OUT & PROUD

LGBTI EQUALITY AND RIGHTS IN SOUTHERN AFRICA

Transformative Capacity building for Civil Society Organisations

StoP- LaB!

from Strategic planning to Projects adopting Leadership as organisational Behaviour

NYASA RAINBOW ALLIANCE

CCPR Centre for Civil and Political Rights

TREAT

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SOUTHERN AFRICA LITIGATION CENTRE

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Background

The Capacity Building Programme has been developed in the framework of the project ***Out&Proud: LGBTI Equality and Rights in Southern Africa***, co-funded by the European Union and implemented from February 2020 till January 2023 by a network of Civil Society Organisations (CSOs) at regional and international level: SALC (*Southern African Litigation Centre*), *The Rock of Hope* (Kingdom of Eswatini), *Nyasa Rainbow Alliance* (Malawi), *TREAT* (Trans Research Education Advocacy and Training- Zimbabwe), *COSPE* (Italy) and *CCPR* (Centre for Civil and Political Rights - Switzerland).

The **long-term change** the project aims to contribute is "*to improve the legislative frameworks and non–discriminatory environment in favour of lesbian, gay, bisexual, transgender and intersex (LGBTI) people in Southern Africa*", by "*strengthening the capacities of - and opportunities for LGBTI Human Rights Defenders (HRDs) and their organizations in Malawi, Eswatini and Zimbabwe to defend, advocate and promote their rights and fight discrimination".* These objectives were addressed through different steps, reinforcing the capacities of the LGBTI HRDs and their organizations at **national** level; creating alliances and networks at **regional** level; engaging with Human Rights **international** mechanisms, promoting advocacy for policy reforms and awareness raising (**intermediate outcomes**).

Due to **discrimination and criminalization**, translated in some countries even to refusal of being recognized as associations, the LGBTI CSOs are generally weak, isolated and fragmented. In the framework of the Out&Proud project, COSPE has been in charge of developing and implementing a **Capacity Building** program ***to increase the capacities and provide technical assistance in sound organizational management, quality control, administration, finance, monitoring and reporting*** for LGBTI CSOs through training sessions and on-the-job technical assistance over the three years.

A *Risk and Vulnerability Analysis* conducted by the project during its inception phase (April-July 2020) underlined some **needs** expressed by the LGBTI community members interviewed. **Capacity Building** was one of the issues investigated with some interesting results: most respondents declared to need increased knowledge of their **rights and legal frameworks (76%)**, **HRs monitoring tools (64%)** and **protection mechanisms (60%)** for HRDs; **income generation skills and self-defence** were considered important to counteract financial insecurity and constant threats of physical violence experienced by LGBTI people. Specific topics to reinforce to increase knowledge and skills within the LGBTI community included: **organisational & movement building (63%); communication & visibility (61%); advocacy (56%**) **administration & financial management (44%).**

An overall Capacity Building programme was therefore structured according to two main areas: **Protection** and **Organisational & Management Strengthening**. The first area included training and mentoring on a wide range of topics related to human rights of LGBTI people, legal frameworks, international HRs mechanisms, HRDs and CSOs safety and security, which were linked to concrete support actions (such as: legal actions and strategic litigations, engagement with UN HRs Treaty Bodies, Special Rapporteurs and Working Groups, development of security contingency and action plans, digital security, setting up of a National Crisis Task Team and emergency fund). The second area was developed to reinforce the internal capacities of the organisations.

Development of the Transformative Capacity Building program

Based on the Risk and Vulnerability Analysis, the experience, and suggestions from partner organisations, a comprehensive introductory module on Organisational & Management Strengthening was designed for the **1st year sessions**, based on **8 training Units** for a total of **30 hours** to be delivered in hybrid formula (remotely – due to COVID-19 restrictions – and in presence) in each country*:*

1. **CSOs organisational building**
2. **Partners & Stakeholders**
3. **Transformative movements building**
4. **Project Cycle Management**
5. **Logical Framework Approach**
6. **Project proposal writing**
7. **CSOs legal framework & Human Resources management**
8. **Administration & Financial management**

Recommendations and lesson-learnt from these first sessions have been taken into account to plan the Capacity Building contents for the **2nd year sessions**, based on **5 Units**, for a total of **48 hours** to be delivered in presence in each country, with the aim to explore more in depth some of the contents included in the previous training:

1. **Strategic Planning with the Theory of Change (ToC)**
2. **Results-based management approach (RBM)**
3. **Logical Framework Approach (LFA)**
4. **MEAL (Monitoring, Evaluation, Accountability & Learning) approach**
5. **Administrative & Financial Management**

During the annual project evaluation, the Capacity Building programme participants and CSOs were interviewed to collect their training needs and desiderata for a final cycle to be delivered, to reinforce their competences and tools in view also of the project closure. Among the main topics highlighted were ***Strategic Advocacy & Communication*** and ***Leadership & Organizational behaviours,*** which were selected with the project partners as core topics for the 3rd year sessions, based on **2 Modules** for a total of **38 hours** to be delivered in presence in each country:

1. **Strategic Advocacy & Communication:**
   Building on advocacy and communication experiences
   Advocacy and Communication principles, strategies and good practices
   An influencing advocacy and communication Strategy
2. **Leadership & Organisational Behaviours:**
   “Be the Change: how to generate organizational effectiveness"
   “Have an Impact: Values & Behaviours of your organizational culture"
   “Together We Win: Why, What and How

The methodology of the training sessions has been progressively adjusted to promote interaction, exchanges and capitalisation of the experience from participants. This has brought to increase along the sessions the practical exercises and group-work. In most of the sessions, the representatives of different CSOs have been mixed to enhance networking and cross-movement building, while in other cases, different roles within the same CSOs have worked together to enhance internal exchanges and dialogue. An important recommendation taken in the preparation of the 3rd year sessions was to concentrate the training on 3-days (instead of 5-days), to limit the risk of loss of attention and failure in continuity of the participation.

Introduction to the Training Manual

The present Manual comes from the elaboration and systematisation of key elements of the experience carried out in the 3-years Capacity Building Programme on Civil Society Organisational & Management Strengthening. The topics of the overall sessions have been selected and re-organised to focus on the programmatic side of the CSOs work which aims to pursue transformative changes in the protection and promotion of human rights, modelized as "Transformative Capacity Building programme for CSOs". The sessions contents have been exposed to reflect the continuity between ***Strategic Planning*** at organisational level to ***Programs and Projects*** design and implementation, thus indicating how to adopt a coherent and subsequent **Theory of Change** approach in the *planning-programming-implementing* cycle. The CSOs, reflecting on their ***Long Term Outcome*** (*what we want to reach as part of our strategy*) and the ***Stakeholders' mapping*** (*who do we need to reach our long term outcome*) are accompanied to unpack the LTO into several intermediate outcomes with the ***Backward Mapping*** *tool*, to translate the CSOs strategy into the ***Results Chain*** and the programmes/projects level (***Let's ground an Outcome)***, which prepared the participants to draft their ***Logical Framework*** (*vertical and horizontal logic). T*he selection of indicators, sources and means of verification and external factors, including the risks analysis and the mitigation measures, bring the trainees to better understand the differences between ***Monitoring & Evaluation,*** drafting first their ***Plan of Activities (POA),*** then the ***Monitoring Plan***, before closing the *Project Cycle (PCM)* drafting the ***ToRs*** for an external evaluation. Finally, the CSOs members are guided to understand if their ***Organizational model*** is consistent with their own strategies and long-term planning and to identify the ***Leadership style*** more conducive to the desired changes, for improved performance and greater impact (as individuals, directing and managing an organisation and as part of a movement). The modules on Strategic Advocacy and Communication have not been fully included as they can be seen as complementary but specific topics on their own. The Administration and Finance Management Modules, both at organisational and programme/projects levels, also represent an important integrative component in a capacity building programme for CSOs. While it is not included in the present Manual, it is strongly recommended to keep an integrated approach between programmatic and finance management and to include those topics in an overall and comprehensive Capacity Building programme on Civil Society Organisational & Management Strengthening.

The Manual intends to represent a reference tool for the participants to the training, enabling the CSOs to extend and internally replicate the training, but we also hope it can be a source of inspiration for other civil society organisations and donors that are interested in promoting similar programs.

1 From Strategic Planning...

1.1 CSOs strategic and organisational planning:

The 1st Unit on **Civil Society Organisations** (**CSOs) organisational building** has the objective to *strengthen knowledge and practices on associative and organizational building, strategic and operational planning.* The focus is on **CSOs mission, vision, objectives, structure and roles**, starting by a set of questions to the participants, who are asked to define **what is a CSOs** and **what does it mean to belong to a CSO**:

- *What is a Civil Society Organization?*
- *What is its role in society?*
- *Why are we operating through a CSO? A CSO instead of....?*
- *What do we want to achieve by belonging to a CSOs?*
- *Which powers do CSOs have towards the State and the society?*
- *Why are you a member/staff of a CSO?*

Key-words defining a CSO can be listed as follows: *Independence - Participation - Representation - Governance - Accountability - Monitoring - Watch-dog - Transparency - Information - Communication - Negotiation - Advocacy ….* Thus the participants can ask themselves and discuss the topic, drawing from their own context/ experience: **what is more important / necessary in your society / context?**

- *Association or Organization?*
- *Activists or Workers?*
- *Volunteers or Professionals?*
- *Political or Operational?*
- *Others?*

To come up with a shared **definition** which can be as follows:

"A CSO is an Association (legally established and formally recognised), with its specific internal governance (General Assembly, Members, Operational Structure with Staff, Volunteers, Professionals, Activities) to achieve its mission and vision - long-term objectives - through a strategic plan and an action plan".

CSOs can be defined by a **Mission** and a **Vision** statement: a *Mission statement* refers to the **CSO objectives, goals, and how it will achieve it**, while a *Vision statement* defines **the changes that the CSO wishes to be in place in the future**. The following definitions can be shared with the participants, backed by their own examples:

- "A mission statement is a short statement of *why an organization exists, what is its overall goal*, what kind of product or service it provides, its primary customers or market, and its geographical scope". The mission statement defines the **road-map (how)**; *describes the actual CSO objectives, goals, and how it will achieve it.*
- "A vision statement is an inspirational statement of an association or group. The vision describes the basic human emotion that a founder intends to be experienced by the people the organization interacts with, it grounds the group so it can actualize some existential impact on the world". The vision statement defines the **long-term objectives (why);** *defines what the CSO would like to see as a scenario in the future.*

*Example from **SALC (South African Litigation Centre)**:*

VISION STATEMENT

Our vision is that the rule of law and human rights are respected, protected, promoted and fulfilled throughout Southern Africa.

MISSION STATEMENT

Our mission is to promote and advance human rights, democratic governance, rule of law and access to justice in Southern Africa through strategic litigation, advocacy and capacity strengthening.

EXERCISE N.1: The "***CSOs Organisational Profile***", a sort of ***organization snap-shot*** where the participants state their ***Mission, Vision, Strategic Plan, Operational Plan*** **and** ***Resources*** (Human, Material and Financial) needed to fulfil their Mission, Vision, Strategic and Operational Plans. This Exercise proves to be useful because often Mission and Vision are confused, as well as the Strategic and the Operational Plans, while usually the Resources are well understood. Moreover, it highlights the **CSOs operational challenges**, their organisational setting, environment and relations, represented in a template like the following:

- **CSO Mission (max 5 lines):**

____

____

____

- **CSO Vision (max 5 lines):**

____

____

____

- **Strategic Plan (long-term – 5-years goals, max 3):**

1.____

2.____

3.____

- **Operational Plan (short-term - 1-year objectives, max 3):**

1.____

2.____

3.____

- **Resources (which are the resources you can count to implement your plans?):**

Human resources: ____

Material resources (office, equipment, assets, vehicle...):______________________

Financial resources (donations, income, loans...)_______

Through this exercise, the participants can state if their association has defined a ***Mission*** and a ***Vision***, a ***Strategic*** and ***Operation Plan*** and which ***Resources*** are needed to fulfil their short-medium-long-term plans.

Examples of a **CSO mission** from the training participants can be as follows:

- *to create a space to develop the capacity of LGBTI people;*
- *to engage in a gender agenda;*
- *to promote the rights of LGBTI people through advocacy, lobbying, research, provision of safe spaces;*
- *to provide various forms of support to meet needs of sex and gender diverse persons,*
- *to increase awareness and visibility;*

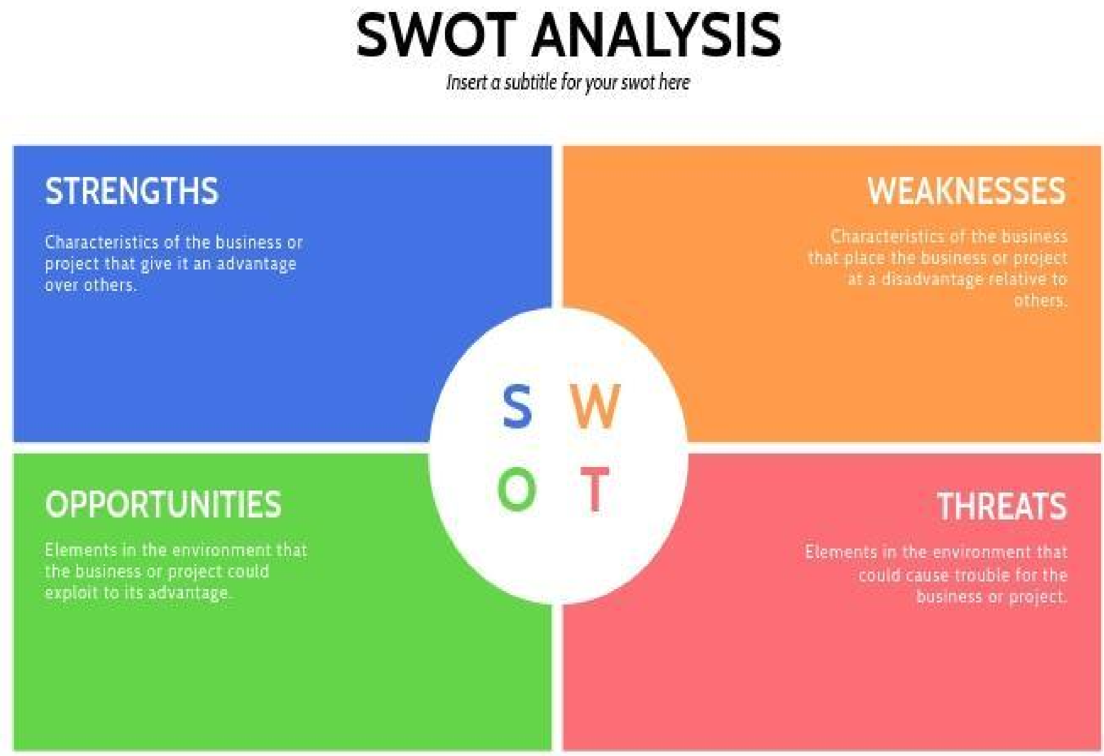
While for the **CSO vision** the following statements have been recorded:

- *to recognize, respect and protect the rights of LGBTI as full citizens,*
- *to allow citizens to be free and openly choose their sexual orientation,*
- *a world where all people have freedom to exist in a society that embraces diversity, and individuals develop their potentials, live their full life and contribute to society with energy and pride.*

Another tool that CSOs can use to better define their long-term goals, scope of work, strengths and weaknesses, is the **SWOT (Strengths, Weaknesses, Opportunities, Threats)** analysis, useful to draft first a **Strategic** and then an **Operational** planning, rooted in the context and based on the actual needs – problems assessment.

EXERCISE n.2: The 2nd Exercise proposed for this Unit 1 allows the participants to state different and multiple inputs to the four dimensions, and then choose what suits best their strategies (in terms of membership, policies, networking, alliances, legal/illegal environment, advocacy and lobbying, staff qualifications, geographic and thematic coverage, mobilization, communication, facilities, financial resources, uncertainty and competition, among others).

The participants can draft their own CSOs SWOT Analysis in group-work and then discuss the outcomes in plenary.



The SWOT analysis facilitates the CSOs questioning on their **Strategic planning** (*What do we want to achieve? Where do we want to go?*) supporting general orientations - problems identification - innovative solutions - impact evaluation - medium & long-term perspectives. Picking from the participants' answers, examples on the 4 components can be as follows:

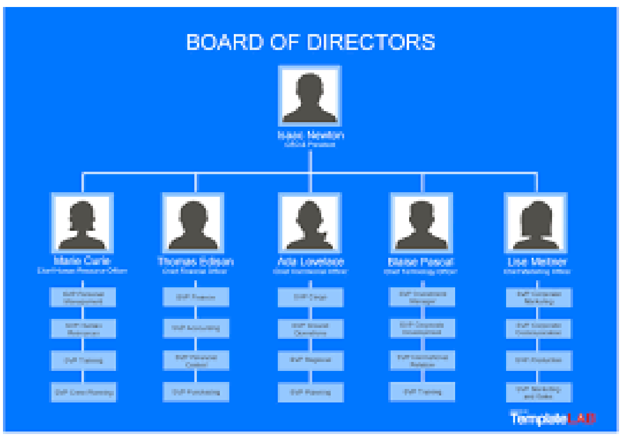
- **Strengths:** *staff and volunteers, community-based membership, passionate people, transcultural staff, planning and organisational skills, political supporters, research skills, resource mobilization, national & regional outreach, sound financial management & good governance, documentation of best practices, communication skills, youth and trans-led organisation, being a registered entity*;
- **Weaknesses:** *limited resources, limited capacities, lack of procedures, weak organisation, lack of funds, discrimination, unstable environment, incomplete NGO documentation, lack of a proper M&E system, legal constraints, unskilled councillors, little segregation of duties*;
- **Opportunities**: i*nternational focus on LGBTI population, funding available, social media, partnership and collaborations, progress in other countries, room to lobby and advocacy, visibility and increase of political support, modest increase of health budget, training programs, educational challenges, strong network;*
- **Threats**: *hostile environment, no local funding, economic difficulties, lot of competition, community resistance, religious authorities, political situation, stigma & discrimination, uncertain and volatile operating environment, staff turnover.*

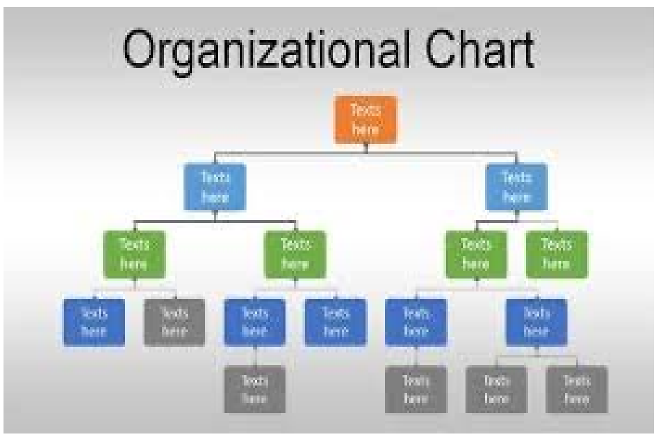
To achieve their long-term goals and short-term actions, CSOs can adopt different **organizational models**, based on **separation of powers** and functions or **multiple roles**, according to a *Hierarchy or Vertical* model (Board members who appoint Directors and staff with a vertical reporting line) or *Democracy* or *Horizontal* model (different roles that share responsibilities and coordinate among themselves) or a balance between the two (*Circular* or *Mixed* model).

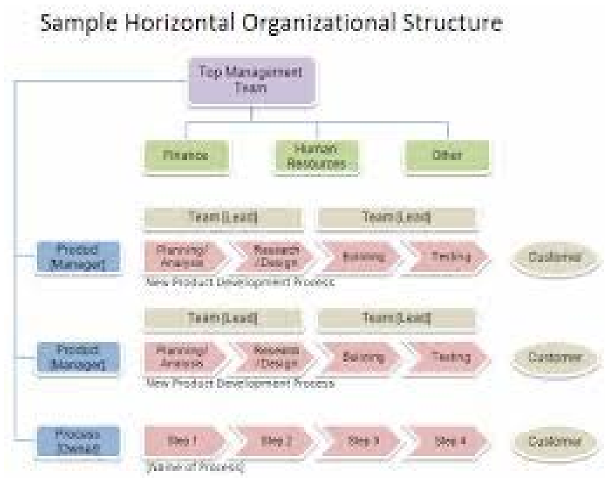
To assess the (predominant) organisational model, CSOs member can ask/answer the following questions:

- *Who takes the decisions (level)?*
- *Who executes the decisions?*
- *Who participates in the decision-making process?*
- *Motivation vs. Career?*

Designing and then explaining/ discussing an **Organisational Chart** can also be a useful tool to clarify the roles and responsibilities within a CSO, therefore its **model of governance.** Different templates can be shown to the participants:



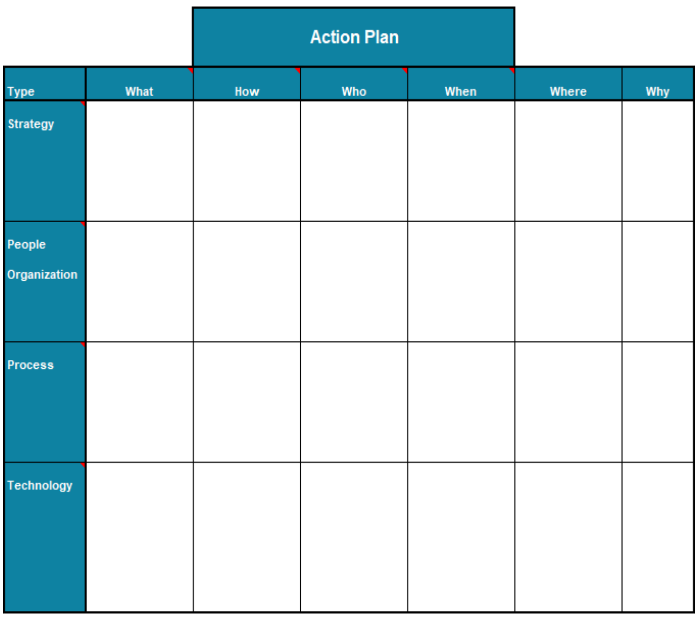




Once defined the main features of the Strategic Planning, the **Operational planning** is the next step, to enable the CSOs translating the Strategic planning into an **Action plan** (*How do we achieve our goals?*), supporting mobilization of different resources (organizational, human, material, financial, time) - analysis of potential obstacles - resource management - short-term perspective. At the end of this session, one of more **Action Plan** templates can be illustrated as an example, asking the trainees to draft it:

Action Plan Template

Action	Assigned to	Due date	Status	Notes



Type	What	How	Who	When	Where	Why
			Action Plan			
Strategy						
People Organization						
Process						
Technology						

1.2 Partners & Stakeholders

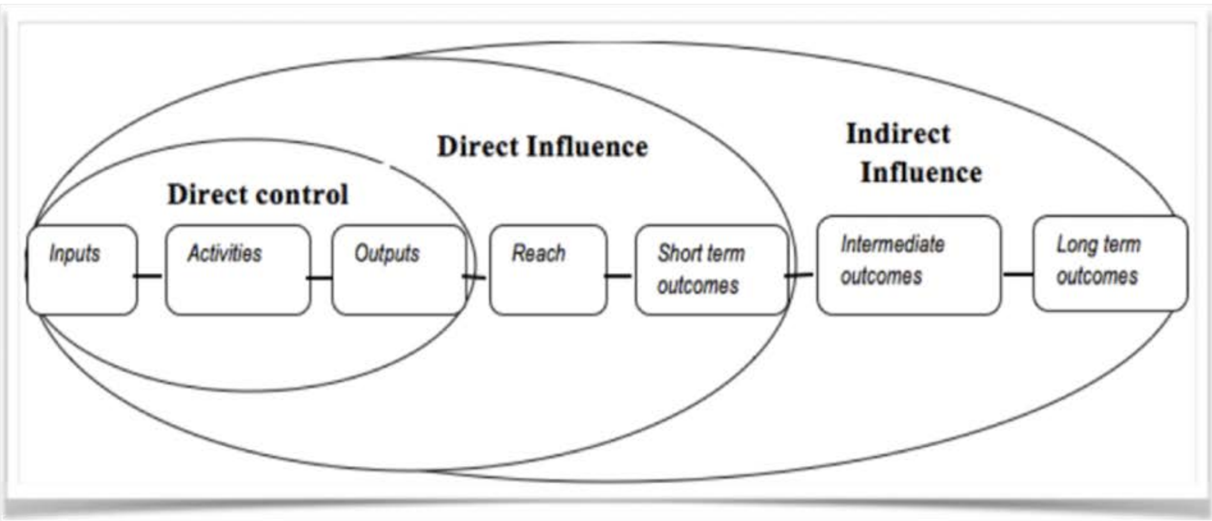
To reinforce their strategies and activities, CSOs need **Partners, Stakeholders, Networks and Alliances**: the SWOT Analysis brings the participants to address crucial questions on their differences and respective roles and responsibilities, based on their CSOs strongest and weakest points and trying to answer the following questions: ***Who is my ideal partner? With whom/ which organisation/ institution shall we build partnerships/ networks/ alliances to reach our goals?***

And, first of all, ***Who is a Partner?***

- *Partners are two or more entities who join their efforts to reach a common goal and who share a common vision/ objectives;*
- *Partners can be similar/ different - supporting/ beneficiary – generic/ specialized - strategic/ operational – having a thematic/ technical competence to share;*
- *Partners can be associations/ institutions/ enterprises/ networks…*
- *Partners should be reliable, knowledgeable, transparent, representative of the communities, problems, interests, needs…*

Which is the difference between partners and stakeholders?

- ***Partner:*** "*either of a pair of people engaged together in the same activity"* (sharing responsibility – ownership), usually under our **direct sphere of control**;
- ***Stakeholder:*** "*a person or a party with an interest or concern in something"* (sharing a business – a point of view) – usually outside our direct sphere of control, but still within our **direct or indirect sphere of influence.**



EXERCISE N.3: In the***Partners & Stakeholders' analysis*** the participants identify their ***Partners*** (people, organisations and institutions we work with to achieve our goals and implement our activities); ***Supporters*** (people, organisations and institutions that can support the achievement of our goals and/ or the implementation of our activities); ***Opponents***

(people, organisations and institutions that can oppose the achievement of our goals and/ or the implementation of our activities); and ***Excluded*** (people, organisations and institutions that CSOs decide to exclude from their action).

Examples can be as follows:

PARTNERS **Ex.** *Other CSOs, charities, media, national sector consortia, regional and international networks, umbrella organizations...*	**SUPPORTERS** **Ex.** *Donors, local and international networks, CSOs alliances, police, Ministries, UN Agencies, traditional and religious leaders, media, Members of Parliament, human rights activists and organisations, Human Rights Commission, community members, diplomats...*
OPPONENTS **Ex:** *Religious leaders, media, Ministries, Members of Parliament, political parties, society at large...*	**EXCLUDED** **Ex.** *Members of Parliament, police, legislators, judiciary, traditional and religious leaders, mainstream media, other civil society sectors*

To be noted that the same stakeholders can be un different situations and for different organisations either partners, opponents, supporters or excluded, opening spaces for more reflexion and in-deep analysis at each CSO level.

Regarding the **Spheres of influence / control,** examples can be as follows:

DIRECT CONTROL	CSOs affiliates, members, staff, volunteers
DIRECT INFLUENCE	Sector CSOs, community members, media, networks, activists, target groups
INDIRECT INFLUENCE	Other CSOs, international organizations and networks, donors, Government authorities, traditional and religious authorities, society at large

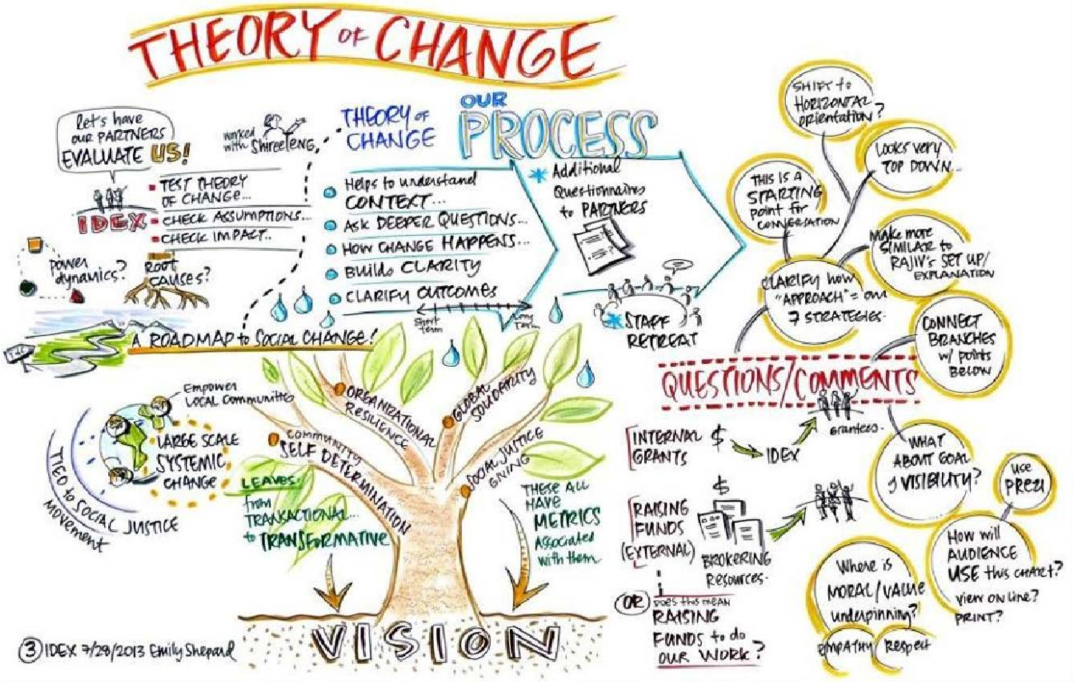
Before engaging in a common strategy/ program/ project implementation, it is a good practice for CSOs to sign a **Memorandum of Understanding (MoU)** with its partner(s), to express and state a convergence of will between the parties, indicating an intended common line of action, and/or a **Partnership Agreement (PA),** to define different roles, engagements and responsibilities over a common project (which is more like a contract).

A **MoU** usually contains information on the organizations/partners' names, strategic vision, long-term objectives, themes and/or sectors of intervention; while a **PA** goes into more details and states the organisations/partners' respective roles, cooperation tools, management structure, human resources' recruitment process and contractual obligations, financial arrangement, communication flow, controversies and validity.

1.3 Transformative Movements building as Drivers of Change

The Theory of Change (ToC) approach can be a useful tool for ***transformative movements*** to better understand the change(s) that they aim to achieve to become **Drivers of Change** and build coherent principles, strategies and practices. The Theory of Change, defined as "***a rigorous yet participatory process whereby groups and stakeholders in a planning process articulate their long-term goals and identify the conditions they believe have to unfold for those goals to be met" (***Dana H. Taplin, Heléne Clark, Theory of Change basics, ActKnowledge, New York 2013), started to be applied in the USA in mid-'90ies to better design and approach program design and evaluation in complex social contexts, shifting the focus from *Efficiency to Impact.* Instead of asking ourselves: ***which actions shall we implement to achieve our goal?*** We should ask: ***which medium-long term do we want to achieve for the benefit of our main target groups, and what are the best preconditions to obtain it?*** **Key-ideas** to introduce the topic are the following:

1. ***Movements unfold across all layers of experience****: personal, interpersonal, intergroup, institutional, structural, cultural;*
2. *Movements need to be organized around shared values,* ***to reflect the change they want to create****;*
3. *Movements must mirror the depth of the problems they face, t****o achieve exponential change and find creative solutions*** *to the issues they want to address.*



The **ToC** highlights **links, connections, and assumptions**, and enables CSOs **accountability, learning, transparency**, **ownership, and vision**, with a focus on the **outcomes** (medium-term change and impact). It takes into account the **partners** and **stakeholders** needed to implement such changes – reach the expected impact. The ToC allows for a continuous ***Monitoring & Evaluation*** process, and a "**circular thinking**" useful to strengthen CSOs capacities to generate **community-based transformative practices,** answering to the questions:

- ***What is the problem?***
- ***What are the root causes?***
- ***Who has the problem?***
- ***Who can do something about the problem?***
- ***What kind of change do we want to make?***
- ***What is the expected impact?***
- ***Why are we here?***

The participants can then be asked to share practices and experiences on ***Alliances, networking and community-based transformative practices***, asking to comment and elaborate on the following principles and practices:

1. Movement building is about transformation;
2. Cultivate a forward stance;
3. Embody a bold purpose, values and vision;
4. Movements are made of people;
5. Alliances are central to movement building;
6. Move the margins to the center;
7. Grow like an ecosystem;
8. Re-imagine and Re-invent.

(Movement Strategy Center, 2011)

Another set of statements that can be introduced to mobilize the discussion among participants around the concepts of ***Transformative Movement*** building are as follows:

- *Together we can make the difference;*
- *Transformative movements are creative and innovative movements;*
- *The value of different visions - positions - points of view;*
- *To influence policy-makers and decision-makers;*
- *To increase the trust and the impact on a wider audience;*
- *People + Relationships at the Heart of Transformative Movements;*
- *Movements create Communities in Action to a shared a Vision From a local volunteer organization to an international movement Leadership and structure;*
- *Common values – Scaling-up.*

To conclude the session. It is possible to share experiences using the following guiding questions:

1. ***Which transformative practice have you experienced?***
2. ***Can you share an inspiring experience from your activity?***
3. ***Do you have examples of Collaborative, Strategic, Sustainable transformative movements?***
4. ***"Margins-to-centre": do you have any examples?***

1.4. Strategic Planning with the Theory of Change

The **SWOT Analysis** helps the CSOs to understand the changes they need to achieve an *Impact* in their context/ environment, based on their *Strengths – Weaknesses – Opportunities – Threats*. The **ToC** helps the CSOs to define their **Long-Term Outcomes (LTO)** and the different steps which are necessary to get to the desired – expected change. This is why the ToC can be applied to the CSOs Strategic Planning, as a tool useful to understand ***which change(s) and impact the CSOs want to achieve*** and ***what to do to achieve it.***

This Unit can be introduced by a few questions to the participants, also highlighting the links with the previous sessions:

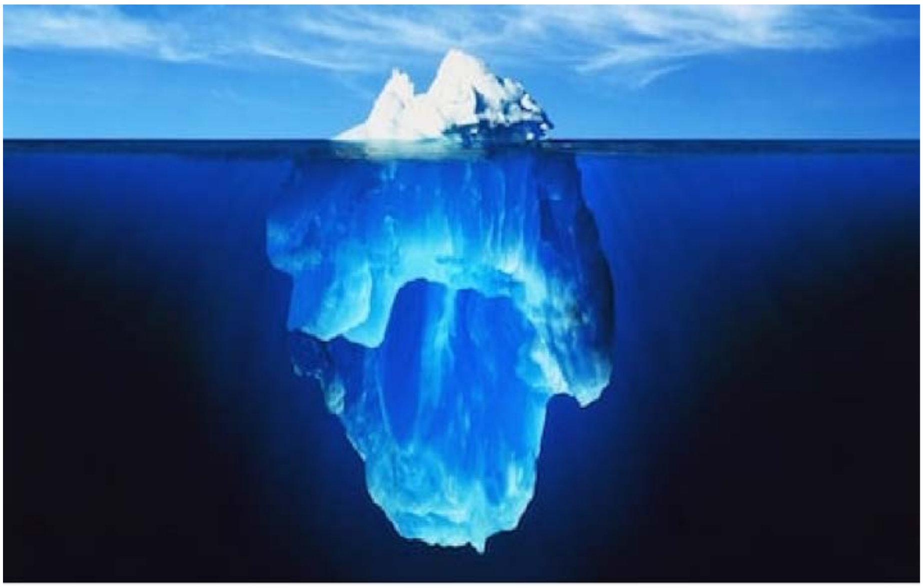
- *What is the ToC?*
- *What is "change"?*
- *Which change do we want?*
- *How does change happen?*
- *How can we make change happen the way we want?*
- *How do we reach our goals?*

EXERCISE N.4: The following table can be helpful to reflect with the participants to the question: "***How does change happen***?" and to highlight the main factors, reasons, why and how, to enable activists and associations ***to act toward CHANGE***:

Where does change come from?	Mark the three you most believe in:
The Ladder: Change is achieved by allowing people to resolve immediate needs and gradually accumulate resources and voice.	
Enlightened Elites: Change is achieved by shifting the hearts and minds of people in power, either through self-interest or threat, leading them to make institutions and policies more responsive.	
People in the Streets: Change is achieved by building enough political pressure from below to ensure that institutions uphold their obligations and distribute power more equitably.	
A Good Example: Change is achieved by showing that 'it can be done'. Localised success creates belief and provides safety for individuals, institutions, and countries to follow suit.	
Shock to the System: Change is achieved when power structures can't cope, due to sudden collapse or natural disasters. Weakness of elites is revealed, and new institutions and/or leaderships emerge.	
Follow the Leader: Change originates from individuals who, through example and personality, inspire others to change their behaviour. Change is infectious, exponential.	
The Power of Belief: Change comes through widespread consciousness-raising that profoundly shifts how people understand their rights and the basics of human dignity. Values are at the core of social change.	
Good Old-Fashioned Democracy: Change comes through formal democratic processes (political parties, elections) and/or direct exercise of democratic processes through community based participation (town councils, neighborhood committees).	

From Rosalind Eyben, 'Thinking about change for development practice: a case study from Oxfam GB'.

Like an iceberg, the ToC highlights the **Process** - the "deep" ***Causes*** **-** beneath the **Product** – the "visible" ***Effect***:



If “change” is the ultimate vision of social impact that the CSOs wish to create, a ***“theory of change”*** is simply your idea, on how you believe you can make that happen. CSOs goals are often reached through ***mobilisation, relations, projects, activities, campaigns, resources management*** (budget, staff, and time).

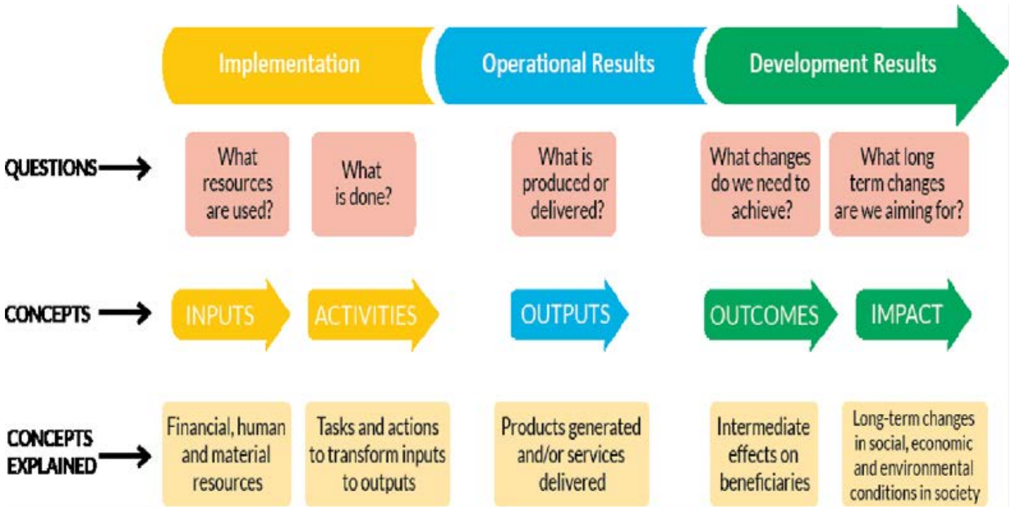
But why is the ToC approach relevant?

The participants can be mobilized to analyse and discuss the following items and define why an “***approach to change***” can be useful for an organization to be:

- More **ACCOUNTABLE**: highlights the medium-long term changes to achieve, thus clarifies each step which is deemed necessary to reach the ultimate goal, in terms of strategic and operational plan and resources;
- Become a **LEARNING ORGANIZATION:** a continuous process of reflection and learning, useful to monitoring, evaluation and planning based on lessons-learnt and highlighting the direction to move to be “*agents of change*”;
- Acquire and feel more **OWNERSHIP:** a participatory process where all actors are involved and contribute to an increasing sense of ownership of each member, activist, staff, volunteer, and stakeholder;
- Define its **VISION**: useful to define the ultimate change, thus the vision that a CSOs aims to reach through its MISSION, translated into the Strategic and them the Operational planning tools;
- Conduct **EVALUATION** vs. *“Hamster wheel”* **-** “*Call-Project-Call- Project…*”: as a process of reflection and learning, allows a participatory reasoning around the CSOs goals and
- Better understand the link between **MEANS-GOALS**: how to reach the Goals, which Means are needed?
- It can favour **TRANSPARENCY**: as a participatory process bringing to accountability, learning, ownership, the ToC favours a continuous process of sharing, exchanging, mutual transparency among CSOs actors and stakeholders.

To design a ToC, as a first step towards **Strategic Planning**, these are the highlights which shall never be missing:

1. The highest clarity possible on the wished **long term impact** (based on CSOs mission and vision);
2. The **Stakeholders' mapping** – internal and external to the organization – who are important for that change («*who*» is supposed to change);
3. The **short-term results/changes** that are necessary to generate the impact, rigorously and consequentially structured;
4. The explanation on ***“how” these short-term changes will happen*** (casual, but not necessarily linear connections);
5. The ***evidence of these connections*** (*the reasons why I am expecting that if change A happens, then change B will happen too – Assumption*);
6. The clarity on which connections are under the Organization control and up to which point;
7. The **short-term changes** that the Organization decides to give priority to;
8. A **monitoring and evaluation** system.



The training session highlights each step separately, focusing on team-work and practical exercises.

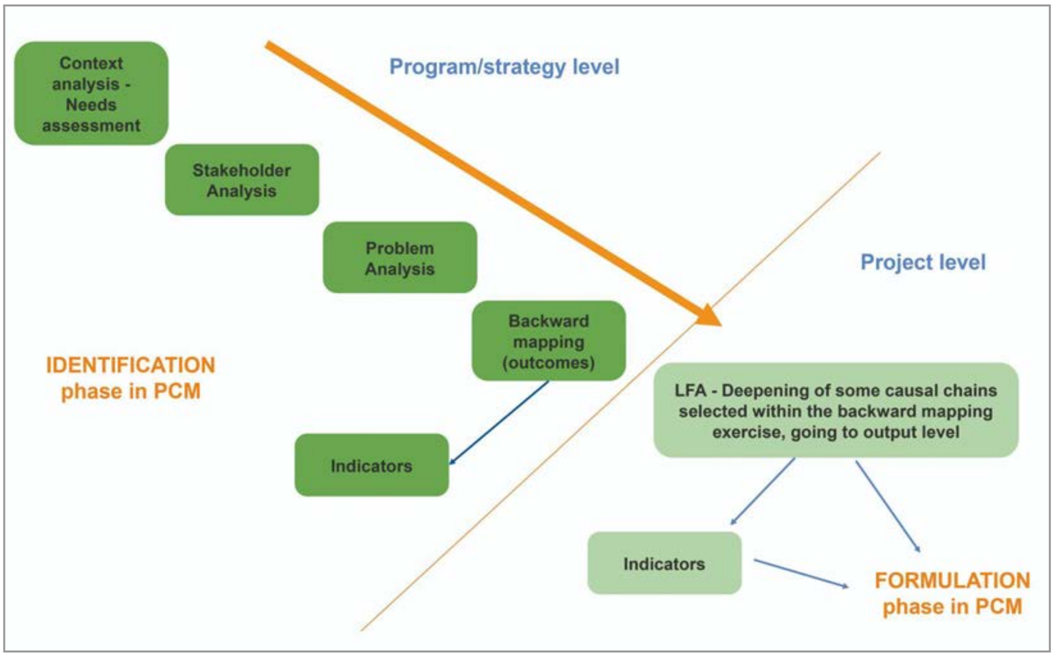
CSOs thus need ***to define their LTO(s)***, as the first step to design a ***roadmap*** and move along the ***Result-Chain.***

Where do we start from?

The first step is to agree on a ***Long Term Outcome (LTO***): "*the goal you want to reach, which is the purpose of your organization or program"****.***

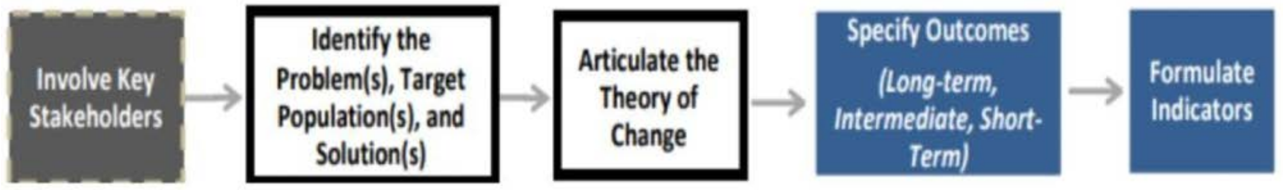
EXERCISE N.5: LET'S DEFINE OUR LONG-TERM OUTCOME

- *Think about what you want to change, where do you want to have an impact: what is your vision? What is your mission?*
- *Remember the problems you want to solve; it can help you better understand what you want to reach*
- *Find a common point of view and agree on a Long-Term Outcome for your CSO.*



The second step, once defined a LTO, is the ***Stakeholders Mapping***: “*with whom can we approach – reach our LTO?*” *Who can be my CSO partners/ allied and who is my CSO opponent /enemy?*

- *Who can influence change(s)?*
- *Who are the CSO main stakeholders – internal and external – to make the change(s) happen?*



EXERCISE N.6: LET’S MAP OUR STAKEHOLDERS

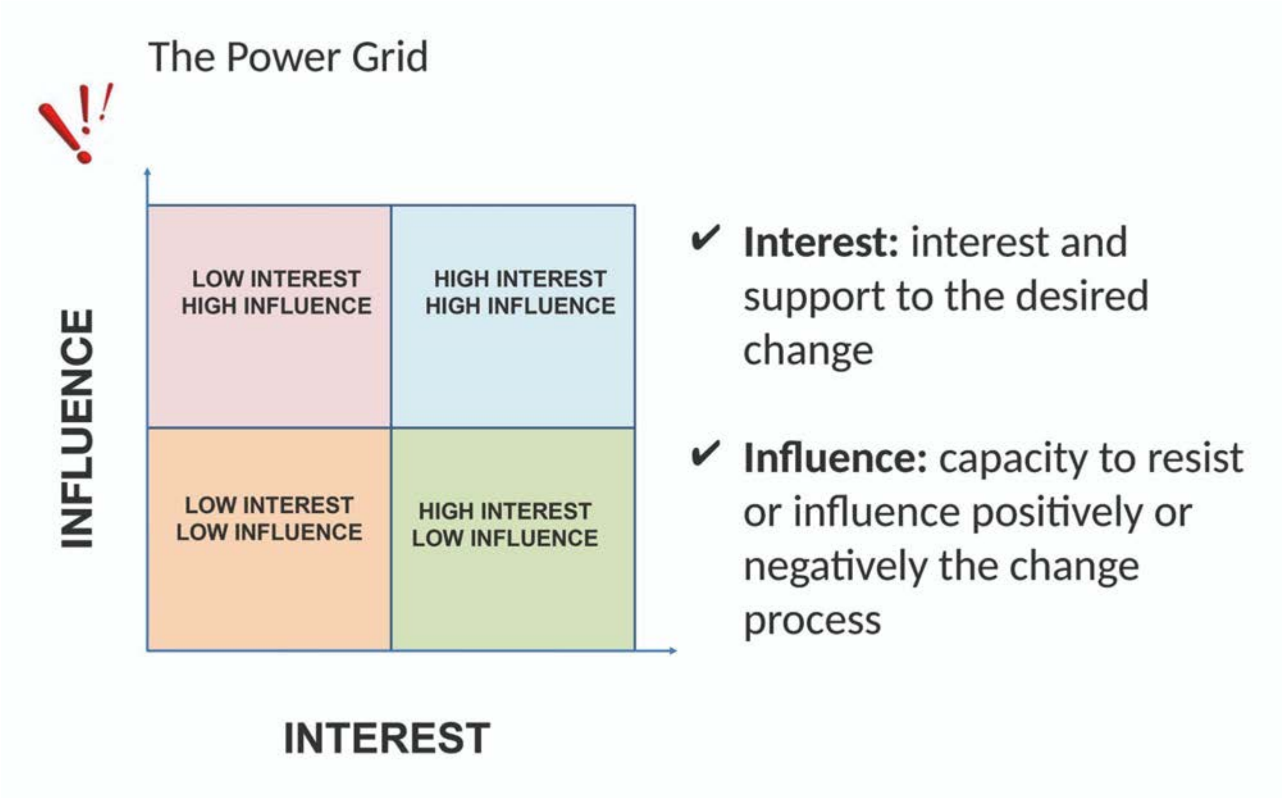
- *Think about your context;*
- *List stakeholders (about 10 most important) in the table;*
- *Write their names and insert them in the grid, where you believe they belong;*
- *Circle those that will be actively involved in the definition of the ToC;*
- *Draw arrows for those stakeholders that shall improve their interest/influence in change, to have an impact / or as a result of the programs/project you will implement.*

It is helpful to use a case study**. Example of a CASE STUDY. Long-term outcome: *LGBTI people have e satisfying job.*** Stakeholders listed in the table below are those selected by the participants as the most relevant to approach – link with to reach the objective:

Private Sector Stakeholders	Public Sector Stakeholders	Civil Society Stakeholders	People
Enterprises Fundations Value Chain stakeholders Private Media Cooperatives Private universities Markets	Ministry of labour Ministry of Social Affairs Municipalities Un agencies European Union Public Media Public University	LGBTI Associations Local CSOs CBOs International CSOs Local communities Community radios Labor Unions Traditional authorities Church or religious entities	LGBTI people Families Youth Children in school Heterosexual people (?)

The ***Stakeholders Mapping*** should then be completed by a ***Stakeholders Analysis***, using a ***Power Grid*** showing the level of **Interest** (*support to the desired change*) **– Influence** (*capacity to resist of influence positively or negatively the change process*) that each Stakeholder has towards the CSO, its missions and vision and its LTO:

So the selected Stakeholders can be represented according to their respective position on the grid:



The 2nd part of the exercise is *to move more interesting – influencing Stakeholders to higher level of Interest – Influence.* Whoever has a ***High Influence***, even if with a *Low Interest*, should be regarded as important Stakeholders to address, since they can have a say – positively or even negatively – on the LTO and the CSO strategy to reach it; whoever has a ***High Interest***, even with a *Low Influence*, can be a relevant Stakeholder to support the CSOs efforts towards the LTO.

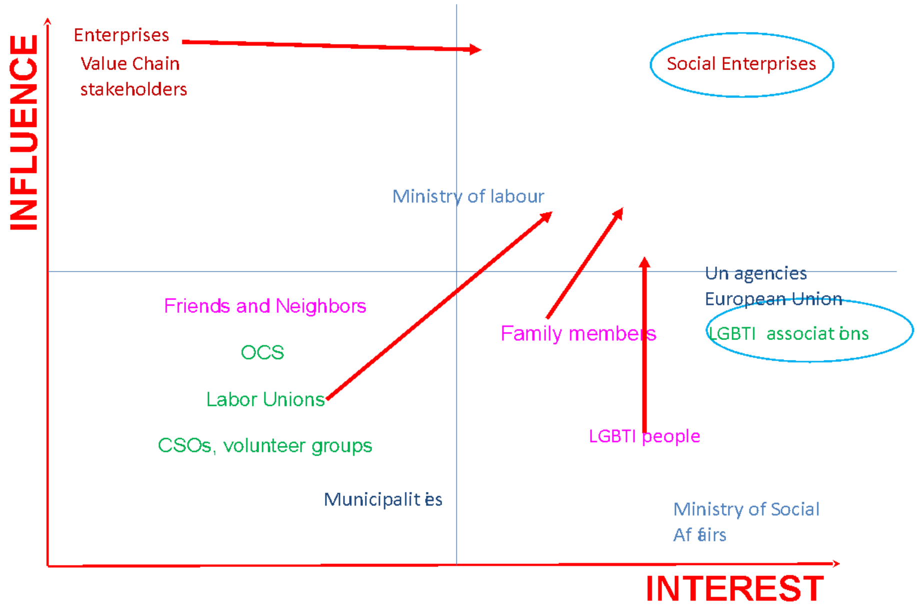
The position that the participants allocate to a *Stakeholder* on the grid shows the actions they need to take with them:

- **High power, highly interested people (Manage Closely)**: fully engage these people and make the greatest efforts to satisfy them.
- **High power, less interested people (Keep Satisfied)**: put enough work with these people to keep them satisfied, but not so much that they become bored with your message.
- **Low power, highly interested people (Keep Informed)**: adequately inform these people and talk to them to ensure that no major issues are arising; people in this category can often be very helpful with the detail of your project.
- **Low power, less interested people (Monitor)**: monitor these people, but don't bore them with excessive communication.

The exercise shows that the participants list their stakeholders in the **4 categories (public, private, CSOs and people),** identifying both "positive" and "negative" stakeholders (institutions or persons which/who can perpetrate a negative image and have a negative impact on CSOs organisations and activists).

Interesting **considerations for the group work** are that: *1) people belonging to the same stakeholder/institution can behave differently and show a different interest/influence*; *2) stakeholders can have low interest but high influence (so they could help to change, if they are driven into the direction-to the LTO we want to achieve)*; *3) CSOs should set mechanisms to achieve their goals*.

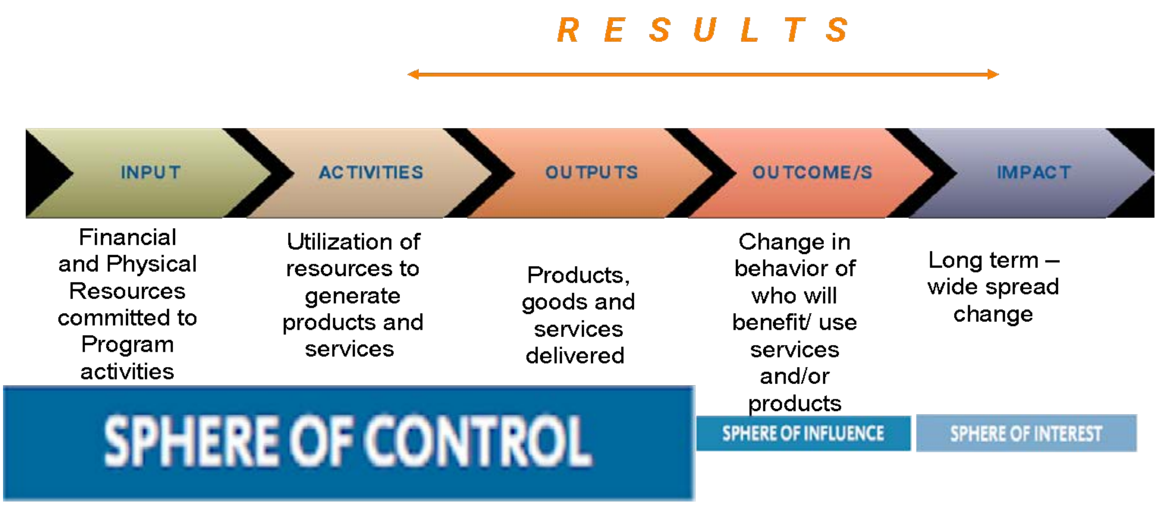
The exercise clarifies also that a Stakeholders Analysis can be very useful at different levels: strategic organizational level (Board); multi-annual program level; project level.



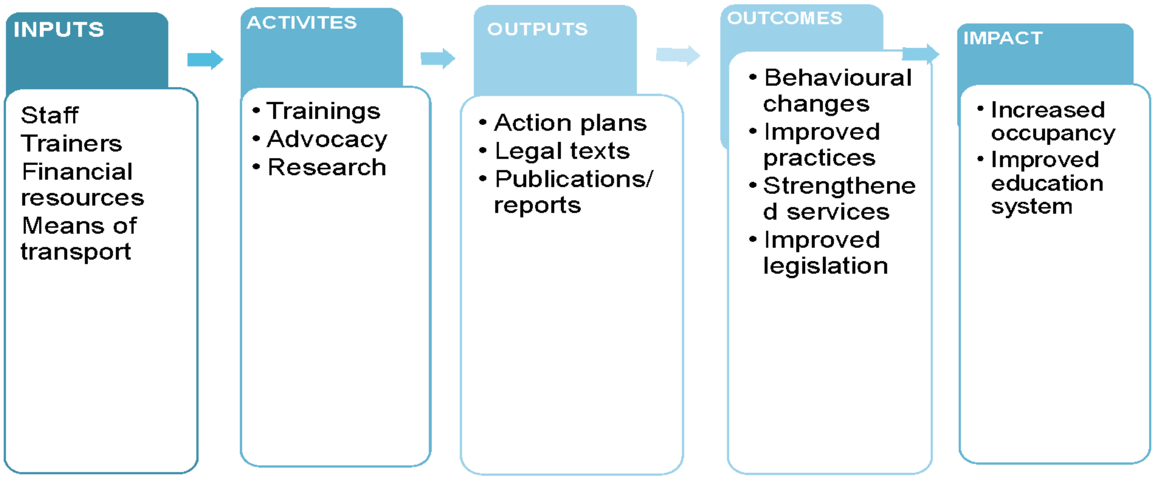
Defining the LTO (what we want to reach as part of our strategy) and ***mapping / analysing the Stakeholders*** to reach it (whom do we need to reach our long term outcome), are the prerequisite to understand the **Result Chain,** to gradually move from the CSOs Strategic Plan to the Programmes/ Projects level along an "ideal line" from the current to the desired situation, to generate change and innovation.

In the graph below, ***Input – Activities – Outputs*** are under the **Sphere of Control** of the CSOs, ***Outcomes*** are under their **Sphere of Influence,** while the ***Impact*** falls largely outside of the possibility to control /influence, still being in their **Sphere of Interest**, thus matching with the Stakeholders analysis and the need to "move" more influential Stakeholders in the quadrant where they can express *more Interest and more Influence* over the LTO.

The Result Chain: from the current situation to the desired situation

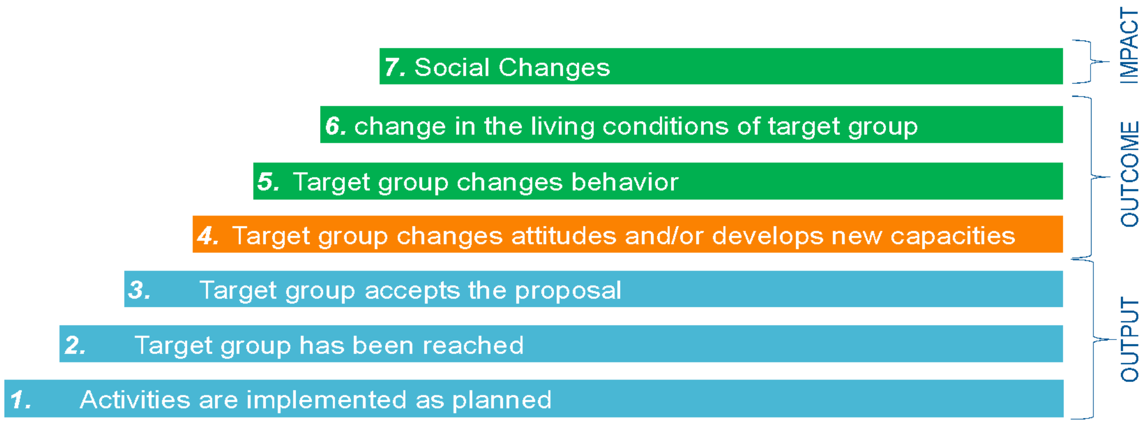


An example to clarify what is an Input, an Activity, an Output, an Outcome and an Impact can be represented as follows:



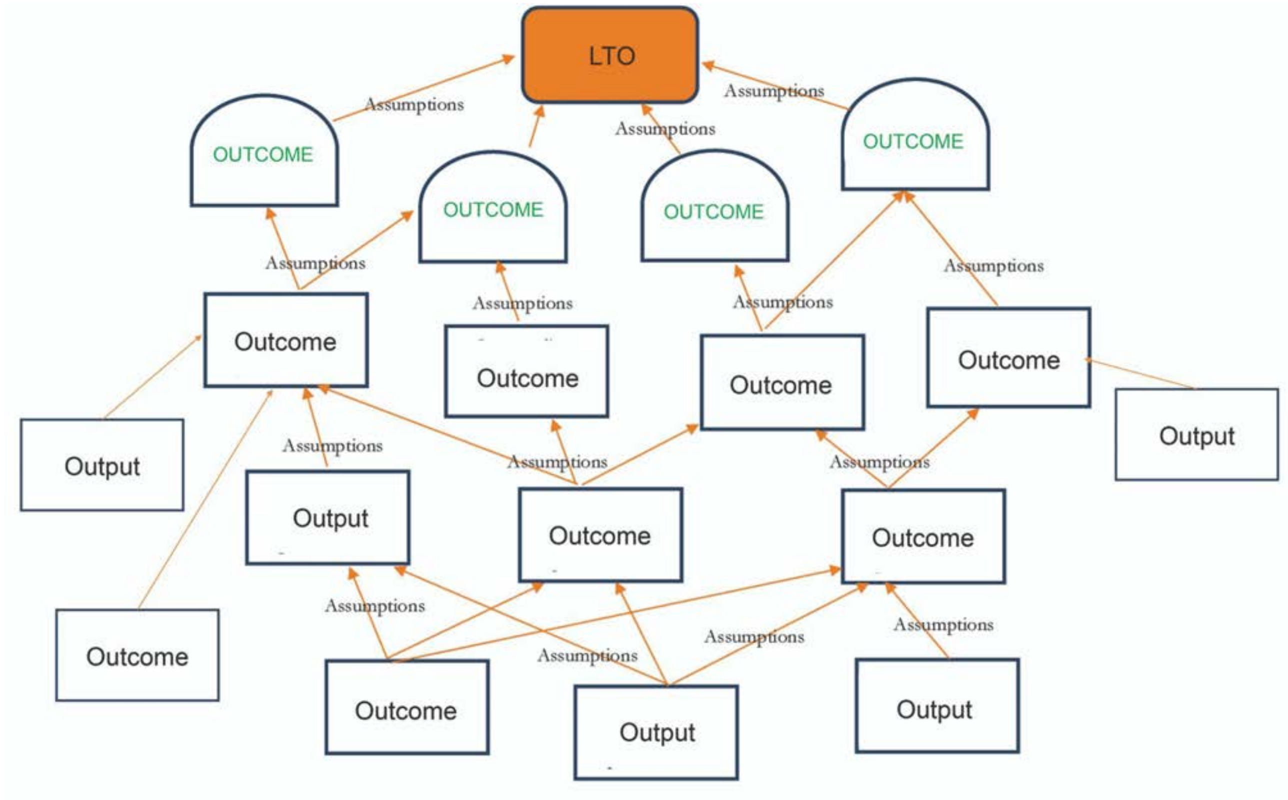
Another graphic representation of ***how Changes occur*** from the Output to the Impact level shows the consequent logic of the **Theory of Change**:

- IF Activities are implemented as planned;
- IF Target groups have been reached by the proposed Activities;
- IF Target groups accept the proposals;
- IF Target groups then change attitudes and/or develop new capacities as a consequence of the Activities;
- moreover, IF Target groups change behaviours;
- THEN there are changes in their living conditions /present situation;
- AND this process produces Social Change and Impact in the context / on the long term.



The third step is to draft the ***Backward Mapping***, which is an "***unpacking exercise***": trying to move from the LTO to the short-term outcome along all the steps necessary guided by the following questions:

- *Which are the short-medium term changes that are necessary to generate the impact?*
- *How will these short-medium term changes happen?*
- *Why am I expecting that if change A happens, then change B will happen too?*
- *What else should change? And what else? What else?*



EXERCISE N.7 : BACKWARD MAPPING

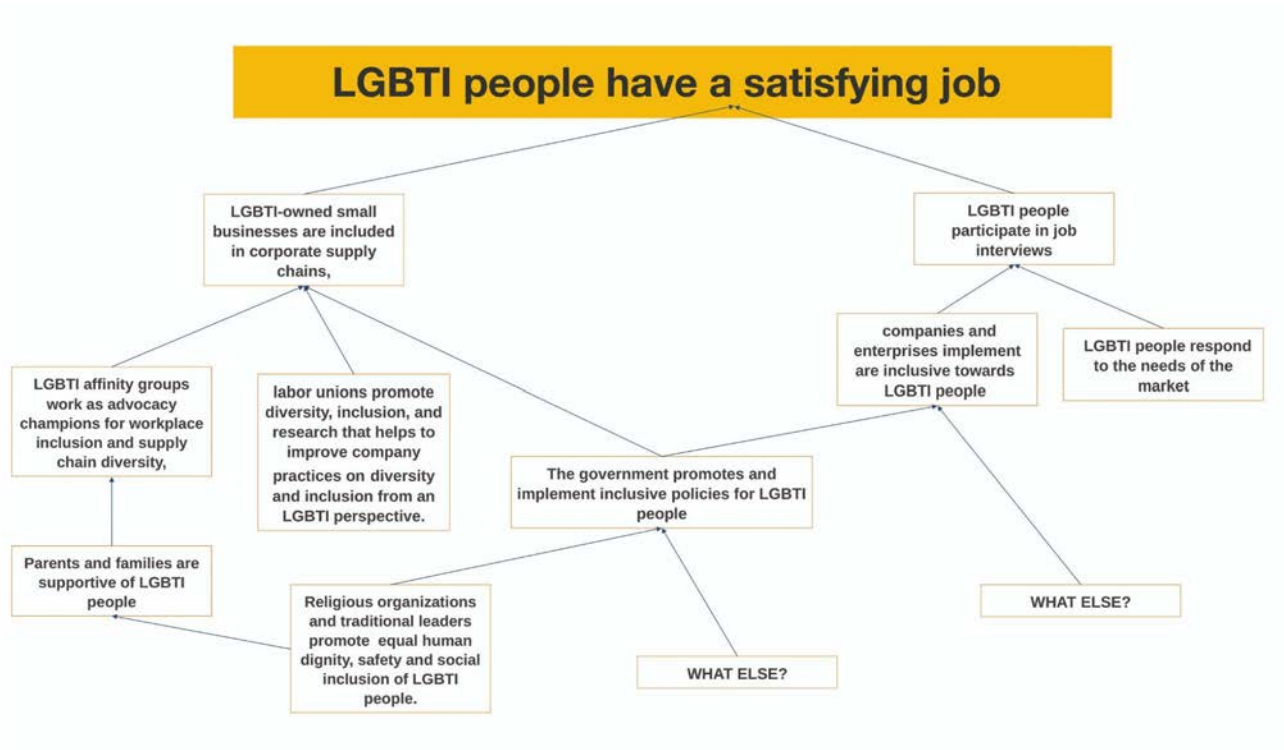
- *Define your preconditions/outcomes*
- *Start the sentence specifying the target group*
- *Use present/active verbs to describe changing conditions: refer to change as if it had already happened*
- *Express change without negations*
- *One sentence, one verb*
- *Use arrows (cause - effect)*
- *Don't throw anything away (whatever is not needed now, can be useful in the future, put it in the Parking lot)*

This is not an easy exercise, but the participants usually show great enthusiasm about it and learn to highlight and see connections, often starting from a confused (messy, chaos) and articulated map, *to unpack and agree* on a clearer strategy.

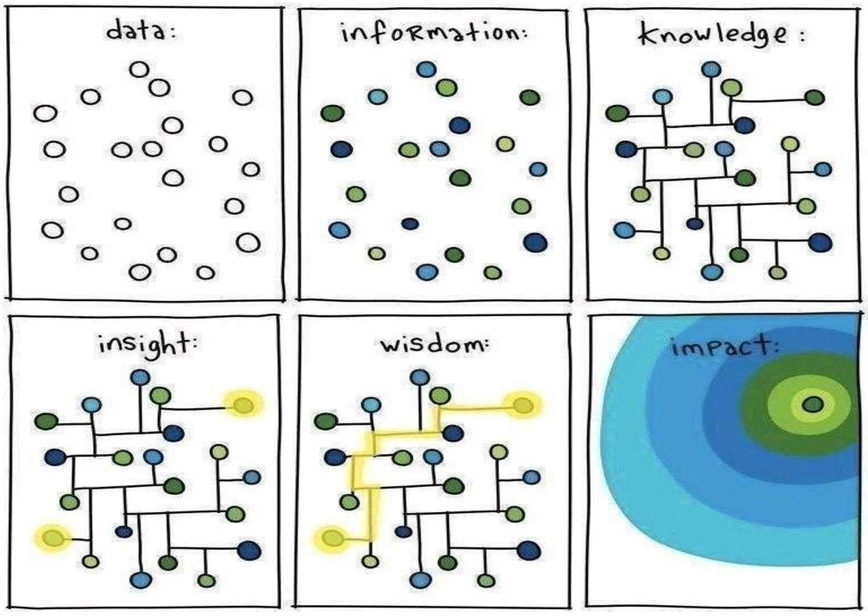
Additional outputs from this exercise can include: to understand how to go back to the Stakeholders' mapping to make changes and re-select those who can better support – influence their LTOs; how a particular group can influence another and so on (ex. *leaders influence the community, media influence the policy makers*); how it is important to differentiate between *Behavior and Change;* how to go back-and-forth, analyze, collect more data, research, unpack and then change and amend.

Example: **LGBTI people have a satisfying job (LTO)**

- *IF* LGBTI-owned small businesses are included in corporate supply chains;
- *IF* LGBTI people participate in job interviews;
- *IF* LGBTI affinity groups work as advocacy champions for workplace inclusion and supply chain diversity;
- *IF* parents and families are supportive of LGBTI people;
- *IF* labour unions promote diversity, inclusion and research that helps to improve company practices on diversity and inclusion from an LGBTI perspective;
- *IF* business ideas respond to the needs of the market;
- *IF* the government promotes and implements inclusive policies for LGBTI people;
- *IF* companies and enterprises are inclusive towards LGBTI people;
- *IF* religious organizations and traditional leaders promote equal human dignity, safety and social inclusion of LGBTI people;
- IF.... *What else? What else?*



“*There is nothing as practical as a good theory*” (Kurt Lewin)



Illustrating some examples of ToC diagrams, drawn from selected projects, can also be useful to explain the logic:

1) ***Mitigating the effects on Food Security and Malnutrition caused by the prolonged drought of El Nino in the Southern African Region:***

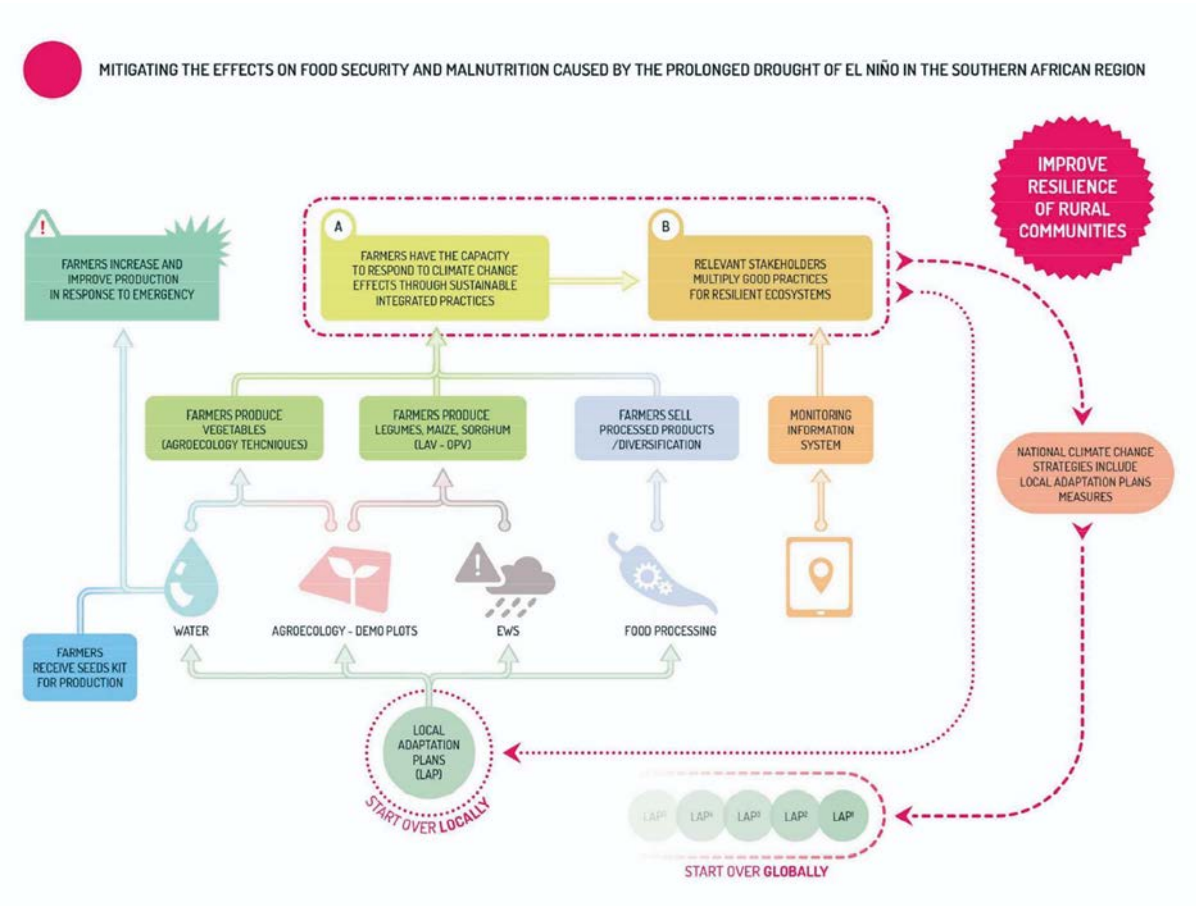
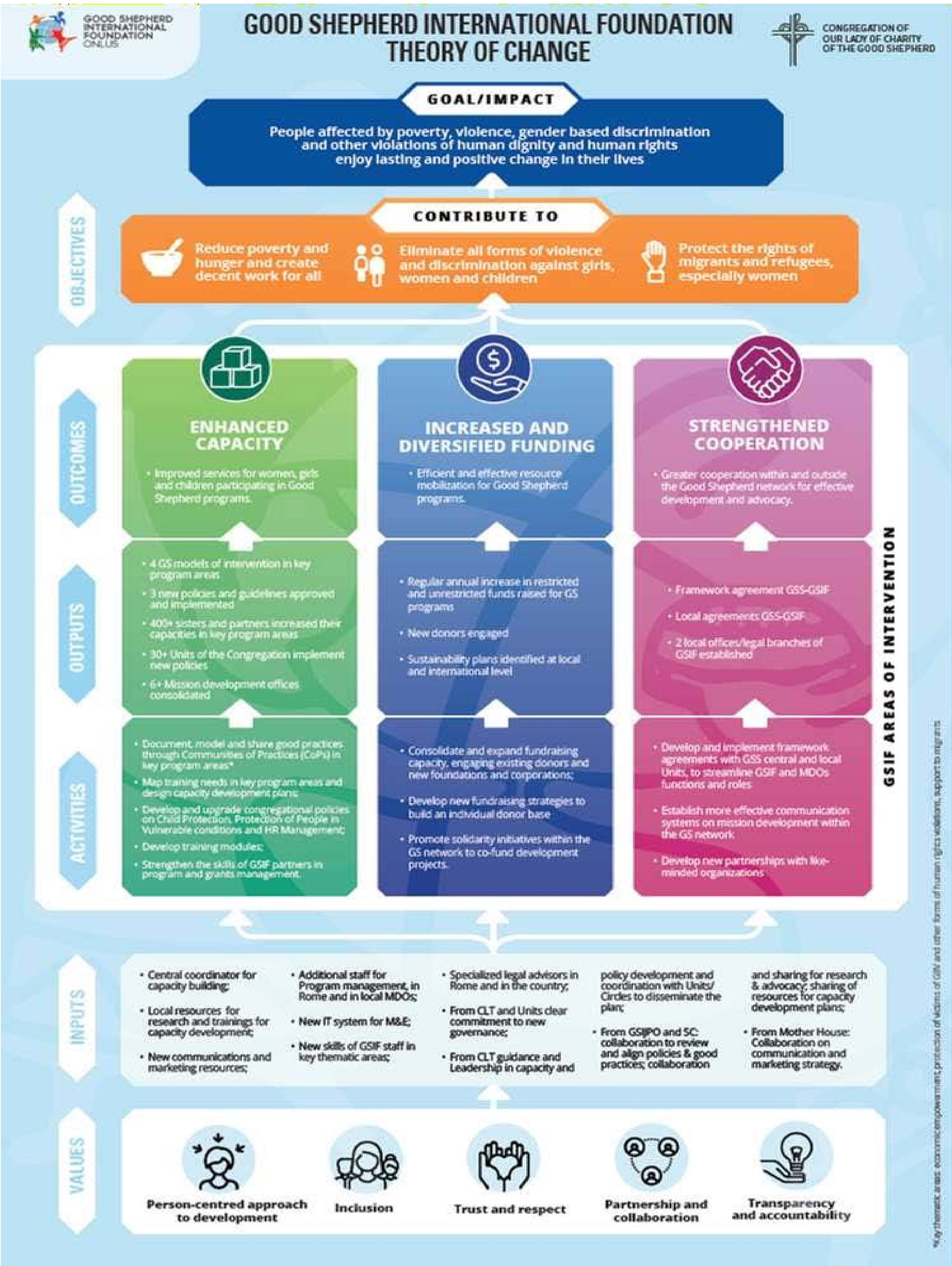
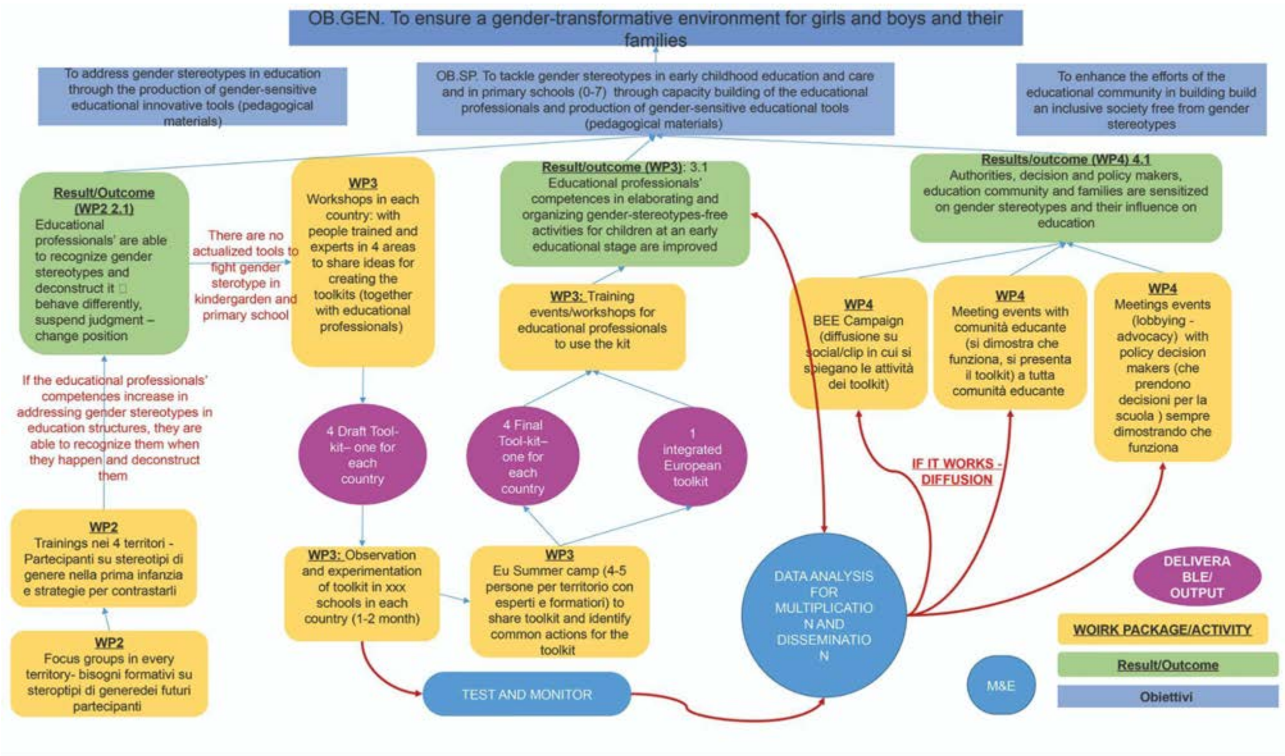


Figura 1 - La Teoria del Cambiamento del programma

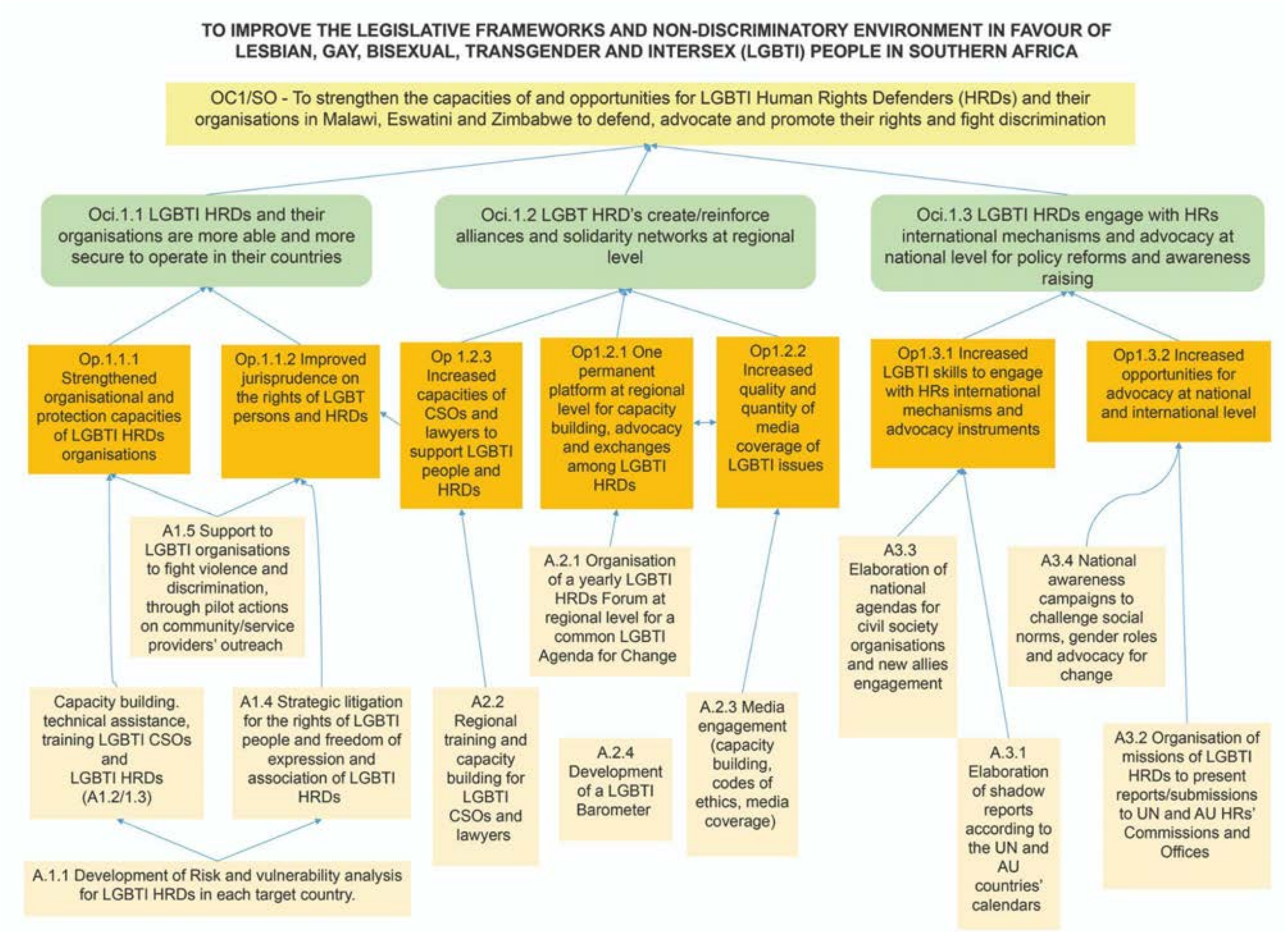
2) Good Shepherd International Foundation Theory of Change:



3) BEE (Boosting Equality in Education) project:



4) Out&Proud project:



2...... to Projects…

2.1. Results-Based Management approach (RBM)

This 2nd Unit takes over from the previous one, recalling the main steps *to ground the ToC approach* into the programs and projects level: a careful ***Context analysis***, integrated by a participatory ***Needs assessment*** and a thoughtful ***Stakeholders' analysis*** *s*hould bring to agree on one or more ***Outcome (s)***, which are grounded through a ***Backward Mapping*** exercise to the programs and/or projects level.

The **Results-Based Management (RBM)** approach can be useful at this stage, to identify and connect causes-and-effects and link **Activities** to the **Outputs** we want to achieve to realize our **Outcomes**, which bring directly to the desired **Impact**.

The RBM can be defined as:

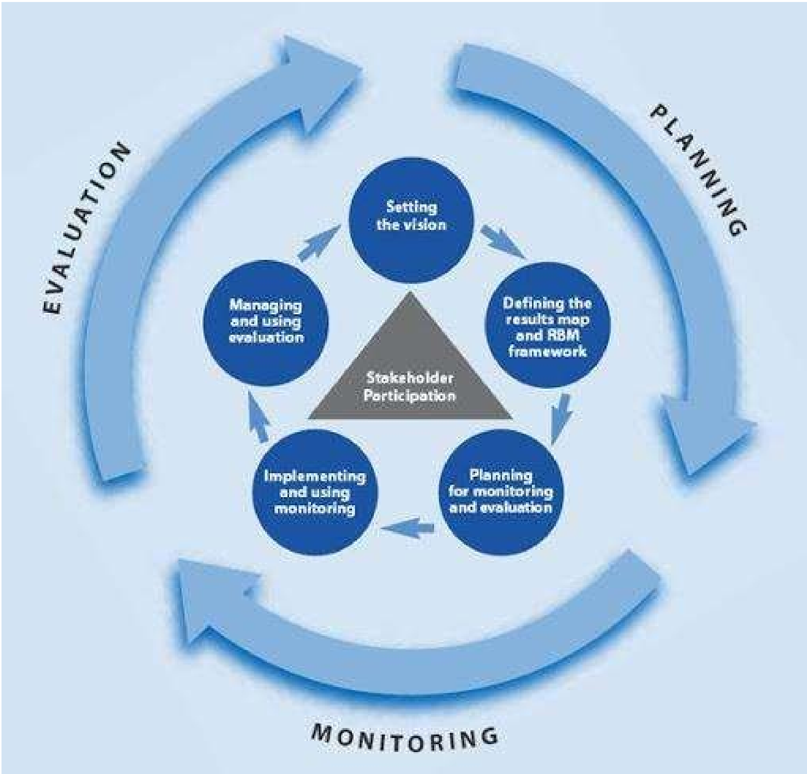
- *A management strategy whereby all actors participate directly or indirectly in achieving a set of results;*
- *An approach that ensures that resources, processes, products, and activities contribute to the achievement of desired results in the short, medium and long term.*

The RBM allows to:

- *Foresight that frames action from a strategic rather than a procedural perspective;*
- *Clarify the priorities and targets of a project/programme;*
- *Manage the expenditure of a project/programme according to its priorities and the visualisation of a desired situation;*
- *Monitor and evaluate the effectiveness of results and impact;*
- *Empowering project/programme managers and promoting participatory and inclusive management*
- *Increase transparency and accountability of teams to donors and targets;*
- *Adjust programmes and projects and internal management systems according to the results achieved.*

The RBM approach:

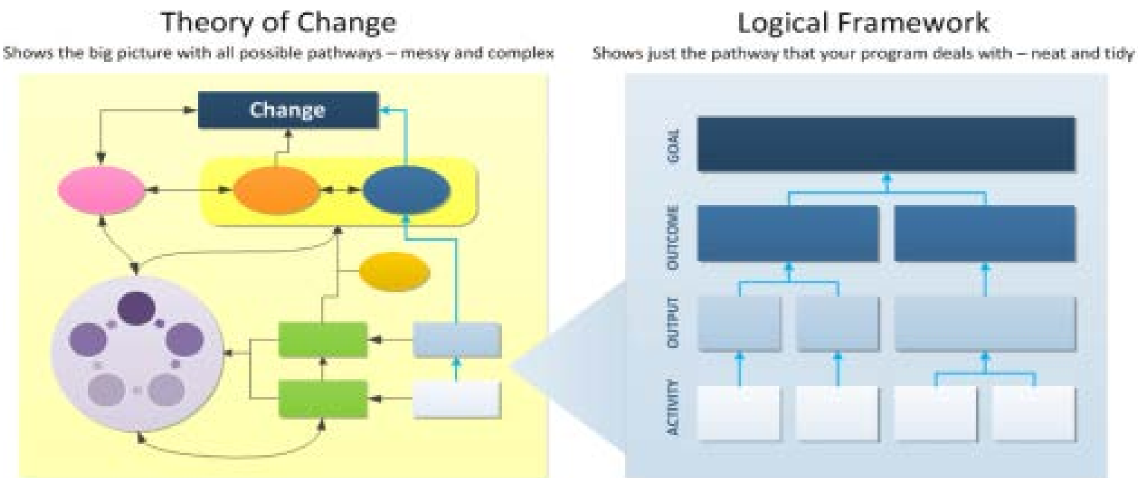
- *Define realistic expected results based on appropriate analysis;*
- *Clearly identify project beneficiaries and design actions to meet their needs;*
- *Track/monitor progress towards results and resources consumed with the use of appropriate indicators;*
- *Identify and manage risks, bearing in mind the expected results and the required resources;*
- *Report on the achieved results and the involved resources;*
- *Increase knowledge by learning lessons and incorporating them into decisions.*



EXERCISE N.8: LET'S GROUND AN OUTCOME!

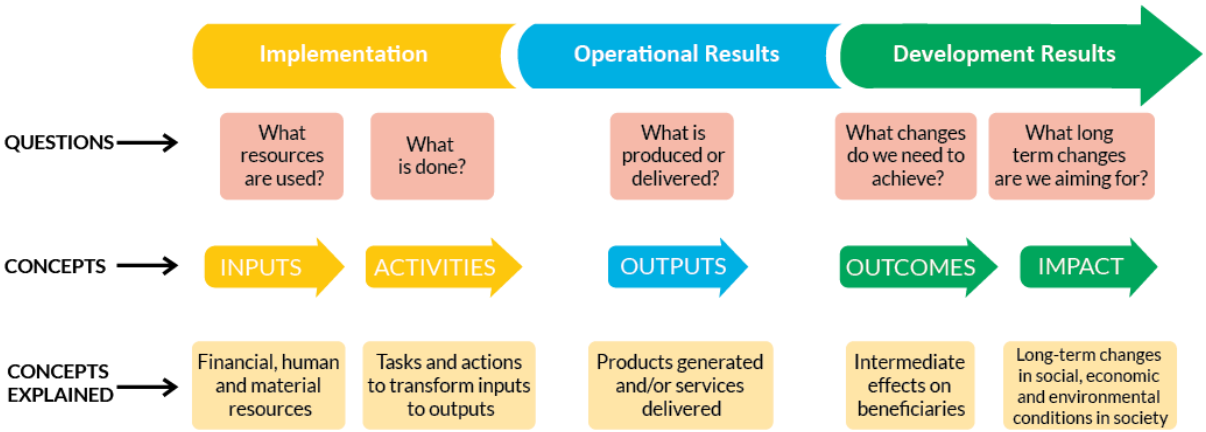
This exercise allows the participants to move forward along the ***Results Chain*** unpacking and selecting one or two outcomes from their ***Backward Mapping,*** to highlight the connections, recap the whole ToC approach to ***ground one /two outcomes*** going down to the activities level and checking if they are the right ones to bring to the desired outputs/ realize the outcomes, answering the questions:

- "*what needs to be done to achieve the outcome (s)?*"
- "*is that enough/ or do we need to add something else to reach it/them?"*



Methodology:

1. Choose 1 or 2 outcome/s from your backward mapping (if you choose 2 outcomes, connect them by an arrow);
2. Define the problem/mechanism at the starting point;
3. Define the activities and related resources (human, material, financial, time) you will provide to give opportunities;
4. Write the generated outputs;
5. Ask yourself: IS THAT ENOUGH? IS IT WORKING?
6. Check/change your outcomes;
7. Share your thoughts and choices in plenary.



2.2. Project Cycle Management approach (PCM)

The RBM is linked and based on the **Project Cycle Management approach (PCM)**. The two approaches and tools aim to improve:

- *decision making;*
- *transparency;*
- *monitoring and evaluation;*
- *accountability;*
- *learning.*

As for the RBM approach, the PCM is a tool useful to manage the entire project cycle, from its **concept** to the **identification** phase, from its **feasibility** to formulation, design and **proposal** writing, through the different steps of **funding** and then **project implementation, monitoring, evaluation**, assessing its **impact** and achieved **change(s)**, to close the cycle with re-programming, re-designing and implementing new actions/projects built on lessons learnt.

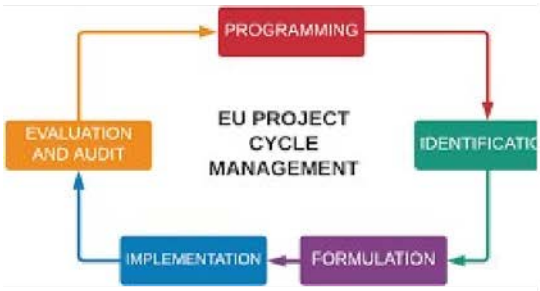


Figure 1: European Commission's Project Cycle Management

But what is a project? And why do we need projects?

- *A project is a working tool;*
- *A set of resources to reach a goal - the CSO strategic plan;*
- *A tentative (and partial) answer to one or more needs;*
- *A project is limited (objectives, themes, resources, time…);*
- *A project has one or more general objectives, one or more specific objectives, a set of expected outcomes and activities, one or more partners, one or more target groups, human, material and financial resources to achieve its objectives, a defined and limited time-frame and one or more donors.*

Why is the PCM useful? Because it allows for:

- *Detailed analysis of each phase;*
- *Problem-solving;*
- *Intervention logic and re-framing;*
- *Activities planning;*
- *Monitoring and follow-up;*
- *Operational planning*

PCM tools are those illustrated in the previous sessions: defining a **CSO Mission and Vision** and a **Strategic plan**, collecting background documents, studies and researches to build the **context analysis**, the **needs assessment** and the stakeholders' mapping and then analysis on solid ground.

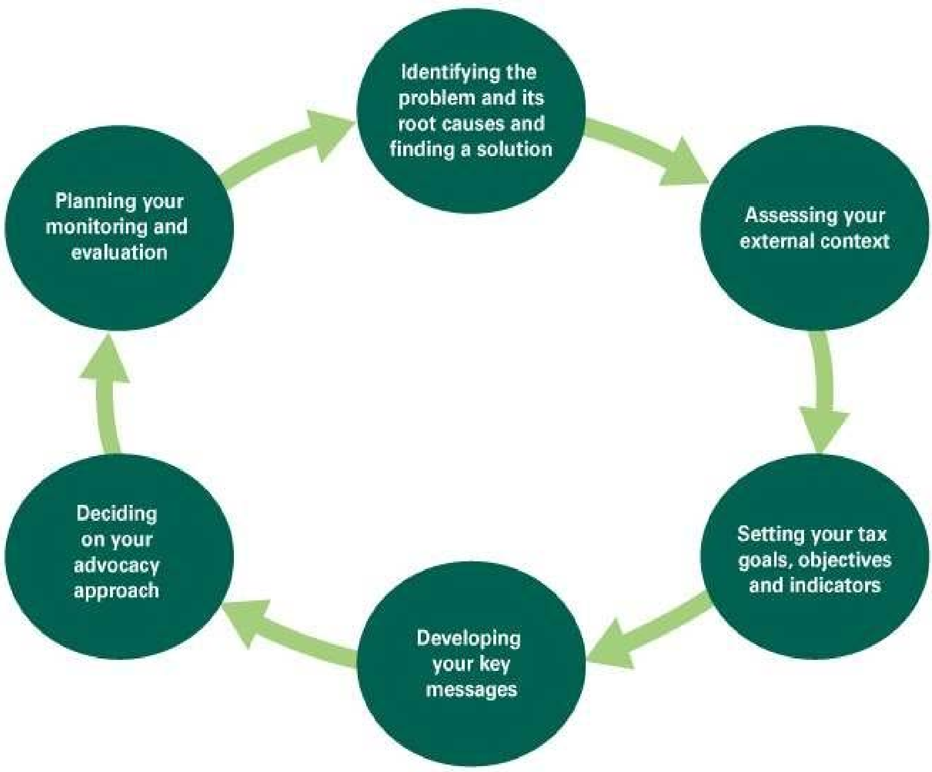
- **Programming:** CSO strategy - Definition of goals and objectives
- **Identification:** Context and problem analysis - Feasibility studies
- **Formulation**: Analysis of funding opportunities - Project proposal writing - Fund-raising
- **Implementation**: Project management - Activities achievement
- **Evaluation**: Monitoring - on-going and final Evaluation – Audit
- **Re-programming.**

A project is a set of resources to manage:	**Thanks to appropriate tools such as:**
Human *Material* *Financial* *Time*	● *Partnership Agreement (PA)* ● *Organizational Chart* ● *Project Operational Plan (POA)* ● *Timetable* ● *Monitoring Plan (MP)* ● *Communication Plan (CP)* ● *Budget*

As an example of RBM and PCM approaches it is useful to analyse the different steps necessary to *plan, design, launch, implement and assess* the results of an **Advocacy Campaign**, which requires the following:

- *Define the ultimate goal and the cause we want to change;*
- *Define the target audience(s): politicians, institutions, local authorities, leaders, influencers, media, general public;*
- *Define the policy and the objectives;*
- *Identify allies and opponents (stakeholders' mapping);*
- *Agree on a message – or multiple messages, and the most appropriate means to convey them;*
- *Define the activities to implement to achieve the expected Outputs – reach the Outcomes;*
- *Developing the Advocacy campaign;*
- *Keep a timeline: when does the campaign start and end? What are the key dates?*
- *Secure the needed resources: budget, available staff, skills, volunteers, contacts;*
- *Inform – Raise awareness – Mobilise - Provide support and solidarity;*
- *Conduct aa Risk analysis: what are the possible risks and how can we minimise them?*
- *Measuring the impact of advocacy actions*

An Advocacy campaign / action can thus be represented as a cycle:



2.3. Logical Framework Approach (LFA):

The third tool illustrated in this Training Manual is a logic consequence of the previous ones: the **Logical Framework Approach (LFA)** helps to structure the selected ***Impact, Outcomes, Outputs, Activities (and Resources)*** into a ***Logic of Intervention (LoI)***, thus defining a **PROJECT.**

The LF takes the needed inputs from the Context analysis, the Needs assessment, the Stakeholders' mapping (Identification and Feasibility phases), and helps **to translate the Strategic level into the Programme/Project level.** The ***LFA allows to deepen some causal chains selected within the Backward mapping exercise***, to **ground the outcome(s)** to the output(s) level.

The **THEORY OF CHANGE** goes beyond this and focuses on why changes happen. It contains all preconditions for long‐term changes, including those outside of the project's (or programme´s) direct control (contextual factors). Furthermore, it presents a rationale for choosing the project, assumptions for the change processes, and evidence which underpin these assumptions.

The **INTERVENTION LOGIC** identifies what changes the project wants to help bring about in a given context, how the associated change processes might happen and why.

The **RESULTS CHAIN** shows the logical relationship among invested resources, implemented activities, and the achieved changes or results of a project or a programme.

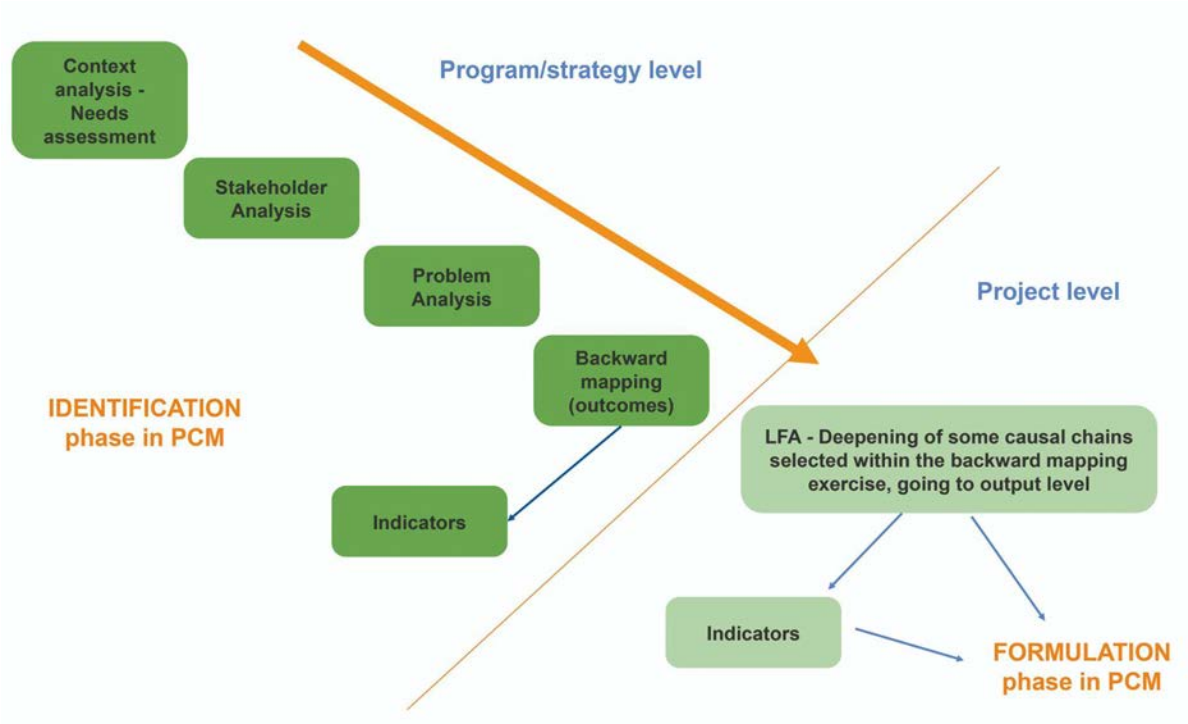
The **PROJECT LOGICAL FRAMEWORK** thus sets out what the project will do, what results it will deliver and how this will be monitored. It is a way of depicting a results chain, together with indicators, sources of verification and assumptions on which we think the project will unfold.

Moreover, the LF adopts the **Result-Chain approach**, defining not only the so-called **Vertical Logic:**

- *Impact*
- *Outcome(s)*
- *Output(s)*
- *Activities*
- *(Means & Costs)*

But also the so-called **Horizontal Logic**, including:

- *Indicators (with Baseline, Current and Target values)*
- *Sources and means of verification*
- *Assumptions & Risks*

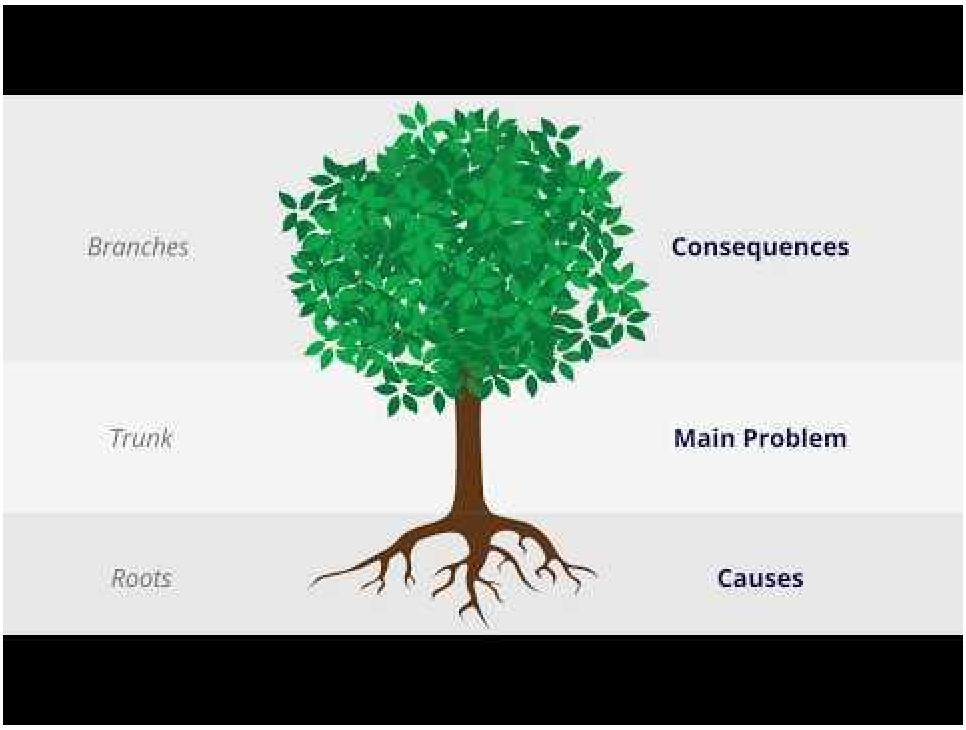


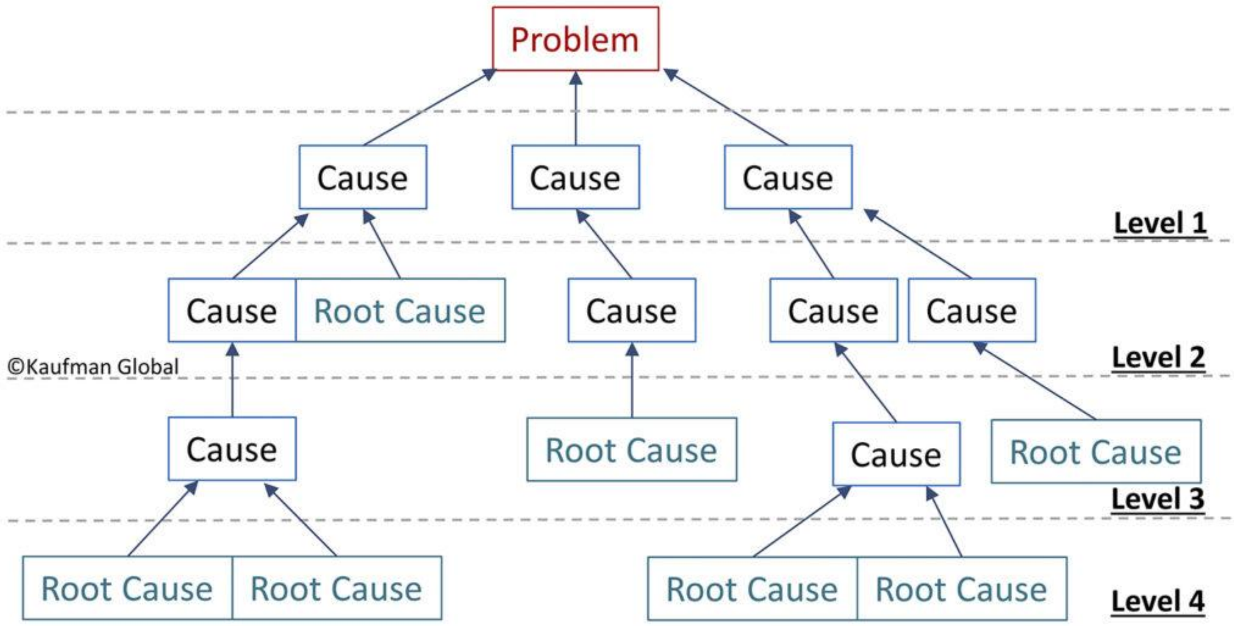
The following phases are needed to be able to draft a Logical Framework matrix:

Phase 1 - Needs Assessment

*Identification & Formulation tools – **Context Analysis – Stakeholders mapping and analysis***

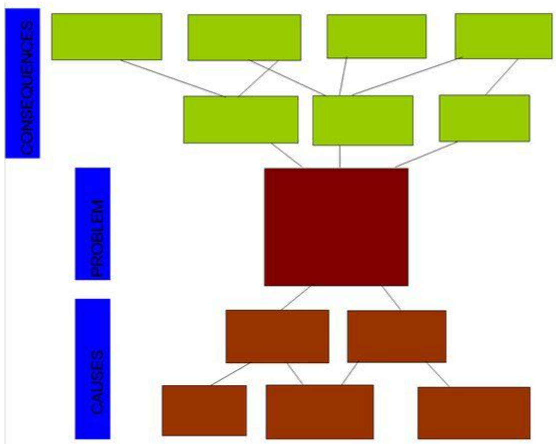
Problem Tree**: identification of problems/ issues to address related to the specific context/ situation and target group (s) – identifying the **Root causes** of **Problems** to visualize the **Effects:





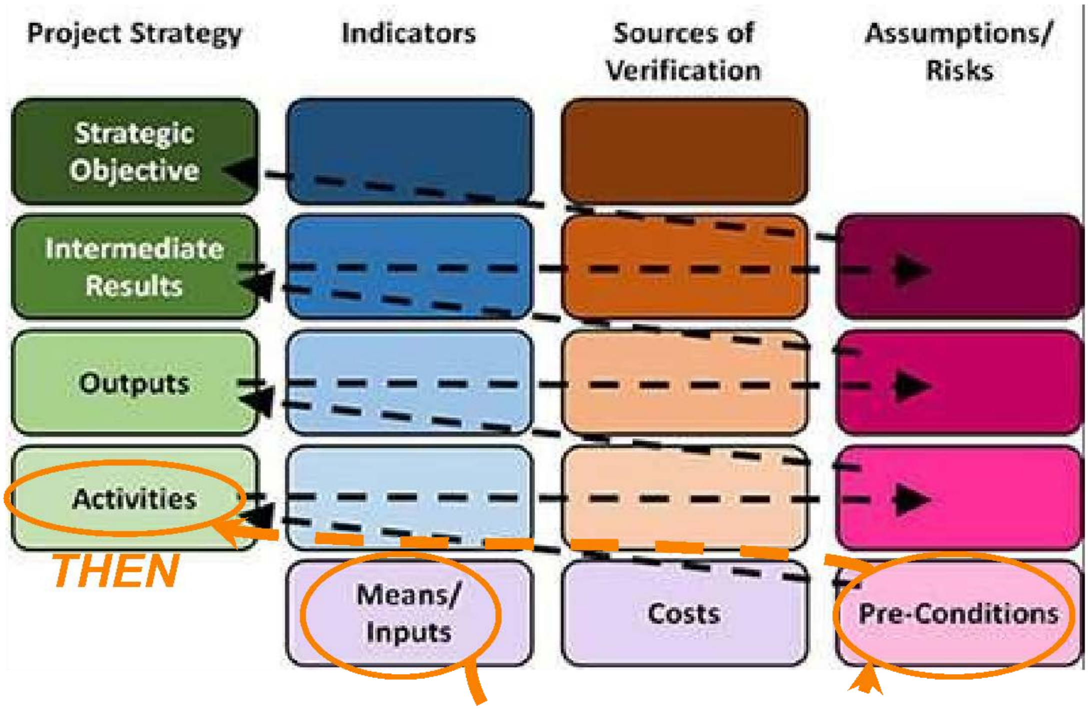
Phase 2 - Objective tree

- ***Solution/Objective Tree***: identification of *solutions for each detected problem and each target group (s) - cause-effect relations*, then ***connecting each problem to an objective or outcome – solutions:***



Phase 3: Strategy and logic of the project

- ***Choose the strategy*** *from the Objective tree;*
- ***Intervention Logic:*** *define the* ***sequence of Results and Activities*** *and fill in the matrix (start form the "Backward mapping" and the* "Let's ground an Outcome" *exercises):*



The Vertical logic defines:

● **Impact (General Objective/s)**: Refers to broader changes in the political, social, economic and/or environmental global context. They tend to be long-term and can be only indirectly influenced by the project. The key impacts are referred to as ***project overall objectives.***

● **Outcomes (Specific Objective/s):** Refers to short (intermediary outcomes) to medium- term effects in the political, social, economic and/or environmental areas targeted by the project. Furthermore, they include changes in behaviours or relations of people and institutions (including policies or practices) resulting from the project outputs. They take place during or after the project implementation and their achievement is under the control of 'target groups' as well as of other actors. Primary outcomes are set as ***project specific objectives***.

● **Outputs (Expected Results)**: Describes the products, goods and services delivered by the project. May also include changes resulting from the project that are relevant to achieving outcomes. Their achievement is under the project's control.

● **Activities**: what needs to be done to generate the outputs (the "core" of the project implementation). Refers to the process of converting inputs into outputs.

● **Input: Means:** Refers to provided resources (human and material resources) and **Costs** (financial resources).

The Horizontal logic defines:

- **Indicators & Sources of verification**: What, How, Who, When. A *quantitative and/or a qualitative variable* that provides a simple and reliable means to measure the achievement of the corresponding result. **Quantitative Indicators** are statistical measures that measure results (a number, percentage, or ratio). Trends (e.g., increase) thresholds (e.g., minimum 30%) or targets (e.g., strategy by the end of 2027) may be used for comparison. **Qualitative indicators** reflect people's judgements, opinions, perceptions, and attitudes towards a given situation or subject. They can include changes in sensitivity, satisfaction, influence, awareness, understanding, attitudes, quality, perception, dialogue, or sense of well-being.
- **Baseline, Current value, Target** (progressive)
- **External factors** /preconditions/risks and mitigation
- **Assumptions**: conditions which could affect the progress of the project but which are not under direct control of project management. An assumption is a positive statement of a condition that must be met for the project's objectives to be achieved.
- **Risks**: are negative statement of a condition that might prevent the project's objectives from being achieve: they need mitigation measures

EXERCISE N.9: LET'S FILL IN THE LF MATRIX!

- *Check your strategy on the backward mapping and taking into account the matrix done yesterday, start completing the logical framework matrix:*
    - *1st column: Results chain, including Activities*
    - *Intermediate columns: indicators, baseline, target, sources of verification*
    - *Last column: Assumptions and Risks*
- *Share your thoughts and choices in plenary.*

Through this exercise the participants realize how it is important and useful *to get the overall picture* and understand that ***every (project) activity should be linked to the strategic planning***, *to differentiate between levels of the vertical logic:* **Impact/Outcome; Outcome/Outputs; Outputs/Activities,** but also how difficult can be to move from the Backward Mapping (brainstorming exercise) to fill in the LF matrix (logic). The LF exercise enables the participants to understand *what they want to achieve, with whom, when, how*, where there are gaps, what they need to implement the planned activities – and not to focus only on the project level.

The EU model for the LF matrix:

<table>
<tr><th></th><th>Results chain</th><th>Indicators</th><th>Baseline
(incl. reference year)</th><th>Current value
Reference date</th><th>Targets
(incl. reference year)</th><th>Sources and means of verification</th><th>Assumptions</th></tr>
<tr><td>Overall objective: Impact</td><td>The broader, long-term change which will stem from the project and a number of interventions by other partners</td><td>Measure the long-term change to which the project contributes</td><td>Ideally, to be drawn from the partner's strategy</td><td></td><td>Ideally, to be drawn from the partner's strategy</td><td>To be drawn from the partner's strategy.</td><td></td></tr>
<tr><td>Specific objective(s): Outcome(s)</td><td>The direct effects of the project which will be obtained at medium term and which tend to focus on the changes in behaviour resulting from project</td><td>Measure the change in factors determining the outcome(s).</td><td>The starting point or current value of the indicators.</td><td>The value of the indicator at the indicated date</td><td>The intended value of the indicators.</td><td>Sources of information and methods used to collect and report (including who and when/how frequently)</td><td>Factors outside project management's control that may impact on the outcome-impact linkage.</td></tr>
<tr><td>Outputs</td><td>The direct/tangible outputs (infrastructure, goods and services) delivered by the project</td><td>Measure the degree of delivery of the outputs.</td><td>Idem as above for the corresponding indicators.</td><td></td><td>Idem as above for the corresponding indicators.</td><td>Idem as above for the corresponding indicator.</td><td>Factors outside project management's control that may impact on the output-outcome linkage</td></tr>
<tr><td>Activities</td><td colspan="2">What are the key activities to be carried out, to produce the outputs? (Group the activities by result and number them as follows:
A 1.1.1.
A 1.1.2.
(...)
A 2.1.1.
(…)</td><td colspan="3">Means:
What are the means required to implement these activities, e. g. staff, equipment, training, studies, supplies, operational facilities, etc.
Costs
What are the action costs? How are they classified? (Breakdown in the Budget for the Action)</td><td colspan="2">Factors outside project management's control that may impact on the output-outcome linkage.</td></tr>
</table>

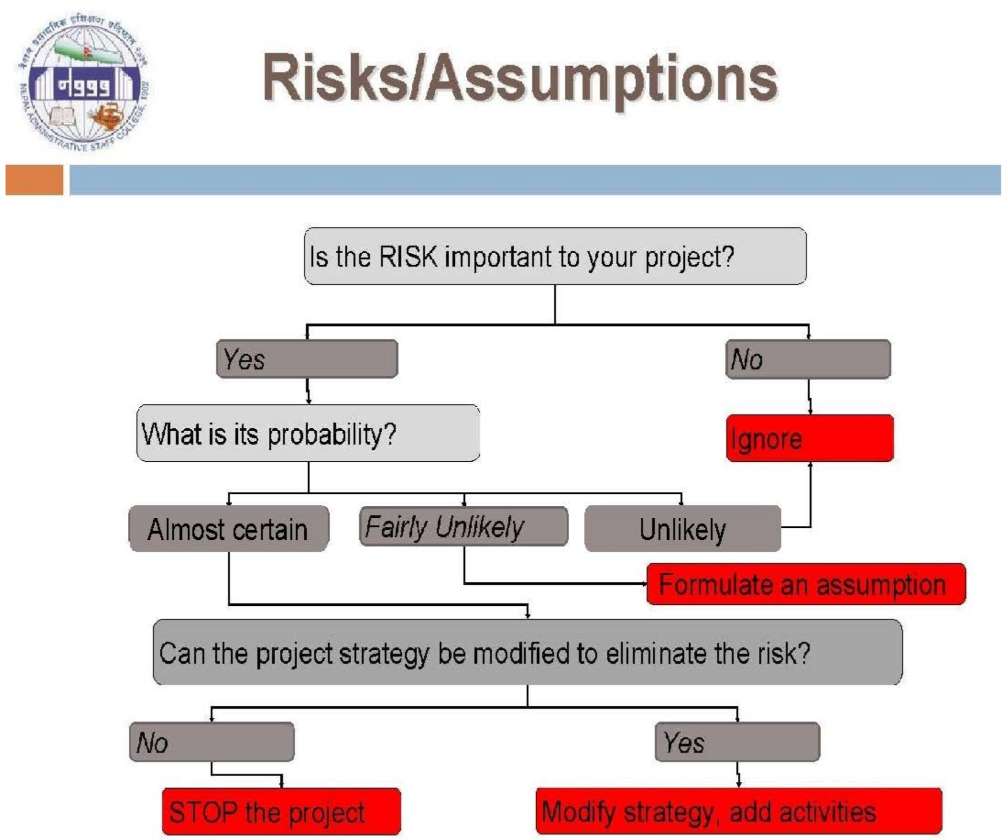
The Risk analysis:

The ***Risk Rating matrix*** can help recognise, list and be aware of the risks (any risks) and their potential impact on the project implementation, based also on the likelihood to happen, which can have different level of consequences:

Risk Rating Matirx

	Likelihood				
Impact	Rare	Unlikely	Possible	Likely	Almost certain
Catastrophic	moderate	moderate	high	critical	critical
Major	low	moderate	moderate	high	critical
Moderate	low	moderate	moderate	moderate	high
Minor	very low	low	moderate	moderate	moderate
Insignificant	very low	very low	low	low	moderate

Another graph can help to make decisions ***if certain risks/assumptions are likely to happen or not***: *is the risk (s) important/ affecting the project implementation, which are its (potential) effects and is it possible to change/adapt our strategy?*



The risk analysis matrix, with ***assumptions, contingencies and mitigation measures*** is then discussed among the participants, who give different examples:

"***if we invite the Ministry staff to a sensitization event and they decline the invitation***: MOST LIKELY to happen, but the strategy can be changed by allying with other Ministries and have them inviting key stakeholder";

"***if new lockdowns get in place***, FAIRLY UNLIKELY: in case we will need to conduct meeting online and strengthen the IT structure";

"***if the police don't allow a street protest***, LIKELY: we need to make sure to have a clearance letter before, or to address the relevant stakeholders, so they understand the purpose of the protest".

2.4. Project proposals writing

Once we have defined the **Theory of Change,** selected the **Outcome(s)** we want to focus on and drafted the **Logical Framework** of a new project, it is time to move on *designing the actual proposal and submitting it to potential donor*s. We are now in the **Formulation** phase of the PCM, when we look for funding (both institutional and private donors), analyse the Donors' policies and programmes, the available **Calls for Proposals (CfP),** their **Guidelines** and formats and try to ask the following questions:

- *Is this project feasible given the context and the available resources?*
- *Are its objectives are clear, sound and achievable?*
- *Which external conditions could represent an obstacle?*
- *Which are the potential risks - and measures of mitigation?*
- *Do we have all needed information on problems, needs and solutions?*

Designing and submitting a project proposal is a very **competitive procedure** (there are always more ideas than funds), which requires specific skills and approaches to be successful.

Every **proposal** responds to an overall **strategy**, defined by the CSOs through the **Theory of Change** and based on the previous steps (*Context analysis*, *Needs assessment, Stakeholders' mapping,)* then the *Backward mapping* and the *Logical Framework* approach. Every project responds to different policies and needs specific funding:

- *Emergency - Humanitarian projects (short-term, logistic, assistance)*
- *Rehabilitation projects (medium-term, reconstruction, infrastructures, post-crisis, mitigation)*
- *Development (long-term, sustainability, partnership, participation, multiplier effects)*

Some suggestions to avoid mistakes and enhance best practices in project proposals writing:

Vicious circles	**Virtual circles**
● *Desk work, with no actual contextualization* ● *Proposal based only on available financial resources* ● *Lacks vs. resources and potentialities* ● *Our own perspective - point of view vs. participatory approach*	● *Mobilize and valorise existing resources* ● *Identify the donor/ fund apt to respond to our problems/ needs* ● *Participatory approach, intercultural empathy, meet-the-other* ● *Social sciences techniques (focus groups, action-research…)*

KEY QUESTION: ***do we have all the needed information?***

- ***If NOT, we should revert to the previous phases*** *(Context analysis, Needs assessment, Stakeholders' mapping, Problems tree, Objectives tree, Logical Framework matrix...)*
- ***If YES, we can start writing our proposal:***
- *1. Title, Location, Duration*
- *2. Abstract (summary)*
- *3. Context, Problem analysis*
- *4. Target groups, Final beneficiaries*
- *5. Description of objectives, outcomes, activities*
- *6. Risks and measures of mitigation, assumptions*
- *7. Timetable*
- *8. Methodology, Approach*
- *9. Monitoring & Evaluation*
- *10.Sustainability*
- *11.(Logical framework)*
- *12.Budget (Human, Material and Financial resources)*

Two exercises are proposed to the participants to explain how ***to read and understand the requirements of a CfP*** and then ***to adapt their own project idea to the specific Guidelines***.

Based on a collective reading of the Guidelines for a **Call for Proposal**, the participants draft a project idea trying to adapt the template to the Guidelines.

EXERCISE N.10: CfP ANALYSIS - READING A CALL FOR PROPOSAL

- *Read carefully the CfP guidelines, the specific procedures, key-words;*
- *Read the background documents, donors' policies, country programs;*
- *Read the evaluation grid (what is important to know - to highlight);*
- *Deadline;*
- *Background and objectives;*
- *Priorities, activities;*
- *Restricted or open procedure;*
- *Location;*
- *Duration;*
- *Financial allocation and minimum-maximum size for each proposal;*
- *Co-financing requirements;*
- *Applicant and co-applicant (eligibility and exclusion criteria);*
- *Specific conditions: example, number of proposals submitted/awarded;*
- *Read the list of proposed activities and check if your project idea fits in*

EXERCISE N.11: PROJECT IDEA TEMPLATE

- *Project Objectives (CfP key-words):*
- *General objective/ impact: (contribution)*
- *Specific Objectives / outcomes: (achievement)*
- *Outputs / expected results:*
- *Main Activities:*
- *Target Groups:*
- *Duration: months_____*
- *Budget (indicative):*
- *Background questions:*
- *1) How this proposal /project idea contributes to the overall CSO strategy and to implement /fulfil its strategic plan?*
- *2) Is this project idea proposing new tools /methodologies /partnerships to pursue strategic and sustainable patterns within and beyond the project objectives?*

2.5. Adaptive Management

Adaptive Management means **to be flexible and capable to adapt to changing contexts and frameworks**: it is therefore ***an approach and a management tool*** very useful and important **to be effective and have an impact** even in uncertain situations and unpredictable conditions, ***to adapt strategies, activities and theories of change*** *so that the program may achieve its overarching goal.*

Being able to change strategy and to adapt means of reaching Outcomes and Outputs is always vital for CSOs, not to collapse under the challenges imposed by changing political situations or conflicts arising within the societies.

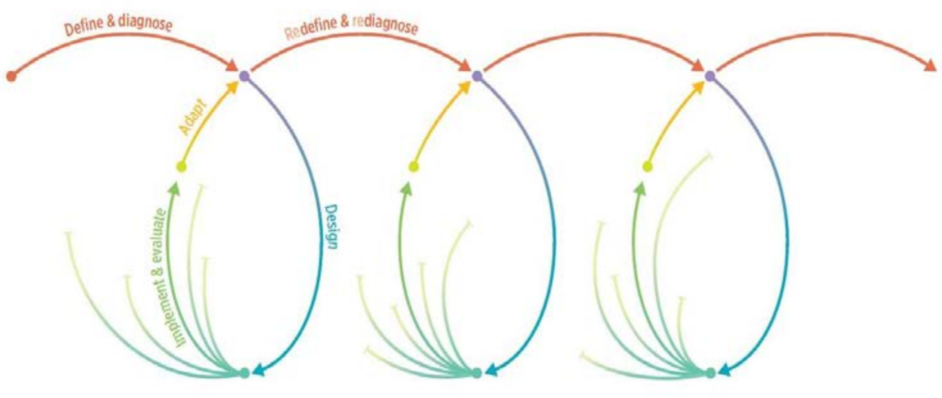
Here are some definitions from the literature:

- *A structured, iterative process of robust decision making in the face of uncertainty, with an aim to reducing uncertainty over time via system monitoring; a tool which should be used not only to change a system, but also to learn about the system;*
- *Managing adaptively is about accepting, working with, and learning from change, and using this learning to be more effective;*
- *The ability of an organisation to adjust and respond effectively to dynamics and uncertainty.*

Adaptive Management focuses on the changes needed to maintain a credible **Theory of Change** as the context changes. It requires an existing ToC that articulates **realistic goals and outcomes,** providing the general direction at a given point in time. It is thus better ***to have clear and agreed outcomes that leave the pathway of change*** with a certain degree of flexibility. It also requires a willingness to identify and learn **from failure.**

- **Pause, reflect, learn, decide**: adaptation requires processes to enable teams to pause, reflect, learn and make decisions on course change.

Adaptation can be difficult, risky, and sometimes stressful. It requires a team that encourages open communication, trust, and mutual respect; that has a clear, shared sense of purpose; that builds on differences; that enables continuous learning; that involves shared not concentrated leadership; and that works effectively together, to overcome hierarchies and cultural differences.



Source: WDR 2015 team.

2.6 Monitoring, Evaluation, Accountability and Learning (MEAL)

MEAL stands for ***Monitoring, Evaluation, Accountability and Learning***: a process embedded in the CSOs strategy to assess coherence and measure the effects – the results – the ultimate changes of any program-project, monitoring all PCM phases implementation, thus supporting the project management to **minimize mistakes**, r**ecognize and mitigate risks**, **learn from previous lessons and recommendations**, **capitalize results** and **best practices**.

What is MONITORING?

- *A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.*

OECD, 2002, Glossary of Key Terms in Evaluation and Results Based Management

- *Monitoring implies a regular check by stakeholders on how an intervention is being implemented in order to identify potential problems (or opportunities) and make timely changes.9 Monitoring entails an ongoing, systematic collection, analysis, and use of management information to support effective decision- making.*

EU, 2022, A Guide to MEAL – Monitoring, Evaluation, Accountability and Learning

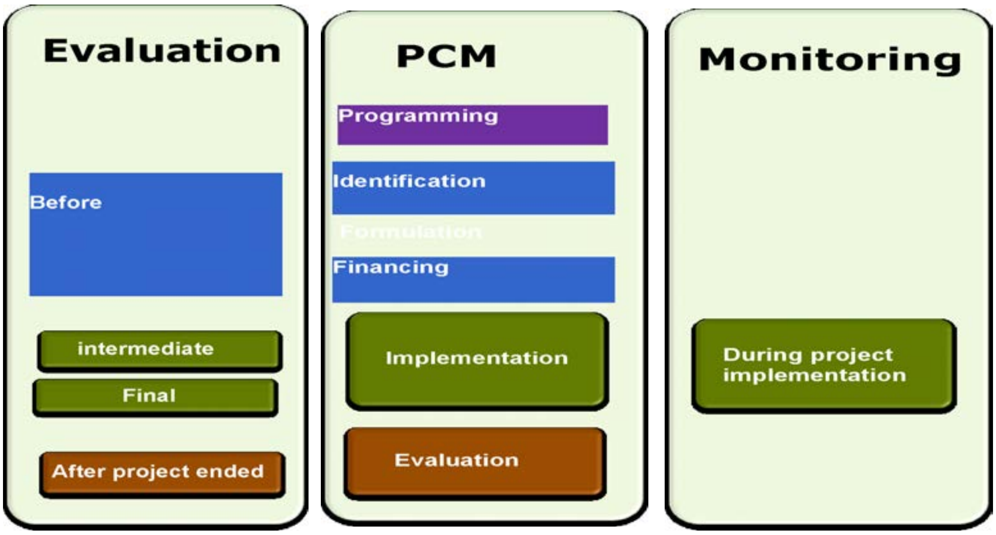
What is EVALUATION?

- *The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results;*
- *To determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.*
- *To provide information that is credible and useful, enabling the incorporation of lessons learned into the decision– making process;*
- *Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.*

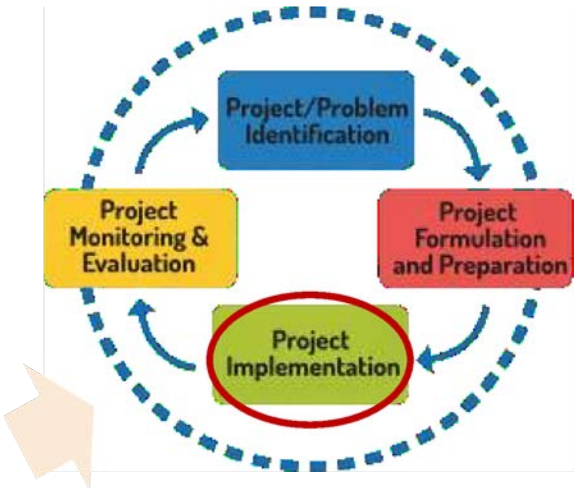
OECD, 2002, Glossary of Key Terms in Evaluation and Results Based Management

- *Evaluation is a rigorous assessment of either ongoing or completed activities, strategies, or projects to determine the extent to which certain criteria have been met.*
- *It may also identify unexpected results. Evaluation uses monitoring data; therefore, timely availability of data is key. It is more rigorous in its procedures, design and methodology than monitoring, and generally involves more extensive analysis.*

EU, 2022, A Guide to MEAL – Monitoring, Evaluation, Accountability and Learning



A **MEAL** approach is part of the **Project Cycle Management** and CSOs have specific tools to assess *progresses and shortcuts,* based on set **indicators**, going back to the Logical Framework matrix and the intermediate columns (*Horizontal logic*) to measure the data values at certain times during the project implementation, to be ***Accountable*** for their actions and build continuous ***Learning*** on *good practices and lessons learnt,* previous successes (and failures).



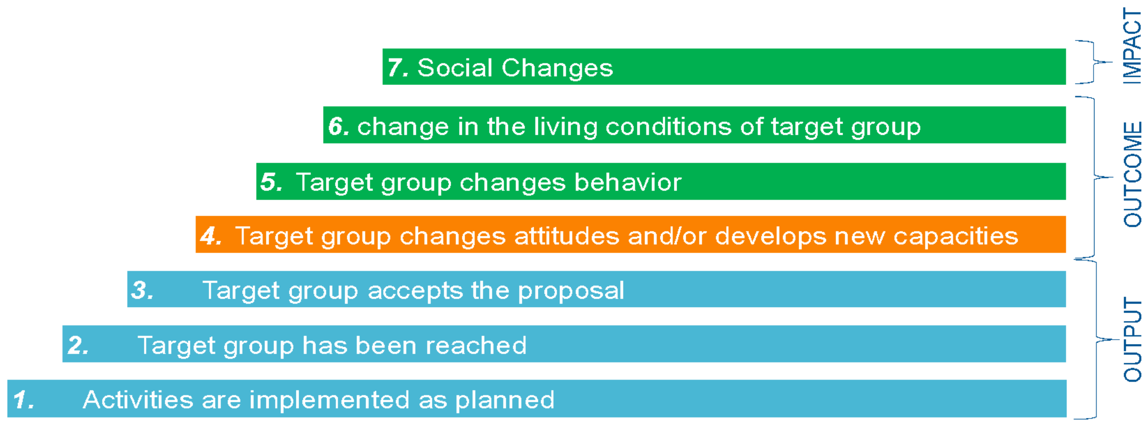
Monitoring & Evaluation intervene at each step of the ***Vertical logic***:

- *Impact*
- *Outcome(s)*
- *Outputs*
- *Activities*

While the ***Horizontal logic*** defines:

- *Indicators*
- *Baseline values (Needs analysis)*
- *Current values (Monitoring)*
- *Target values (Evaluation)*
- *Sources & means of verification*
- *Assumptions & Risks*

What do we measure? If we take the previous example of the ***Social Change ladder*** we can understand also the process of MEAL: how **Inputs** converted into ***Activities*** to reach, inform, change attitudes and behaviours of ***Target Groups*** bring to ***Changes*** in their living conditions and ultimately, to long-lasting ***Social Change*** having an ***Impact:***



IF:

- *activities are implemented as planned (Output level)*
- *target group has been reached (Output level)*
- *target group accepts the proposal (Output level)*
- *target group changes attitudes and/or develops new capacities (Output-Outcome level)*
- *target group changes behaviour (Outcome level)*
- *there are changes in the living conditions of the target group (Outcome level)*

THEN**: **there are Social Changes (Impact level)

The *1st monitoring tool* is the **Plan of Activities (POA)**, a simple ***timetable*** which follows the LF matrix, listing *Outputs ans Activities* and distributing the project implementation along the weeks-months-year, including also: ***Roles and Responsibilities*** (which organization and who within the organization is the main responsible to implement such activity), ***Resources*** needed, ***Notes*** (where CSOs can track any relevant observation – information).

EXERCISE N.11: LET'S DRAFT a POA

1. *Take the logical framework your worked on yesterday;*
2. *Draft a plan of activities for 1 year, choosing 1-2 activities;*
3. *Come back to plenary and share.*

RESULTS / ACTIVITIES	1	2	3	4	5	6	7	8	9	10	11	12	year 2	Organization responsible	Responsible person	Notes and considerations	Budget lines
RESULT 1:																	
ACT1.1																	
1.1.1																	
1.1.1. 1																	
ACT 1.2																	
1.2,1																	
1.2,2																	
1.2,3																	
RESULT 2:																	
ACT. 2.1																	
2.1.1																	
2.1.2																	
...																	

The *2nd monitoring tool* is the **Monitoring Plan (MP):** a POA where we add the set **Indicators** (from the LF matrix), the *Baseline, Current and Target values*, the **Monitoring Frequency (when)**, the **Roles and Responsibilities (who)** to collect and measure the data, the **Sources & Means of verification (how),** the **Resources** needed (Human – Technical – Financial), the **Progresses** (along the timetable for the project implementation).

EXERCISE N.12: LET'S DRAFT a MONITORING PLAN (MP)

1. *Take your logical framework and POA;*
2. *Fill in the first column of the Monitoring Plan;*
3. *Identify possible Process Indicators (for 1-2 activities);*
4. *Identify 1 or 2 possible Result Indicators (1/2 output, 1 outcome);*
5. *For each indicator think about baseline, target, Source of verification, tool for data collection;*
6. *Specify WHO will be in charge of data collection and with which frequency;*
7. *Come back to plenary and Share;*
8. *Let's reflect on the meaning of elaborating measurable indicators*.

MONITORING PLAN												
	Logic of intervention (*as of project approved*)	Indicators (*as of project approved*)	Base line (*insert date*)	Target (*insert date*)	Source and tools	Responsible for data collection	Monitoring frequency	Need for cost y/n- and budget line	Progress as of … (interim report)	Progress as …	Add columns to report progress - date	Notes and comments
IMPACT/ General Objective												
OUTCOME / Specific Objective												
Output 1												
Output 2												
	Logframe - activities	Indicator for implementation	Base line	Target	Source	Responsible for data collection	Frequency of data collection	Comments	Progress 1 -	Progress 2 - date	Progress xx - date	notes and comments
Activities and sub-activities												

This exercise introduces the participants to the **Indicators**, the *variables we need to measure the project implementation* progresses:

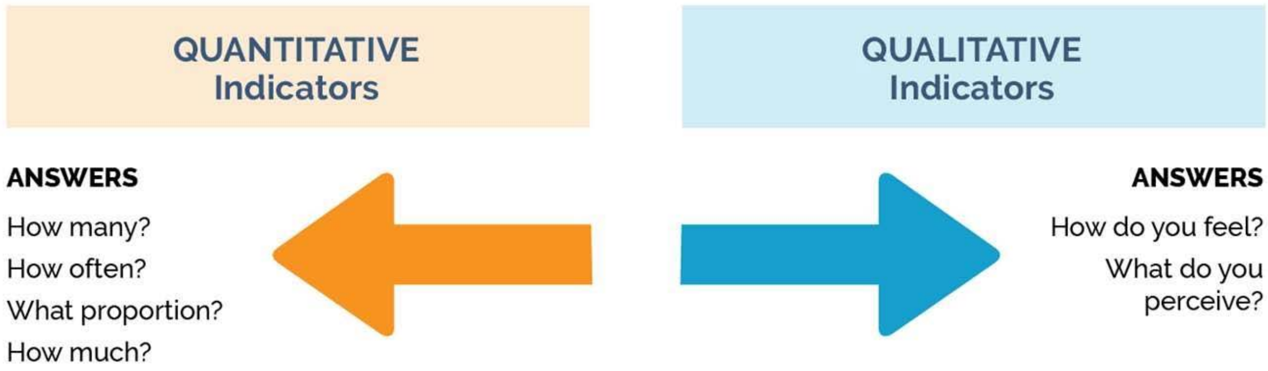
- *it is not easy to identify **indicators** that are not simply related to the level of **activities** implementation: the participants tend to concentrate their indicators at the activities level (ex. new CV adopted, new CV produced and disseminated, MoU signed), instead of **measuring the change, the impact** at stakeholders' and targets' levels;*
- *the **Impact** and **Outcome indicators** are often reversed (ex. less people get sick because their wellbeing is improved SHOULD READ: more people go to the HC services because they have been improved); or lack a cause-effect relation (ex."reducing the impact of mental health" and "producing IEC materials");*
- *the **baseline** is often = 0 since the activities set are often new, to reach new outcomes for the LGBTI community;*
- *the **sources of verification** tend to be the same for all levels (market research, consultancy firm, project staff).*

An indicator expresses the qualitative or quantitative variable of providing **clear and measurable evidence** of the achievement of results;

Indicators can be **qualitative and quantitative**.

QUANTITATIVE INDICATORS are statistical measures that measure results (a number, percentage, or ratio). Trends (e.g., increase) thresholds (e.g., min,. 30 %) or targets (e.g., strategy by the end of 2027) may be used for comparison.

QUALITATIVE INDICATORS reflect people's judgements, opinions, perceptions, and attitudes towards a given situation or subject. They can include changes in sensitivity, satisfaction, influence, awareness, understanding, attitudes, quality, perception, dialogue, or sense of well-being.



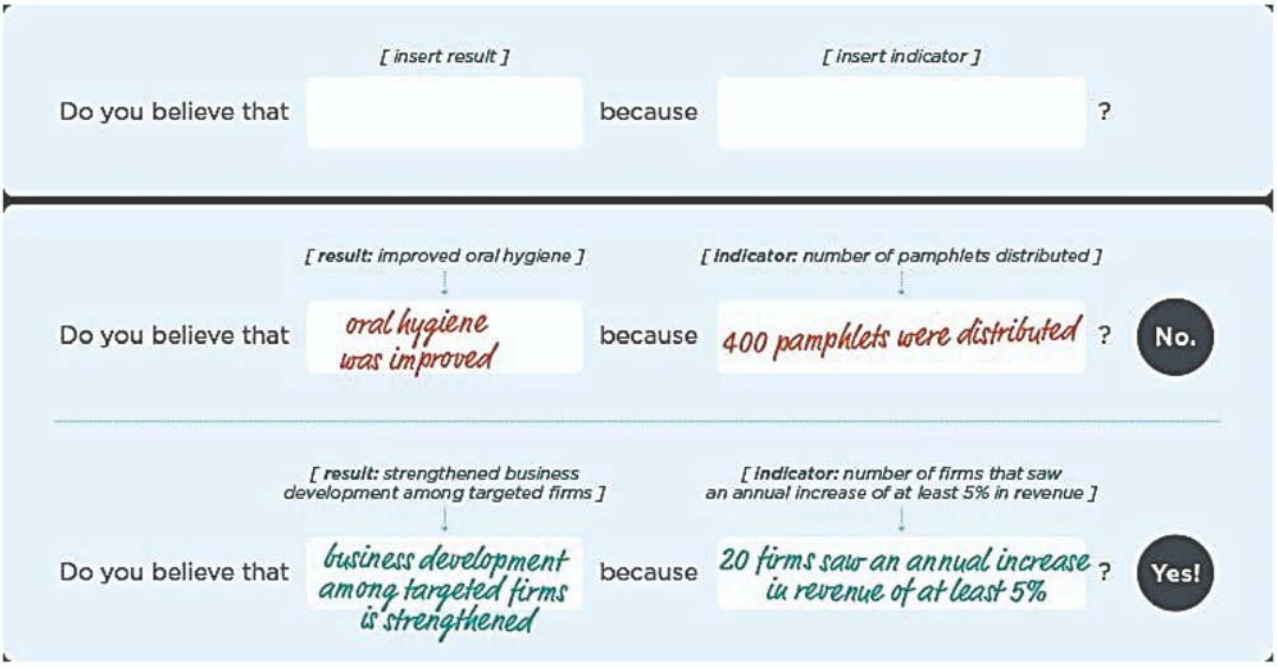
QUANTITATIVE ● *Objective facts that can easy be enumerated and counted* ● *Numerical and strictly measurable information • It is measuring the scale of the intervention – number/% of target group reached*	***Example of quantitative indicators:*** *• # of people accessing a service* *• % of population that voted in an election • # of people who approved a test* *• Number of steps done for the approval of a new law.* *• Quantity of time needed to find a stable job*

QUALITATIVE ● *Data that respond to senses, perception* ● *They can be numerical* ● *The measure the qualities, opinions, perceptions, system development, influences* ● *They are defined with interviews, researches, reports*	***Examples of qualitative indicators:*** *• Level of satisfaction for a service* *• # of people that declare that a service has improved*

In the Logical Framework the indicators measure progresses and impact at all levels of he Vertical logic: ***indicators*** should capture the progress towards the related **output, outcome, or impact** and ensure that ***Result-Chain indicators*** relate to changes in behaviours or policies:

What progress are we making towards the set objectives?

- *What does and does not work to achieve our objectives (results)?*
- *Why?*
- *How has the context changed?*
- *What new strategies and actions do we need to put in place to achieve results or to speed up the progress towards them?*



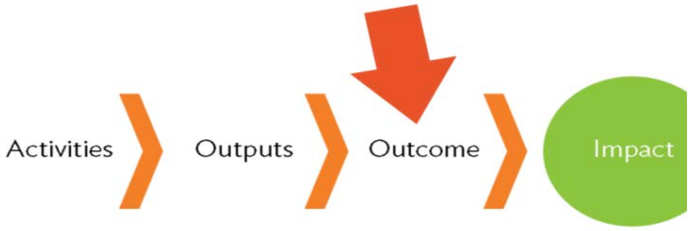
Different guidelines point out that indicators should be **SMART** *(Specific, Measurable, Achievable, Relevant, Time-bound)* or **RACER** (*Relevant, Accepted, Credible, Easy to monitor and Robust*) or in the case of qualitative indicators **SPICED** (*Subjective, Participatory, Interpreted and communicable, Cross-checked, Empowering, Diverse and disaggregated*).

- **Specific** – *identified and selected according to the data we need to measure*
- **Measurable –** *with the sources and the means of verification we dispose of*
- **Achievable** – *reachable and measurable within the foreseen project implementation*
- **Relevant** – *relevant for the data and the information we need to monitor and evaluate*
- **Time-bound** – *measurable within the time-span of the project implementation*

Lessons-learnt from the participants' exercises include the following:

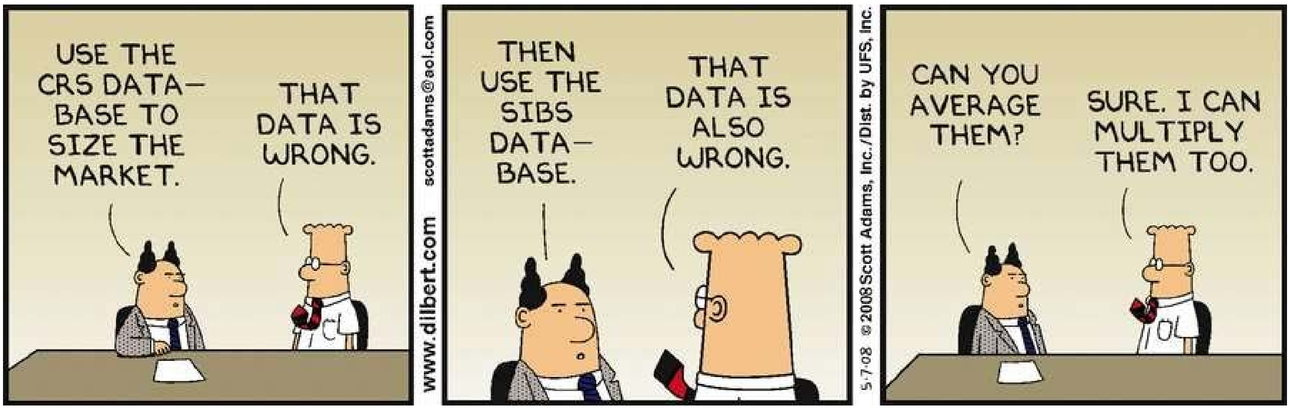
- most groups list only **quantitative indicators** (*no. of LGBTI accessing HC services; no. of LGBTI people getting sick*; *% increase of network coverage of mobile clinics; % of decrease of suicide and depression rates in the LGBTI community; no. of high-ranking LGBTI officials employed*; *no. of LGBTI persons applications per sector*; *no. of stakeholders endorsing the guidelines*; *% reduction of vulnerability);*

- **qualitative indicators** are more difficult to measure (*positive attitude of LGBTI community accessing health care services; change in the mindset of society)*
- the discussion on the indicators can bring the partecipants back to the **strategy** to change something ("*no. of LGBTI people who seek justice in courts OR no. of LBGTI people who WIN cases?);*
- albeit the ***indicators are descriptive/general***, when they were grounded on experience it is easier to ***define appropriate baseline and target values***;
- it is important to define "***who is responsible for what***", which makes it easier both data collection and data analysis; to have a ***baseline*** to measure achievements, *where we started from and where we are going*.



To measure indicators we need:

- ***DATA, with BASELINES and TARGET to achieve***
- ***SOURCES OF VERIFICATION and TOOLS to collect data***



Baseline - Where do I start from?

- *Qualitative and quantitative information on the situation or conditions at the time of beginning;*
- *Situation for comparison with subsequent moments;*
- *It refers to certain indicators;*
- *Its evolution over time will allow us to measure output, outcome, impacts.*

Baseline: why?

- *It helps to plan targets for each ToC level;*
- *It allows to verify the measurability and choice of indicators;*
- *Without it, you cannot plan M&V;*
- *It provides a starting point of reference that helps assess change and improve implementation;*
- *It encourages participation, as a catalyst for discussion and comparison;*
- *It can shape expectations and help in communication strategies;*
- *It provides credible data to donors and decision makers, and other stakeholders in the same sector (data sharing)*

Baseline: how to build it?

- *Triangulate data available from various sources;*
- *Use secondary data already available (reports and / or studies made by others);*
- *Project documents (reports, assistance lists, reports...);*
- *Specific questionnaires and interviews (individual, focus groups etc.);*
- *Key informant;*
- *Specific Surveys.*

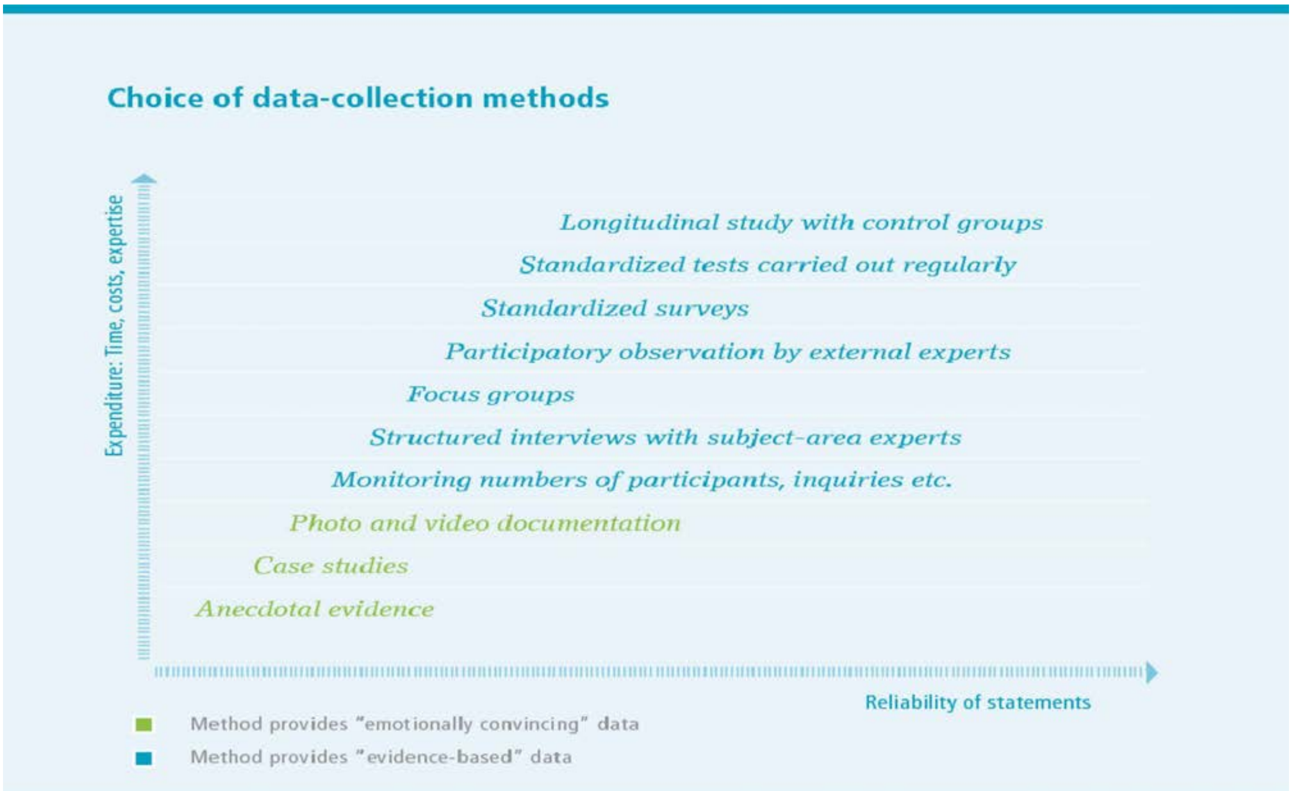
Data source is important!

- *Be easily accessible;*
- *Be relevant and meaningful;*
- *Be clear about the tools with which the data is collected and use only those;*
- *Be valid, i.e. use accurate methods;*
- *Be reliable, with quality data and therefore also stable and consistent over time, and with identified milestones and targets;*
- *Be available, with a clear agreement on responsibility for data collection and periodic reporting.*

Data can be Primary or Secondary:

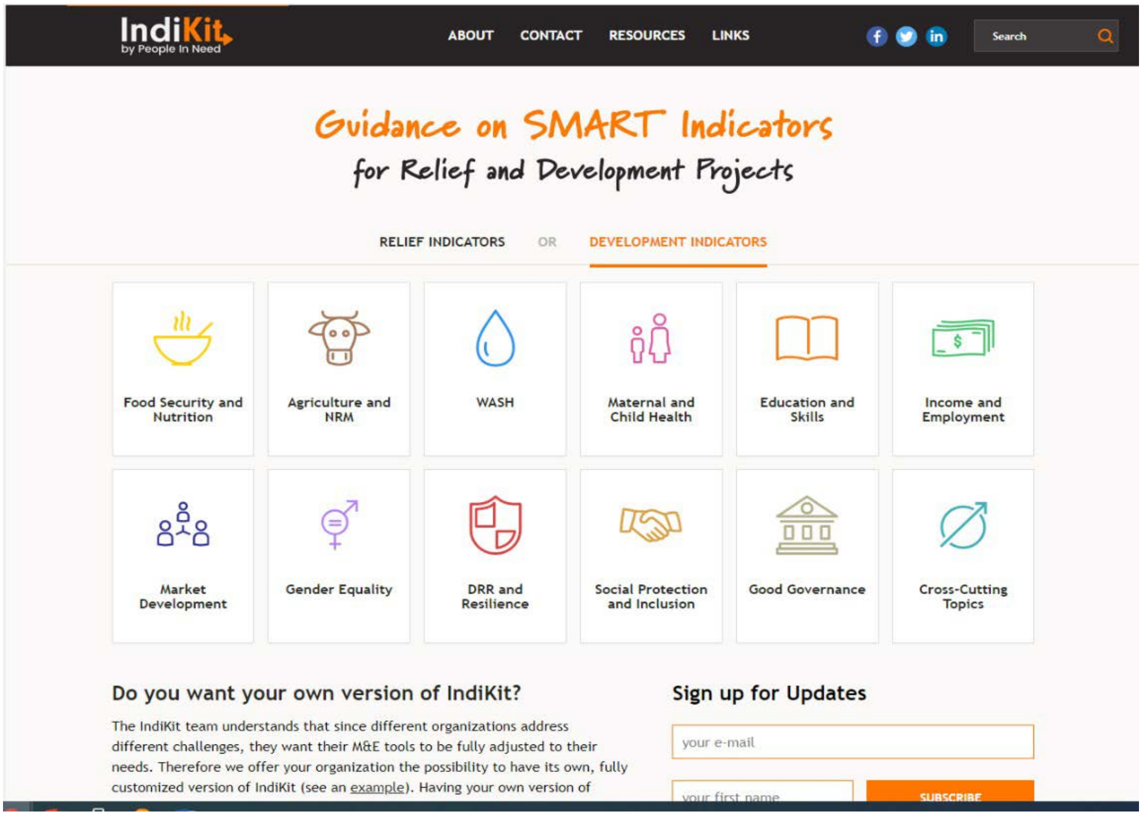
Primary data *is an original and unique data, which is directly collected by the researcher from a source such as* ***observations, surveys, questionnaires, case studies and interviews*** *according to their requirements.*	*As opposed to* ***secondary data*** *which is easily accessible but are not pure as they have undergone through many statistical treatments. Sources of secondary data are* ***government publications, websites, books, articles, internal records***

Some examples and repository of ***Data collection methods,*** to be used and adapted to different Indicators and project phase can be summarized in the table below:



Specific data collection methods (Social Impact Navigator (Phineo, 2017)).

While there are several sources to get data and inspiration from ***to select the most appropriate indicators*** such as:



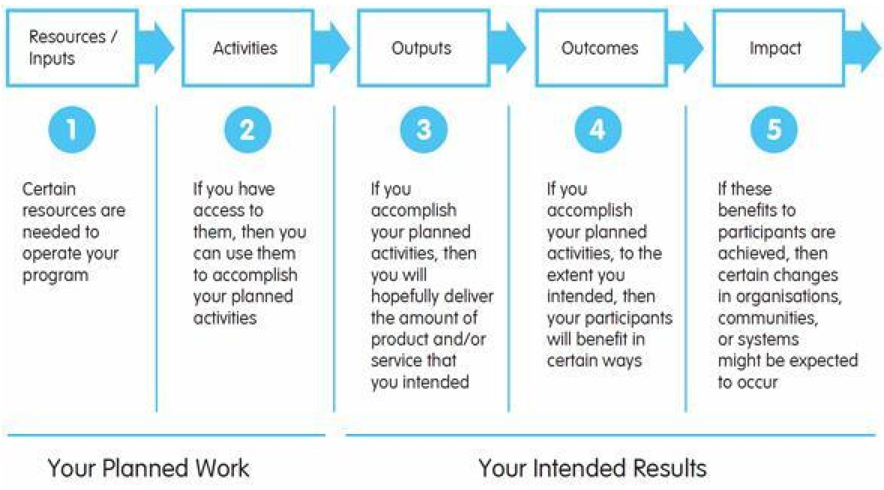
Watch out with terms!

● *Trained" does not mean understood*
● *"Understood" does not mean accepted*
● *"Accepted" does not mean applied*
● *"Applied" does not mean applied routinely*
● *"Applied routinely" does not mean satisfactory as regard the planned results*

The last session of this 4th Unit focuses on the **Evaluation**, which main purposes are set as follows:

- **Support *informed decisions*** about project changes, future projects, budget allocations or policy changes, based on what has (or has not) worked in achieving results, the reasons, and in what context, etc.
- **Support *learning*** of key stakeholders by questioning lessons learned and how to apply this knowledge to other contexts, etc.
- ***Account* to stakeholders** by questioning if projects have done the right things, whether they have done what they promised, and how they are contributing to wider policies etc.

EVALUATION

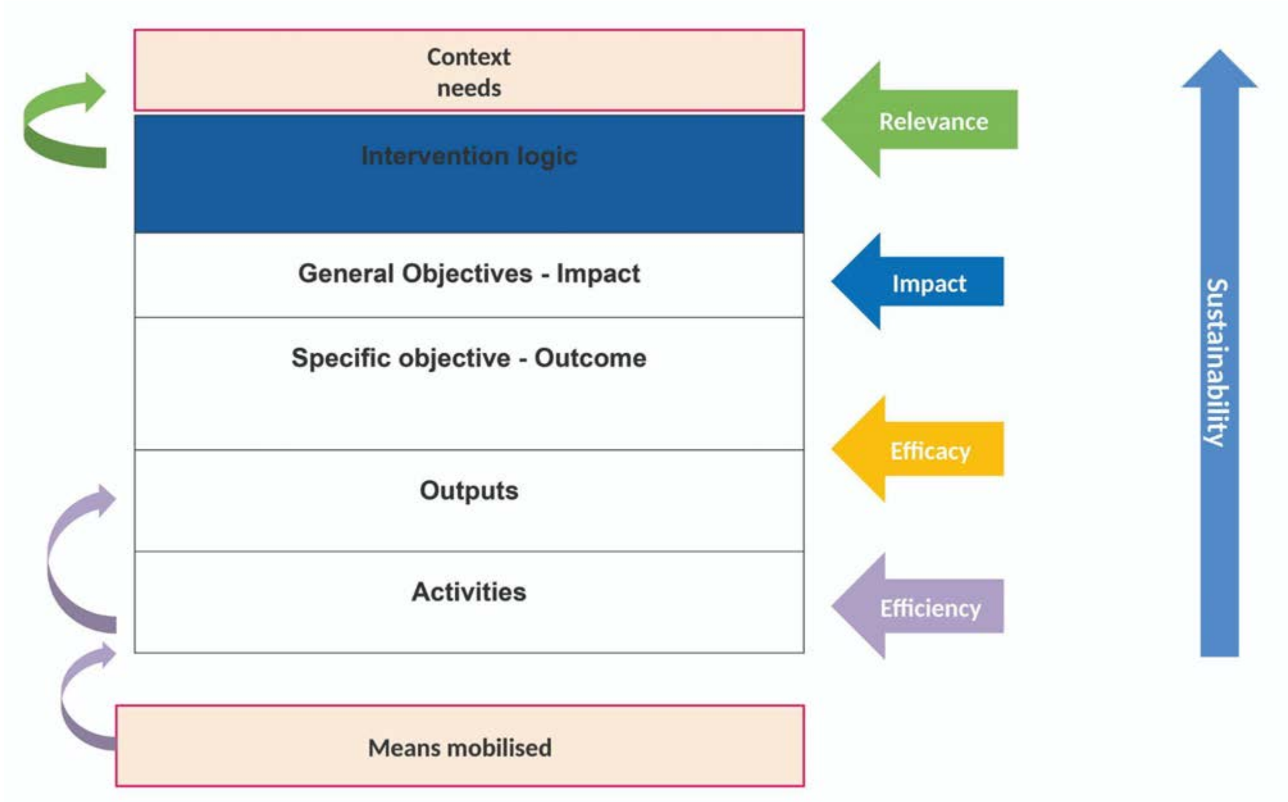


- The term **evaluation** comes from latin ***valitus:*** to be strong, healthy, sturdy.
- *Valitus* is the past tense of ***Valeo, valére***: to be strong, to be well, to have value, to have a price.
- In its etymological meaning it refers to the idea of attributing a value, of giving a weight, estimating, taking into consideration.

EVALUABILITY is the extent to which an activity or project can be evaluated in a reliable and credible fashion. It explores feasibility, scope, approach, and value for money of an evaluation.

- The ***Evaluation scope*** sets out what will / will not be covered by the Evaluation to meet its purposes**;**
- ***Evaluation criteria*** are standards or values that are used to assess a project;
- Evaluation questions help focus data collection, analysis, and synthesis**.**

EVALUATION can happen **BEFORE** (Ex-ante), **DURING** (Intermediate), **AT THE END** of project implementation (Final) or AFTER a project ended (Ex-post):



To evaluate a program-project we usually refer to a set of **criteria** defined by the **OECD (***Organization for Economic Cooperation and Development* https://www.oecd.org/) to help the evaluator(s) to ask and find the answers to questions related to the following dimensions:

- ***Relevance***
- ***Coherence***
- ***Efficiency***
- ***Efficacy***
- ***Impact***
- ***Sustainability***

Which are defined as such:

RELEVANCE: IS THE INTERVENTION DOING THE RIGHT THINGS?

- *Extent to which the objectives of an intervention are consistent with beneficiaries' requirements and needs, global priorities and partners and donors' policies. Retrospectively, the question of relevance often becomes a question of whether the objectives or intervention logic of an action are still appropriate, given changed circumstances.*

COHERENCE: HOW WELL DOES THE INTERVENTION FIT?

- *The compatibility of the intervention with other interventions in a country, sector or institution*

EFFICIENCY: HOW WELL ARE RESOURCES BEING USED?

- *Measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into Outputs (goods, products and services)*

EFFICACY: IS THE INTERVENTION ACHIEVING ITS OBJECTIVES?

- *Extent to which the development intervention's results are achieved, or are expected to be achieved, taking into account their relative importance (based on the logical framework):*
- *outputs, as products, good or services which the project was able to deliver;*
- *outcomes, as the effect/change that the project was able to obtain in target groups or context.*

IMPACT: WHAT DIFFERENCE DOES THE INTERVENTION MAKE?

- *Impact measures long term effects, direct or indirect, expected or not, on the context of reference.*
- *It measures changes in target groups and stakeholders in the long term.*

SUSTAINABILITY: WHAT IS GOING TO HAPPEN WHEN THE PROJECT IS OVER?

- *Sustainability is the continuation of benefits from a development intervention after major development assistance has been completed, the probability of continued long-term benefits.*
- *It assumes different dimensions: financial/economical, institutional, socio-cultural, environmental, and technological.*

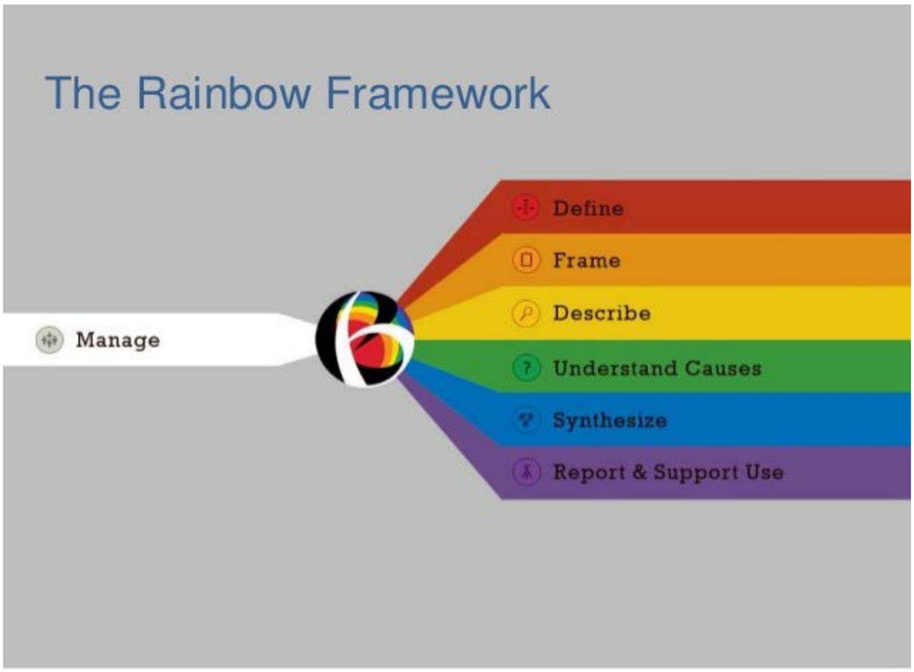
CROSS-CUTTING ISSUES

- *Recommendations from previous monitoring and/or evaluations*
- *Communication and Visibility*
- *Good practices and Lessons learnt*
- *Impact on Gender issues*
- *Environmental practices*
- *Impact on Minorities*
- *Good Governance*
- *Human Rights.*

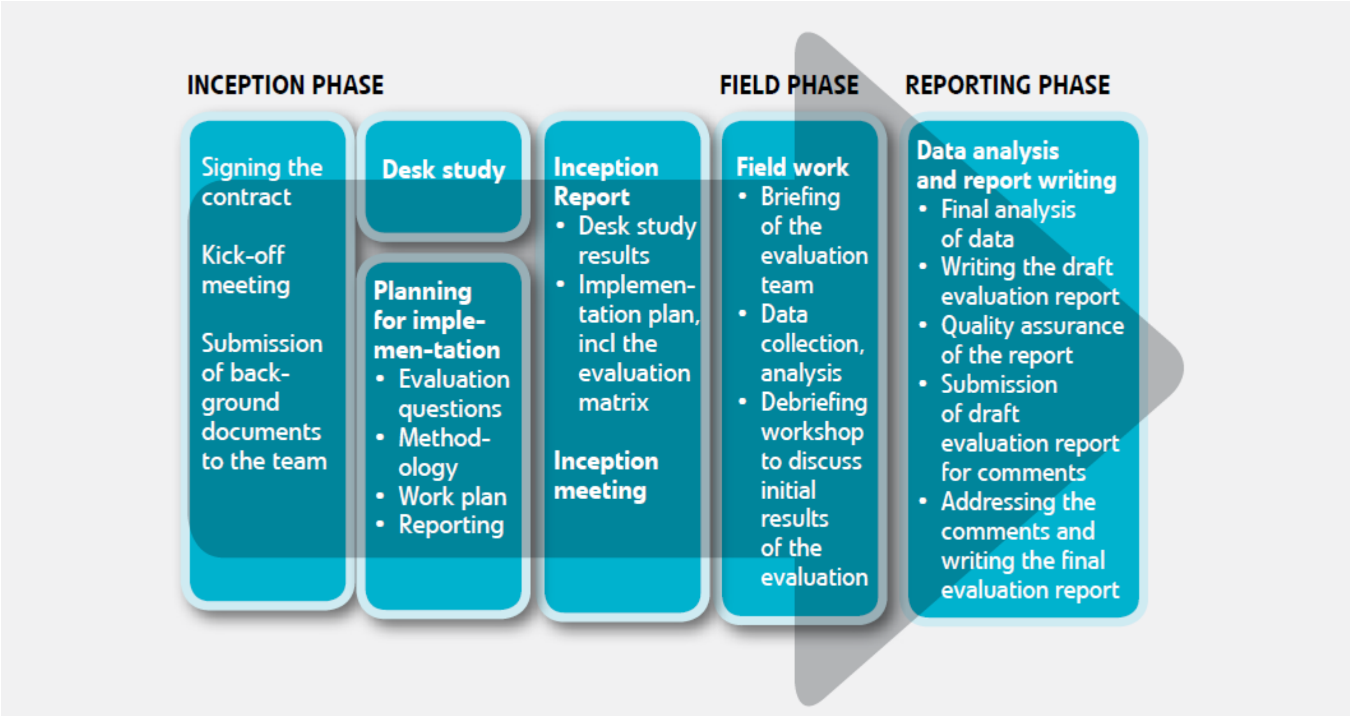
Evaluation is also based on **KEY-PRINCIPLES** of:

- **IMPARTIALITY and INDEPENDENCE** : *separation between project evaluation and project management, albeit the Monitoring is embedded in the PM, the evaluation should be conducted by a different person(s) not involved in the daily management;*
- **CREDIBILITY**: *evaluators' experience, transparency of the process, communication of results*
- **UTILITY**: *evaluation results should be clear, relevant, distinguish between interests and needs of different actors, easily accessible, concrete and constructive*
- **PARTICIPATION OF STAKEHOLDERS**: *to include all visions and competencies, from the donors to the target groups, from the institutional actors to the final beneficiaries.*

The Rainbow Framework synthetizes the different steps of the Evaluation process:



While the ***EVALUATION PHASES*** can be differentiated as ***Inception – Field – Reporting*** according to this frame:



EXERCISE N.13: DRAFT THE TERMS OF REFERENCE (ToR) OR FOR AN EVALUATION

- *Think of important aspects that you want someone to evaluate in your project;*
- *Choose some key questions for the evaluation (what is more interesting for you?)*
- *Come back to plenary and share*

Terms of Reference: Final Evaluation Mission

Project:

1. Title:
2. Duration of the action:
3. State of the action:
4. Partners involved:
5. Contract number:
6. Date of mission/evaluation (from-to):
7. Mission/evaluation location:
8. Project description: (max 10 lines)

Mission/Evaluation targets: *(for example: The consultant will carry out the evaluation on) :*

- Project objectives accomplishment;
- Expected results achievement;
- Analysis of the effectiveness, sustainability and efficiency of the action, paying attention to the impacts on the target groups;
- Analysis of project impact;

Qualifications and experience required: *(for example: at least three years of experience in EU project Monitoring and Evaluation, experience in governance project evaluation or management, availability for fieldwork, good English knowledge...)*

Methodology/Activities to be conducted to achieve targets:

- Meeting with partners;
- Meeting with official stakeholders;
- Meetings with others organisations/communities involved in the action;
- Meetings with beneficiaries involved in the action;
- Meeting with donor

Expected results/Expected deliverables:

- Evaluation of the effectiveness of the trainings realized;
- Evaluation of project impact;
- Evaluation report (*language*).

Project contact persons:

Costs:

3.1 Food and lodging: will be paid as per diem with a cost of XXX Eur/USD/xxx per day;
3.2 Salary;
3.3 Travel, visa, insurance and internal transportation;
3.4 ….

3. … adopting Leadership as organisational behaviour

3.1 "Be the Change"

The purpose of the last training session is **to build the capacities** of the target CSOs to choose the "best" o**rganizational model and leadership style** consistent with their own strategic plan, to achieve the desired change and impact, to lay the foundations of a **Leadership model** that strengthen the results and build a shared identity, to generate strategies, nourish synergies and avoid conflicts.

The focus shifts more on the **associations level (1st and 2nd units)** then on their **networking level (3rd unit)**, to enable the participants to assess and understand which is the best *Organisational structure* to adopt, according to their *Strategic Plan and LTOs* and their own *Organisational culture* (based on a shared definition of their *Values and Behaviours*), then which could the *Leadership style* more conducive to achieve the set outcomes. It is of paramount importance to make clear to the target CSOs how the three CB sessions have been conceived to be closely linked, to design an ideal cycle, including the ***"what to do"* to the *"how to do it"*** (which is the best *Governance* model to adopt in order to achieve the change CSOs aim to, according to their Strategic Plan).

The 1st session ("*Be the Change*") aims to draw the participants' attention to the importance of designing and adopting an **organizational structure** apt to implement the activities related to the strategic plan and realize the expected outcomes, as defined during the **Theory of Change** exercise.

EXERCISE N.14: ACTIONS – RESULTS

The participants are asked to divide in small groups (per association) and write a list of the most relevant **Actions** implemented during last year (ideally, since the last CB training sessions) with their concrete – specific – tangible **Results** and to answer to the questions: "*what happened when you got back after the last CB training?*" and "*What did you do differently and what results did you get during the last year?":*

ACTIONS	RESULTS

This exercise brings to the forefront what the target associations were able to achieve, often showing impressive results, which are essential for empowerment, self-confidence, and appreciation of the role of the civil society as driver of change.

This Exercise opens the path to the following session on the links between **the strategic plan, the organizational structure and the leadership model**, answering to the following question: "*which kind of organization can help me to cope with the challenges that the CSO is facing?".*

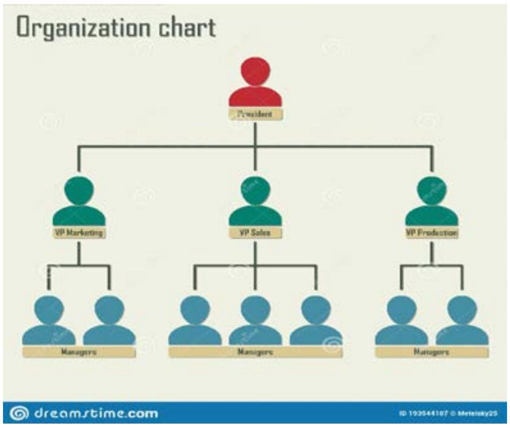
The **Organisational Chart** is a graphic representation of the organisational structure, with the following objectives:

- *Give a visual picture of the organisational structure;*
- *Clarify the responsibilities and the coordinating functions linked to the different organisational units;*
- *Represent the "skeleton" of the permanent and continuous bodies;*
- *It is a tool to communicate the general organisational framework;*
- *It also presents the roles, names and qualifications of every organisational unit, the horizontal and diagonal relations, the communication and decision-making flows.*

Different **organizational models** can be illustrated to the participants, each characterized by their structure and functions. The most common and also well-known is the Pyramid or vertical model:

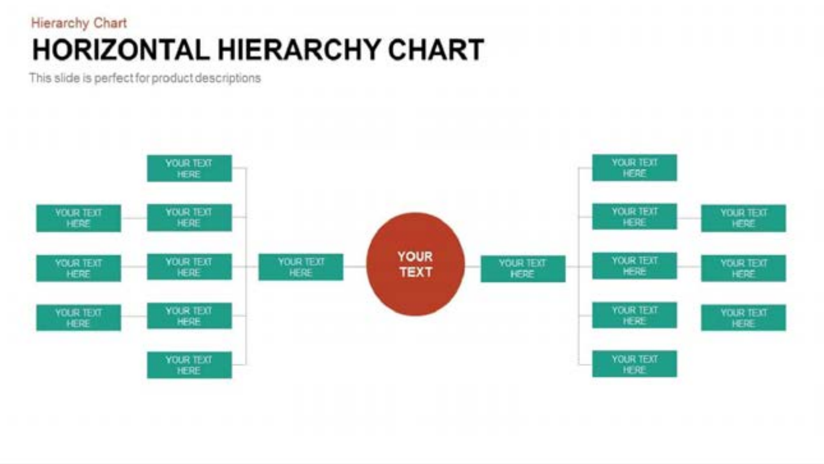
PYRAMID (VERTICAL) ORGANISATION MODEL: ***Optimizing the organizational functions:***

- *Organisational efficiency*
- *Leadership as control*
- *Self-centred / referential*
- *Separation between the organisational components*
- *Clear communication flows*
- *Increasing need of integration*

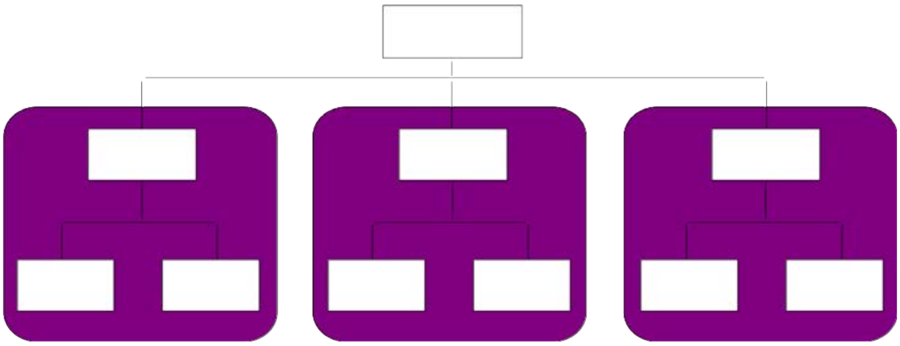


Another model, less represented but more focused on processes and participatory approach, is the so-called **HORIZONTAL** ORGANIZATION MODEL: ***Optimizing the participative functions:***

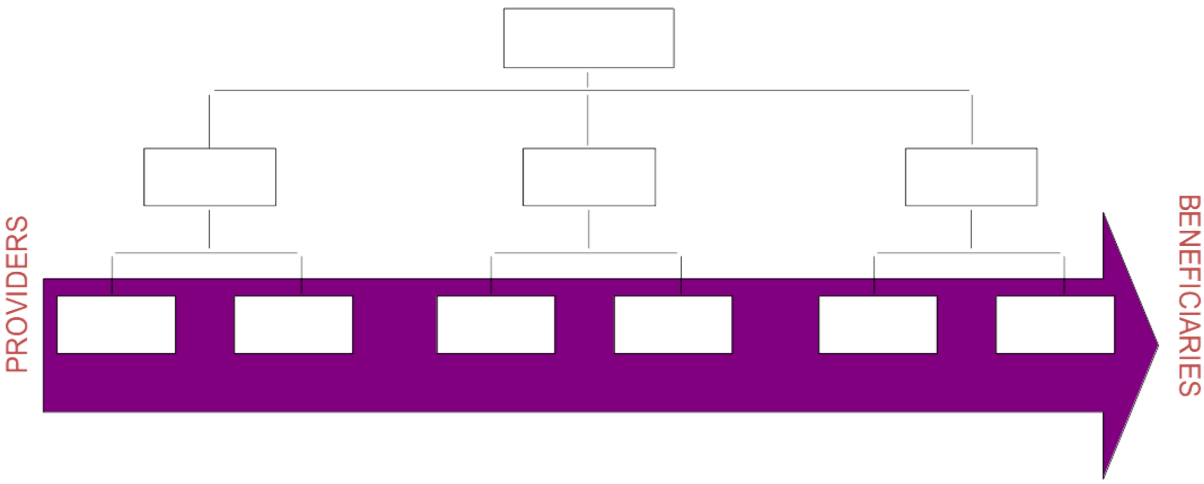
- *From the structure to the process;*
- *Focus on flows and processes;*
- *Leadership to master the processes;*
- *Less need for integration;*
- *Users-based organisation Overcoming internal boundaries.*



Traditionally, management is designed by (separate) functions, as in the chart below:

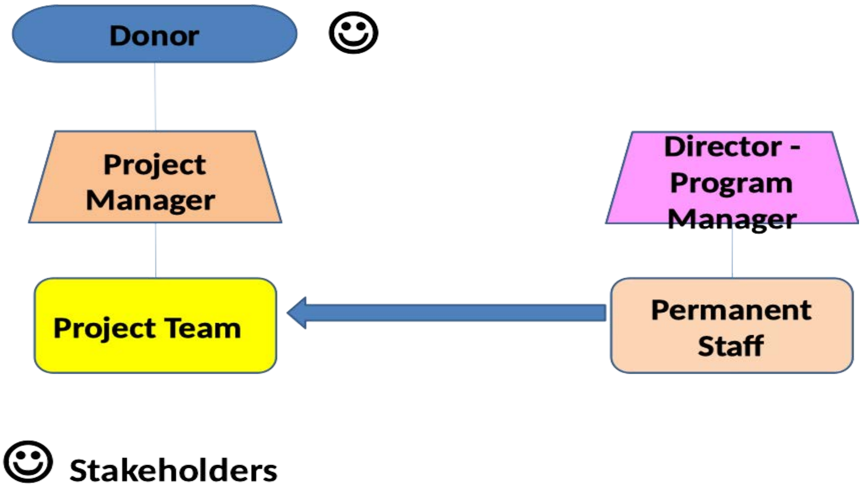


But the organisation generates value through its processes, thus activating its internal connections:

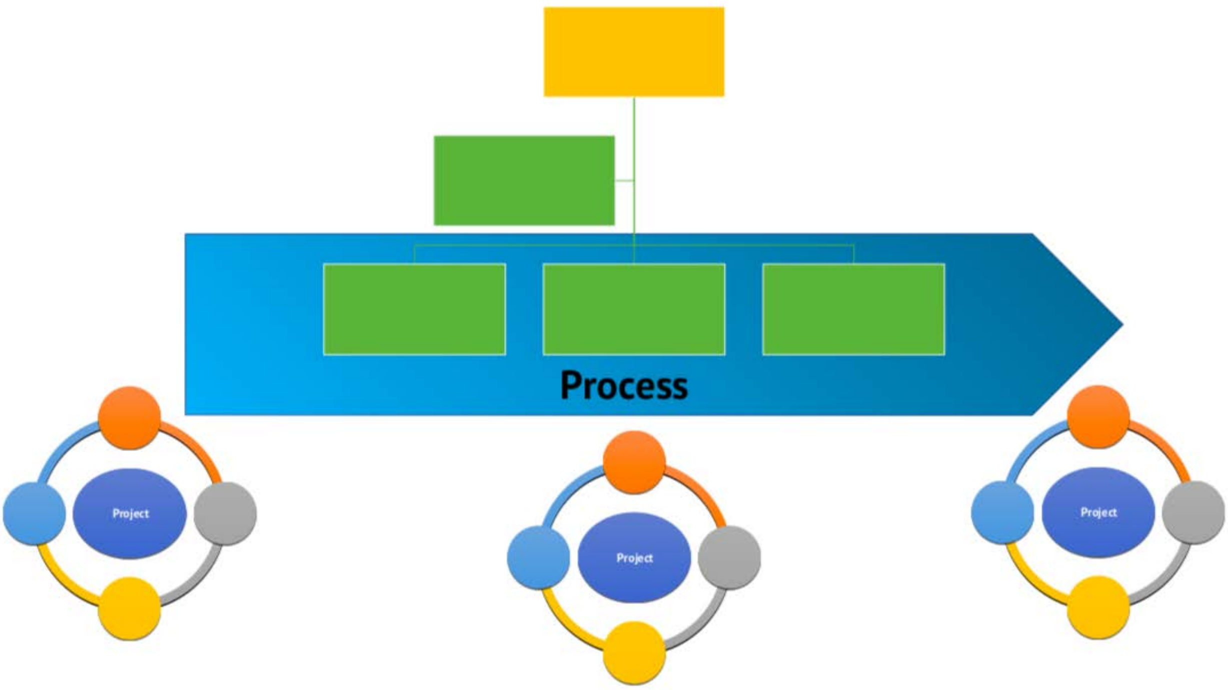


Most CSOs need also to set a specific PROGRAM / PROJECT ORGANISATION MODEL: ***Optimizing the competencies needed to manage programs /projects:***

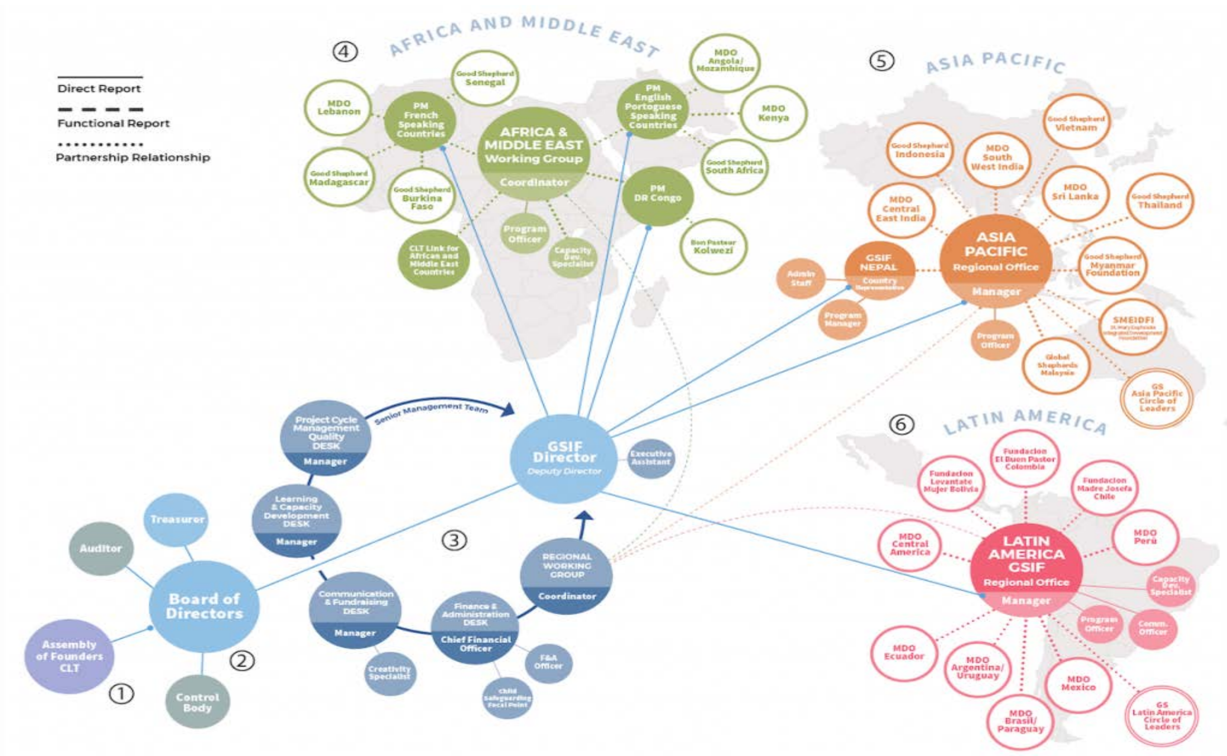
- *Time-bound to pursue specific objectives and deliver expected outputs*
- *Competences-based resources needed to achieve set objectives – outputs*
- *Team (project*)-leader



Another potential model, combining a "***vertical***", a "***horizontal***" and a "***processes – projects"*** structure can be adopted by CSOs with more functions and is summarized as follows:

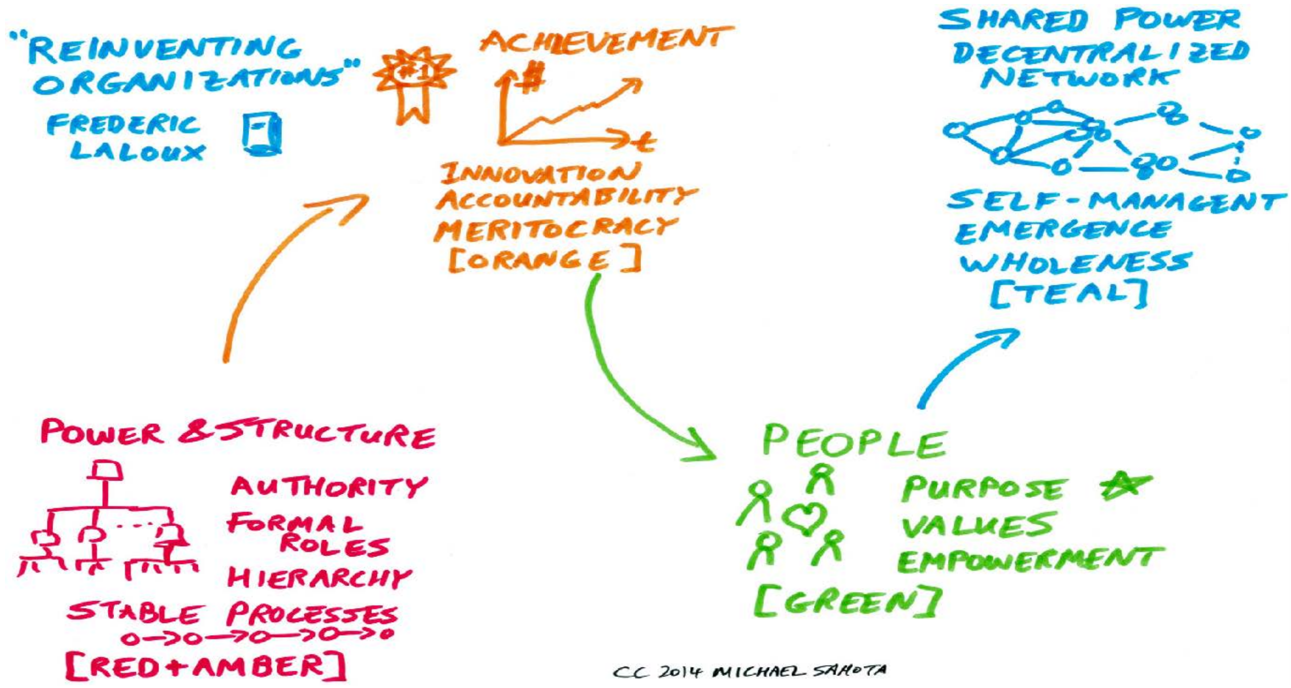


Another organizational structure illustrated to the participants, to stimulate their thinking and reflections on the "best" model for their CSO, is the so-called **"*Circular*" model**: "***polycentric***" and with multiple decision-making intermediary structures, with a "*geographical*" or "*thematic*" focus, that can be represented as follows:



In a world characterized by the so-called **VUCA model** (*Volatility* – *Uncertainty* – *Complexity* – *Ambiguity*), the concept of "***Solid People in Liquid Organisation***s" is discussed among the participants, to recognize the need for their leaders and members to be "solid" and well organized, albeit working for CSOs and constituencies which are "fluid" and ever-changing in their objectives and actions, following the model of the "**adaptive management**".

Before asking the participants to draft their own **organizational chart** ("*organogram*"), the theory of Frédéric Laloux exposed in his book "*Reinventing Organizations*" (2014) is illustrated as another example of how human organisations are "*living organisms*" and evolve according to times, scope, long-term objectives and people working in them:



The classification of the different evolutionary steps undertaken by the enterprises and organizations illustrated in the research of F.Laloux, uses the examples of the ***Wolf Pack (RED), the Army (AMBER), the Machine (ORANGE), the Family (GREEN) and the Living Organism (TEAL)*** to exemplify the most common and recurrent patterns that can be found in analysing also present-day organizations, to clarify that these are just "models" and none of them can be perfect and functional to the set strategy and long-term objectives, on the contrary, the different patterns are often combined to cater for the specific purposes of each organisation.

Exhibit 1: Evolutionary Breakthroughs in Human Collaboration

Color	Description	Guiding Metaphor	Key Breakthroughs	Current Examples
RED 	Constant exercise of power by chief to keep foot soldiers in line. Highly reactive, short-term focus. Thrives in chaotic environments.	Wolf pack	• Division of labor • Command authority	• Organized crime • Street gangs • Tribal militias
AMBER 	Highly formal roles within a hierarchical pyramid. Top-down command and control. Future is repetition of the past.	Army	• Formal roles (stable and scalable hierarchies) • Stable, replicable processes (long-term perspectives)	• Catholic Church • Military • Most government organizations (public school systems, police departments)
ORANGE 	Goal is to beat competition; achieve profit and growth. Management by objectives (command and control over what, freedom over how).	Machine	• Innovation • Accountability • Meritocracy	• Multinational companies • Investment banks • Charter schools
GREEN 	Focus on culture and empowerment to boost employee motivation. Stakeholders replace shareholders as primary purpose.	Family	• Empowerment • Egalitarian management • Stakeholder model	Businesses known for idealistic practices (Ben & Jerry's, Southwest Airlines, Starbucks, Zappos)
TEAL 	Self-management replaces hierarchical pyramid. Organizations are seen as living entities, oriented toward realizing their potential.	Living organism	• Self-management • Wholeness • Evolutionary purpose	A few pioneering organizations (see "Examples of Teal Management," page 8)

EXERCISE N.15: ORGANISATIONAL CHART

After the presentation on the organisational structures – organisational charts – different evolutionary models, the participants are asked to *draw/draft their own organogram*, to better suit their challenges, identifying also the **Limits** (external), the **Obstacles** (internal), the **Success factors** and the **Innovations** required to better respond to the ***desired changes – results they want to attain and the impact they want to generate through this change***, answering to the following questions in small groups, then sharing in plenary session:

- *Which **external limits** shall we respect?*
- *Which **success factors do we want** to value?*
- *Which are the **internal obstacles** we need to overcome?*
- *Which are the **innovations** we want to integrate?*

LIMITS	SUCCESS FACTORS
OBSTACLES	INNOVATIONS

To be noted that generally, most CSOs tend to choose a **pyramid–vertical model** with the trend to reproduce a hierarchical structure – with clear positions, roles and reporting/communication flows which facilitate the individual tasks, albeit less flexible. However, it is important to introduce decolonized lens to look at the models, sharing that different models can serve different purposes and different identities, can change over time according to the development phase, the CSOs long term objectives and desired impact, and reinforcing the importance of deciding according to endogenous and not donors-driven mechanisms.

Example of comments from participants on requirements by donors – often perceived as imposed to CSOs:

- *"there are trends on national programs that force organisations to hire functions project-oriented, particularly on finance. This poses an issue of capacity building and sustainability that risks being lost at the end of the project";*
- *"it depends on what serves better the purpose: most organisations show elements that come from their own identity or reflection and other roles that are felt more "imposed, it is up to each organisation to understand what is more appropriate for its mission and identify the better structure or choose no structure at all".*

Once drafted their *organogram*, with roles and functions, specifying also if all the desired – needed positions are already filled or not - the following question brings the participants to reflect to the actions required ***to adjust their organizational structure*** to the strategic plan and the LTOs – ***What do do – Who should do – When?***

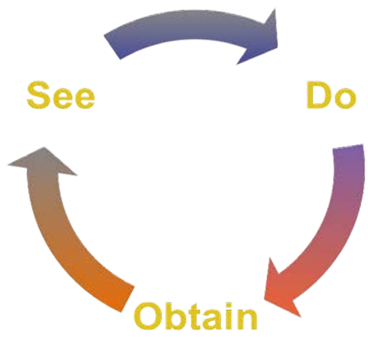
- Which are the **main actions** you want to pursue going back home?

ACTION: WHAT – WHO - WHEN

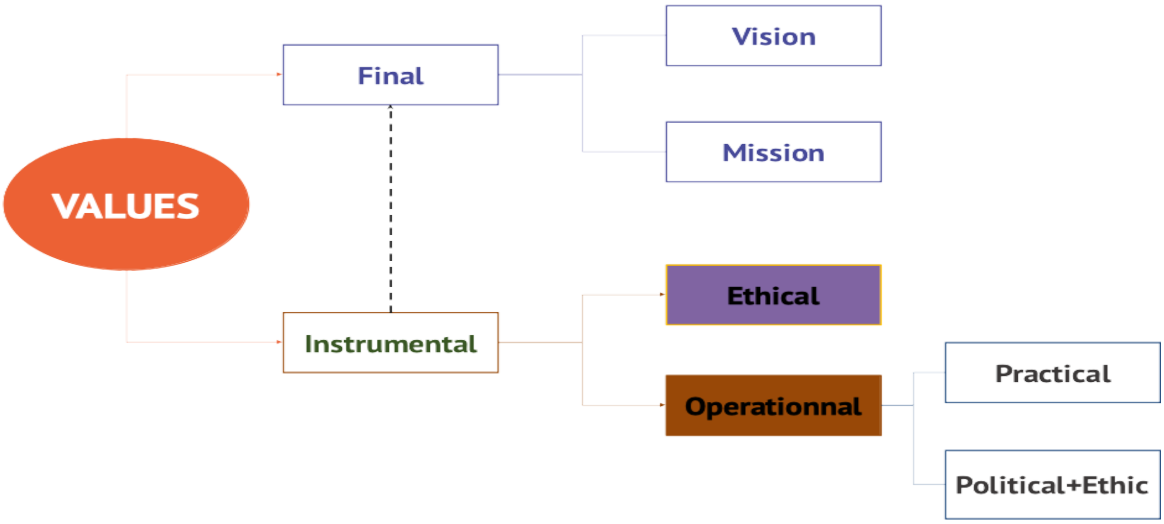
The exercise is useful to understand and share with others "*how we are organized and why*", to acknowledge **many common limits** (such as funding or internal skills building vs. external consultancies), and how many valuable things are done by each CSO, even with a small organizational structure. The shared presentation of this exercise can allow the participants to underline how it is important to set an organizational structure ***functional to the needs but also to the objectives/outcomes***, linking the CSOs organogram to the ToC approach; to take into account the *funding limits* to design the structure with enough flexibility and adapted to the actions-results framework; to include in the chart a bottom-level of peer-educators, volunteers and community representatives. The key-message is that ***each CSO should choose what is best for it and set its organizational structure according to its needs*** – there is not one (perfect) model.

3.2 "Have an Impact on your action: Values and Behaviours"

The organizational chart designed and proposed by each CSOs allows the participants to understand and recognize the "**organizational culture**": a set of **Beliefs – Values – Behaviours** that represents a "lens" to look at the organisations avoiding the stereotypes and building a "virtuous" circle defined by Stephen Covey the ***"See – Do – Obtain"*** chain:



Values can be "*declared*" and/or "*acted out*": very often in the organisations the values are declared but NOT acted out, creating incoherence and mistrust in their members, constituencies and staff. Organizational values can be ***Final*** or ***Instrumental***, can express ***Vision***, ***Mission*** or inform ***Operational – Practical - Political – Ethical*** actions.

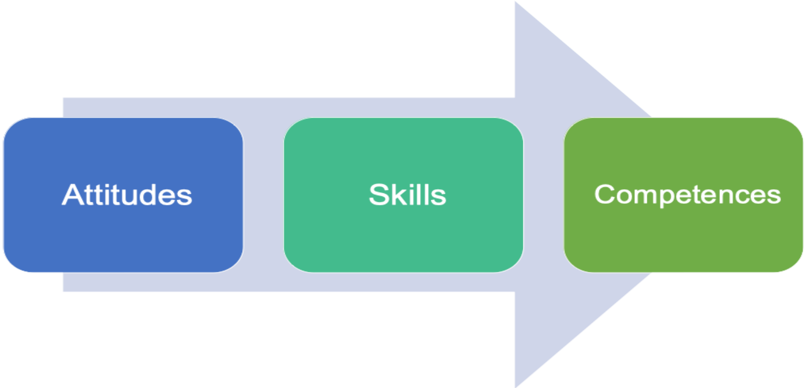


Trust is defined as a meta-value (essential for the organisations' survival), at the core of the three dimensions of the:

- **Accountability** *(perception of the Coherence degree)* – as opposite to **Insecurity**
- **Care** *(perception of the common interest)*- as opposite to **Lack of Interest**
- **Integrity** *(perception of the equilibrium in the relation)* – as opposite to **Conflict**

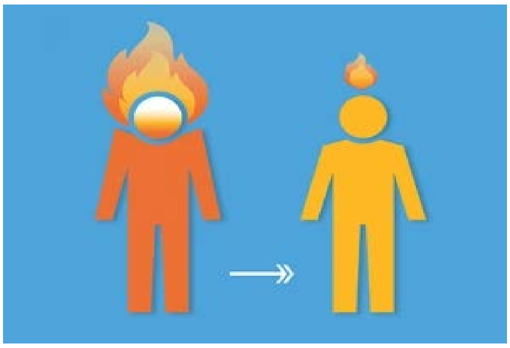
To valorize and use at their best their own **(human) resources**, CSOs need to give value to their own **Competencies**, translating **Values** into **Behaviours**, **Attitudes** into **Skills**, **Knowledge** and **Motivation**, **Context** and **Experiences:**

- ***To Know***: *the set of information and notions, general and technical, that a person possess;*
- ***To Know how to do***: *the capacity that a person has to translate into practice the information and the notions, through manual and/or intellectual abilities, addressed to a specific tasks;*
- ***To know how to be***: *the set of psychological, social and intellectual characteristics that prepare the person to deliver effici*ent results**.**

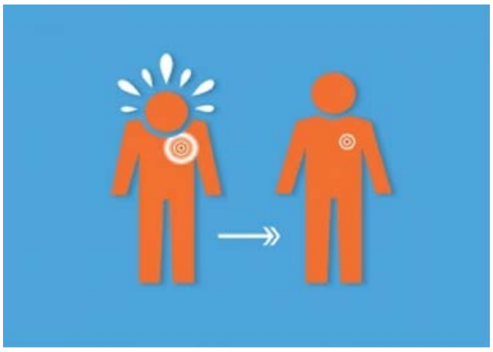


Examples of ***Competences*** useful at organizational level, are the following:

Conflict management – Negotiation

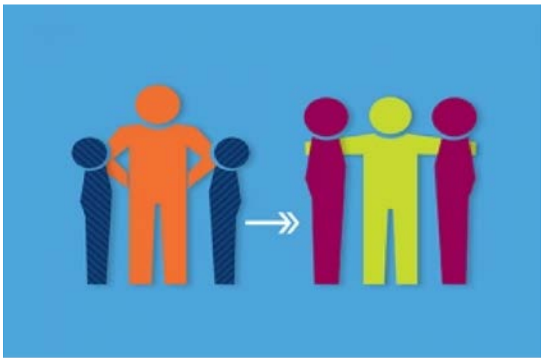


Empathy – Listening



Efficient presentation – Communication

Teamwork



- *A* ***Competencies model*** *is composed of a collection of* ***abilities, behaviours and attitudes*** *that influence the quality of work;*
- ***It describes what people should know to perform their duties;***
- *It aims to support the development of those skill which are considered fundamental to achieve the strategy;*
- *But before developing and nurturing the competences, each organization needs to agree on its core* ***Values****, that inform and guide the organizational* ***Behaviours.***

EXERCISE N.16: ORGANISATIONAL VALUES

This exercise aims to identify and select the **Organizational Values** for each CSO, by answering the question: "*what are the organizational values that we want to inspire our behaviour in order to effectively achieve our mission*?".

The participants are asked to choose **3 (three) Values** out of a set of 52 examples, then to associate at least **1 (one) exemplary Behaviour** to each selected Value:

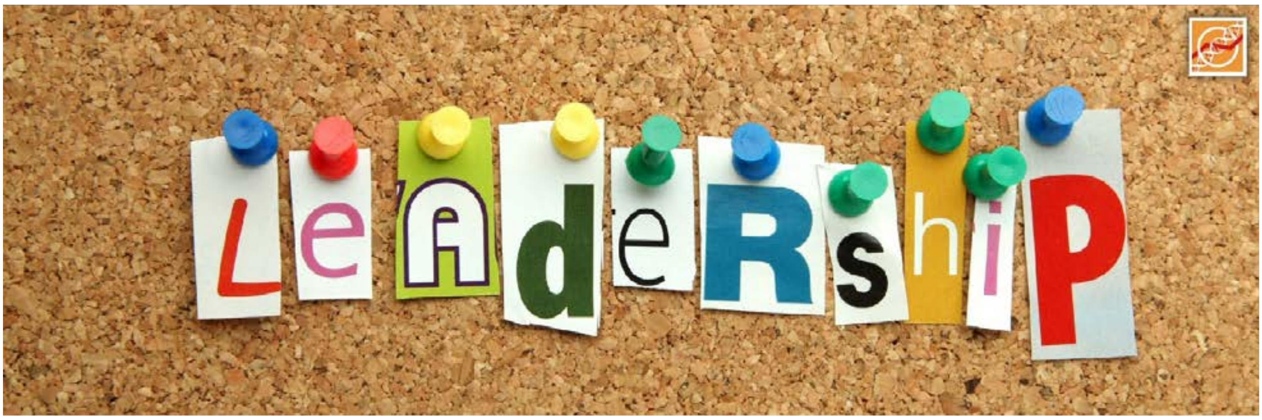
- *1st step:* 1 group = 1 organization, each member proposes three Values, each group/CSO discusses and aggregates the proposed Values, then each group/CSO selects its 3 (three) organizational Values;
- *2nd step*: each group/CSO writes a shared Definition for each of the 3 (three) selected Values;
- 3rd step: each group/CSO identifies 1 Behaviour for each of the 3 (three) selected Values;

Then the groups/CSOs share their selection (*Values – Definition – Behaviours*) in a plenary session.

Understanding the Beliefs that are at the core of the organization***,*** then ***identifying and defining the organizational Values and the actual Behaviours*** brings the CSOs to ***define their own Competencies model*** and what people should do to support the development of those skills necessary to achieve their strategy.

Selecting and defining **Organizational Values** and setting appropriate **Behaviours** to implement such Values, are the first steps to move into the **Leadership** model more consistent and coherent with the **CSOs Strategy** and **LTOs.**

Based on the ToC and the LTOs defined by each CSO, the *Organisational structure, the Values – Behaviours – Competence model,* ***which kind of leadership styles – skills we need to "govern" it?***



But who is the Leader?

Several questions are asked to the participants to help them focusing on the characteristic of a leader:

- ***A Manager is a Leader?***
- ***A Director is a Leader?***
- ***A Board Member is a Leader?***
- ***A Leader is a Manager?***
- ***A Leader is a Director?***
- ***A Leader is a Board Member?***

The Leader should:

- ***INVOLVE:*** *train and communicate;*
- ***SHARE:*** *tangible and intangible rewards;*
- ***GENERATE TRUST:*** *intellectual honesty, communicate, listen, frequency of contacts;*
- ***GENERATE RESPONSIBILITY:*** *empower and delegate.*

The ***Situational Leadership model*** (life-cycle theory of leadership) developed by Blanchard & Hersey (1969) is used to highlight the importance of *being flexible* and adopting / adapting a different style according to each CSO development stage, their staff skills and their targets; the unique situation - to cope and implement the set strategy or desired changes. According to this theory, the "good" ***leaders are versatile and know how to use different styles in different situations (***there is no one-fits-all style). The theory identifies ***four situational leadership styles***:

- ***Directing (S1)****: High on directing behaviours, low on supporting behaviours*
- ***Coaching (S2)****: High on both directing and supporting behaviours*
- ***Supporting (S3)****: Low on directing behaviour and high on supporting behaviours*
- ***Delegating (S4)****: Low on both directing and supporting behaviours*

EXERCISE N.17: ***"IF MY LEADERSHIP STYLE WERE AN ANIMAL, WHAT ANIMAL WOULD IT BE?"***

Through this exercise the participants identify and define their organizational ***Leadership style*** using the metaphor of the animal. The chosen animal should embed the ***qualities, attitudes, characteristics and properties*** that each group believes should represent their Leadership style, their own way to manage the association and realize its strategic plan and objectives/actions.

The example given is that of a **BEE**: part of a community, each member contributes to the growth and development of the community, hard-worker, committed, capable of long-distance communication, stimulates, produces, generates...

The ***richness and variety*** of the examples that are usually given by the participants (*ants, dolphin, dog, cow, bird, butterfly, monkey, eagle, camel, elephant, lama, chicken*) demonstrates the diversity of qualities and characteristics that are connected to the **Leadership style**, consistent with the **Values and Behaviours** chosen by each CSO/group.

Some of the characteristics /qualities attributed to the Animals and consistent with the CSOs Leadership style, are:

- *Adapting*
- *Calm and compassionate*
- *Caring*
- *Collective*
- *Colorful*
- *Communicating*
- *Coordinating*
- *Energetic*
- *Flexible*
- *Friendly*
- *Fun loving*
- *Happy*
- *Hard worker*
- *Inspiring*
- *Loyal*
- *Nourishing*
- *Proactive*
- *Protecting*
- *Resilient*
- *Supportive*
- *Team leaders*
- *Team-working / Collaborating*
- *Territorial / Nesting*

EXERCISE N.18: DEFINE THE INDIVIDUAL LEADERSHIP STYLE to be more coherent/consistent and conducive to their CSOs Leadership style, answering the following questions:

- ***What behaviour do I want to pursue?***
- ***What new behaviour do I want to act on?***
- ***What behaviour do I want to stop?***

STOP

START

CONTINUE

To share the **individual Action Plan** in the plenary session the participants can choose to pin-point (at least) 1 (one) behaviour to STOP, 1 (one) behaviour to START, and 1 (one) behaviour to CONTINUE, in order to contribute to the CSO strategic plan and long-term objectives and apply the Leadership style consistent with the chosen organizational Values and Behaviours set with the previous exercises:

Behaviours to Continue	**Behaviours to Start**	**Behaviours to Stop**

A few concepts from the literature on **Leadership** can be introduced, to shift gradually from the individual Leadership style to **a set of organizational behaviours** that can be useful to manage the organisations, keeping together ***Values and Behaviours***, ***Effectiveness and Meaning***, ***Pro-activity and Empathy***.

Stephen Covey: the 7 Habits of Highly Effective People (1989)

- *1. Be pro-active*
- *2. Begin with the end in mind*
- *3. Put first things first*
- *4. Think win-win*
- *5. Seek to understand first, before making yourself understood*
- *6. Learn to synergize*
- *7. Sharpen the saw*

Daniel Goleman: EQ – Emotional Intelligence (1995)

- *Self-awareness: the competency to understand the impact of your emotions*
- *Self-regulation: the ability to manage your emotions in a healthy way*
- *Social awareness: to have empathy and awareness of others*
- *Social skills: to build strong relationships, inspire and motivate people*

New Leadership styles required – Gallup (2021)

- *Be authentic*
- *Get your hands dirty*
- *Create a welcoming and safe working space*
- *Provide rewards*
- *Make it personal – everyone is part of the organisation success*
- *Encourage personal growth*
- *Be flexible and adaptative*
- *Be empathetic*

3.3 "*Together in the Forum – the Sector – the Consortium.* Why, What and How?"

The 3rd Unit aims to build a ***"shared" identity*** of the CSOs participating in the training at network(s)/sector level, ***to generate and nourish synergies and overcome potential conflicts***.

The same exercises proposed to the single CSOs are then shifted to the collective level, to support the participants reflection on *the reasons, the advantages, the opportunities but also the difficulties and the challenges* of being part of a national coalition/platform/network of civil society organisations.

EXERCISE N.19: THE FORUM – THE SECTOR – THE CONSORTIUM : WHAT COULD WE DO TOGETHER?

Participants from different CSOs (in mixed groups) should answer to the following questions:

- *Why are we together in the Forum/Sector/Consortium/Network?*
- *What do we want to do together?*
- *Which are the key-words that represent the Forum/Sector/Consortium/Network?*
- *Which are the key-words to define – apply to out network?*

After completing the teamwork, each group spokesperson shares the results in plenary.

The facilitator aggregates the group results: a table where to list main *questions – concerns – problems – decisions* listed by the participants can also be useful to synthetize and reach an agreement on the priorities to pursue together:

QUESTIONS	**CONCERNS**
PROBLEMS	**SOLUTIONS/ DECISIONS**

Key words collected during this exercise are as follows:

- *Unity / Hope / Dreamers / Fighters/ Buddy / Supporters / Stronger common initiative.*
- *Justice / Collectivism / Diversity / Impact / Healing / Freedom / Affirmation / Inclusive / Solidarity.*
- *Challenges / Strength / Recognition / Representation / Network / Core competences / Advance.*

EXERCISE N.20: THE PURPOSE OF THE FORUM – THE SECTOR – THE CONSORTIUM*:*

Again in mixed groups, the participants Identify and define **3 (three) organizational Values** for the Forum – the Sector – the Consortium (choosing from the 52 previously proposed to the CSOs), by answering the question: "***which are the values that allow us to effectively achieve our purpose?***"

- *Each member proposes 3 values* and posts them on the flip-chart ;
- *The group discusses the proposals and aggregates them* on a flip-chart;
- *The group shares a definition for each selected value;*
- After completing the group-work, each spokesperson *reports in plenary* what has emerged;
- *The facilitator aggregates the proposals* on a flip-chart.

EXERCISE N.21: FROM THE ORGANISATIONAL VALUES TO THE ORGANISATIONAL BEHAVIOURS

The last exercise proposed to the participants can be again the same of the ***Animal***, drawing, embedding the characteristics – behaviours more conducive to realize the mission – the vision – the strategic plan of the FORUM – the SECTOR – the CONSORTIUM.

The participants can also select the Valued and the Behaviours from those listed for their CSOs, finding an agreement on ***3 (collective) Values and 3 Behaviours.*** This exercise proves to be very useful **to re-connect people to their common focus** and highlight potential outputs and directions to move on with the networking activities.

EXERCISE N.22: LIST 3 GOOD THINGS TO BRING BACK HOME – 2 BAD THINGS TO LEAVE HERE

3 Good things I want to bring home	2 Bad things I want to leave here

The final session brings the participants ***to evaluate the three days*** spent together: the contents learnt and the methodologies applied, identifying and listing ***3 "good things"*** to bring back to their daily life and engagement at the CSOs and networking level and ***2 "bad things"*** to leave behind, in order to fulfil the ***Strategic Plan,*** the ***LTOs***, the ***Values and Behaviours*** and implement the ***Leadership style*** they have chosen at individual and organizational levels.