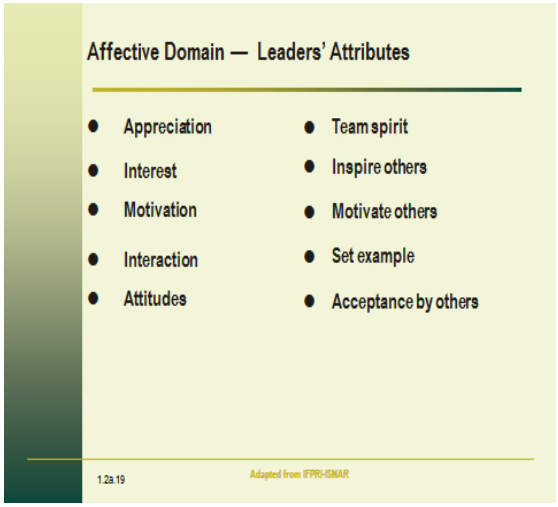


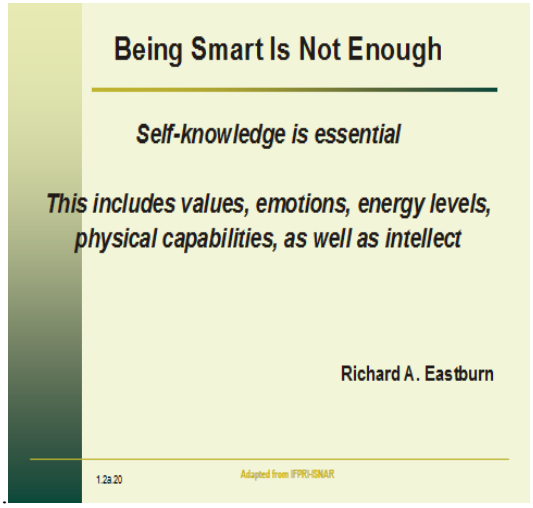
1.2a.17 Adapted from IFPRI-ISNAR

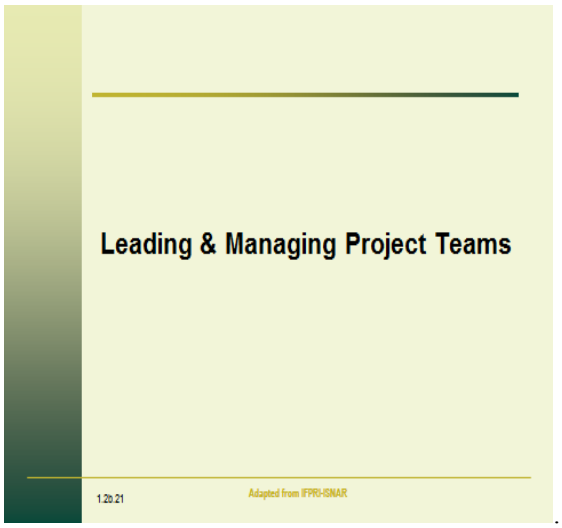
Managers Believe in and Stress *versus* Leaders Promote

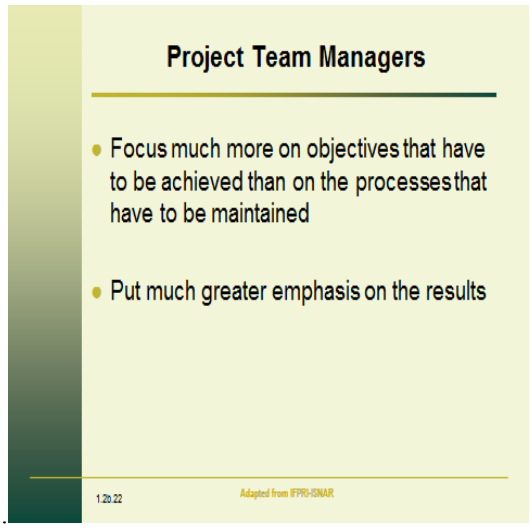
Managers believe in and stress	Leaders promote
Application of systems	Sense of direction
Scientific method	Teamwork
Planning	Inspiration
Monitoring	Motivation
Controlling	Example
Good administration	Acceptance by others

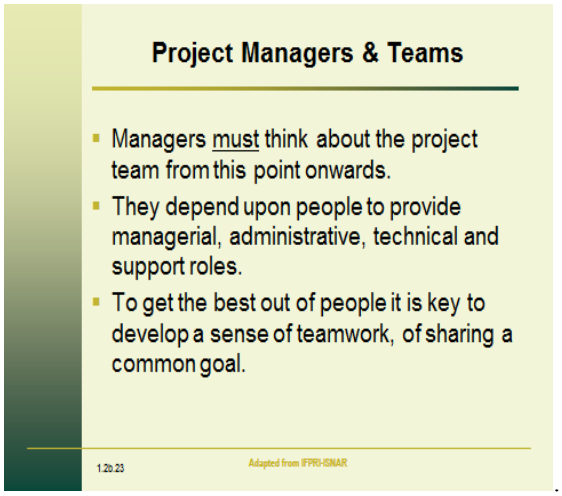
1.2a.18 Adapted from IFPRI-ISNAR

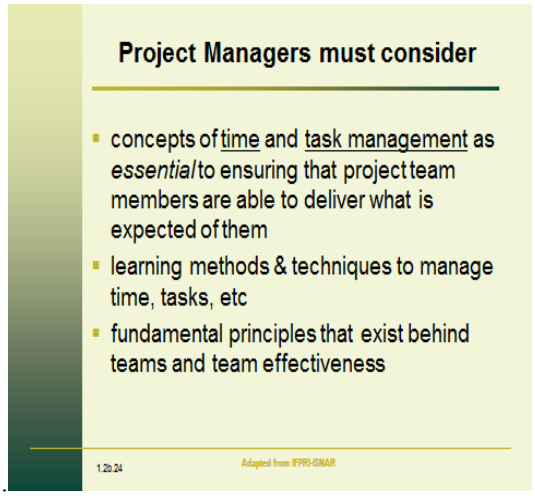

Affective Domain — Leaders' Attributes
Appreciation
Interest
Motivation
Interaction
Attitudes
Team spirit
Inspire others
Motivate others
Set example
Acceptance by others
1.2a.19
Adapted from IFPRI-ISNAR


Being Smart Is Not Enough
Self-knowledge is essential
This includes values, emotions, energy levels, physical capabilities, as well as intellect
Richard A. Eastburn
1.2a.20
Adapted from IFPRI-ISNAR


Leading & Managing Project Teams
1.2b.21
Adapted from IFPRI-ISNAR


Project Team Managers
Focus much more on objectives that have to be achieved than on the processes that have to be maintained
Put much greater emphasis on the results
1.2b.22
Adapted from IFPRI-ISNAR


Project Managers & Teams
Managers must think about the project team from this point onwards.
They depend upon people to provide managerial, administrative, technical and support roles.
To get the best out of people it is key to develop a sense of teamwork, of sharing a common goal.
1.2b.23
Adapted from IFPRI-ISNAR


Project Managers must consider
concepts of time and task management as essential to ensuring that project team members are able to deliver what is expected of them
learning methods & techniques to manage time, tasks, etc
fundamental principles that exist behind teams and team effectiveness
1.2b.24
Adapted from IFPRI-ISNAR

Common characteristics of effective teams

- ***Common goals*** - building a team requires establishing a common overall goal, clearly defining objectives, and outlining the various roles and responsibilities required to accomplish them

1.2b.25 Adapted from IFPRI-ISNAR

Common characteristics of effective teams (cont´d)

- ***Acknowledged interdependency and mutual respect for team members*** - to clarify what is expected of each team member, with a clear understanding of the inter-relatedness of activities.
- Formal roles need to be defined at this stage: specific functions, tasks and individual responsibilities.

1.2b.26 Adapted from IFPRI-ISNAR

Common characteristics of effective teams (cont´d)

- ***A common code of conduct*** - to lay down some ground rules for how teams work together

(e.g. issues such as attendance, work hours, smoking policies, the use and care of workplace property, sexual harassment, the acceptance of gifts, and standards of quality)

- ***A reward system*** *that acknowledges contribution by its members*
- ***Team identity, spirit and energy, etc.***

1.2b.27 Adapted from IFPRI-ISNAR

Project Leaders

- Effective leaders sustain effective teams
  - Insightful and mature team leaders, recognize the attributes and interests of individual members, while also putting team objectives in the fore front
  - Team leader may need to develop a more collaborative management style

1.2b.28 Adapted from IFPRI-ISNAR

Summary. Project managers-Team leaders must:

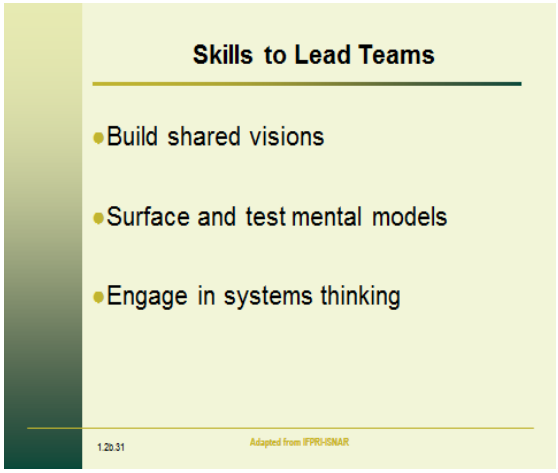
- clearly define responsibilities
- define and communicate the project process and code of conduct
- delegate wherever possible
- empower the team to be accountable

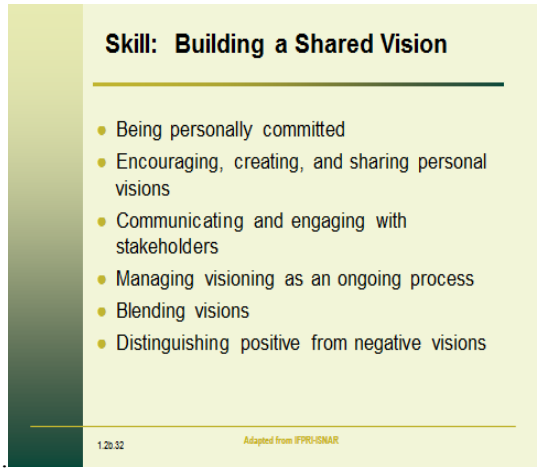
1.2b.29 Adapted from IFPRI-ISNAR

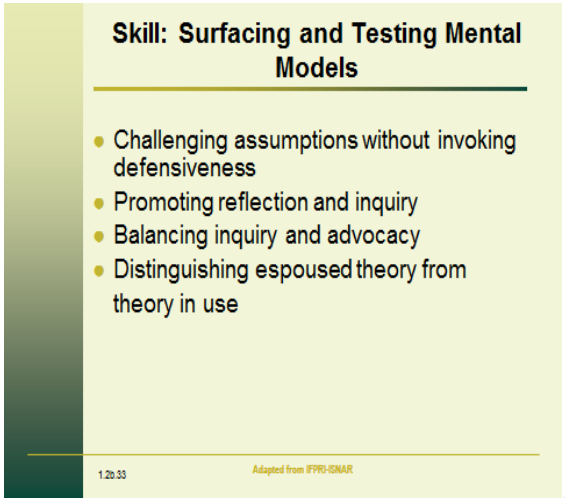
Summary. Project managers-Team leaders must:

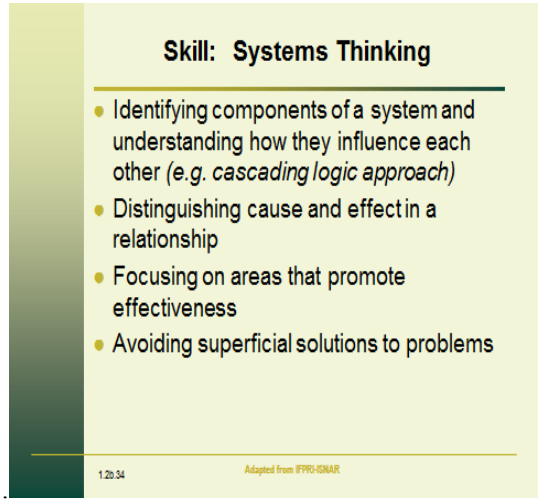
- balance support with direction, as required
- empower the team, by example, to operate as a team
- deal with under-performers who drag the team down
- establish team-effort rewards
- design the work planning process in a way that encourages teamwork

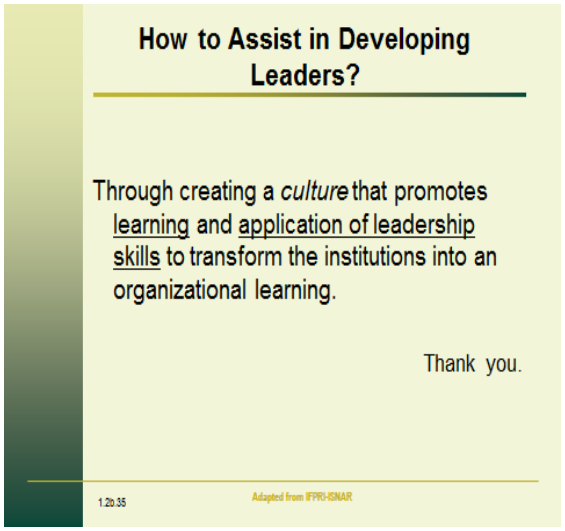
1.2b.30 Adapted from IFPRI-ISNAR


Skills to Lead Teams
Build shared visions
Surface and test mental models
Engage in systems thinking
1.2b.31
Adapted from IFPRI-ISNAR


Skill: Building a Shared Vision
Being personally committed
Encouraging, creating, and sharing personal visions
Communicating and engaging with stakeholders
Managing visioning as an ongoing process
Blending visions
Distinguishing positive from negative visions
1.2b.32
Adapted from IFPRI-ISNAR


Skill: Surfacing and Testing Mental Models
Challenging assumptions without invoking defensiveness
Promoting reflection and inquiry
Balancing inquiry and advocacy
Distinguishing espoused theory from theory in use
1.2b.33
Adapted from IFPRI-ISNAR


Skill: Systems Thinking
Identifying components of a system and understanding how they influence each other (e.g. cascading logic approach)
Distinguishing cause and effect in a relationship
Focusing on areas that promote effectiveness
Avoiding superficial solutions to problems
1.2b.34
Adapted from IFPRI-ISNAR


How to Assist in Developing Leaders?
Through creating a culture that promotes learning and application of leadership skills to transform the institutions into an organizational learning.
Thank you.
1.2b.35
Adapted from IFPRI-ISNAR

Domains of human learning[5]

(Summary of Presentation)

The conceptual basis for this session was provided by the basic domains of human learning and the concepts of knowledge, attitudes and skills as related to managerial performance.

The three basic domains of human learning are:

- the cognitive, theoretical or intellectual domain;
- the affective or humanistic domain; and
- the psychomotor, manipulative or skill development domain.

The level of competence of a manager is assessed by taking into account their level of development in these three domains. In irrigation management, for example, there is a variety of abilities or skills (using the term in its general sense) that belongs to the cognitive domain, such as how to establish criteria, how to make decisions, and so on. This domain involves remembering or reproducing something which has been learned. Knowledge therefore belongs to this domain.

The affective domain includes attitudes, values, appreciation, and so on. This domain involves feelings and emotions. Managers of irrigation systems are expected to be committed to achieving good system performance, to be honest in taking and reporting valid data, and so on.

The psychomotor domain includes manipulative performance or actions requiring neuro-muscular coordination such as using computers, opening and closing gates, designing canals, and so on.

The affective domain is recognized as the most sensitive one, which makes its development more difficult. Research shows that even among social science professionals there is a lack of human relation skills, which belong to this domain. In their dealings with others they may be false rather than genuine; may fail to show basic warmth and respect for others; and so on.

Most managers of irrigation systems are engineers, agronomists, and other technical professionals who have not been exposed to the development of the affective domain at all. Their formal education has failed to stimulate them to grow in this respect. In planning management training for irrigation professionals, therefore, it is necessary to provide special exercises designed to help them to develop this domain, in terms of positive attitudes, motivation, self-confidence, and so on, in addition to the managerial knowledge and manipulative skills which are also necessary for improving their job performance. It is possible that this reality applies to many other professional fields.

In the context of such an exercise, knowledge, attitudes, and skills are defined as follows (Kuber 1989):

- **Knowledge** is retained information concerning facts, concepts, and relationships. For example, the concept of irrigation management; knowledge of methods of measuring water flow; the concept of farmer-managed irrigation systems; feedback (concept, how to give and receive); definition of decision-making process; and so on.

[5] *Extracted and improved by França(2014). From França, Z.P. 1994. Irrigation Management Training for Institutional Development: A Case Study from Malaysia. Colombo, Sri Lanka: IIMI.*

- **Attitudes** consist of feelings or statements for or against certain issues; they reflect the predisposition of individuals to view their jobs, other people, and the work in a certain way, and they are reflected in people's behavior, for example, in terms of responsiveness, flexibility, self-confidence, adaptability, tact etc.
- **Skills** are the abilities or personal attributes which make the individual to do things effectively; apply knowledge and personal aptitude and attitudes in personal and/or work situations. Skills development include:

  (a) Social ability shows the level of development which belongs to the affective domain of learning. This kind of ability is known as 'soft' skills. Examples: abilities to lead effectively (e.g. the leader is approachable, a good listener; polite; caring, respectful, etc.); conduct meetings; give and receive feedback, display listening skills, and so on.

  (b) Manipulative ability shows the level of development which belongs to the psychomotor domain of learning. This type of ability is known as "hard" skills, Examples: abilities to play piano; to play violin, to work with computers, to drive a car, tractors, motorbikes, etc.

Skills can begin to be developed during learning programs and improved little by little as participants apply a new behavior repeatedly in life. Then, to develop abilities related to the *three domains of learning*, it is necessary that the individual practices the acquired information (which is transformed into knowledge), practices the use of proper attitudes, and also practices manipulative activities continuously in life. As result, the individual will become a competent and skillful professional.

Effective teamwork and managing teams, time and tasks[6]

(Summary of Presentation)

Setting up the project

You have now had your project approved. After the detailed and participatory project planning processes described earlier, you should have a reasonably clear idea about the activities you will undertake, their time frames and their costs.

Whether you are the primary manager of the project or only responsible for parts of project implementation, it is important to think about the project team from this point onwards. It is rare in the project management environments of today to go it alone. We depend upon people to provide managerial, administrative, technical and support roles. It is well understood that we get the best out of people when there is a sense of teamwork and of sharing a common goal. In this session we will discuss the fundamentals of teamwork.

Concepts of time and task management essential to ensuring that project team members are able to deliver what is expected of them are presented in Annex 2.B.

Effective teams[7]

Much is said these days about teams and teamwork. Most of us have had experiences — successful and unsuccessful — serving on teams. Some of us have tried to create, manage and sustain teams. We will introduce some fundamental principles behind teams and team effectiveness here. You will be asked in the exercise to reflect upon your own experiences and how you could have been more effective.

Common characteristics of effective teams

- *Common goals:* Team members often come from diverse backgrounds and have separate disciplines and job functions. Building a team from a group of diverse people begins with establishing a common overall goal, clearly defining objectives, and outlining the various roles and responsibilities required to accomplish them. As with project design, working with other key players to articulate this work — such as refining or elaborating on the work plan — can bring out fresh ideas, reveal areas of disagreement or conflict, and more clearly determine the essential members of the team.
- *An acknowledged interdependency and mutual respect for team members:* While important in all work environments, this is an especially challenging aspect of work within UN and other international organizations, where individuals come from different cultures and where hierarchy is sometimes entrenched in the workplace. It is important to clarify what is expected of each team member, with a clear understanding of the inter-relatedness of activities. Formal roles need to be defined at this stage: specific functions, tasks and individual responsibilities.

  The team then develops an organizational structure around the project, clearly indicating team interdependencies. It is also important at this stage to define the scope of authority of each team member and how certain types of decisions will be made.

[6] *Extracted and adapted from: Diana McLean, FAO/ISNAR Learning Module on Project Cycle Overview: Developing a Common Discipline, 1999–2000.*
[7] *Kevin Forsberg, Hal Mooz and Howard Cotterman. 2000. Visualizing project management. New York. John Wiley & Sons, Inc.*

Showing respect and earning respect are two aspects of team membership; it is important to understand that diversity can be an asset, bringing a range of experiences and approaches to project teams. The essential element here is good communication with an eye on achieving the agreed objectives.

- *A common code of conduct:* Often overlooked when setting up teams is an explicit or implied code of conduct. In organizations with a lot of team experience, a code of conduct may already be universally understood by members. In new teams, or those involving team members from diverse backgrounds or organizations, it is important to lay down some ground rules for how teams work together.

  A code of conduct might cover issues such as attendance and work hours, smoking policies, the use and care of workplace property, sexual harassment, the acceptance of gifts, and standards of quality. Codes of conduct are especially useful in resolving potential sources of team conflict and for clarifying ambiguous expectations.

- *A reward system that acknowledges contribution by its members:* In a company, this might actually include monetary rewards and bonuses. Within public organizations, the reward system has more to do with recognition. Under a more explicit personnel appraisal system, working effectively on teams could be a criterion for advancement.

- *Team identity, spirit and energy:* To be effective, teams must be sustained through effective leadership. Recognizing the attributes and interests of individual members, while also putting team objectives in the forefront requires some insight and maturity on the part of the team leader. Teams can be motivated through a sense of team identity, through special efforts to forge strong commitment to one another. Many techniques are used in the workplace to reaffirm team spirit and identity, including encouraging innovation among its members, rotating leadership, and social outings.

Team leadership

While team building is a total team responsibility, team leadership takes primary responsibility for fostering and sustaining the team. Team leaders must tread between over-directing and providing too little team management. In organizations with pronounced hierarchical structures, the team leader may need to develop a more collaborative management style than in the past. In general, the project manager or team leader must:

- clearly define responsibilities
- define and communicate the project process and code of conduct
- delegate wherever possible
- empower the team to be accountable
- balance support with direction, as required
- train the team, by example, to operate as a team
- deal with under-performers who drag the team down
- establish team-effort rewards
- design the work planning process in a way that encourages teamwork

One technique successfully used by team leaders is the team kick-off meeting.[8] The first team meeting should provide each team member with a sense of organization, stability and personal, as well as team, accomplishment. A team kick-off meeting is used to:

- introduce project team members

[8] *Deborah S. Kezbom, Donald Shilling, and Katherine A. Edward. 1998. Dynamic project management. New York: John Wiley & Sons, Inc.*

- define the overall project (goals, objectives)
- describe key deliverables, milestones, constraints, opportunities and risks
- review the team mission and develop supporting goals interactively
- determine reporting relationships and interactions with other teams
- define lines of communication and interfaces
- review preliminary project plans
- pinpoint high-risk or problem areas
- delineate responsibilities
- generate and obtain commitment from each member

Another highly valuable aid to project team success is the setting up of a project information system. Team members can work most effectively where project information is easily retrievable. Sharing information with the team reinforces the vision of the team and enhances good communication. Some thought needs to be given to what information is needed by the team and in what time frame. No one has the time to set up and maintain an overly ambitious information system.

Finally, team leaders need to recognize the needs for training and facilitation by team members. There are many ways to provide management training and facilitation, including through more formal requests to headquarters and through local sources. Training can help in attitudinal shifts of team members, as well as the transfer of important skills.

Managing time and tasks

Project teams must work in an environment of competing demands. In both private and public offices, people are often stretched well beyond capacity. Time and task management is a field that includes many simple-to-sophisticated techniques to aid project managers. In this session we will highlight a few basic ones. While many are tempted to think that more complex methods are better, managers should be aiming at using the simplest techniques to get the job done or to meet requirements. Since staff deal with many tasks, and field programming responsibilities can range from keeping track of a short-term and focused project to a long-term and complex project, the appropriate level of management tools will need to be considered for different activities.

Within organizations, challenges and responsibilities of our work are continually increasing, yet they are not always met by a concomitant increase in human resources. There seems to be much ‘urgency’ within the workload, but not always a sense of prioritization for these competing demands. Managers are being asked to do ‘more with less’, putting them in a situation where tough choices may have to be made about thoroughness and quality if everything is to be done. While management tools are helpful, they cannot overcome extreme workloads or a lack of capacity.

Let us turn our attention to some principles of time and task management. Let us go back to our project management responsibilities. Recall that your project has recently been approved.

Clearly, even if detailed information was given in the project proposal, once a project is approved and set into motion these activities need to be revisited and further defined. Remember that undertaking this process is best done in collaboration with the project team — those responsible for carrying out key actions. The analysis is often carried out in a workshop setting, sometimes facilitated, if the project is complex. Visualization techniques can be employed, using cards on the wall and strings to demonstrate the activities, the time required, the sequencing and the inter-relatedness of activities. This becomes the detailed work plan, which, depending upon the complexity, can be managed

through simple management techniques such as lists, and bar or Gantt charts, or through more complex management tools such as critical path management (aided by project management software). It is best to think of the simpler approaches first.

With the project team, develop or refine your work plan by progressing through these steps:

1. list main activities
2. break down main activities into manageable tasks (this can be presented as a work breakdown structure (WBS) for ease of reference)
3. clarify the sequence of these tasks and their interdependencies (e.g. task 3 cannot proceed until task 1 and 2 are completed)
4. estimate the start-up, duration and completion of activities
5. summarize scheduling of main activities (if they are complex or highly interdependent, this can be done using a critical path network)
6. define performance indicators (selecting milestones to track progress)
7. define the expertise required
8. allocate tasks among team members

From this analysis, graphic presentations of the work plan can be generated to manage the process, both in terms of tasks and responsible parties. While project management software, such as Microsoft Project, or graphics software, such as Visio, is available, if needed, project managers or monitors can use simpler approaches also. We will discuss a few of these below.

Project management techniques

This section offers project managers, administrators and monitors some simple techniques for project management by tracking resources, outputs and time. These techniques are only applicable where a work plan has been devised in advance, where targets or milestones have been identified and where administrative reporting systems are reasonably operational. By synthesizing the diverse activities of a project, it is possible to understand the management implications for technical backstopping, timely procurement, financial control, and administrative support more fully. In this section we will discuss four techniques that graphically depict project performance: task lists, bar or Gantt charts, milestone or deliverables charts, and networks. This topic continues in Annex 2.B of this learning module.

Leadership Skills Questionnaire

- **Please fill out the questionnaire below.**
- **Do <u>not</u> forget to transfer the numbers to the scoring sheet.**

Leadership skills (personal characteristics or attributes) questionnaire

Please fill out this questionnaire to be prepared for Exercise 2

The items on this questionnaire are designed to help you to think about how effectively you use your personal characteristics or attributes to carry out leadership functions.

There are 25 statements below and on the following pages. To the right of each statement is a 1-2-3-4-5 scale for you to use to rate how effective you are at fulfilling these functions.

For your own learning, please try to be as objective and candid with yourself as possible.

Circle the number on each scale that you believe best describes your effectiveness in carrying out these relevant functions. Use the following scale:

1… Extremely ineffective
2… Less effective than most people around me
3… As effective as most people around me
4… More effective than most people around me
5… Exceptionally effective

After completing the questionnaire, transfer the numbers to the scoring sheet on the last page.

How effective are you at….?

1.	**Making yourself committed to achieve organization's goals and implement its mandate**	1	2	3	4	5
2.	**Challenging assumptions without invoking defensiveness**	1	2	3	4	5
3.	**Identifying components of a system**	1	2	3	4	5
4.	**Developing own proficiency**	1	2	3	4	5
5.	**Creating communication situation where different views are presented in a search for best view to support**	1	2	3	4	5
6.	**Making yourself committed to respond to the needs of all your organization's stakeholders**	1	2	3	4	5
7.	**Explaining the reasoning and data that led to your view**	1	2	3	4	5
8.	**Distinguishing cause and effect in a relationship**	1	2	3	4	5
9.	**Focusing energies on what you wanted rather than on what you do not want**	1	2	3	4	5
10.	**Giving opportunity to enter into generative learning where close attention is paid by all to what is said**	1	2	3	4	5
11.	**Encouraging personal vision which could be shared with others**	1	2	3	4	5
12.	**Encouraging others to provide different views**	1	2	3	4	5
13.	**Focusing on areas that promote effectiveness**	1	2	3	4	5
14.	**Having broader and deeper sense of responsibility in your work**	1	2	3	4	5
15.	**Helping people get to grips with dynamic complexity**	1	2	3	4	5
16.	**Communicating and engaging with stakeholders**	1	2	3	4	5

17.	**Recognizing 'defensive routines' which are entrenched habits used to protect somebody from the embarrassment and threat that come with exposing his/her thinking**	1	2	3	4	5
18.	**Avoiding superficial solutions to problems**	1	2	3	4	5
19.	**Learning to keep both personal vision and clear picture of current reality**	1	2	3	4	5
20.	**Suspending own views and entering into deep listening and mental models of other team members**	1	2	3	4	5
21.	**Blending intrinsic (achieving something relative to an outsider) and extrinsic (goals like creating a new type of product to the organization) visions**	1	2	3	4	5
22.	**Analyzing your own work and reflecting on other points of views are part of you professional routine**	1	2	3	4	5
23.	**Helping people see the big picture**	1	2	3	4	5
24.	**Longing to serve something greater than oneself and have joyful life**	1	2	3	4	5
25.	**Making genuine attempts to appreciate matters of concern through the eyes of people who raise their concern**	1	2	3	4	5

Scoring Sheet

Transfer the numbers from the questionnaire to the appropriate space below. Add each line across and write sum in 'Total' and Mean 'column'.

					Total	**Mean**
1._____	**6._____**	**11._____**	**16._____**	**21._____**	**_____**	**_____**
2._____	**7._____**	**12._____**	**17._____**	**22._____**	**_____**	**_____**
3._____	**8._____**	**13._____**	**18._____**	**23._____**	**_____**	**_____**
4._____	**9._____**	**14._____**	**19._____**	**24._____**	**_____**	**_____**
5._____	**10._____**	**15._____**	**20._____**	**25._____**	**_____**	**_____**

Exercise 2. Getting to know myself better as a team leader

(Individual and pairs)

This exercise will be undertaken during ***2 hours and 15 minutes***

Phase 1. Individual work *(15 minutes)*

1. List two strongest areas of your performance (use of your personal characteristics or attributes) related to leadership functions. Briefly justify your answers.

   (1) _____

   Why? _____

   (2) _____

   Why? _____

2. List two weakest areas of your performance (use of your personal characteristics or attributes) related to leadership functions.

   (a) _____

   Why? _____

   (b) _____

   Why? _____

Phase 2. Work in pairs *(55 minutes)*

3. Pair up with a participant and **exchange** the scoring sheet from 'leadership skills (personal characteristics or attributes) questionnaire'. (Handout 1.2.4)
4. Use Worksheet 1.2.6 'characteristics or attributes of a leader' to transfer **each other's** results of the sum of 'total' and mean columns accordingly.
5. Invite your partner to share with you the responses of the questions 1 and 2 above, i.e. the strongest and weakest areas of his/her performance related to leadership functions.
6. Compare the results of sections 1 and 2 with the results of the scoring sheet worksheet (Handout 1.2.4). Go over the statements in the questionnaire to better understand your scores. Discuss and point out the similarities and differences of the outcomes.
7. The facilitator attracts the participants' attention to Handout 1.2.7 'five characteristics or attributes of a leader'. Read it together with your partner. Put the characteristics/attributes in the appropriate column of Handout 1.2.6.
8. Decide on a rapporteur between you two to write down and read to the audience two lessons learned from this exercise without mentioning names and information. Use the worksheet (Handout 1.2.6) to record the results.

Phase 3. Plenary Discussion *(60 minutes)*

9. The facilitator invites participants to state the lessons learned, invites feedback on this exercise, and ask few volunteers to describe actions which they might take differently as a result of what they have learned. Then, the facilitator closes the session.

Exercise 2. Worksheet column. Characteristics or attributes of a leader

Five functions of a leader	Total score of your points	
	Total	**Mean**
1.		
2.		
3.		
4.		
5.		

2. Lessons learned

1. _____

_____

_____

2. _____

_____

_____

Exercise 2. Worksheet

Five characteristics (attributes) of a leader

Note: This handout serves as the interpretation sheet for the scoring on the Leadership Skills Questionnaire completed by participants before the course. The totals and means in the right-hand column of the score sheet correspond, in order, to the leadership attributes listed here. For example, the first top line on the score sheet lists all items relating to Shared Vision attribute; line 2, Mental Models; line 3, Systems Thinking, and so on down the list.

1. Shared Vision

Shared vision is the picture people throughout the organization should carry. It is a vision to which many people are committed since it comes out of, and is thus created from each person's personal vision. An effective leader is committed to achieve an organization's goals and implements its mandate, communicating and engaging with its stakeholders. Leaders create opportunity for intensive dialogue on which shared vision is constructed. The process is developmental. It is a co-creating and collaborating process where a shared vision is built in a mood of generative learning. Successful leaders make themselves part of these processes. Good leaders avoid involving with the 'vision business' by going off and writing, on their own, the official vision statement. Rather, they try to create a collective answer to the question 'What do we really want to achieve?'

2. Mental Models

Mental models are constructed structures in the minds that drive the cognitive process of understanding. Mental models occupy our minds and shape our action. Good leaders give due attention to reflection and inquiry which are considered central to the discipline of mental models. They also strive to discover mental models currently at work that shape their practice. This will involve skills of inquiry, for example by bringing assumptions of mental models to the surface and testing advocacy with inquiry.

3. Systems Thinking

Systems thinking encompasses a fairly large body of methods, all oriented to looking at the interdependence of forces and seeing them as part of a common process. Successful leaders often are 'systems thinkers' to a considerable extent. They focus less on day-to-day events and more on underlying trends and forces of change. They identify components of a system and disaggregate its components and also help others to see the big picture. Effective leaders also understand how the components of the system interrelate and how they influence each other (e.g. cascading logic approach for organizational planning in Annex 2.C). This stems from their understanding of the cause and the effect in a relationship and ultimately avoids superficial solutions to problems.

4. Personal Mastery

Good leaders have a mechanism of developing their competence. Personal mastery is not something that we can force people to do. Leaders know that it is a potential organizational strategy, the importance of which needs to be explained to people. Good leaders tap into the deep well of hope and aspiration, including the longing to serve something greater than oneself, and the desire to have a joyful life.

5. Team Learning

Team learning involves alignment around shared vision. Leaders should have the ability to discuss current realty without bias, clarity of roles and accountabilities and methods of capturing collective knowledge. They should also have the ability to make dialogue openly and truthfully. They should also be able to suspend own views and enter into deep listening and mental models of other team members. Active team learning transforms an institution into a *learning organization.* Annex 2.D brings additional information on Building a Learning Organization.

SESSION 3 — Overview of project cycle management. Major OFSP project requirements: principles, vocabulary and writing to persuade

Instructions to Learning Facilitators

TIME FRAME

Presentation and Exercise: *1 hour 45 minutes*

OBJECTIVES

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

1. Discuss the nature of projects.
2. Define project cycle management.
3. List the steps of project cycle.
4. Define the steps of project cycle.
5. Identify major OFSP project requirements: principles (gender mainstreaming, partnership, etc.), vocabulary and writing to persuade.

Use PowerPoint to present the session's objectives.

PROCEDURE

Learning strategies or facilitation techniques: presentation, work in pairs.

PRESENTATION

(experience) Distribute handouts for this Session 3, before starting your presentation. Give a brief presentation on the issues listed for this session. You will find the information in Handouts 1.3.1, 1.3.3 and 1.3.4 very useful. Use the PowerPoint presentation to facilitate understanding of the concepts. Ask if clarifications are needed. *(30 minutes)*

EXERCISE 3

Reflecting on Project Cycle and analyzing major OFSP project requirements: principles (gender mainstreaming, partnership, etc.), vocabulary and writing to persuade. *(1 hour 15 minutes)*

(experience) Invite a volunteer to read loudly Exercise 3. Go over the instructions with the participants step by step. Ask if any clarifications are needed.

Phase 1. Work in pairs *(30 minutes)*

(*experience)* Ask each participant to pair up with a neighbor. Assign letters A, B, C, and D to each pair and repeat this exercise until all pairs receive letters.

(experience, process) The pairs reflect and discuss before responding to the exercise question. As they work, circulate to check progress. Clarify any concerns they may have while working. Be sure to remind them of the time remaining in the exercise.

(experience) Invite the pairs to use the Exercise 3 Worksheet to record the results of this exercise and prepare the summary of these results on a flipchart or on PowerPoint

to present to the audience during the phase 2 of this exercise.

Phase 2. Reporting and discussion (*40 minutes*)

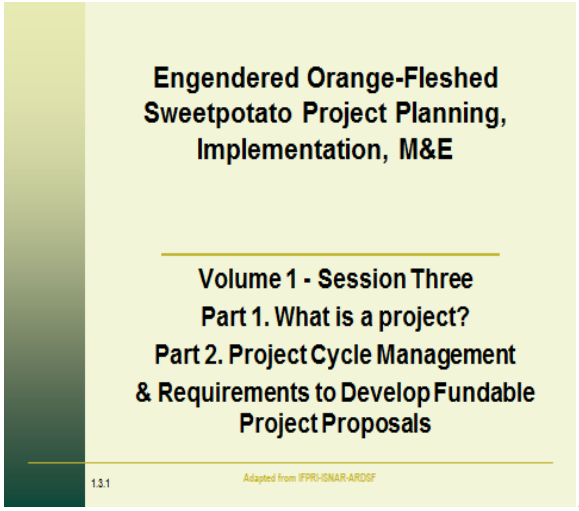
1. *(experience, process)* The pairs present their results to the other participants.
2. *(experience, process)* You will invite other pairs who have different responses to share and discuss results. Analyze the responses with them.
3. *(generalize)* Ask for and provide feedback on the content of the presentations. Ask the participants questions such as, 'How did you feel doing this exercise?' and 'What did you learn?' in order to stimulate discussion of the process.

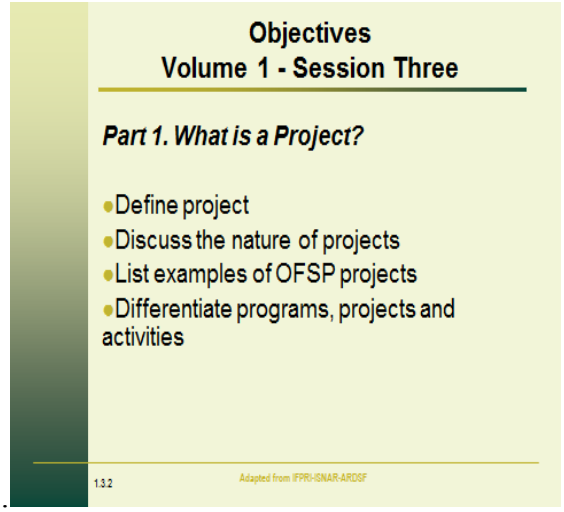
CLOSURE

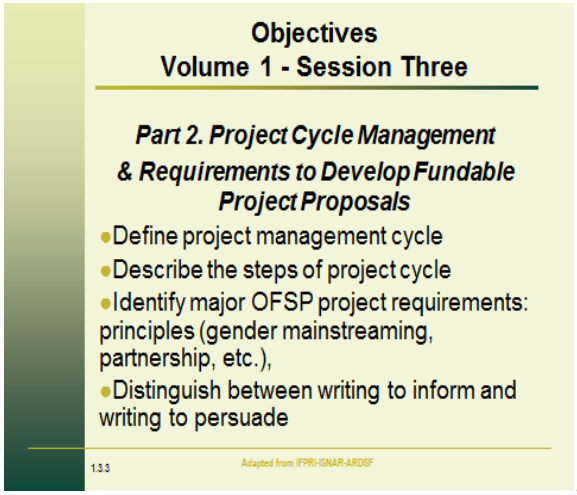
Closure *(5 minutes)*

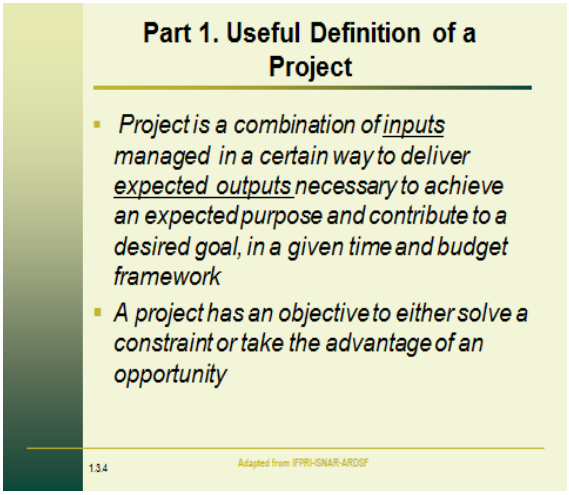
1. *(application)* Ask the participants to tell a neighbor two things they might do differently as a result of what they have learned. Ask volunteers to give examples.
2. Make a transition to the next session.

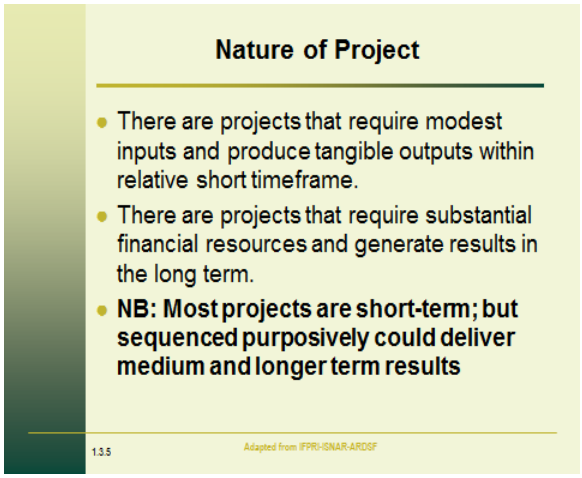
Session 3 PowerPoint Presentation

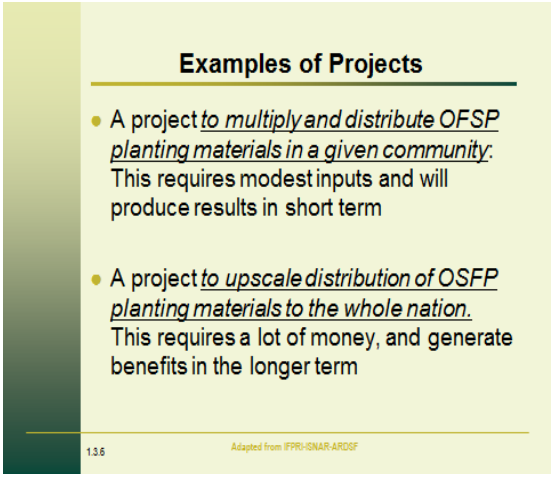






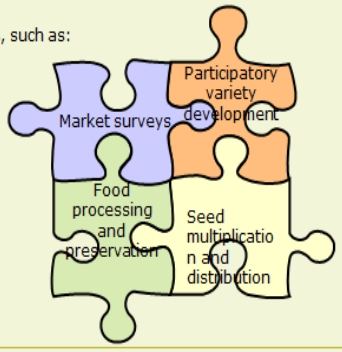






Several activities comprise a project

Activities, such as:



1.3.7 Adapted from IFPRI-ISNAR-ARDSF

Several projects form a program

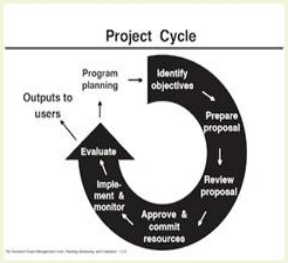
1.3.8 Adapted from IFPRI-ISNAR-ARDSF

Presentation: Part 2

Project Cycle Management
&
Requirements to Develop Fundable Project Proposals

1.3.9 Adapted from IFPRI-ISNAR-ARDSF

Project Cycle Management



1.3.10 Adapted from IFPRI-ISNAR-ARDSF

Six steps of Project Cycle

1. Identification of project area and objectives
2. Preparation of project proposals or project design
3. Review or appraisal of project proposals
4. Project proposals approval and financing
5. Project implementation and monitoring
6. Project evaluation

1.3.11 Adapted from IFPRI-ISNAR-ARDSF

Project Inputs

Inputs include:

- people (staff, partner personnel, farmers and their families, other rural people, government officials, etc.),
- equipment (vehicles, farm machines, computers, etc.),
- supplies and communications (paper, phones, e-mail, etc.),
- travel (to bring other inputs together), and
- learning events.
- overall management, its library, offices, etc.

1.3.12 Adapted from IFPRI-ISNAR-ARDSF

Guiding Principles in Project Development

1. Mainstreaming gender in project design
2. Project development is both an art and a science
3. Project design is a group exercise

1.3.13 Adapted from IFPRI-ISNAR-ARDSF

Guiding Principles in Project Development (cont'd)

4. Project design takes time
5. Partners are important in project design
6. Recognize the trends towards holistic thinking
7. Demonstrating impact is essential
8. Packaging is what it is all about

1.3.14 Adapted from IFPRI-ISNAR-ARDSF

Why is Gender Mainstreaming important in project planning and management?

- Gender equity is key to social change and development
- To ensure that projects impact equally in men and women
- Encourage men and women to participate in project activities to ensure their needs and priorities are addressed and benefit from the project

1.3.15 Adapted from IFPRI-ISNAR-ARDSF

Why is partnership important in project planning and management?

- Given development complexity, need to incorporate diverse actors with diverse perspectives
- Impact often requires multidisciplinary and multi-organizational partnerships
- Funders tend to prefer projects that have attracted support from others – basis for sustainability.

1.3.16 Adapted from IFPRI-ISNAR-ARDSF

Why project design is a group/team exercise?

- A team of people from different backgrounds and attitudes brainstorm better solutions (Synectics Inc. in USA)
- The business in agriculture has proved that a team that includes partners and beneficiaries in a spirit of collaboration yields the most successful projects of all & most likely to be funded.

1.3.17 Adapted from IFPRI-ISNAR-ARDSF

Why project design is an art & a science

→ Write with your head

→ Write to convey information

→ Write clearly and, papers for journals logically

Examples: exam papers

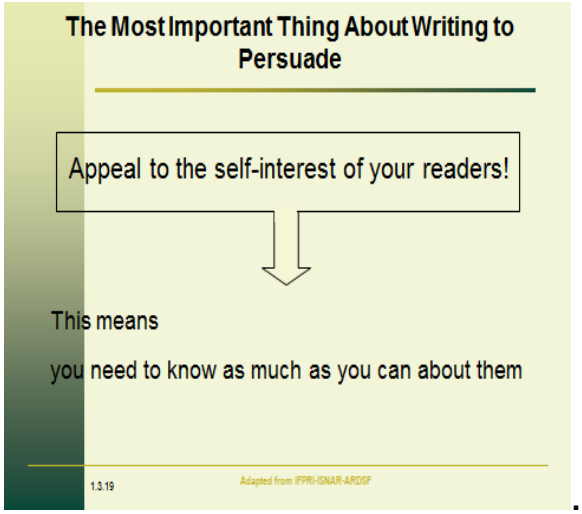
→ Write with your heart

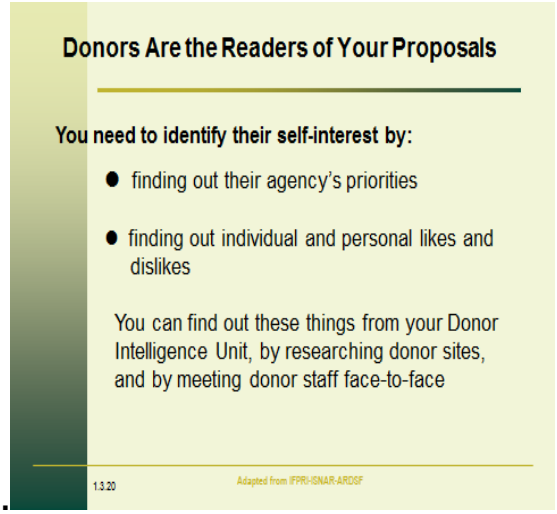
→ Write to persuade your reader to do something

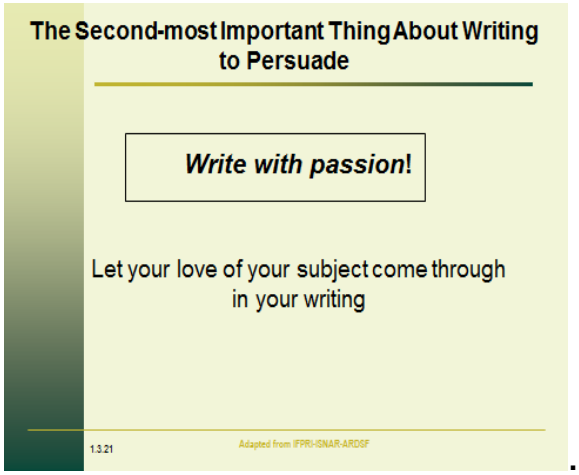
→ Write with urgency and passion

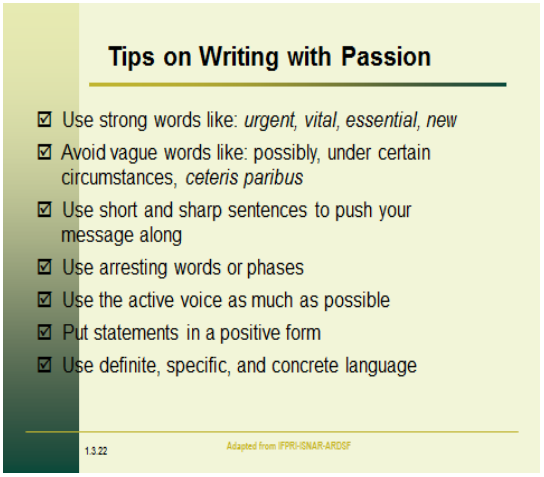
Examples: advertisements, project proposals

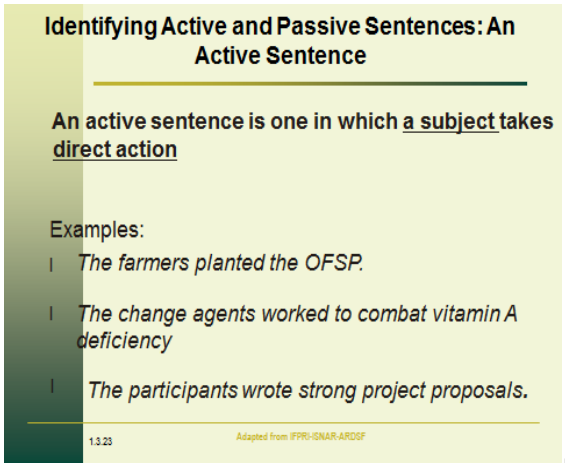
1.3.18 Adapted from IFPRI-ISNAR-ARDSF

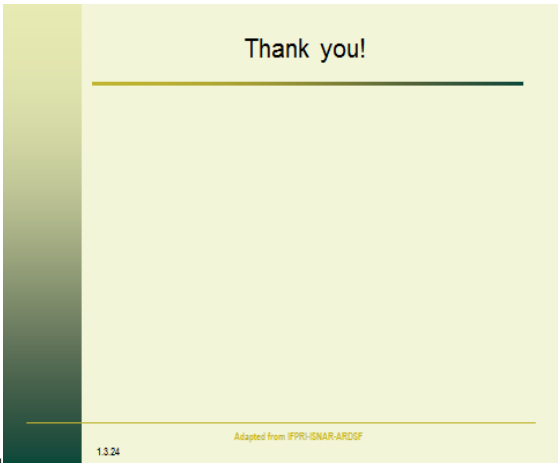

The Most Important Thing About Writing to Persuade
Appeal to the self-interest of your readers!
This means
you need to know as much as you can about them
1.3.19
Adapted from IFPRI-ISNAR-ARDSF


Donors Are the Readers of Your Proposals
You need to identify their self-interest by:
finding out their agency's priorities
finding out individual and personal likes and dislikes
You can find out these things from your Donor Intelligence Unit, by researching donor sites, and by meeting donor staff face-to-face
1.3.20
Adapted from IFPRI-ISNAR-ARDSF


The Second-most Important Thing About Writing to Persuade
Write with passion!
Let your love of your subject come through in your writing
1.3.21
Adapted from IFPRI-ISNAR-ARDSF


Tips on Writing with Passion
Use strong words like: urgent, vital, essential, new
Avoid vague words like: possibly, under certain circumstances, ceteris paribus
Use short and sharp sentences to push your message along
Use arresting words or phases
Use the active voice as much as possible
Put statements in a positive form
Use definite, specific, and concrete language
1.3.22
Adapted from IFPRI-ISNAR-ARDSF


Identifying Active and Passive Sentences: An Active Sentence
An active sentence is one in which a subject takes direct action
Examples:
The farmers planted the OFSP.
The change agents worked to combat vitamin A deficiency
The participants wrote strong project proposals.
1.3.23
Adapted from IFPRI-ISNAR-ARDSF


Thank you!
1.3.24
Adapted from IFPRI-ISNAR-ARDSF

Project Cycle Management[9]

(Summary of Presentation)

Nature of Projects

Projects represent the commitment of human and physical resources to produce specific outputs in a given time and budget framework. Projects vary in scale, purpose and duration. They may be initiated within a community, requiring modest inputs and producing tangible outputs within a relatively short time frame. At the other extreme, projects may require substantial financial resources and only generate benefits in the long term. For example, projects requiring modest input could be an initiative to multiply and distribute OFSP planting materials in a given community; the latter may be an initiative to upscale distribution of OFSP planting materials to the whole nation, as well as facilitating agro-processing and marketing of OFSP to national and regional markets. While the former may require the support of agronomic specialists in a relatively short time, the latter may require multiple disciplines and organizations and a longer time frame.

Projects may stand-alone or be integrated into a program, with several projects contributing to one overall goal. Despite the difference in scale and nature of projects, there are aspects of sound project management that are universal.

The Project Cycle

The goal of project cycle is to identify moments in which the planning, monitoring and evaluation intervene. It is a frame that guides project planning steps, monitoring during project implementation, and ensures evaluation of results. Planning, monitoring and evaluation are done in different steps that, all together, constitute the management cycle of the project (Figure 1.1).

Figure 1.1: Project Cycle Steps

[9] *Adapted by RAC – CIP Team in 2012 from FAO Document, 2011 and from ISNAR Learning module on Project Management Cycle: Planning, Monitoring and Evaluation. 1999.*

The six steps of the project cycle are as follows:

1. **Identification of project areas and objectives**: generation of the initial project idea which should address the major constraints and opportunities.
2. **Preparation of project proposals**: detailed design of the project addressing technical and operational aspects.
3. **Review or appraisal of project proposals**: analysis of the project from technical, financial, economic, gender, social, institutional and environmental perspectives.
4. **Project proposal approval and financing**: writing the project proposal, securing approval for implementation and arranging sources of finance.
5. **Project implementation and monitoring**: implementation of project activities, with on-going checks on progress and feedback.
6. **Project evaluation**: periodic review of project with feedback for next project cycle.

Step 1: Identification of Project Areas and Objectives

The first stage in the project cycle is the identification of projects. Where do project ideas come from? How do they reflect the needs of a community/target group?

Initial Review

(i) Impetus for change

The first step towards identifying a project may be initiated from different sources.

The impetus may come from within the beneficiary community or organization, to address an actual or perceived need. Alternatively, an external agency may act as the catalyst for change. The motivation to formulate a project is, most typically, to address a specific problem or to take advantage of a new opportunity.

(ii) Nature of the problem and stakeholder analysis

A problem rarely, if ever, has just one source or stems from one social or economic issue. The nature of a problem can be reviewed at three levels. A problem may be caused by constraints at the macro level imposed, for example, by the legal system or the policy environment. Constraints may arise at the intermediate level, for example, through regulations restricting certain people's access to services. Alternatively, constraints may exist at the household and community level, where cultural norms may prevent specific members of a household from participating in decision making. Therefore a problem must be examined at all levels (macro, intermediate and field) and should show how interdependent these levels are in terms of the stakeholders involved.

(iii) Identification of potential projects

On completion of the situational analysis and the socio-economic and gender analysis, the findings are reviewed and discussed with the stakeholders. This process serves three purposes:

- first, it enables the interpretation of data to be validated by the community;
- second, omissions can be noted and new lines of intervention identified; and
- third, the stakeholders are presented with an overview of their circumstances that can act as a catalyst for identifying community priorities for development.

From the review of findings, several themes will emerge which could be developed into project proposals. In order to understand the rationale underlying the development of a specific project option, it is necessary to determine:

- **What are the causes of the problem?**
- **What are the effects of the problem?**
- **What opportunities exist to overcome the problem?**
- **What are the assumptions associated with addressing the problem?**

Moreover, it is likely that priorities will have to be established between the different project options due to constraints imposed by human and physical resources, money and time.

Depending on the nature of the priorities, it may be appropriate to determine the priorities within each stakeholder group independently, before establishing community consensus. Several Rapid Appraisal techniques can be used to rank options. The following are desirable project attributes:

- poverty focus
- gender perspective
- participation of beneficiaries in project identification and design
- beneficiary contribution during project activities
- sustainability of benefits
- capacity building and institutional strengthening at the local/community level
- visible project impacts within the life of a project
- project impacts environmentally sound
- soundness of project design
- linkages with on-going activities
- support of relevant national and local governments
- congruence with funder's interests
- proven organizational capacity of implementing agency
- transparency of project management
- cost effectiveness
- appropriate balance of project expenditure

Step 2: Preparation or Design of Project Proposals

The second stage in the project cycle develops the initial project ideas from Step 1 into more detailed proposals. Many agencies, both international and national, use the logical framework to structure their project design. The manner in which project activities will be operationalized is demonstrated through the preparation of work plans and personnel schedules.

The following are the three fundamental questions addressed in a project proposal:

a) **What is the project about?**

- the context of the project
- the process of project identification and design
- the nature of the project
- the beneficiaries and other stakeholders
- linkages between project activities, outputs, purpose and goal
- account of external risks and assumptions

- procedures established for M&E
- the project fit with interests of local government and donor

b) How will it be operationalized?

- implementing agency: goal, structure, staffing, previous experience
- financial management system
- work plan, duration, personnel, other resource requirements

c) How much will it cost? How will it be financed?

- financial viability
- duration of project
- exposure to risk
- sustainability of benefits beyond the life of the project

The following are some of the key aspects of a good project design:

1. The project purpose should be identified correctly: the purpose should describe the intended benefit of the project. It is standard practice to have only one project purpose per logical framework.
2. There should be logical linkages between activities, outputs, purpose and goal.
3. Ensure there are sufficient activities to achieve the outputs.
4. Ensure the 'if and then' statements are sufficient to progress to the next stage.
5. Are the indicators appropriately targeted? Are they cost effective to collect?
6. Will the benefits be sustainable beyond the life of the project?
7. Have you prepared activity analysis, Gantt chart and task allocation for the project?

Step 3: Review or Appraisal of Project Proposal

Project review or project appraisal represents a crucial step in the project cycle. The proposed project is reviewed from a range of perspectives to determine whether to proceed to writing a proposal and seeking funding. Project appraisal also represents an opportunity to improve project design before implementation. Project appraisal examines the information gathered during the course of the preceding steps. For example, in the case of the OFSP projects, it would be important to take account of previous experience with sweetpotato (OFSP), level of concern with Vitamin A Deficiency (VAD) and potential for income generation for both men and women.

Step 4: Project Proposal Approval and Financing[10]

To write proposals to secure approval and funding represent the fourth stage in the project cycle. The preceding stage confirms that the proposed project meets various financial, socio-economic and environmental criteria, and is worth developing into a full proposal.

When writing a project proposal it is essential to know the views held by prospective funders. Priorities differ between agencies, in terms of specific sectors or specific approaches (for example, promoting nutrition, governance, democracy, etc.). They also differ in the nature of their support (grant or loan, amount of money, duration and eligible expenditure).

[10] *This will be discussed in detail under the proposal development session.*

Step 5: Project Implementation and Monitoring[11]

This step begins when the project is initiated (when funds are released to the project team) and continues until it has been completed or terminated. The activities include day-to-day operations in carrying out the planned project as well as monitoring it as it proceeds.

Monitoring of ongoing project involves a periodic review of activities in progress — primarily the use of resources, management decisions for redesign or termination, and achievements. Periodic reporting helps keep track of ongoing progress and is an important part of monitoring. The annual review of projects is one example of how monitoring activities can be linked to periodic reporting. Peer reviews may also be used to monitor the project progress.

Step 6: Project Evaluation

Evaluation adopts a broader perspective than monitoring by challenging the original assumptions of the project design and considering **'Are we doing the correct project?'** Evaluations focus on progress towards realizing a project's purpose and goal.

Evaluations may be conducted at various times during a project's life:

- During project implementation (**mid-term**), providing feedback to management to guide the existing project.
- At the end of implementation (**terminal**), providing guidance for the planning of new projects.
- Several years after the completion of a project (**ex post**).

Evaluations broadly focus on issues of the impact of the project and its relevance, its efficiency and the coherence of project design.

Evaluation occurs periodically, typically twice in the lifetime of a project.

[11] *This will be discussed in detail under the M&E session.*

Major OFSP project requirements: Project principles[12]

(Summary of Presentation)

Understanding the following principles of project development can help you to become a good project designer:

1. Mainstreaming gender in project design
2. Project development is both an art and a science
3. Project design is a group exercise
4. Project design takes time
5. Partners are important
6. Recognize the trends towards holistic thinking
7. Demonstrating impact is essential
8. Packaging is what it is all about

1. Mainstreaming gender in project design or project preparation[13]

Gender is a relevant topic that needs to be integrated in project planning and management and the preferred approach is to mainstream gender across all results areas and activities. Integration of gender leads to improved sustainable agricultural development programs and projects. However, gender was often ignored by many programs and projects. Gender sensitive project management ensures gender responsiveness in terms of project activities, project staff recruitment, assigning roles and responsibilities. This principle on gender mainstreaming will provide a quick reference on gender mainstreaming and checklists and tools that can be used in developing and implementing gender sensitive sweetpotato projects. Annex 2.A provides details on this topic.

The term gender does not refer to biological or physiological differences between men and women. Gender refers to the 'rules, norms, customs and practices by which biological differences between males and females are translated into socially constructed differences between men and women and boys and girls' (Kabeer 2008).

Gender is also defined as the different social roles, resources, experiences and status assigned to men and women in their societies because of their sex, and aspects of culture that we learn from our societies as we grow up. These vary from society to society, are learned and change over time.

Why is gender mainstreaming important in project planning and management?

Gender mainstreaming is the current approach to advancing gender equality in society and involves incorporating a gender perspective into programs and projects to ensure that they impact equally on men and women. Gender mainstreaming helps to:

- promote gender equality and equity in society regardless of whether it is men or women who need advancement

[12] *Extracted from Marian Fuchs-Carsch in ISNAR Learning Module 'How to Write a Convincing Proposal' The Hague, The Netherlands. 2002*
[13] *Adapted by RAC–CIP Team in 2012 from Adam, Rahma et al. Working Paper for Helen Keller International and CIP; Kabeer, Naila. Millennium Development Goals. 2003; United Nations. Putting gender mainstreaming into practice. New York. 2003; and Derbyshire, Hele. Gender Manual. DFID. 2002*

- encourage men and women to participate (bridge existing gender gaps) in project activities to ensure their needs and priorities are addressed and that they benefit from the project
- create conditions for equitable access of men and women to project resources and benefits
- create conditions for equitable participation in project implementation and decision making
- identify risks and point to commensurate strategies in the context of the project for managing the risks
- provide an opportunity to incorporate gender equity into the development agenda

Projects should ensure:

- they have a strategy for gender mainstreaming
- project staff are aware of gender sensitive issues
- the project team incorporates methods that encourage participation of men and women
- the M&E system captures gender-disaggregated data and provides appropriate impact indicators
- sufficient resources (human and financial) are available

2. Project development is both an art and a science

The art is to use your imagination to envisage the future, to picture (fantasy suggests unreality), fantasize about what your activities can do to help the lives of others, and to write persuasively and well. The science is to employ logic in the design of your project.

Everyone can develop these artistic and scientific skills. As with other endeavors, practice makes perfect. Project design gets easier the more you do it.

3. Project design is a group exercise

Project development or design is not a solitary activity. Nearly always a team will do better than an individual. A team of people from different backgrounds will usually do better than a team of people with the same education degree and the same attitudes.

There is a group in the US that has been trying to solve commercial problems for almost 50 years, called Synectics Inc. Their method involves bringing together people from the widest possible range of backgrounds to brainstorm solutions. They have found that including poets and painters with scientists and businessmen has had the best results.

In the business of agricultural research for development, it has been found that a multidisciplinary team that includes partners and beneficiaries — people from all sorts of disciplines, ages, and backgrounds — designing together in a true spirit of collaboration yields the most successful (and most likely to be funded) projects of all.

4. Project design takes time

Developing a relatively simple, small project can involve the main designer anywhere from 50–150 hours of quality time, spread over several months. Complex projects involving multiple partners, and sometimes multiple donors, will likely take much longer.

Small projects often take almost as long to design as larger ones. For this reason, there may be many advantages to thinking big. However, big projects may take longer to get approved. In addition to the time for thinking and writing, you need to add the time spent

waiting. Waiting for comments and approvals — internally, from partners, and finally from funders.

Patience and persistence are essential project design skills.

5. Partners are important

Most research for development projects tend to involve collaboration among different partners. This is mainly because most funders favor projects with the greatest chance of achieving development outcomes and impact. This level of aspiration often requires multi-disciplinary and multi-organizational partnerships. Other factors favoring multiple partners include: funders tend to prefer projects that have attracted support from others; they also like to buy into a project as cheaply as possible, leaving more funds for other projects.

The transaction costs of developing and sustaining partnerships can be quite high, especially at the beginning, when the partners need to travel to meet each other face to face, and get to know each other's organizations. But the internet is making linkages easier and cheaper and there can be no doubt that projects designed and implemented by partners are the pattern of the future.

The advantages of working in partnership

Among the many benefits of working with partners is the opportunity it provides for intellectual stimulation and the development of professional support systems. Networks also allow members to keep up with the latest developments in their fields and help avoid duplication of research for development efforts.

Networks can bring people with complementary skills together, and can link organizations with partners with complementary equipment, ideas, personnel, methods and approaches.

Overall, working in partnership can improve the quality of collaborative activities, on the well-known principle of two heads being better than one.

Potential pitfalls in working with partners

Working with others takes time and effort to reach shared perspectives, mutual commitment and trust. Working with others also requires give-and-take between individuals and organizations that may be challenging to manage.

Quite often partnerships involve high transaction costs — frequent communication, travel costs and complex negotiations. This calls for skillful leadership and quality management systems.

More seriously, misunderstandings may arise in the course of joint project implementation. These misunderstandings may be on matters of substance, finance, personalities, responsibilities, and any combination of these. If not dealt with quickly and well, these misunderstandings may deepen into resentment and outright hostility, in turn, slowing down project activities. At worst, the project may become totally paralyzed, with the partners unable to come to agreement on how to proceed.

Some principles of good partnerships

One example of a partnership policy laid out some principles which guide partnerships. Some general principles are suggested here:

- The best partnerships are based on genuine complementarities of interest and equal enthusiasm of individuals and organizations

- Good partnerships are strengthened by friendly relationships and require respect among the partners
- The least successful partnerships are those imposed externally or from above
- Partnerships suffer if one party is arrogant or seeks to dominate the other parties, and does not show respect to colleagues
- Joint design of a collaborative activity is a good basis for developing a partnership; it is difficult to establish a partnership in the absence of some prospective joint activity.

6. Recognize the trends towards holistic thinking

Research for development is increasingly driven by the need to achieve development results. This requires a clear sense of vision, strategy and associated medium term programs and projects. This essentially requires visualizing a portfolio of different types of projects sequenced over time to create expected results through a carefully thought out partnership. Thus, holistic thinking allows one to see a particular project in relation to preceding, concurrent and future projects; cumulatively leading to medium and longer term development projects.

7. Demonstrating impact is essential

As noted above, governments and other investors are looking for projects that show positive impacts on problems like poverty, malnutrition, ill health, population migrations, and environmental degradation. To the extent possible, these results are expected during or soon after the project life. To deliver these results, organizations in collaboration with key stakeholders are developing results frameworks delineating the pathway between the current status, available resources, relevant activities, expected outputs, outcomes and impact. Against the background of the results framework, M&E systems are created specifying objectives at each level, indicators of success, roles and responsibilities, and reporting systems. Thus implementing teams are able to report on milestones along the impact pathway. With the involvement of the stakeholders, corrective actions are taken to ensure that expected results are delivered cumulatively to the satisfaction of all concerned. Ex-ante impact assessments are increasingly being conducted to map out potential impact; and ex-post impact assessment carried out to affirm achievement of expected results and lessons learned for future investments. These studies document the extent to which a project has made a difference — for which people, and how many of them, and at what financial, social, economic, and environmental cost.

8. Packaging is what it is all about

The problems you and your organizations are trying to solve — the problems related to combating VAD — require long-term and sustained efforts. The government and investors however, have to think in terms of annual budget allocations from their treasuries. The art of project design is to divide up the solutions to big problems into packages small enough to attract funding commitments.

In packaging OFSP to combat VAD into projects, designers need to consider the issues already mentioned above — need to clearly show the identified challenges and opportunities are relevant to a large enough population; that the anticipated solutions will make a significant difference to the target groups; that the proposed teams are competent, experienced and motivated to deliver expected results in good quality and in a timely

manner. It is also important to frame the project proposal in a manner that echoes potential funders' priorities. This makes up the art of 'selling' the project.

Writing to inform, writing to persuade [14]

(Summary of Presentation)

Writing to inform

There are many reasons why we write things. As students, scientists, and researchers, you most often will write to inform. All of you have experience of writing exam papers, term papers, course papers, and theses.

Your purpose is to inform, but your goal is to pass the course, get the good grade, or get the degree. Then again you may be in the business of writing papers for publication in refereed journals. Once more, you are writing to inform people about your ideas; here your goal may be to share what you know in the hope of attracting comments and support, or it may be to become famous, get tenure at a university, or add to your curriculum vitae.

In all these instances, you have a purpose — to inform — and a goal, to pass your course or to achieve distinctions, etc.

This is true about all forms of writing.

Writing a report to a donor who has supported your research is a good example of writing to inform. Later we will be learning about how to write a good report. In this session we are going to learn more about how to write to persuade.

Writing to persuade

You probably have less experience in writing to persuade.

Think about love letters, which many of you may have written, at least in your head. Your purpose here may also be to inform — to let your loved one know how you feel. But you have other motives too. These may involve persuasion. Your goal may be to win the love of your loved one — spiritual, emotional, or physical, or all three. You may also be writing to express your feelings — to try to make meaningful some strong emotions. Your goal here may be to relieve stress or otherwise feel more in control of your feelings.

Advertising people write to persuade. Their goal is to make you buy a certain product. Politicians, whose goal is to make you vote for them, also write and talk to persuade.

It is the sort of writing you need to do if you want to get funding for your work. It is the sort of writing you do when you write research proposals.

In addition to thinking about your reader, you need to keep in mind the guidelines for good writing outlined in Session 8. Then you have to think about persuasive writing.

As we noted, the classic use of persuasive writing is in advertising. There the purpose is clear: the writer wants you to buy something. The ad says: *Persil washes whiter*. This message assumes that you want your wash as white as possible, and that the information that Persil washes whiter will persuade you to buy it instead of another brand. Advertisers, of course, use images as well as words, knowing that a picture is worth at least a thousand words. So Michael Jordan sells Nike shoes, and the Marlboro man, macho, strong, persuades some people to buy and smoke Marlboro cigarettes.

[14] *From Marian Fuchs-Carsh, Capacity building learning module on How to Write Convincing Proposals. The Hague. The .Netherlands. ISNAR. 1999/2000*

You are not in the advertising business. You are in research for development business. But you do need to write to persuade because you need to persuade people to give you money to do your work. To do this you do not write reports, you write proposals.

Although it is obvious, it needs to be clearly understood:

> **The purpose of a research for development proposal is to get money.**
>
> **You write a proposal to persuade someone or some organization to give you money to implement the project**.

You are not writing to inform, but to persuade. And this requires you to have a different approach to what and how you write.

A. The Single Most Important Thing about Writing to Persuade

What do you think this is?

Remember that the single most important thing in writing is to think about your reader. In writing to inform, you are thinking how best to convey information to that reader. In writing to persuade, you are thinking how best to get your reader to do what you want him or her to do — give you money.

The readers of your project proposal will give you money if, and only if, it is in their own interest to do so. They have choices about how to spend their money. You need to persuade them that what you propose to do will in some ways please them more than any alternative.

So, the single most important thing about writing to persuade is that you need to appeal to the self-interest of your readers.

To do this, a crucial first step is to identify the self-interest of your target audience.

Here is what an experienced American journalist, George Allen, who writes in the *New York Times* and *Washington Post,* had to say on this subject.

> "The simple presentation of facts will rarely persuade an audience. They may find the facts interesting, but they will rarely be moved to change their attitudes or to act in ways the communicator would like them to. …"
>
> "To give an audience information that is new or that challenges existing beliefs presents problems to any communicator. We are all grounded in the familiar and what has been proven to work. Therefore, the first reaction to the presentation of new information to a lay audience often is resistance. The vast majority of the world's people are intellectually lazy. With the exception of a few who enjoy thinking, nearly all of us, if we have a choice, would prefer not to think about new things."
>
> "The only way to overcome the resistance is to engage the self-interest of the audience."
>
> "Self-interest is at the center of what makes us tick. It is what, at the deepest level, motivates us to most of our actions. If you are to persuade your audience, you need to know enough, to learn enough about them to discover their self-interest, their needs, their fears, their motivations."
>
> "How many of us can pass a mirror without glancing at our reflection? Not many, because the mirror enables us to see the most important human being in the world—ourselves. Unless your audience can 'see themselves' in the mirror

> of your communications, they will have less interest in assimilating your message, may not even try."
>
> "Unless the message is addressed to a specific audience, and is tailored to engage the self-interest of that audience, it is merely a shot fired in the air with no particular destination. Most of the messages …(contained in proposals)… are sent out c/o General Delivery."

Notice that George Allen is repeating what was said earlier about the importance of knowing as much as possible about your reader.

When you write a concept note or proposal you are trying to persuade your audience — a donor agency — to give you money to implement a project. You want them to give their money to you rather than to anyone else. To achieve this, you must engage their interest — and their interest will have to do with the priorities of their agency, as well as with their own personal likes and dislikes. The more you know about the donor, the more you can tailor your proposal to that particular individual or organization. You need to be learning more; your Donor Intelligence Unit can help. You can help yourself by meeting donors and researching them on the internet.

B. The Second Most Important Thing about Writing to Persuade

When you write to inform, it is important to get your facts right, to calmly and logically lay out the issues, to be sure that your meaning is crystal clear. This is not so important when writing to persuade. In writing to persuade you may wish to highlight some facts, and downplay others. You may even want to exaggerate — just a little. You are allowed to take some liberties like this in persuasive writing, because your objective is to move people, to get them to take a new position, or do something new — in the case of proposals, to give you money. What this means is that when writing to persuade you write with emotion. In a proposal, unlike a journal article, you want your passion for your subject to shine through your words.

The second-most important thing about writing to persuade is to write with passion. You think your work is exciting, don't you? You think your project can make a real difference for poor farmers, don't you? What you do is really important, isn't it? Your answers should be yes — and your enthusiasm, excitement, and passion should be behind what you write.

You will notice later that when writing a concept note to donors, you have an important heading under which you will have an opportunity to write with passion.

That heading is, 'The problem and why it is urgent'. The word 'urgent' is an emotional word. You would use it sparingly, if at all, in a journal article. But it belongs firmly in a proposal. For if your problem is not urgent, why should a donor fund it? There are so many urgent problems in the world that need funding, a donor is not going to choose your work if it is of only medium importance, if it does not really matter if the work does not get done until next year, or the year after.

So you need to explain to your audience what is immediate, urgent, vital, essential, new, desperately needed about the problem your project is going to address.

Here are some tips on writing with passion:

1. You need to use strong, emotion-laden words like **urgent, vital, essential, new**. You need to avoid weasel words and phrases much beloved by cautious scientists, like *possibly, under certain circumstances, ceteris paribus*.

2. Short sentences convey urgency. Long sentences, with lots of subordinate clauses, like this one, tend to go on and on and on, and put the reader to sleep.

3. An arresting word or phrase can wake up a reader to the importance of what you are saying. You might try a timely metaphor: 'It would be irresponsible in the extreme to assume that this potentially catastrophic problem will somehow disappear like the Millennium Bug.' 'The new devil weevil attacking millet in West Africa has the power to kill as many children as have died in the Bosnia and Kosovo wars — only the weevil will kill more slowly first through increased malnutrition, then through famine.'

4. Get your message across as quickly as possible, and in as few words as possible. A short, punchy paragraph will have more power to move your audience than a longer piece, no matter how well written or strongly felt.

Active and Passive Sentences

An *active sentence* is one in which a subject takes direct action. The following are examples of active sentences:

- The technician planted the sweetpotato experimental plots.
- The dog walked on the road.
- The animals gained 0.25 kg daily.

A *passive sentence* is one in which a subject is acted upon. The following are examples of passive sentences:

- The sweetpotato experimental plots were planted by the technician.
- The road was walked on by the dog.
- Counts on plants were taken 50 days after planting (DAP).

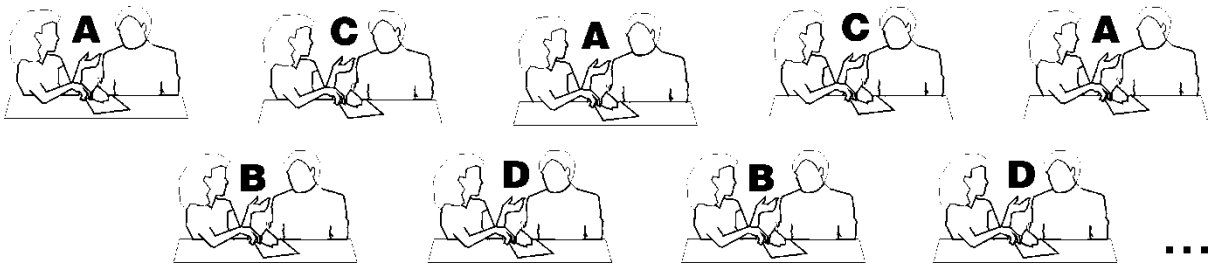
Recall the writing tips:

- Use the active voice as much as possible.
- Put statements in positive form.
- Use definite, specific, and concrete language
- Omit needless words.
- Avoid a succession of loose sentences.
- Keep related words together.

Exercise 3. Reflecting on project cycle and analyzing major OFSP project requirements: principles, vocabulary and writing to persuade

(Work in pairs)

1. Form a pair with your neighbor.



Phase 1. Work in pairs *(30 minutes)*

2. The facilitator assigns letters A, B, C, and D to the pairs, repeatedly, until all pairs have letters.
3. Each pair will respond to questions assigned below in the worksheet to present to the audience in phase 2. Note that each pair will deal only with the questions assigned to them.
4. Each pair is expected to discuss the contents presented by facilitator and browse the texts (summary of presentations) presented in this session. Use flipcharts or PowerPoint to write and present the results of the pair work.

Phase 2. Reporting and discussion *(40 minutes)*

5. The facilitator invites rapporteurs from the A, B, C, and D pairs to present the results to the audience.
6. The facilitator invites other pairs who had different responses to share and discuss their results.
7. The facilitator will assist the participants to analyze the responses, and at the end will ask few volunteers to provide feedback and to share actions which they will take differently as a result of what they learnt during this session.

Exercise 3. Worksheet

Pair A:

1) Based on the facilitator's presentation and on the text above on Project Cycle management, define nature of projects. What does this mean? Use your own words to respond to these questions. Remember to browse the text above on Project cycle management.

_____

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2) Summarize your actions to support the Gender Mainstreaming and Partnership principles when you write your project proposal. Why are these principles important for your proposal?

_____

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_____

_____

3) The sample sentence below was extracted and adapted from a project proposal as an example to write to persuade using emotive words. Then:

(a) read the sentence

(b) identify and underline the emotive words

> The effect of the unavailability of ready market and storage limitation that cultivators, mostly in Northern Ghana, face is catastrophic. Despite sweetpotato value for its short growing period of 90 to 120 days, very high nutritional content and its pleasant sweetness, Ghanaians have failed to influence their poor needy population to accept a minimal integration into their average diet!

(c) re-write the sentence to inform:

(d) write one major lesson learned from this exercise:

Exercise 3. Worksheet (cont´d)

Pair B

1) Based on the facilitator's presentation and on the text above on Project Cycle management, list the steps of a Project Cycle and summarize its goal. Use your own words to prepare this response.

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2) Summarize your actions to support the Gender Mainstreaming and Partnership principles when you write your project proposal. Why are these principles important for your proposal?

_____

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4) The sample sentence below is fictitious and was created to illustrate an example to write to persuade using emotive words. Then:

(a) read the sentence

(b) identify and underline the emotive words:

> In many societies, sweetpotato growers are the poorest of the poor — the landless who must live and make their meager livelihood on the small, dry and unproductive land. Today, humble sweetpotato grower families are even worse off than before. Commercial growers, blind to all but immediate profits, are leaving virtually nothing for the small growers. Even more alarming, there is no hope to produce sweetpotato to combat vitamin A deficiency among young children and women of reproductive age for the future.

(c) re-write the sentence to inform

(d) write one major lesson learned from this exercise

Exercise 3. Worksheet (cont´d)

Pair C

1) Based on the facilitator's presentation and on the text above on Project cycle management summarize with your own words, the distinction between Project Monitoring and Project Evaluation.

_____

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2) Summarize your actions to support Gender Mainstreaming and Partnership principles when you write your project proposal. Why these principles are important for your proposal?

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3) The sample sentence below is fictitious and was created to illustrate an example to write to persuade using emotive words. Then:

(a) read the sentence

(b) identify and underline the emotive words:

> Resource-poor land users who grow OFSP are commonly both the victims and cause of unsustainable land management; more attention must be given to the roots of their problems if irreversible soil degradation is to be avoided.

(c) re-write the sentence to inform:

(d) write one major lesson learned from this exercise

Exercise 3. Worksheet (cont´d)

Pair D:

1) Based on the facilitator's presentation and on the text above on Project Cycle management, discuss with your colleague the steps of a Project Cycle management. Then, together identify the most challenging step to implement and respond to the question, why is this phase very challenging? How could you make it easier?

_____

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2) Summarize your actions to support the Gender Mainstreaming and Partnership principles when you write your project proposal. Why are these principles important for your proposal?

_____

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_____

3) The sample sentence below was extracted and adapted from a project proposal as an example to write to persuade using emotive words. Then:

(a) read the sentence

(b) identify and underline the emotive words:

> 'Reaching Agents of Change (RAC) Project works with local organizations in five underprivileged countries to prevent suffering and hunger and reduce deaths among children and women of reproductive age. By active promotion to strengthen competent advocacy and appropriate technical capacity for successful nutrition investments RAC strongly recommends the utilization of OFSP as a very important food security crop.'

(c) re-write the sentence to inform:

(d) write one major lesson learned from this exercise:

SESSION 4 Project identification: stakeholder analysis and analysis of problems, objectives and strategy. Picking the right topic

Instructions to Learning Facilitators

TIME FRAME

Session 4. Presentation and Exercise: *3 hours 30 minutes*

Feedback and PAPA: *15 minutes*

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

- Define project identification.
- Discuss the importance of stakeholder participation in project identification.
- Assess stakeholder influence and importance.
- Outline a stakeholder participation strategy.
- Explain the importance of analyzing problems and opportunities with stakeholders.
- Practice stakeholder analysis and analysis of problems, objectives and strategy.
- Discuss selected topics that were identified by the participants during the Pre-Workshop Assignment.

Use the attached PowerPoint presentation to present the objectives of this session.

PROCEDURE

Learning strategies or facilitation techniques: presentation, brainstorming in plenary and group work.

PRESENTATION

(experience) Distribute handouts for this Session 4 before starting your presentation. Share with the participants the two topics that will be presented and also inform them about the hands-on exercises (4a and 4b) which they will undertake during this session. The texts (summary of presentations) below will be informative for them.

Use the PowerPoint presentation to introduce the objectives of this session and to present the topics *(30 minutes).*

EXERCISE 4a

Stakeholder Analysis *(total: 60 minutes)*

(experience) Invite a volunteer to read loudly the exercise 3a. Go over the instructions with the participants step by step. Ask if any clarifications are needed *(5 minutes)*

Phase 1. Brainstorming in plenary *(10 minutes)*

(experience) Invite participants to read the case study

(experience) Prepare a flip chart and invite a volunteer to assist you. The volunteer will write the inputs from the audience on the flip chart.

(experience, process) You lead the brainstorming; the group

makes a list of possible stakeholders from the case study.

Phase 2. Group work *(10 minutes)*

(experience, process) Invite the participants to form three or four groups and elect a rapporteur. The group is expected to reflect and discuss the contents of the case study to respond to the questions presented in the exercise script below. Use Exercise 4a Worksheet A to record the results of this phase.

Phase 3. Outline a stakeholder participation strategy *(10 minutes)*

(process, generalization) The groups will consider at what stage in the project cycle different stakeholders will be involved and with what intensity. The groups respond to the questions provided in item 6 of the exercise script below. Use Exercise 4a Worksheet B to record the results of this phase.

Phase 4. Reporting and discussion *(20 minutes)*

(process, generalization) Invite each group to present their results to the audience. Remind the groups to keep to time.

(*process*) At the end of the exercise, discuss the groups' responses and provide feedback on the content of the presentations. Ask the participants questions such as 'How did you feel doing this exercise?' and 'What did you learn?'

CLOSURE

Closure *(5 minutes)*

1. *(application)* Ask the participants, 'How useful was this exercise to you?' and invite volunteers to summarize some lessons learned.
2. Welcome feedback on this session, summarize the results and invite the participants to do Exercise 4b. *(5 minutes)*

EXERCISE 4b

Analysis of problems, opportunities, objectives and strategies for the project preparation or project design *(total: 2 hours)*

Phase 1. Group work *(55 minutes)*

(experience, process) Invite the participants to form the same group and elect a rapporteur and focus on the Kenyan case study to analyze problems and opportunities; develop objectives and propose a strategy for the project by developing a problem tree and an objective tree.

(process, generalize) The groups brainstorm the problems relevant to the Kenya case study project. The rapporteurs distribute cards to the group members and guide them as it is explained in the Exercise script 4b, below. The rapporteur uses the flipcharts to record the participants' contributions.

(process, generalize) The groups undertake four parts of Exercise 4b. Rapporteurs are expected to present the results of this exercise to the audience during the next phase of this exercise.

Phase 2. Reporting and discussion *(60 minutes)*

(process, generalization) Invite each group to present their results to the audience. Remind the groups to keep time.

(*process*) At the end of the exercise, discuss the groups' responses and provide feedback on the content of the presentations. Ask the participants questions such as 'How did you feel doing this exercise?' and 'What did you learn?'

CLOSURE

Closure *(5 minutes)*

1. (*application*) Ask the participants, 'How useful was this exercise to you?' and invite volunteers to summarize some lessons learned.

2. Welcome feedback on this session and summarize the results. And invite the participants to provide written feedback and undertake PAPA Exercise

FEEDBACK AND PAPA

Feedback on the Day's Activities and PAPA: *15 minutes*

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

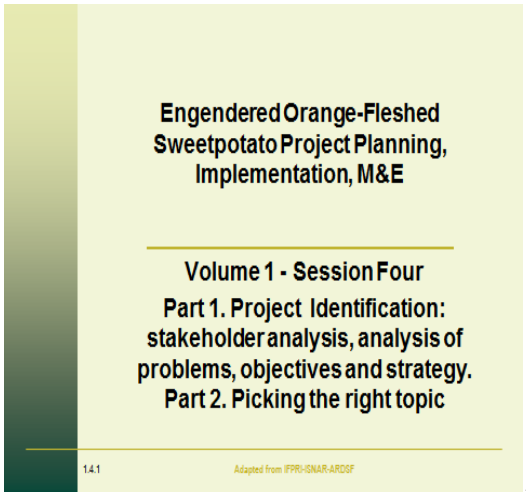
- Provide feedback on the day's activities.
- Consider possible actions they would like to take in their own organizations.

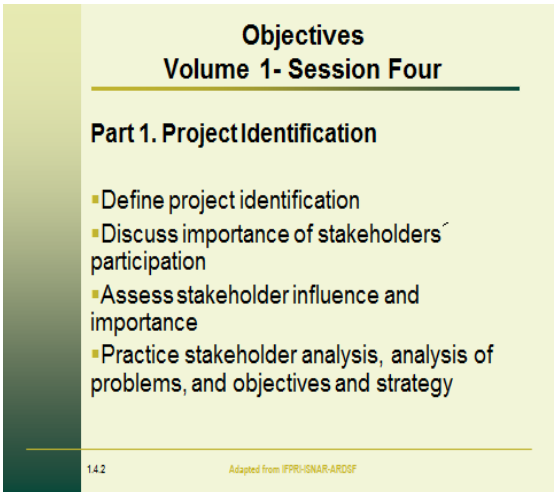
Learning strategy: individual exercise using the attached handouts at the end of this session.

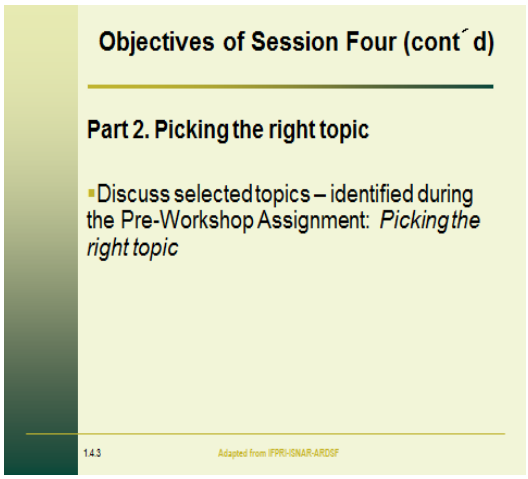
(application) Ask participants to take some time to jot down some action ideas they may have as a result of today's activities.

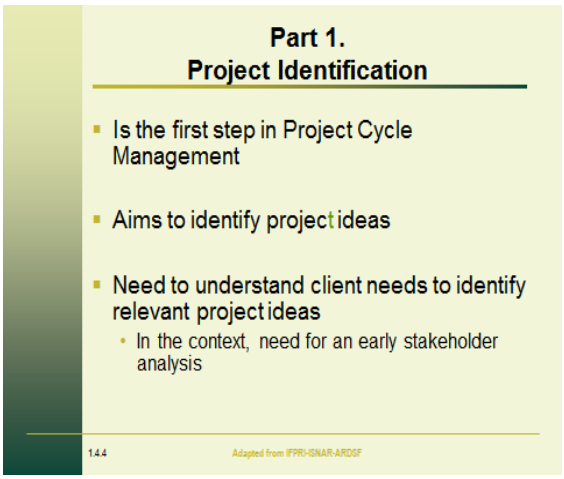
Make transition for the next program sessions.

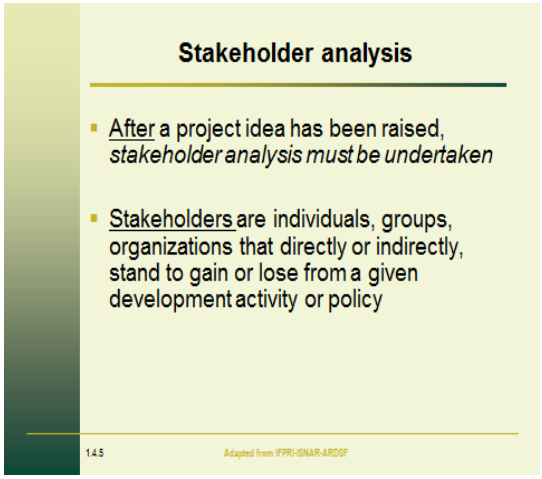
Session 4 PowerPoint Presentation

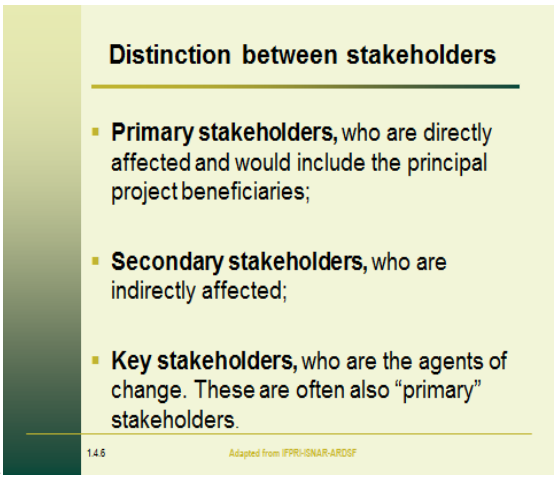












Stakeholder Analysis Four-Step Process

- Step 1: Identify stakeholders (potential beneficiaries, adversely affected, vulnerable, gender linked differences, supporters and opponents)
- Step 2: Assess stakeholder interests and potential project impact on their interests (stakeholder expectations, likely benefits, resource mobilization, interest conflicts with project goals)
- Step 3: Assess stakeholder influence and importance (power and status, organization, control of resources, decision making)
- Step 4: Outline a stakeholder participation strategy (interests, importance, influence)

1.4.7 Adapted from IFPRI-ISNAR-ARDSF

Types communication with Stakeholders

Stakeholders involved in project design:

- ***What roles would each stakeholder play at different steps in the project cycle ?***

1) Who should be involved in project identification?
2) Who should be involved in detailed project planning?
3) Who should be involved in project implementation and monitoring?
4) Who should be involved in project evaluation?

1.4.8 Adapted from IFPRI-ISNAR-ARDSF

Types of communication with Stakeholders

- **Providing information** – keep people informed
- **Consultation** – two-way flow – decision making
- **Collaboration** – partnerships
- **Empowerment** – capacity building leading to primary control of decision making

1.4.9 Adapted from IFPRI-ISNAR-ARDSF

Relationship between nature of problem and stakeholders

1. Macro – e.g.
problem: policy environment
Stakeholder: central government
2. Intermediate or Meso – e.g.
Problem: infrastructure (transport , markets)
Stakeholder: service providers
3. ***Micro – e.g.***
Problem: productive, household and community work
Stakeholder: individuals (women, men, children

1.4.10 Adapted from IFPRI-ISNAR-ARDSF

Project problem analysis

- **Problem analysis** identifies the problems of an existing situation and analyzes the cause-and-effect relationships between them.

It involves two steps:

- identification of the major problems faced by beneficiaries;
- development of a problem tree to establish cause and effect.

1.4.11 Adapted from IFPRI-ISNAR-ARDSF

Information about the existing situation

It comes from a variety of sources, subject to quality and quantity of available information:
The sources are:

- Interviews
- Surveys
- Reports
- Statistics and participatory research
- Brainstormings
- SWOT Analysis (**S**trengths, **W**eaknesses, **O**pportunities and **T**hreats)

1.4.12 Adapted from IFPRI-ISNAR-ARDSF

Information about the existing situation

- Technique: **Problem Tree**
- It summarizes problems hierarchically.

1. Each problem is summarized
2. Problems are expressed as a negative state
3. They are arranged in juxtaposition with each other

1.4.13 Adapted from IFPRI-ISNAR-ARDSF

Technique: Problem Tree

- if the problem is a cause, it is placed on the lower level (root cause);
- if it is an effect, it goes on the upper level;
- if it is neither a cause nor an effect, it remains on the same level.

Note: Let´s refer to the Handout 1.4.3. Figure 1 A problem tree and read the "reminder" note

1.4.14 Adapted from IFPRI-ISNAR-ARDSF

Analysis of opportunities

- The desire to solve a problem is not exclusively the driving force behind change;
- potentials and arising opportunities are equally important
- **Methods: SWOT, mind mapping and brainstorming**

1.4.15 Adapted from IFPRI-ISNAR-ARDSF

Objectives Analysis

- A problem analysis states negative aspects of an existing situation.
- The analysis of objectives presents the positive side of a future situation.
- In other words, ***the problems are transformed and restated as objectives***

Let´s refer to the Handout 1.4.3. Figure 2

1.4.16 Adapted from IFPRI-ISNAR-ARDSF

Project Strategy Analysis

- Final stage in project identification: selection of a strategy to achieve the desired results.

1) The strategy comprises the clusters of objectives to be included in the project
2) This analysis looks at the overall logic and the feasibility of different interventions
3) Sometimes this will result in the development of several projects to address a common programme-level goal

1.4.17 Adapted from IFPRI-ISNAR-ARDSF

Project Strategy Analysis

4) *It is during this analysis that the appropriate objectives, that is, the feasible aims of the project, are planned*

Let´s refer to the Handout 1.4.3. Figure 4

1.4.18 Adapted from IFPRI-ISNAR-ARDSF

Stakeholder involvement: to validate project objectives

- To ensure problem identification and project selection responds to the needs of all of the key stakeholders,
- it is useful to discuss outcomes of the process with them.

1.4.19 Adapted from IFPRI-ISNAR-ARDSF

Stakeholder involvement: Validating Objectives (cont'd)

- The review of findings, several themes will emerge
- In order to arrive at the best option, it is necessary to thoroughly understand
- **What are the causes of the problem?**
- **What are the effects of the problem?**
- **What opportunities exist to overcome the problem?**
- **What are the assumptions associated with addressing the problem?**

1.4.20 Adapted from IFPRI-ISNAR-ARDSF

Pre-Event Assignment

Part 2.
Picking the Right Topic

1.4.21 Adapted from IFPRI-ISNAR-ARDSF

Picking a good topic is the very first step in designing a project

1.4.22 Adapted from IFPRI-ISNAR-ARDSF

Topics That Attract Donor Support Will:

- be sufficiently important to be worth doing
- be aligned to organizational priorities – basis for approval
- be seen to be useful to target beneficiaries
- be "manageable," i.e. have a reasonable chance of achieving expected results within given time & available resources

1.4.23 Adapted from IFPRI-ISNAR-ARDSF

Donor Questions on First Looking at a Project

- What is new about this project?
- As a result of this project, who will be better off and in what way?

1.4.24 Adapted from IFPRI-ISNAR-ARDSF

Selecting a Project Topic That Is Gender Sensitive & Beneficiary Priority

- You need to demonstrate to the donor that your project promotes gender equality, encourages men and women to participate
- the beneficiaries of your project want the outputs you are seeking
- Demonstrate tangible responses from target clients in support of the chosen topics

1.4.25 Adapted from IFPRI-ISNAR-ARDSF

Selecting a Manageable Topic

Issues to debate in your design group:

- Project duration
- Project size
- Project sites
- Practical considerations

1.4.26 Adapted from IFPRI-ISNAR-ARDSF

Selecting a Topic Attractive to Partners

Remember that donors like partnership projects!

- If appropriate, include partners from donors' countries
- Treat your partner with respect
- Involve the partner in every aspect of the project design

1.4.27 Adapted from IFPRI-ISNAR-ARDSF

Selecting a Topic Attractive to Partners

Remember that donors like partnership projects!

- Be prepared for rejections from partners
- Prove to the donor that you and your partners have a comparative advantage over others
- Prove that you have assembled an ideal design and implementation team

1.4.28 Adapted from IFPRI-ISNAR-ARDSF

Selecting a Topic with Right Balance of Risk and Return

- Donors are looking for projects that have low risks and high potential returns
- When considering a new project topic, estimate the size of the risk and of the potential return.
- Thank you!

1.4.29 Adapted from IFPRI-ISNAR-ARDSF

Project identification: stakeholder analysis[15]

(Summary of Presentation)

The first stage in the project cycle is the identification of projects. Where do project ideas come from? How do they reflect the needs of a community/target group?

In concert with stakeholders, the organization is tasked with formulating projects that have the best likelihood of contributing to development objectives, while being realistic about what is possible in a given amount of time with the available resources.

This is a complex task that requires the consideration of many aspects, including the following:

- relationship of the project to national development objectives;
- relationship of the project to a larger program (related projects within or outside the organization);
- understanding of donor policies and priorities for resource mobilization and partnerships;
- understanding of direct and indirect beneficiaries/stakeholders;
- determination of institutional capacity to plan and implement the project;
- determination of how project outcomes can be sustained: socio-economic, institutional, environmental.

In any event, deciding what to do is the most important step in the project cycle, and requires an analysis of stakeholders, problems, objectives and strategies to clearly identify the project. A properly planned project addresses the important needs of beneficiaries, whose views may diverge and need to be brought into the discussion. A key question for those trying to identify projects is: *How can a project be identified in a participatory manner?*

Stakeholder Analysis

After a project idea has been raised, an early step in project development is stakeholder analysis. Stakeholders are individuals, groups or organizations that, directly or indirectly, stand to gain or lose from a given development activity or policy. Distinction is drawn between:

- **Primary stakeholders**, who are directly affected and would include the principal project beneficiaries;
- **Secondary stakeholders**, who are indirectly affected;
- **Key stakeholders**, who are the agents of change. These are often also 'primary' stakeholders.

We undertake stakeholder analysis to:

[15] *From Diana McLean, FAO/ISNAR Learning Module on FAO Project Cycle Overview: Developing a Common Discipline, Rome, 1999/2000 and from Blackman R. 2003. Project Cycle Management. Tearfund, UK*

- identify stakeholders' interests in, importance to, and influence over the intervention;
- identify local institutions and processes upon which to build; and
- provide a foundation and strategy for participation.

Principles of stakeholder analysis include that:

- it is best done in full collaboration with key stakeholder groups;
- it is not a desk study — use participatory methods such as stakeholder workshops and local consultations;
- it also relies, where available and reliable, on secondary data to reduce time and costs.

Stakeholder analysis is a four-step process

While we often think of stakeholder analysis as pertaining to community-based programming, it is relevant to all projects, such as policy development in a country or institutional capacity building. While outcomes of stakeholder analysis will vary with different types of project interventions — as will some of the sources of information — the overall process is the same.

Step 1: Identify stakeholders

Compile a list and assess:

- Who are potential beneficiaries?
- Who might be adversely affected?
- Have vulnerable groups been identified?
- Are there gender-linked differences within and between groups?
- Have supporters and opponents been identified?
- What are the relationships between the stakeholders?

This is often done through brainstorming with a group of key stakeholders.

Organize them as primary, secondary, and key stakeholders:

- Primary = directly affected, including principal beneficiaries;
- Secondary = indirectly affected;
- Key = activity involved in project decisions, management, etc.

Step 2: Assess stakeholder interests and potential project impact on their interests

- What are the stakeholders' expectations of the project?
- What benefits are there likely to be for the stakeholders?
- What resources might the stakeholders be able and willing to mobilize?
- What stakeholder interests conflict with project goals?

Some stakeholder interests are less obvious than others and may be difficult to define, especially if they are 'hidden', multiple or in contradiction with the stated aims or objectives of the organization or individual.

At an institutional or policy level, many of these questions can be answered through a review of existing secondary information. For community-level programming involving less formal groups or local people, assessment of their interests will probably require some form of consultation either directly with these stakeholders or with people 'on-the-ground' who are familiar with these groups.

With this background, consideration can be given to how the project might affect these interests — positively or negatively.

Step 3: Assess stakeholder influence and importance

For each stakeholder group, assess its:

- power and status (political, social and economic);
- degree of organization;
- control of strategic resources;
- decision-making processes, both formal and informal (for example, government and traditional);
- power relations with other stakeholders;
- importance to the success of the project.

Two concepts are very important here. **Influence** refers to the power that stakeholders have over a project. It can be exercised by controlling the decision making process directly and by facilitating or hindering the project's implementation. This control may come from a stakeholder's status or power, or from informal connections with leaders.

The other is **importance**, the degree to which achievement of project objectives depends on the active involvement of a given stakeholder group. Stakeholders who are important to the project are generally those whose needs the project seeks to meet as well as those whose interests converge with the objectives of the project. Some stakeholders may be very important to a project (for instance, rural women in a reproductive health project) but may have very limited influence over the project. These stakeholders may require special efforts to enable them to become active participants to ensure that their needs will indeed be met.

Step 4: Outline a stakeholder participation strategy

Plan stakeholder involvement according to:

- interests, importance and influence of each stakeholder group;
- particular efforts needed to involve important stakeholders who lack influence;
- appropriate forms of participation throughout the project cycle.

On the basis of the previous three steps in the stakeholder analysis process, some preliminary planning can be done on how the different stakeholder groups can be best involved in subsequent stages of the project. As a rule of thumb, the appropriate approaches for involving stakeholders of differing levels of influence and importance can be as follows:

- stakeholders of high influence and high importance should be closely involved throughout to ensure their support for the project;
- stakeholders of high influence and low importance are not the target of the project but may oppose the intervention; therefore, they will need, as appropriate, to be kept informed and their views acknowledged to avoid disruption or conflict;
- stakeholders of low influence and high importance require special efforts to ensure that their needs are met and their participation is meaningful; and
- stakeholders of low influence and low importance are unlikely to be closely involved in the project and require no special participation strategies (beyond any information-sharing strategies aimed at the 'general public').

Refer to Table 1.1 for a graphic depiction of these issues. **It is extremely important to identify strategies for including important stakeholders who lack influence, those who, for cultural or resources reasons, may not easily 'find a seat at the table**'.

Table 1.1: Types of participation according to influence and importance

		INFLUENCE	
		HIGH	**LOW**
IMPORTANCE	**HIGH**	Closely involved throughout project	Special efforts to meet needs and ensure participation
	LOW	Not target of project but may hinder it; kept informed and views acknowledged	Not closely involved; information sharing strategies aimed at 'general public'

Types of communication with stakeholders in the project cycle

From an early assessment of the importance and influence of stakeholders, those involved in project design need to consider the roles of each stakeholder at different steps in the project cycle.

- Who should be involved in project identification?
- Who should be involved in detailed project planning?
- Who should be involved in project implementation and monitoring?
- Who should be involved in project evaluation?

We can think of varying levels of participation, since all stakeholders cannot and should not be deeply involved all of the time (refer to Table 1.1). We can think of four general types of communication in our relationships with stakeholders. These are:

- **providing information** — a one-way flow of general information to keep people informed about developments;
- **consultation** — a two-way flow of more specific information, where views are taken into account in decision-making;
- **collaboration** — two-way communication where stakeholders assume greater control over decision-making in a partnership with the donor/lead agency;
- **empowerment** — two-way communication where primary control of decisions is entrusted to the stakeholders, often after capacity-building efforts have taken place to make this possible and in accordance with donor financial and reporting requirements.

In addition stakeholders vary according to the nature of the problem addressed (Table 1.2). You determine your 'universe' of stakeholders also by considering the type of problem you are trying to solve and the level of intervention you envisage. For example, if you were concentrating on a policy issue such as building the capacity of World Trade Organization (WTO) negotiators to participate more meaningfully in global trade agreements, you would likely find most of your stakeholders in central government, universities, etc. The extent to which you build in consultative relationships with others will be highly influenced by your objectives, resources and time.

Table 1.2: Relationship between nature of problem and stakeholders

Level	Nature of problem	Stakeholders
Macro	▪ policy environment ▪ legal provisions ▪ state of national economy ▪ international relations ▪ trade	▪ central government ▪ national research organizations ▪ international NGOs ▪ national NGOs
Intermediate or Meso	▪ institutions ▪ infrastructure (transport, communications, markets) ▪ services (credit, extension, training, education, health)	▪ regional government ▪ service providers ▪ private sector (manufacturers, wholesalers, distributors, retailers ▪ NGOs
Micro	▪ productive, household and community work ▪ livelihood assets, livelihood strategies and livelihood outcomes ▪ livelihood vulnerability context (shocks, trends, seasonal impacts) ▪ livelihood systems and their interaction with policies and institutions ▪ access and control over resources and benefits ▪ decision making	▪ individuals (women, men, children) ▪ households ▪ interest groups (e.g. similar livelihood and farming systems, sociocultural and socio-economic groups, vulnerable groups like HIV and AIDS-infected, food insecure and/or nutritionally vulnerable) ▪ informal and formal institutions ▪ communities ▪ community-based organizations ▪ NGOs

The manner in which the project identification process is carried out will depend on the findings of the preliminary review of the situation and the identification of relevant stakeholders. For example, if the constraints exist principally at the macro level, the problem may best be tackled through stakeholders operating at the national level.

Stakeholders also work vertically as well as horizontally. Thus intermediate level stakeholders can assist in addressing constraints at the community level as well as provide linkages from the field to the policy environment.

Proceeding to analyze problems and potentials at the macro and intermediate levels is often done in a workshop environment, where key stakeholders analyze problems, set objectives and determine the right strategy to tackle the problems. Information may come from primary or secondary analysis of infrastructure, services and institutional capacity.

Problems involving micro- and intermediate-level constraints, where households and communities are at the centre of the analysis, require different assessments and means for involving stakeholders, such as **situational analysis, livelihoods analysis, socio-economic and gender analysis, institutional capacity analysis and participatory rural appraisal.** More information on these approaches and tools is available from the FAO Socioeconomic and Gender Analysis (SEAGA) program, the Technical Cooperation Department's Project Formulation Toolkit and the FAO Participation website.

Checklist for project identification

- Have all stakeholders been involved in the process of identifying project options?
- Will any stakeholders be disadvantaged by the proposed project? How can this be minimized?
- Have any potential conflicts between stakeholders been identified? How can these be resolved?
- Have situational reviews or socio-economic, gender and livelihoods analysis captured any differences that exist between members of the community?
- Have opportunities for addressing strategic gender needs been identified?
- Have stakeholders identified ways in which they can contribute to the project?

References

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Analysis of problems, opportunities, objectives and strategy [16]

(Summary of Presentation)

Following stakeholder analysis, a four-step process is often undertaken to identify and begin to define a project: problem analysis, the analysis of opportunities, the analysis of objectives, and strategy analysis.

Project Problem Analysis

Problem analysis identifies the problems of an existing situation and analyses the cause-and-effect relationships between them. It involves two steps:

- Identifying the major problems faced by beneficiaries;
- Developing a problem tree to establish cause and effect.

Information about the existing situation comes from a variety of sources, including interviews, surveys, reports, analyses, statistics and participatory research. Subject to the quality and quantity of available information and the particular situation of the program or project, it can be very useful to structure, aggregate and validate the information. This can help to ensure that subsequent analyses build on correct assumptions, and enables timely planning for collecting missing information. One possible method of doing this is to review the available information and transfer key findings into a matrix differentiating between: 1) confirmed main findings; 2) information gaps and open questions; 3) assumptions that could not be verified; and 4) any differentiations found between different stakeholder groups.

On the basis of the available information, stakeholders identify the key problems through techniques such as **brainstorming or SWOT analysis**.

Brainstorming can be an effective means of bringing diverse views into the open. There are techniques recognized for effective brainstorming, which are valuable both in this analysis and in the development of the logical framework, or logframe, which will follow. When brainstorming, there are no right or wrong ideas. Initially, all the participants are invited to express their ideas. After the initial stream of ideas slows down, some attempt is made by the group to categorize the ideas or to synthesize them. Brainstorming sometimes brings out less-apparent aspects of problems and also innovative solutions. It encourages full participation.

SWOT analysis (**S**trength, **W**eaknesses, **O**pportunities and **T**hreats) is a more structured brainstorming process. It can, for example, provide the means to structure and analyze information in terms of strengths and weaknesses that are found within the group of beneficiaries, and opportunities and threats that exist outside the direct control of the beneficiaries.

A well-known technique for analyzing problems is to develop a **problem tree**, which organizes problems hierarchically. First, each problem is summarized. The problems are expressed as a negative state. They are arranged in juxtaposition with each other:

- if the problem is a cause, it is placed on the lower level (root cause);

[16] *From Diana McLean, FAO/ISNAR Learning Module on FAO Project Cycle Overview: Developing a Common Discipline, Rome, 1999/2000*

- if it is an effect, it goes on the upper level;
- if it is neither a cause nor an effect, it remains on the same level.

As the tree develops, the remaining problems are attached to it in the same way. Once the problem tree is complete, a **focal problem** is selected that corresponds to the project purpose or immediate project objective. The focal problem should be agreed on by the different interest groups as being the central problem to be addressed by the project or intervention. A review of the problem analysis may lead to a different focal point emerging later on, but this does not affect the validity of the analysis.

For example, if the problem is '*low price received by artisanal fisher folk'*, a cause might be '*limited access to markets'*, while an effect might be '*incomes of artisanal fisher folk decreasing'*. This is represented in a problem tree, Figure 1 below.

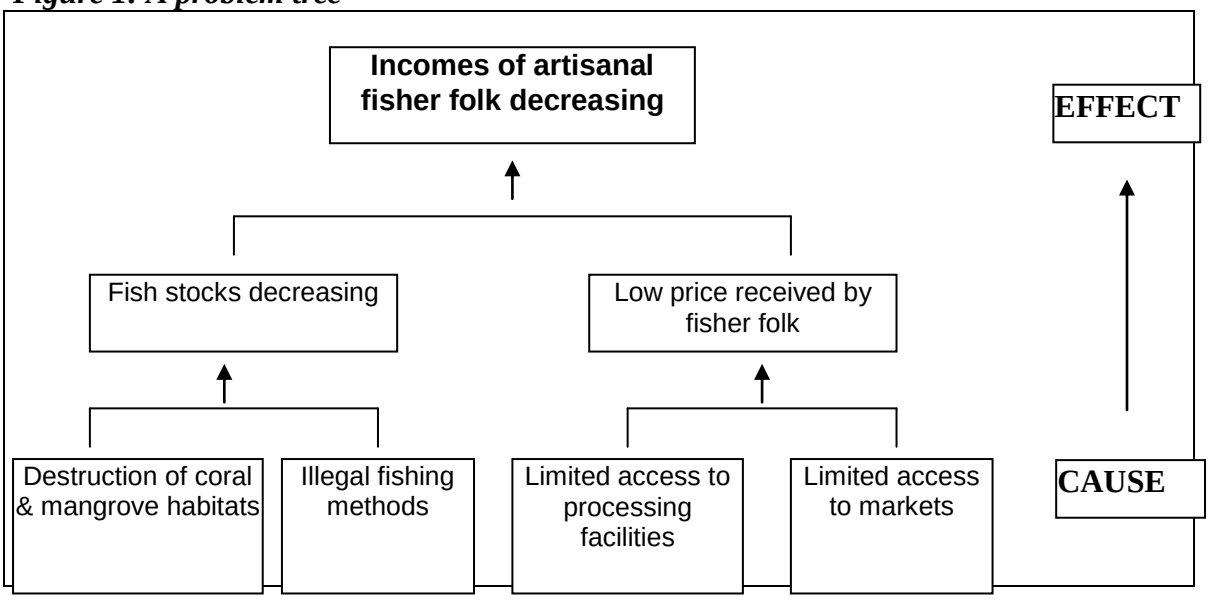
Remember:

Problems are stated in a negative state describing the existing situation and **not as a 'lack of a specific resource or solution'** to solve the problem. Avoid wording such as 'lack of credit', 'no seeds' or 'no tractor', as it can lead to premature statements blocking the view for other, perhaps more adequate intervention strategies. A loan, for example, might not help if there is no market to sell the goods or if the beneficiaries are chronically dependent on food aid and likely to consume any additional produce instead of paying back the loan.

Using another example, a cause of night blindness is not 'the absence of vitamin A supplements', but a 'low intake of Vitamin A'. Formulated correctly in the problem tree, the intervention strategies to be identified for addressing night blindness could include a short-term strategy of 'Vitamin A supplementation' and/or a longer-term strategy to 'increase production and consumption of vitamin A-rich green leafy vegetables or OFSP'.

Subject to the specific program/project situation, it might be useful to prepare different problem trees for different groups of beneficiaries or to formulate the problems in a way that beneficiary differentiations are taken into account (e.g. gender, interest groups, wealth, age, livelihood strategies etc.).

Figure 1: A problem tree[17]



[17] *Example from ITAD FAO training course on the logical framework approach*.

Analysing Opportunities

Development planners need to look for potential positive inroads in order to most effectively and efficiently solve the problem. The desire to solve a problem is not exclusively the driving force behind change: potentials and arising opportunities are equally important. For instance, you may be able to identify a policy initiative or some capable local organizations that could be supported at the right time to make a large difference. Perhaps there is a private sector organization that could be brought into the discussion to provide some marketing opportunities.

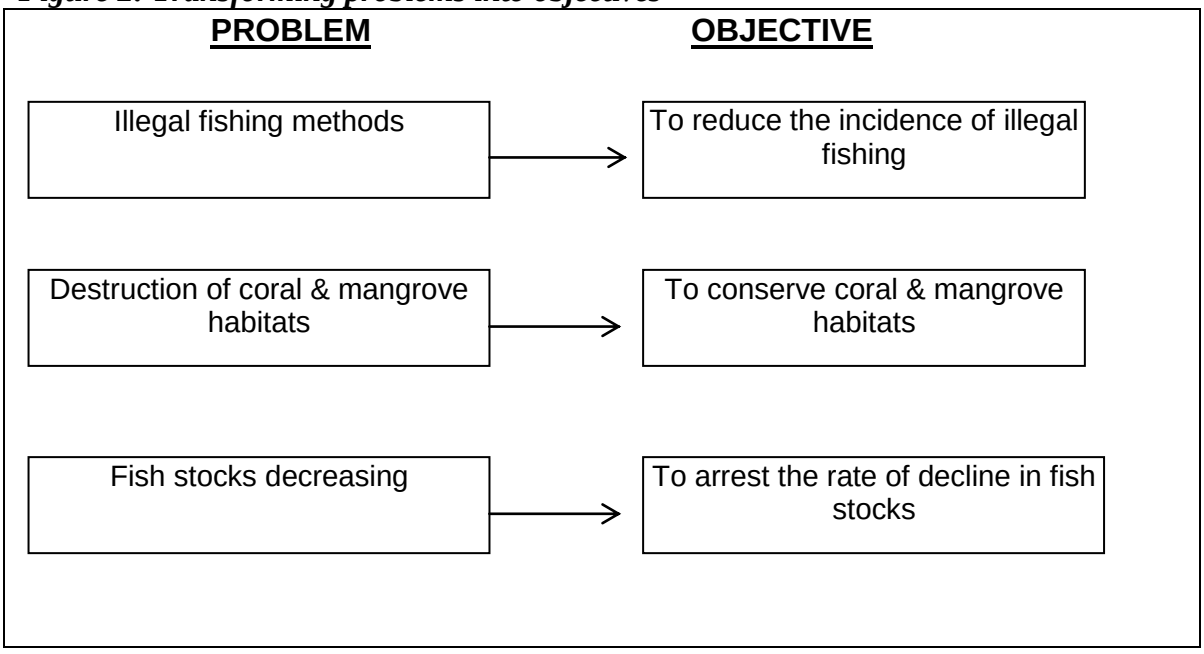
Sustainable livelihood approaches explicitly build on people's perceived assets, strengths and opportunities through supporting and enhancing existing livelihood strategies and coping mechanisms of the poor. Even the poorest households have potential.

Before advancing to defining objectives, look at the context of the problem and try to identify good opportunities for support. Methods that can be used to differentiate and analyze problems and opportunities include SWOT, mind mapping and brainstorming. These can then be factored into the next step, which is to define project objectives. Further guidance on these techniques can be found on the SEAGA and Participation sites on the FAO website.

Objectives Analysis

A problem analysis states negative aspects of an existing situation. The analysis of objectives presents the positive side of a future situation. In other words, the problems are transformed and restated as objectives (Figure 2).

Figure 2: Transforming problems into objectives



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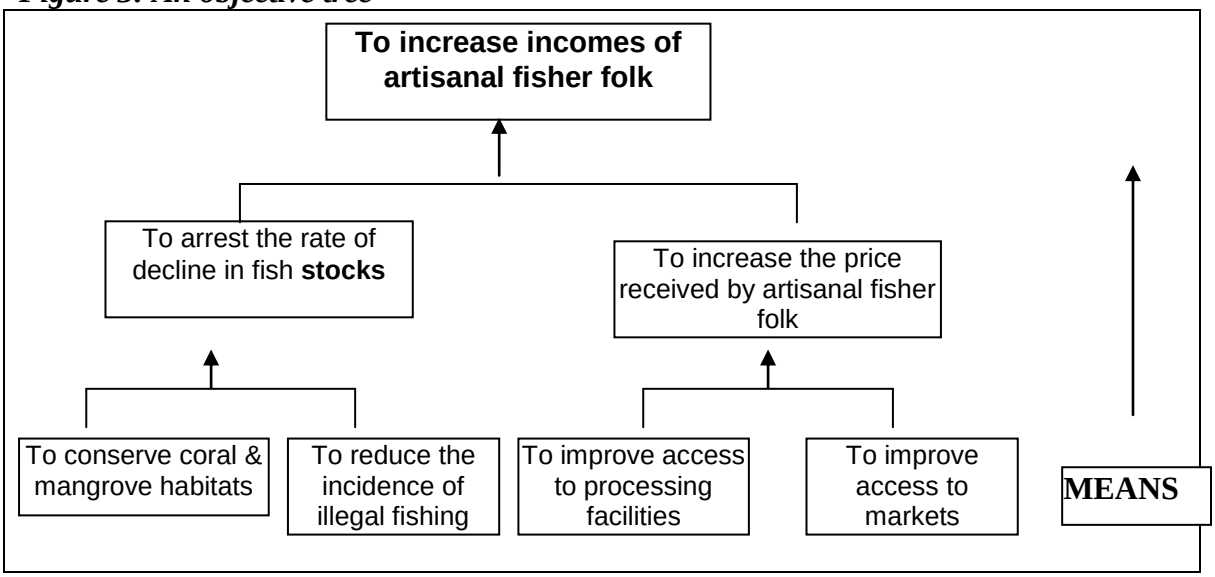
The **cause-and-effect relationships become means-to-ends relationships (Figure 3)**

Figure 3: An objective tree[18]

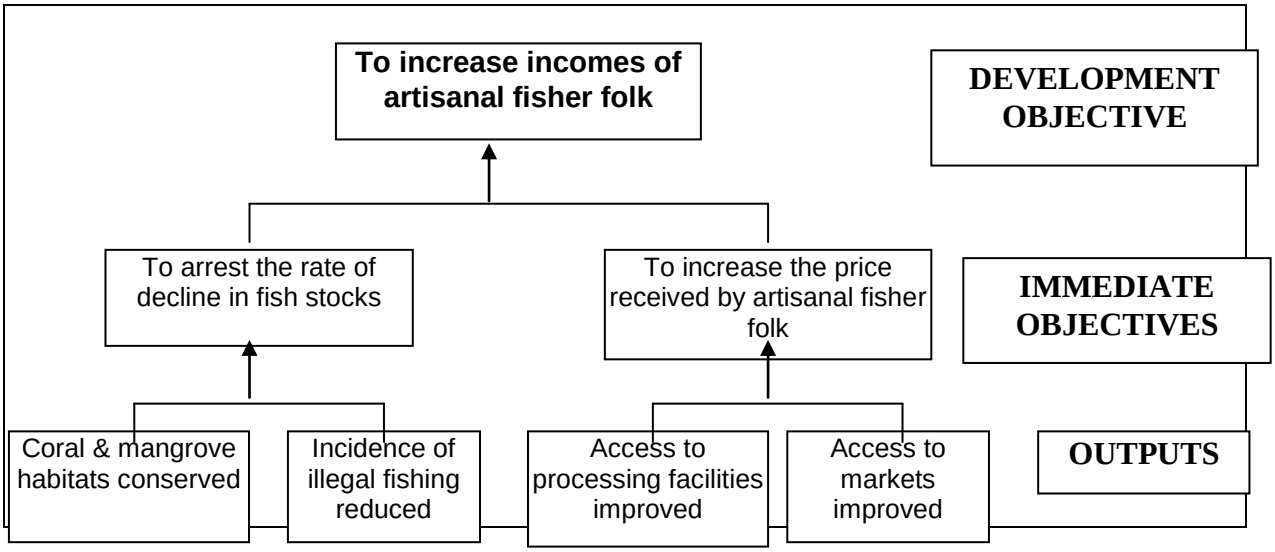


At this stage, there may be some need to rethink the placement of objectives, and particularly to cluster similar objectives into more readily definable areas of management responsibility.

Project strategy analysis

The final stage in project identification involves the selection of a strategy to achieve the desired results. The strategy comprises the clusters of objectives to be included in the project. This analysis looks at the overall logic and the feasibility of different interventions. Shifts may occur at this stage, particularly in configuring the project within a program. Sometimes this will result in the development of several projects to address a common program-level goal. It is during this analysis that the appropriate objectives, that is, the feasible aims of the project, are planned (Figure 4).

Figure 4: Strategy selection



Stakeholder involvement: beginning to end

[18] *Example from ITAD FAO training course on the logical framework approach.*

Many project planners begin the problem identification process with stakeholders but find the analytical portions of problem analysis, described above, involving fewer of them. This may be due to the expense of facilitating the involvement of remote communities or the need to keep working groups small. To ensure that the process of problem identification and project selection is not too far removed from the views of all of the key stakeholders, it is useful to discuss outcomes of the process with them. This serves several purposes:

- **it enables the interpretation of data to be validated by the community;**
- **omissions can be noted and new lines of enquiry identified;**
- **stakeholders are presented with an overview of their circumstances, which can act as a catalyst for identifying the community's development priorities.**

From the review of findings, several themes will emerge that could be developed into project proposals. To arrive at the best option, it is necessary to thoroughly understand:

- **What are the causes of the problem?**
- **What are the effects of the problem?**
- **What opportunities exist to overcome the problem?**
- **What are the assumptions associated with addressing the problem?**

In addition, it is likely that project options will have to be selected on the basis of constraints imposed by resources, money and time. Depending upon the nature of the project, additional work may need to be done with communities to determine preferred options (See SEAGA Field Handbook).

The process of project identification is concluded with stakeholders identifying ways in which they can contribute to the project — in terms of knowledge, skills, cash, labor and other resources — and areas in which external assistance is required. Stakeholder contributions to support the implementation of a project will strengthen their commitment to the project and their association with the benefits generated.

The information generated during the first stage of the project cycle, particularly the stakeholders' priorities and contributions, provides the basis for developing detailed project designs.

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FAO. January 2002. *Participatory appraisal and analysis of nutrition and household food security situations and interventions from a livelihoods perspective*. (Draft methodological guide prepared by Karel Callens and Bernd Seiffert).

Online resource regarding SWOT: http://www.fao.org/Participation/ft_find.jsp.

Exercise 4a. Stakeholder analysis

(Plenary and Group Work)

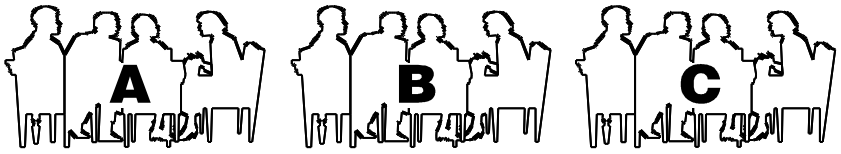
This exercise will be undertaken during ***60 minutes***

Phase 1. Plenary work *(10 minutes)*

1. Read the attached Kenya case study (Handout 1.4.5).
2. The facilitator leads a brainstorming session and the group makes a list of possible stakeholders from the case study. The facilitator invites a volunteer to record the group ideas on a flip chart.
3. The facilitator consolidates and generates a list of stakeholders with the assistance of the volunteer.

Phase 2. Group work *(20 minutes)*

4. Form three groups of participants (the number of groups depends on the number of participants; aim for groups of 4–5 people); each group elects a rapporteur and a timekeeper.



5. The members of each group decide whether they will provide the logic for the analysis. Each group then discusses the following questions as they relate to the list of potential stakeholders in the Kenyan case study, the rapporteurs record group ideas on worksheet A (handout 1.4.6):

   a) identify stakeholders;

   b) describe stakeholders: Who are the primary, secondary and/or key stakeholder?

   c) assess influence/importance: How influential and important are the primary stakeholders? The key stakeholders? What stakeholders are important, but lack influence? Discuss between yourselves why this is so.

Phase 3. Outlining a stakeholder participation strategy *(10 minutes)*

6. The same groups outline a stakeholder participation strategy. Each group will consider at what stage in the project cycle (project identification, detailed project planning, implementation and monitoring, evaluation) different stakeholders will be involved and with what intensity. Who will only be provided with information? Who will be consulted? Who will collaborate in decision-making? Who will be empowered to have the final say in decision-making? The group will use worksheet B (handout 1.4.7) to record the summary of the group discussion/decisions.

Phase 4. Reporting and discussion *(20 minutes)*

7. The rapporteurs present the results to the audience. About ten minutes are available for each presentation and a brief discussion.

8. After all the presentations, the facilitator invites the participants to have a brief discussion, provides and asks for feedback and closes the session.

Case Study

Research and development of an orange-fleshed sweetpotato in Kenya [19]

(for Stakeholder and Problem Analysis)

This case study concerns the research and development of an orange-fleshed sweetpotato, high in beta-carotene, invaluable for improving household nutrition and food security, especially in times of hunger or drought, and for pre-natal care and households affected by Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome (HIV and AIDS).

New varieties were developed as a result of a 10-year research program. Government extension services and a number of NGOs have subsequently participated in programs providing training, propagation and distribution of vines, processing and the linking of producers to markets. These programs covered many parts of Kenya but in particular Coast, Eastern, Rift Valley, Nyanza and Western Provinces.

Over 2,660 households, including many vulnerable ones, have benefited, with sweetpotatoes being grown for eating as fresh vegetables and processed product. Traditionally regarded as a women's crop, sweetpotatoes have made an important contribution to improving the livelihoods of women, both as a food and a cash crop. Full commercialization is now taking place through promotion in urban areas with a value chain from producers through traders, wholesalers and retailers to consumers, slowly being established.

Initial context. Sweetpotato is the third most important root in Kenya, after potato and cassava. For many years it was grown purely for subsistence, more particularly in times when grain staples were in short supply. However, increasing dependence on grain since the 1980s resulted in a decline in sweetpotato production, with negative consequences for food security. A government initiative in 2004, which gave attention to root and root crops, resulted in a modest increase in sweetpotato production (GoK 2004). With both food security and health attributes of sweetpotatoes increasingly being recognized, orange-fleshed sweetpotato (OFSP) varieties have been particularly favored for development over the past decade.

There are over 2,000 sweetpotato varieties grown in the country, with various attributes, and at various levels of production and utilization.

Initial challenges. The development and utilization of OFSP faced a number of challenges including the following:

- Sweetpotatoes being considered a 'woman's crop' with promotion often not receiving the enthusiasm it might have deserved, especially from male audiences.
- Neglect of advocacy and awareness creation of the nutritional value of sweetpotatoes.

[19] ***Source: Agricultural Innovation in Sub-Saharan Africa: Experiences from Multiple-Stakeholder Approaches.*** *AA Adekunle, J Ellis-Jones, I Ajibefun, RA Nyikal, S Bangali, O Fatunbi and A Ange. Forum for Agricultural Research in Africa, 12 Anmeda Street, Roman Ridge, PMB CT 173, Accra, Ghana. 2012. http://www.fara-africa.org/media/uploads/library/docs/fara_publications/agrl_innovations_in_ssa.pdf*

- OFSP with its high beta-carotene content has a lower dry matter content than traditional varieties. Unfortunately, Kenyan consumers prefer varieties with high dry matter content. This meant an initial low demand for OFSP.
- Since sweetpotatoes are vegetatively propagated from vines and ensuring regular supplies of healthy planting material of OFSP in significant quantities requires special measures. The OFSP varieties are early maturing and their vines are short-lived, hence a challenge for availability of planting material.

Innovation triggers. Hidden hunger and nutrient deficiencies triggered increasing interest in OFSP, among other micronutrient dense sources. Rather than continued dependence on micronutrient supplements, which many people could not afford, or access, Harvest Plus, a global alliance of research institutions, funded projects that explored bio-fortification, and OFSP was identified as a rich source of vitamin A.

Interventions and stakeholders roles. Although research on sweetpotato in Kenya by KARI (Kenya Agricultural Research Institute) and the International Potato Center (CIP) with their global partners has been ongoing for over 20 years, research, mainly breeding and dissemination on OFSP has occurred only over the past 10 years. The work involved acquisition of initial planting material, identification of suitable landraces for breeding, breeding activities for nutrient content, yield, taste and disease and pest resistance, and dissemination initiatives. Other stakeholders in the intervention have included a number of NGOs that support production and utilization projects, as well as producer and consumer organizations, notably Kilimo Trust, Sweetpotato Action for Security and Health (SASHA) Community Research in Environment and Development Initiatives (CREADIS), Rural Energy Food Supply Organisation (REFSO), Appropriate Rural Development Agriculture Program (ARDAP), Majasio Human Development, (MAHUDE) and Farm Concern International.

Different stakeholders along the OFSP product value chain include farmers, seed multipliers, market traders, extension agents, processors, media, and community based organizations. Promotion of sweetpotato now occurs country wide, with greatest activity in Western Kenya. KARI and CIP continue to undertake research in developing new varieties, to obtain combinations of dry matter, beta-carotene, disease and pest resistance with appropriate yield and taste attributes. The Mama SASHA Project (2009–14), a component of CIP's sweetpotato activities, links health with agriculture, targeting women who require pre-natal care. Such women are provided with vouchers at clinics for obtaining sweetpotato planting material. The vouchers are exchanged with farmers for six-kilogram starter packs of sweetpotato vines. The farmers are then reimbursed at about two US dollars for each six-kilogram pack distributed. In the first 4 months of distribution, 836 women received vouchers from four health facilities, with more than 500 vouchers being redeemed vine starter packs. Follow-up visits to the homes of 216 women found that 81 percent of them had planted the vines (DONATA, 2011). Dissemination of New Agricultural Technologies in Africa (DONATA), a network supported by FARA (Forum for Agricultural Research in Africa) enhancing the uptake and adoption of the OFSP technologies, in Kenya Ethiopia, Rwanda, Tanzania and Uganda, has been using an innovation platform (IP) approach since 2008. Two IPs have been formed each with its own institutional arrangements to support the up-scaling process (DONATA, 2011).

An NGO, Farm Concern International, has initiated sweetpotato promotions in Nairobi grocery stores to assist in developing the urban market for OFSP.

The public sector, private sector, NGOs and farmer groups have all played key roles in the success of OFSP including the following:

- Approval and funding by the public sector of research and development agenda from various players, and registration of NGO efforts
- KARI and CIP spearheading the research effort into the development of the OFSP, fine tuning of technologies and quality control
- The Ministry of Agriculture (MoA) and various NGOs are part of innovation platforms in western Kenya with the MoA being responsible for technology dissemination and up-scaling in the innovation platforms
- Farmers link up through the SASHA project to provide planting material although commercial multiplication remains to be achieved
- Private traders purchase the crop where commercialization has taken root, like in Kabondo in South Nyanza and in Busia and Bungoma in Western Province. Concern International also links traders to markets.

Several cottage industries process sweetpotatoes with Busia Farmers' Training Institute, a government organization, training farmers in many aspects of sweetpotato utilization:

- Financing of the enterprises is by private arrangements, other than in the SASHA project which funds the purchase of planting material for mothers in pre-natal stage.
- Transport is handled by private traders, who also engage in marketing and market information.
- NGOs like CREADIS, REFSO, ARDAP, and MAHUDE have been involved in coordination of activities and mobilization of community groups, documentation of activities and outcomes, coordination of planting material multiplication and post harvest processing.
- Representatives of groups handle their interests in the innovation platforms.

Achievements. Many stakeholders are now involved with sweetpotato. There are over 2,000 varieties grown with different attributes and research work is still on-going. The DONATA network has made an important contribution in planting material multiplication, training on production and utilization, and promotion activities. About 880 farmers have directly participated in the multiplication and distribution of planting material and by the end of 2010; about 2,660 end users had received planting material. The project has trained 48 trainers on OFSP agronomy and vine multiplication and 37 trainers on post-harvest processing. The trained trainers later reached a total of 653 farmers (550 farmers on agronomy), post-harvest processing (71), and business skills (32). The project also trained 24 Ministry of Agriculture extension staff on business skills.

One OFSP processor (Mukunya, 2011) indicates that a market has finally been established and according to one farmer representative (Agri-Hub Kenya, 2011) there are approximately 7,000 farm households in southern Nyanza producing local varieties, and will be willing to produce if assured of market contracts. Farmers have been organized into around 40 producer groups with umbrella marketing cooperatives. The area produces over 50 percent of the country's sweetpotatoes and is therefore a potential supplier for the emerging market.

Achievements of the research and development efforts are acknowledged, yet the major reason for the development of the OFSP, the contribution of the beta-carotene health attribute is still unknown. Many users of OFSP flour including homes that care for HIV and AIDS sufferers indicate positive outcomes, although this is yet to be scientifically studied.

Emerging or unresolved challenges. The demand for OFSP is now outstripping supply: "We have been selling OFSP flour for a few years now and all of a sudden farmers are not finding the varieties interesting enough (for their pockets) and just as the market looks ripe for growth, the root is nowhere to be found" (Mukunya, 2011). Commercialization of the sweetpotato is still in the intermediate phase, where the suppliers, traders and consumers have not yet established a stable value chain, despite several initiatives in the crop in the country.

Attempts to develop varieties that are resistant to the potato weevil have not yet been successful. Mitigation of weevil damage includes use of short-season varieties and deeper storage of roots.

Lessons learned. Production of the OFSP or other commodities grown by smallholders who are participating in group initiatives can be successful if there are contract markets to provide the stability for increasing production. It also requires support for breeding, production and utilization. Greater involvement of nutrition research activities may have contributed even more to the ongoing success.

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Exercise 4a. Worksheet A

Type of stakeholder	Influence/power (high, medium, low)
Primary	
Secondary	
Key*	
* in some cases, key stakeholders are also primary stakeholders	

Exercise 4a. Worksheet B

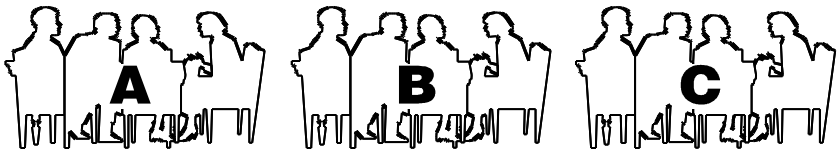
Stakeholder analysis: formulation of stakeholder participation strategy

Stages of the project cycle	Type of stakeholder participation			
	Providing information (one-way flow)	Consultation (two-way information flow)	Collaboration (joint control over decisions = partnership)	Empowerment (primary control over decisions)
Project identification				
Detailed project planning				
Implementation and monitoring				
Evaluation				

Exercise 4b. Analysis of problems, opportunities, objectives and strategies for project design

(Group work)

1. Form the same three groups of participants to work during ***2 hours***. Designate a rapporteur and a time-keeper for each group. *(5 minutes)*



2. Refer to the Kenya case study imagine that your group is a core team planning to address a problem in Kenya. You are going to analyze problems and opportunities, develop objectives and propose a strategy for the project by developing a problem tree and an objective tree

Phase 1. Group work *(55 minutes)*

a. ***Project problem analysis***

3. As a group, brainstorm about the problems relevant to this Kenya case study project. The rapporteurs distribute cards to the group members (as many as they need) and invite them to write these problems as negative statements on the cards. Refer to Figure 2, Handout 1.4.3. The rapporteurs arrange the cards into a problem tree, using tape to attach them to a wall in the following sequence:

   - **Identify the core or focal problem**: what you are trying to resolve with your project, equivalent to the purpose or immediate objective. Discuss this thoroughly. Consider what is realistic given the time frame and resources.
   - **Place direct causes of the core problem parallel to each other under the core problem:** cluster or consolidate similar problems.
   - **Place direct effects of the core problem parallel to each other above the core problem**: cluster or consolidate similar problems.
   - **Continue to develop causes and effects into multilevel 'branches' and 'roots'**.
   - **Problem analysis is concluded when the planning team is convinced that the essential information has been portrayed.**

b. ***Consider opportunities***

4. Brainstorm, discuss and record for the group potential opportunities and positive areas that might be supported (e.g. capable institutions, effective community groups, other donor support). Consider these when analyzing and proposing objectives in the next step. Make whatever assumptions you like in this hypothetical case, but be sure to record them to justify your position later.

c. ***Project objectives analysis***

5. The rapporteurs distribute additional cards, and, working from the top downwards, reword all of the problems to turn them into positive objectives. Refer to the objective trees (Figures 2 and 3, Handout 1.4.3). Make sure that:

- rewording has not changed the intention of the problem statement;
- opportunities have been considered;
- the objectives are clear and represent a 'means-ends' relationship;
- alternative solutions are identified, if feasible, on the tree to achieve the same end.

d. *Project strategy analysis*

6. Before beginning to work on the project strategy analysis, the rapporteur will place three cards inscribed 'outputs', 'immediate objective(s)' and 'development objective' near the objective tree. Refer to Figure 4, Handout 1.4.3.
7. Take time to ensure that the focal objective, equivalent to the project purpose or immediate objective, is realistic in terms of the resources that are expected to be available. If more than one focal objective has been identified, discuss whether more than one project would be more feasible than one project with multiple objectives.
8. Consider what is the development objective and what are the outputs (deliverables) of project management.
9. Align the three cards accordingly: outputs, immediate objective(s), and development objective.

Phase 2. Learning review: pre-workshop assignment (*15 minutes*)

10. Based on the project idea that you selected during the Pre-Workshop Assignment, share with each other, two criteria that influenced you to identify it as your Priority Project and why were these criteria selected? Remember to go over the six criteria which were suggested in the text and reinforce your knowledge about their importance. Use your own words.

Phase 3. Reporting and discussion *(45 minutes)*

11. The rapporteurs take turns presenting the results of their group discussions. Elaborate on:
    - the focal problem to be addressed;
    - the opportunities identified;
    - the immediate objective(s) of the project;
    - the rationale for one or more related projects (if more than one immediate objective);
    - whether timeframes and resources are realistic.
12. The rapporteurs share the lists of project ideas — identified by the participants during the pre-workshop assignment — and summarize the major criteria which guided the final lists.
13. The facilitator asks for feedback from the participants, gives views on the session and closes it.

Exercise 4b. Worksheet

Strengths and suggestions for improvement

List up to three things you liked about the sessions of volume 1.

1.
2.
3.

List up to three suggestions to improve the sessions of volume 1

1.
2.
3.

Guidelines to provide feedback on the workshop

1. The module

Content

- usefulness/relevance
- amount of information

Structure

- sequence
- duration
- balance between facilitators' and participants ' contributions
- instruction to Facilitators
- visual aids
- handouts
- extra readings
- PAPA
- evaluation

2. Process: L&CB techniques and direction

- usefulness/relevance/effectiveness
- group interaction
- clarity of questions, exercises, instructions
- opening and closure of the days

3. Facilitators' and participants' performance

- presentation/communication skills
- interaction/effective participation
- punctuality/interest/commitment/willingness to facilitate learning/willingness to participate
- other attitudes

4. Logistical support

- organization
- accuracy
- punctuality
- willingness to assist participants, services provided in general

5. Workshop environment

- physical (L&CB facilities, L&CB material, hotel facilities in general)
- psychological (personal feelings such as self-motivation, interest, satisfaction, self-achievement), social (development of friendships, relaxed, comfortable among participants, etc.)

6. Workshop results/outputs

- personal and professional assessment
- recommendations

7. General comments

FIRST STAGE

PAPA—Ideas for action items

Workshop title : **Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation and M&E**

Date/venue : _____

Name : _____

Organization : _____

_____

Ideas I would like to try when I return to work at my organization, based on what I have learned in this L&CB workshop.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

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Note: You can use the workshop objectives, what you learn during the workshop, the handouts, conversations with participants and facilitators, etc., to come up with ideas.