

# **Institutional Development: Learning by Doing and Sharing**

*Approaches and tools for supporting institutional development*

European Centre for Development Policy Management, Netherlands

## **Tools**

1. **Analyse Yourself as Facilitator, Disempower Yourself, Empower Groups and Individuals**
2. **Brainstorming**
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This is an abstract of selected tools from the full document which can be accessed on-line at:

[http://www.capacity.org/Web\\_Capacity/Web/UK\\_Content/Navigation.nsf/index?readform&http://www.capacity.org/Web\\_Capacity/Web/UK\\_Content/Content.nsf/2857911abf471f8fc1256c45004a4d46/5caf8f22eb5d528dc1256e210055122a?OpenDocument](http://www.capacity.org/Web_Capacity/Web/UK_Content/Navigation.nsf/index?readform&http://www.capacity.org/Web_Capacity/Web/UK_Content/Content.nsf/2857911abf471f8fc1256c45004a4d46/5caf8f22eb5d528dc1256e210055122a?OpenDocument)

Or

<http://www.cap-net.org/showhtml.php?filename=pcs>

# 1. Analyse yourself as facilitator, disempower yourself, empower groups and individuals

## Purpose:

Facilitators often tend to dominate and lead. Most of them are natural extroverts (or have made themselves so) and like talking to groups. They lecture, or they facipulate (a hybrid offspring of facilitate and manipulate). Facilitating others' analyses, however, means handing over the stick, being disempowered, leading by withdrawing. It can mean what Latin Americans call 'suffering the silence', waiting while others think before talking and acting, controlling the sense of obligation to fill silence with speech.

## Steps:

(1) Disempower yourself as facilitator. To do this, you can:

- decentre – move away from the spatial focus of authority;
- sit down, instead of standing while others sit;
- keep quiet;
- initiate self-organising processes;
- hand over to a participant (e.g. to chair a feedback session);
- refer questions back to groups;
- ask for contributions from others;
- start individual reflection in buzz groups;
- go away.

(2) Empower individuals: start by asking each person to reflect and make notes or lists for themselves while they are discussing with others. This starts everyone thinking and makes them realise that they already know something about the subject. The notes and lists give each person something to share. This leads to group discussions which are more democratic because each person has a note of things to say.

(3) Empower groups: give tasks to groups. There are many sorts and sizes of groups. Much of the best analysis seems to take place in small groups of three to five members.

## Tips:

(1) Insist on silence during individual reflection and taking notes.

(2) In groups: use maps and diagrams. This can generate group-visual synergy: motivation increases, and enthusiastic activity takes off in thinking, remembering, showing and cross-checking.

(3) When some know more about a topic than others, ask them to pair off or form small groups. Those who know more can share their knowledge with those who know less.

## Resources:

The text for this tool is based on:

- FAO Participation website: <http://www.fao.org/Participation>

This website, operated by the FAO's Informal Working Group on Participatory Approaches and Methods, contains a great deal of detailed information on participatory tools, methods and approaches. This is presented in the form of one-page overviews (description, source, purpose and applications, project phase, project level, references and links to further information). It also contains links to many other relevant sites, and descriptions of lessons learned from practical experience with the tools presented on the website. The website has a user-friendly interface, with handy icons and links. It is one of the best websites on tools, methods and approaches to participation.

**Original ideas:**

Chambers, Robert (2002). *A Sourcebook of 21 Sets of Ideas and Activities*. London: Earthscan Publications.

This sourcebook is written for anyone working in the field of participatory learning and change. It provides 21 sets of ideas, activities and tips on a range of subjects including getting started, forming groups, dealing with dominant group members, evaluation and monitoring. It is written in a self-critical style by an author who regularly quotes from his own experience, making the book a pleasure to read.

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## 2. Brainstorming

### **Purpose:**

This tool, with which almost all of us are familiar, can be used to gather many ideas quickly from a group of people by letting them freely express their creative and critical thoughts. It can often be used as a first step in a discussion that is then followed by other methods. In principle, brainstorming can be done individually or in a group. The latter is, however, preferable. In a group, when individual creativity gets stuck, others can carry it further.

### **Steps:**

- (1) Define the problem you want to solve clearly and ask the group to think of as many ideas as they can about the topic in question. You can give them several minutes for this.
- (2) Encourage an enthusiastic, uncritical attitude among the members of the group. Try to get everyone to contribute and develop ideas. Let people have fun brainstorming. Welcome creativity by encouraging people to come up with as many ideas as possible: from solidly practical ones to wildly impractical ones. The ideas can be captured using other techniques, such as mindmapping or using symbols.
- (3) Ensure that no-one criticises or evaluates ideas during the session. Criticism introduces an element of risk for group members when putting forward an idea. This stifles creativity and cripples the free running nature of a good brainstorming session.
- (4) Once all the ideas have been noted somewhere visible to everyone (for example on a flip chart or chalkboard), they can be analysed.
- (5) The emerging issues, topics and questions can later be grouped, sorted and prioritised.

### **Tips:**

- (1) To avoid the problem of domination by certain participants, you can distribute cards to all individuals on which they brainstorm their thoughts or ask them to brainstorm in subgroups.
- (2) Ensure that no train of thought is followed for too long. The session is only meant to extract ideas that can be discussed in detail later.
- (3) Set a rule at the beginning that all judgements made during the brainstorming session will be ruled out until a later discussion.

### **Time:**

From five minutes up to half an hour.

### **Equipment:**

Flip charts, markers and small cards for participants to write their thoughts on.

### **Environment:**

A good meeting room: enough space, quiet.

### **Resources:**

The text for this tool is mainly based on:

<http://www.mindtools.com>

The mindtool website focuses on creative thinking and problem-solving and on management skills. It provides tools which help you to understand difficult problems, develop creative solutions to them and evaluate the quality of these solutions. There are also a large number of management-related links.

and:

Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); also available on the Internet: <http://www.ifad.org/evaluation/guide/>.

### 3. Open Space Technology

#### **Purpose:**

Open Space Technology is a tool which enables a large group of different stakeholders (from 10-500 people) to discuss and work on burning and complex issues. It draws on participants' interests, knowledge and experience to explore ideas and insights without the constraints of conventional formats. An example in the context of development cooperation might be a discussion on mainstreaming water in poverty policy.

#### **Background:**

The process of Open Space is based on a set of four principles and one law (the law of two feet):

(1) Whoever comes are the right people

Open Space works with those who are interested and ready to commit themselves. Only those who are present can contribute. Although the invitation list might be limited, an Open Space conference is principally open to everybody; often, outsiders bring in fresh and independent views that can cause a quantum leap in the process.

(2) Whatever happens is the only thing that could have happened.

This principle provides a basis for the sustainable involvement of stakeholders. The issues discussed are those which people feel passionate about and wish to engage themselves in, not less, not more. In Open Space, everything that happens has a meaning. By contrast, issues that have been identified before the conference might not be considered. Open Space creates transparency and facilitates identification of those areas that bear the highest probability of implementation.

(3) Whenever it starts is the right time

(4) When it's over, it's over (When it's not over, it's not over)

These principles describe an obvious and well-known fact: it is not possible to force processes. If people are committed to make a change, they will take the process in hand. Although time and place are predefined in an Open Space event, clocks play a minor role in setting the pace. Participants themselves decide how much time is needed to work on an issue – ten minutes, two hours, one day – or not at all.

The law of two feet means that whenever a participant feels that he is neither contributing nor learning, he is encouraged to move to another place/discussion of interest. This creates a process of cross-fertilisation between the different groups. The organisers of the Open Space must take care that the lay-out of the conference does not allow status differences ('no ranks, no titles'), to ensure optimal creativity.

#### **Steps:**

(1) In the first hour of the meeting, the participants sit in a large circle (or double circle). The facilitator explains the principles of Open Space Technology as described above.

(2) An Open Space event is predefined by a question which is to be discussed during the (one to three-day) meeting. The question has been selected by the organisers. It should address a burning (and contentious) issue and ensure a high diversity of opinions. In the case of development cooperation, this could be water, decentralisation, etc.

(3) The facilitator invites the participants – still sitting in a circle – to come up with issues of concern related to the question to be discussed. When someone comes up with an issue they write it on a large piece of paper and announce it to the group. These people are 'conveners'.

(4) After selecting one of the many pre-established times and places, the convener hangs the paper on the wall. This process continues until there are no more agenda items.

(5) The participants then look at the many sessions on the wall and note the time and place of those they want to be involved in.

(6) Each group chooses a recorder (if he goes off to join another group, they appoint a new one, who continues where the other left off). At the end of the sessions, all the reports are gathered together and incorporated into one document at the end of the meeting.

(7) At the end of the meeting, the group comes together again in a circle and each gives a short presentation of its workshop session. People are invited to share comments and insights. If possible, action plans are linked to the issues that have arisen.

**Time:**

One to three-day meetings.

**Environment:**

A meeting place with corners and areas to gather in small groups.

**Resources:**

There is a lot of background material available for further reading, as Open Space Technology seems to be a new buzzword for management gurus and consultants. You can find more information on how to work with Open Space from the following (very popular) references:

- <http://openspaceworld.com> Website of Harrison Owen, the founder of the Open Space Technology. See his publication:

Owen, Harrison (1997); *Open Space Technology: a user's guide*.

Much of the text of this tool is based on:

- <http://www.chriscorrigan.com/openspace/> who also gives some cases of Open Space Technology.

- Nauheimer, Holger. *Change Management Toolbook*. <http://www.change-managementtoolbook.com/> The Change Management Toolbook offers a broad range of methods and strategies for use during different stages of personal and organisational development. The site is geared mainly to organisations and is inspired by the 'learning organisations' philosophy developed by Peter Senge. It also contains references to books on organisational development.

An introductory website on **multi-stakeholder processes** and with reference to Open Space Technology can be found at:

- <http://www.iac.wur.nl/msp>

IAC – International Agricultural Centre

Lawickse Allee 11

6701 AN Wageningen

P.O. Box 88

Phone: +31 (0) 317 495495

Fax: +31 (0) 317 495395

<http://www.iac.wur.nl/>

Info: [info.iac@wur.nl](mailto:info.iac@wur.nl)

Another relevant website with lots of information on how to organise multi-stakeholder processes can be found at:

- <http://www.earthsummit2002.org/msp/>

## 4. Visioning or realising dreams

### **Purpose**

To have a focused discussion around people's dreams or shared visions for the future of a project or other activity. This tool helps people to think in terms of a longer-term vision, instead of focusing on daily problems. It helps to open up their minds to other ways of overcoming problems and prevents them from slipping into standard ways of solving immediate problems, rather than imagining a new path they themselves can create to realise an envisaged future.

### **Steps:**

(1) Start by asking people to describe how they would like things to be in the future. The meetings can be held at an individual, household, interest group, community or organisation level. The time in the future for which dreams are to be discussed will need to be clarified beforehand but a period of two to five years is long enough for dreams to be more than simply dealing with the immediacy of survival and yet short enough to remain realistic. The longer the time-frame chosen, the more it will become dreamlike or a kind of wish list.

(2) The dreams can be written down or represented by a symbol. In the discussion, they can be specified, with clear time-frames for achievement.

(3) Once articulated and discussed, the dreams can become indicators that are monitored as they are being realised, are changing or are becoming ever more elusive.

(4) The discussion is repeated every 6 to 12 months, or however often those involved think changes are likely to have occurred. The progression or regression in the development of the dreams/indicators needs to be properly recorded in symbols or words in these discussions. Discussions can also include a comparison of current dreams with those expressed during a prior monitoring event. It is also essential to discuss why these changes occurred and to what extent they were caused by the project activities or by other, external factors.

### **Tips:**

(1) It must be clear beforehand why this tool is being used: do you ultimately want to create a consensus-based vision, or do you want to open up discussion? This might have consequences for how you, as facilitator, organise the discussion after the presentations.

(2) Adopt a proper time-frame, which people can imagine. Otherwise visions may be too idealistic.

(3) Sometimes, you have to be forceful when introducing a session like this. Often people don't see the point in spending time on such an exercise. Here it is important to emphasise the importance of a discussion of this type.

### **Time:**

60-90 minutes, depending how many participants there are.

### **Equipment:**

Flip charts and markers.

### **Environment:**

A good meeting place (enough space and no disruptive noises).

## Examples:

### **Box - Irene Guijt – Visioning**

There are several ways of using a visioning exercise. It is a method which helps people to see possibilities rather than immediate problems. In doing so, it opens up their minds to other ways of overcoming problems. As facilitator, it is important that you have the aim of the exercise in mind beforehand. Do you want to find convergence between the different visions that may emerge from different people/groups, or do you want to use the exercise just to start a discussion? It is always important for the one who is facilitating the workshop to write down as much as possible, so it can be analysed in more detail afterwards. In addition, a facilitator sometimes needs to be resolute when explaining the exercise, as some people can be quite sceptical about the idea of, for example, taking a walk to find a symbol representing your vision.

### **Visioning on an AIDS organisation**

During a strategic review of the board of an organisation working on AIDS, the facilitator asked the participants to make a list and to define the most important stakeholders related to the organisation. After this, the board was divided up into several small groups. Each group got the assignment to play the role of one of the stakeholders and to imagine a situation five years later. They then had to mention the three most important things the organisation had worked out for them. They got a few minutes time to explain these at a fictitious conference. In that way five or six different perspectives on the organisation were found, which were very helpful to the board as a reflection on their own organisation.

### **Visioning on gender equity**

Another way to use the concept of visioning: ask people to bring something with them which is related to the topic of discussion. This method was used during a seminar on gender equity in Switzerland. The participants were asked to take a walk and come back with something which was related to their feelings on the subject of gender equity. The idea was that, because it is often so difficult to establish real opinions on this subject, the symbols might reveal more. After the participants came back, each of them got a few minutes time to explain their symbol. One participant, for example, came back with a stone, because he found gender equity a little 'hard to swallow'. Although this exercise was time-consuming, it opened the eyes of each person involved to the real diversity surrounding this topic.

## Resources:

The text of this tool taken from:

• Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); Also available on the Internet: <http://www.ifad.org/evaluation/guide/> .

Another useful resourcebook might be:

• Senge, P., R. Boss, B. Smith, C. Roberts and A. Kleiner (1995). *The Fifth Discipline Fieldbook: strategies and tools for building a learning organisation*. London, Nicholas Brealy Publishing. See also: <http://www.fieldbook.com/>.

Senge's best-seller *The Fifth Discipline* was an enormous success. This was the book in which he introduced the theory of learning organisations: a group of people who continually enhance their ability to create what they want to create. Senge believes that five disciplines are crucial to learning organisations: systems thinking, personal mastery, mental models, building a shared vision and team learning. The fieldbook explains how to create an organisation of learners. It describes a wide variety of experiments, research studies and inventions performed by all sorts of people in becoming better 'learners'.

## 5. Actor identification exercise

### Purpose:

The actor identification exercise is a matrix which can be of help in listing all relevant stakeholders, a diagnosis of their importance and the arguments to support this diagnosis. As a matrix it can be easily drawn on a flip chart or overhead sheet. An actor identification exercise is part of a stakeholder analysis.

### Steps:

(1) Start a brainstorming session to generate a list of relevant stakeholders and actors to be involved in the institutional process. These might be individuals or organisations. After making a list of ideas, discuss which of the stakeholders listed are truly relevant and which are considered to be key stakeholders. The reasons for choosing the key stakeholders should be written on the sheet, as well as why they are important.

(2) Some relevant questions to support brainstorming:

- Which stakeholders will play a role in the sector or programme you are working on? Have all primary, secondary and external stakeholders been listed? Try to be as specific as possible.
- Have all potential supporters and opponents of the project been identified?
- Has gender analysis been used to identify different types of female stakeholders (at both primary and secondary level)?
- Have the interests of vulnerable groups (especially the poor) been identified?
- Who else could make an important contribution? Why and how?
- What do the various actors contribute?
- Which actors can be seen as key actors? Why?
- Are there any new primary or secondary stakeholders that are likely to emerge as a result of the project?

(3) Draw a matrix

An actor identification sheet can be used to record results:

System actors	Do you see this person/organisation as a key actor? (yes/no)	Why or why not?
1		
2		
3		
n		

### Equipment:

Markers and flip charts.

### Environment:

A good meeting room

### Resources:

This tool is based on:

• Engel, P.G.H. and M.L. Salomon (1997); *Facilitating Innovation for Development: a RAAKS resource box*; Royal Tropical Institute: Amsterdam.

and:

• ODA, Overseas Development Administration (1995); *Guidance Note on How to do Stakeholder Analysis of Aid Projects and Programmes*; ODA: London. Available on the Internet at: <http://www.euforic.org/gb/stake1.htm>.

**Box 10 - Actor analysis in Albania**

*Gerrit Holtland*

The objective of this tool was to understand the role of the other actors in the system (what are their key qualities and approaches?) and their relation to organisation X. Visits were planned to 16 different organisations, in two groups. First a general communication strategy was agreed upon. In the interview, the emphasis was placed on several elements:

- time to greet each other and settle down;
- a clear introduction to explain the purpose of the visit and what the organisation was going to *do* with the information;
- focus on non-verbal aspects (the right seating arrangements, looking people in the eyes, active listening);
- how to prevent the dialogue from ending up as an 'interrogation'. This meant starting with open questions which invite the others to take the lead and explain what is relevant to them. After that, probing questions could be used to discover more details, and for possible cooperation between organisation X and the other organisations.

After the interviews, the visits were discussed in the whole group (consisting of some 10 people, most of them staff of the organisation). The main conclusions of the visits were clustered in four groups: the key quality of each organisation, their approaches, possibilities for cooperation and competition between the organisations and X, on the basis of which further conclusions for developing a long-term proposal could be drawn.

## 6. Stakeholder analysis

### **Purpose:**

Stakeholder analysis is a systematic way of identifying a programme's key stakeholders, assessing their interests and how these interests affect the risk level and viability of the programme. The general recognition of the key role played by stakeholders has made this a vital tool for policy managers.

### **Steps:**

(1) Clarify the main purpose of the stakeholder analysis and the higher objective of the programme concerned. Agree on the criteria for assessing the stakeholders. List the criteria you will use to prioritise who is to be involved. Criteria for inviting stakeholders could include: because they are supposed to benefit from the project; their formal role in the project; because they provide skills and/or information essential to the process; because they fund the process; because they have legal rights in the project area; because they are primary residents in the project area; etc.

(2) List all the people, organisations and parties you can think of that might fit your criteria. These are the stakeholders. Various methods can be used to identify stakeholders, such as brainstorming, interviews with key informants or focus groups. Cross-check the initial list by asking key people to look at it critically. Stakeholders can be classified in groups. For example: primary stakeholders, who will be the intended beneficiaries of a targeted programme; secondary stakeholders are the intermediaries in the process of delivering aid to primary stakeholders; and external stakeholders include those who are not directly involved, but who are interested in the outcome of the project.

(3) Stakeholder analysis is an iterative method, something that may be undertaken early in the planning stages of a programme and repeated or checked at later stages, usually as other stakeholders are added.

(4) Classify the stakeholders on the basis of the criteria. To do this, you will need to make a stakeholder matrix with the stakeholders along the y-axis and the criteria you have set along the x-axis. Prioritise which stakeholders to involve on the basis of the importance of stakeholders to the programme objectives and the influence/power the stakeholders have on the direction and outcomes of the programme in relation to their own interests.

(5) Reach agreement on how best to involve people. This can be done by asking the different people/groups themselves the best way they think they can be involved.

### **Tips:**

(1) Selecting whom to involve in the analysis must be done together with others in order to reduce the risk of a biased selection. This is a process that continually evolves and must be repeated throughout the life of the project, in order to be sure that new, potentially important stakeholders are not missed.

(2) The other exercises mentioned in this booklet (actor identification) can of course be used in combination with this exercise.

### **Time:**

This tool can take some time: three hours.

### **Equipment:**

Markers and flip charts.

### **Environment:**

A good meeting place.

### Example:

#### Stakeholder analysis in Ghana

Actor	Interest	Influence Extent	Influence Direction
<b>Public Sector Management</b>			
Senior Minister MoF+EP	Leading role for reforms Interest in efficiency	++ +	Up ~
Local Government and Rural Development	Implementation policies	-	Down
WB/DFID	Fiduciary risk	++	up
Research and advocacy organisations	Research/advocacy	-	~
Environment and science	Profiling	+/-	~
Ghana Inst. of Management and Public Administration (GIMPA)	Research/training	+	up
Institute of Local Government Studies (ILGS)	Research/training	+	Up
District Assembly Common Funds (DAFC)	Bureaucratic	-	Down
Districts	Service delivery/empowerment	-	~
Constitutional bodies	Watch democratic state of law	+	Up
KPMG	Commercial interest	++	Up
PWC	Commercial interest	++	Up

### Resources:

This tool is based on the following reference:

- ODA, Overseas Development Administration (1995); *Guidance Note on How to do Stakeholder Analysis of Aid Projects and Programmes*; ODA: London. Available on the Internet: <http://www.euforic.org/gb/stake1.htm>.

A lot has been written about the importance of stakeholder analysis. The following references might be most helpful:

- World Bank (2002); *World Bank Participation Sourcebook*. World Bank: Washington. Available on the Internet: <http://www.worldbank.org/wbi/sourcebook/sbhome.htm>.

- DFID (2002); *Tools for Development: a handbook for those engaged in development activity*, version 15; available on the Internet: <http://www.dfid.gov.uk/FOI/tools/index.htm>

A useful handbook containing tools for development (stakeholder analysis, problem and situational analysis, visioning, risk management, influencing and negotiating) which can be applied to any developmental activity or intervention.

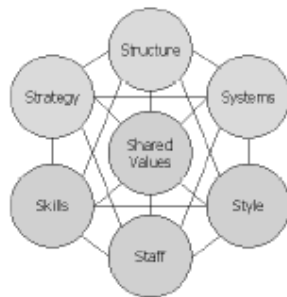
## 7. 7-S model

### Purpose:

The 7-S model can be used to trigger discussions in a group to analyse internal issues within an organisation. It consists of seven key interdependent variables that need to be taken into account in organisational design. They focus on both the 'hardware' of an organisation – the strategy, structure and systems – and on the 'software' – its management style, staff, skills and shared values (i.e. culture).

### Background:

The 7-S model can be used as a basis for discussion of organisational design with relevant key stakeholders in the organisation. Special attention must be given to the relationships between the seven variables. Different techniques and tools can be used to organise a discussion.



### Description of the 7 S's:

#### (1) 'Shared values'

The central guiding concepts of an organisation; the fundamental ideas around which an organisation is built.

#### (2) 'Strategy'

These are the actions an organisation plans to carry out; the concrete aims which are often laid down in a mission statement.

#### (3) 'Structure'

The way the organisation itself is organised, often laid down in an organigram.

#### (4) 'System'

The formal and informal procedures that support the strategy and structure.

#### (5) 'Style'

The management style; how do managers make decisions, how do they spend their time? What do they focus their attention on?

#### (6) 'Staff'

The processes used to develop managers; socialisation processes; ways of introducing young recruits to the organisation.

#### (7) 'Skills'

What is the organisation best at?

### Steps:

(1) Use the 7-S framework as a basis for discussion of organisational design with key stakeholders in the organisation and relevant experts. Special attention should be paid to the relationships between the seven variables.

(2) Gather data on each of the areas, based on desk research and interviews with key stakeholders throughout the organisation.

(3) Summarise findings in a report for senior staff. This report can then be used as a basis for identifying which boxes relate to which executives and managers, and can be useful in helping them understand the complex performance and change issues they are trying to manage.

(4) Key questions to include are summarised in the table below.

**Area Examples of Key Questions**

Strategy. Clarity of vision and goals that guide the organisation. Extent to which they are shared amongst planners. Level of participation in their formulation.

Structure Organisation of functions. Definition of roles and responsibilities. Mechanisms for participation of key stakeholders – staff, other ministries and civil society.

Systems Effectiveness of the human, financial and technology systems that support objectives. Nature of incentives within HR and budgeting policies and procedures.

Staff Effectiveness of staff utilisation. Adequacy of staff resources. Level of staff motivation. Factors that would increase job satisfaction.

Skills Nature of task requirements and individual skills/knowledge needed for task effectiveness. Adequacy of the task-skills match. Opportunities for training/knowledge sharing.

Style Leadership style of ministers/senior civil servants and relationship with staff. Extent to which there is a supportive environment for staff. Level of communication.

Shared Values Nature of the overt and covert rules, values, customs and principles that guide organisational behaviour. Extent to which core professional values are internalised.

(5) One of the key weaknesses of the 7-S framework is its failure to look at the external environment. In practice, there are a number of external issues that need to be considered during the design phase, including for example:

- a. Supportive legislative structures: do new laws need to be introduced to enable agency formation?
- b. Wider policy context: how does the institutional reform being implemented fit with other reforms in progress?
- c. Other aspects of the wider institutional context: for example how do informal institutions in a society impact on the organisation's culture and design?

**Time:**

Depends on how the exercise is carried out: with discussions in focus groups or through interviews.

**Equipment:**

A well prepared paper with questions to focus on.

**Environment:**

A good meeting place.

**References:**

This tool is based on:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID and Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet:

[http://www.dfid.gov.uk/Pubs/files/inst\\_org\\_sourcebook.pdf](http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf)

and on:

- <http://www.change-management.net/7smodel.htm>

For more relevant questions, take a look at this reference. Some background on the 7S tool is given, while many questions to inspire discussion are provided.

Original idea is described in:

- Peters, T., Waterman, R. (1982); *'In Search of Excellence'*, New York, London: Harper & Row.

## 8. Force field analysis

### **Purpose:**

Force field analysis is a tool which can be used to analyse forces for and against change or in a specific situation. In force field analysis, change is characterised as a state of imbalance between driving forces (e.g. new personnel, changing markets, new technology) and restraining forces (e.g. individuals' fear of failure, organisational inertia). Force field analysis can be used in many forms. Usually a table is drawn up separating driving (on the left side of the table) from restraining forces (on the right side of the table).

### **Steps:**

(1) Define the problem or situation you are going to reflect on and draw a table which represents the situation under discussion vertically and two horizontal columns representing positive and negative features and forces influencing the situation. Be aware that group members must have sufficient information to start an analysis.

(2) List the driving forces which support change and the restraining forces which will act against it, using the column you have drawn. Be specific when listing the forces (what, who, where, when, how many, etc.) and indicate what effect each force is likely to have on achieving your objective.

(3) Analyse the driving and restraining forces and identify which are most important: these are the ones that will have a significant effect on whether or not you can achieve your objective. Circle all the important forces on the list.

(4) Identify and discuss ways in which you can increase and strengthen driving forces and ways in which you can reduce and minimise restraining forces.

(5) Assess the situation: do the driving forces really outweigh the restraining forces? If necessary, rate each force or feature according to its priority, for example on a 1-10 scale, where 1 indicates a very weak influence and 10 a very strong influence.

### **Time:**

Depending on the discussion form: one hour or more.

### **Equipment:**

Flip charts and markers.

### **Environment:**

A good meeting place.

### **Resources:**

This tool is based on:

- Carmen, K. and K. Keith (1994); *Community Consultation Techniques: purposes, processes, pitfalls*; Department of Primary Industries, Queensland.

Original source:

- Lewin, K. (1951); *Field Theory in Social Science*, Harper & Row, New York.

**Example:**

**Support for Women’s Groups in North Kivu: the IFAD/BSF-JP project**

*by Dieuwke Klaver, IAC*

Context

The IFAD project started in July 1997 and finished in December 2002. Its primary objective was to reduce rural poverty by increasing household incomes, reducing environmental degradation and increasing women’s bargaining power. The energy saving technique (ENGY) component proved to be successful. Women were trained in the construction of woodstoves.

Using these stoves saves time used for wood collection and cooking. However, during an evaluation workshop it became clear that the project had not identified some important informal rules in the society: building a kitchen when you are not the owner of the housing plot is impossible (as this would suggest giving the women owner rights), while building houses, schools and kitchens is a male task and responsibility. That means that female-headed

households would have to contract men and pay them for the construction of a kitchen.

The following force field analysis was used during a multi-stakeholder final evaluation workshop on the IFAD project. It was used during a focus group discussion with representatives of the final beneficiaries and, in another focus group discussion, with the community development workers:

- (1) Identify together – either in the focus group discussion or beforehand in a plenary session with all the stakeholders – the poorest of the poor (or in general, the final beneficiaries in terms of class, ethnic group, gender etc.)
- (2) Make a table which represents all the project or programme components vertically and two columns for features/elements of both the livelihoods of the intended beneficiaries and the project components that positively or negatively influence their participation, access and use of project services or activities.
- (3) Ask the participants to fill in this table, based on their discussions.
- (4) If necessary, use a ranking tool to prioritise the most negative features or most positive features for participation.

**Force field analysis of “Support for Women’s Groups in North Kivu: the IFAD/BSF-JP project”**

	What features in the livelihoods of the intended beneficiaries and in the project components positively or negatively influence participation in the project activities?	
<i>Project components</i>	<i>Positive features</i>	<i>Negative features</i>
Community development fund through female grassroots organisations	<ul style="list-style-type: none"> <li>• The poorest can become a member of the grassroots organisation by paying membership in kind instead of in cash</li> <li>• The poorest contribute by providing labour during community activities</li> </ul>	<ul style="list-style-type: none"> <li>• The poorest cannot pay the membership fees</li> <li>• Because they have an inferiority complex, they will not unite</li> <li>• The individual benefits of this project activity are not immediate.</li> <li>• Some poor people are lazy.</li> </ul>
Introduction of energy saving technologies at household level	<ul style="list-style-type: none"> <li>• By building permanent woodstoves for other households the poorest can earn an income</li> <li>• Use of local materials for woodstove construction <i>(this is a feature of the project activity or service)</i></li> </ul>	<ul style="list-style-type: none"> <li>• They do not have money to invest in a mobile stove</li> <li>• They cannot construct a permanent woodstove because they rent the housing plot, so are not allowed to build a rainprotected kitchen</li> <li>• Female-headed households do not have a male labour</li> </ul>

		<p>force to build a rainprotected kitchen</p> <ul style="list-style-type: none"> <li>• Distance for finding construction materials is too great (<i>this is a feature of the project activity or service</i>)</li> </ul>
<p>Introduction of agroforestry through tree nurseries</p>	<ul style="list-style-type: none"> <li>• Use of local materials (<i>this is a feature of the project activity or service</i>)</li> <li>• The poorest are interested in trees that give quick results (fruit)</li> </ul>	<ul style="list-style-type: none"> <li>• They do not have ownership rights on a piece of land</li> <li>• They do not have the equipment to set up a nursery</li> <li>• The poorest do not participate in the grassroots organisations assisted by the project.</li> </ul>

## 9. Problem and objective trees

### Purpose:

A tool which identifies a core problem and its effects/ends and root causes/means. The tools are often used in the preparation phase of a logical framework.

### Steps:

- (1) Start with a brainstorming session on all major problems within the framework of the situation analysis. Together with the group, choose a starter problem.
- (2) Draw a tree and write the starter problem on the trunk. If you want to look at more than one problem, then you will need to draw one tree per problem.
- (3) Encourage people to brainstorm on the causes of the starter problem. To ensure that a few people do not dominate, give each person three to five blank cards and ask everyone to write down one idea per card.
- (4) To focus on the root causes of the problem, discuss the factors that possibly contribute to it. Write them on the roots of the tree.
- (5) Write down each root cause on the roots.
- (6) Follow the same procedure to determine the effects/impact of the problem and write the primary effects on the branches of the tree.
- (7) Follow this exercise with an 'objectives tree' to identify what actions are needed to tackle the causes of the problems expressed in the problem tree.

### Equipment:

Markers and flip charts.

### Environment:

A good meeting place.

### Resources:

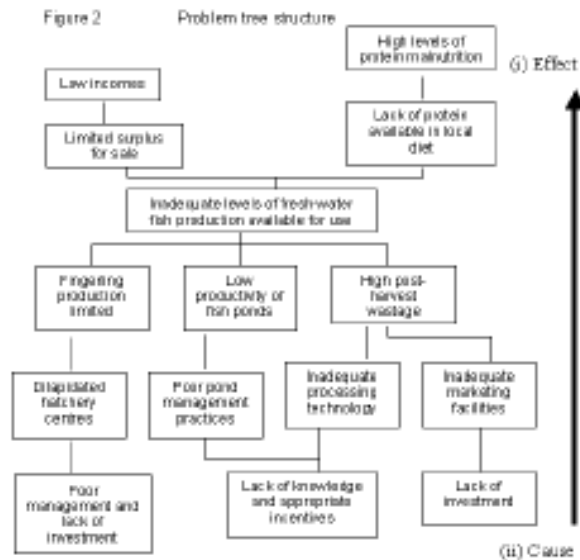
You can find more on problem and objective trees at:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development: a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); also available on the Internet: <http://www.ifad.org/evaluation/guide/>.

And also:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development: guidelines for DFID and Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet: [http://www.dfid.gov.uk/Pubs/files/inst\\_org\\_sourcebook.pdf](http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf)

### Example:



[Source: AusAid; *Managing Projects through the Activity Cycle*, a guide for AusAid staff, contractors and others involved in aid delivery, available on the Internet: <http://www.ausaid.gov.au/ausguide/ausguidelines/index.cfm> ]

## 10. SWOT analysis: Strengths, Weaknesses, Opportunities and Threats

### **Purpose:**

A SWOT analysis is a tool (a matrix) to identify Strengths, Weaknesses, Opportunities and Threats in relation to an organisation or a particular reform option. It provides a clear basis on which to develop a picture of the changes needed to build on strengths, minimise weaknesses, take advantage of opportunities and deal with threats.

### **Steps:**

A SWOT analysis can be conducted in several ways, e.g. as a brainstorming session in a small group or a workshop setting. Or you can gather initial insights from interviews and relevant documents. If a workshop setting is chosen, you can follow these steps:

(1) Referring to the definitions below, the group defines, discusses and records as many factors as possible for each element. Strengths and weaknesses refer to internal aspects of the group, project site or activity. Opportunities and threats can be looked at in terms of internal or external factors affecting them.

*Strengths:* aspects of a programme or organisation which are working well.

*Weaknesses:* aspects of a programme or organisation which are not working well.

*Opportunities:* possible ways of overcoming weaknesses and building on strengths.

*Threats:* aspects that constrain or threaten opportunities for change.

(2) Alternatively, different sub-groups, for example during a workshop or in a community, can undertake a SWOT on their own. Comparing the different SWOTs can lead to a good discussion about differences and similarities in experiences and possibilities.

(3) Organise the insights in the format as shown in the example.

(4) Based on this matrix, discussion can take place and strategies can be developed.

### **Equipment**

Markers and flip charts.

### **Environment:**

A good meeting place.

### **Example:**

#### **Donor harmonisation in Ghana**

*Hinke Nauta*

The Netherlands Embassy in Ghana made the following SWOT analysis with respect to their strategic objective in Ghana: a structured network of sector dialogues in which the Ministry of Finance is responsible for system management.

#### *Strengths*

- Good cooperation with other donors
- Good relationship with WB and IMF
- Good contacts with Ministry of Finance

#### *Weaknesses*

- NGOs not interested/not involved

#### *Opportunities*

- Promote cooperation among donors
- Strengthen accountability
- Preferential cooperation (lead donors, silent partnerships, notional earmarking etc.)

#### *Threats*

- Donors 'ganging up'
- Good governance approach implies slower pace
- Financial reliability
- Political situation (elections forthcoming)

**References:**

The text of this tool is based upon:

- DFID Sourcebook (2003); *Conducting Institutional and Organisational Appraisal and Development; guidelines for DFID and Conducting Institutional Appraisal and Development Sourcebook*; the latter is also available on the Internet:

[http://www.dfid.gov.uk/Pubs/files/inst\\_org\\_sourcebook.pdf](http://www.dfid.gov.uk/Pubs/files/inst_org_sourcebook.pdf)

And also on:

- Woodhill, J. and I. Guijt (2002). *Managing for Impact in Rural Development; a guide for project M&E*. Rome: International Fund for Agricultural Development (IFAD); Also available on the Internet: <http://www.ifad.org/evaluation/guide/>.