

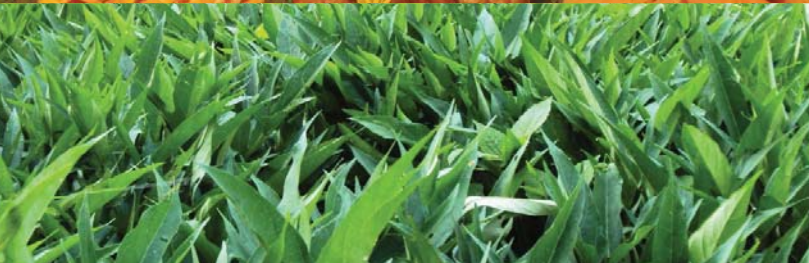
# Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, Monitoring and Evaluation

## A LEARNING KIT



## VOLUME 5

Workshop Evaluation, PAPA and Annexes



R E A C H I N G   A G E N T S   O F   C H A N G E   ( R A C )

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

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International Potato Center  
P.O. Box 1558, Lima 12, Peru  
cip@cgiar.org • www.cipotato.org

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**Production Coordinator**

Hilda Munyua

**Design and Layout**

Zenete Peixoto Franca and Stephen Parker  
Communications and Public Awareness Department

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

**A Learning Kit**

## **Volumes 1–5**

- Volume 1. Introduction. A Comprehensive Implementation Plan
- Volume 2. Concept Notes, Proposals and Logframe
- Volume 3. Writing Full Proposals
- Volume 4. Project Implementation and M&E
- Volume 5. Workshop Evaluation, PAPA and Annexes

**Reaching Agents of Change (RAC) Project  
CIP, Nairobi, Kenya  
2014**

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

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

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

A Learning Kit

**Volume 5**

Introduction

Workshop Evaluation

Participant Action Plan Approach (PAPA) Second Phase

Annexes





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## Preface

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

SPHI contributes to reducing child malnutrition and improving smallholder incomes.

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

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

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

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

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

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

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

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

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

Dr. Adiel Mbabu  
Regional Director, Sub-Saharan Africa &  
Project Manager, Reaching Agents of Change (RAC) Project  
CIP, Nairobi

## Acknowledgments

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

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

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

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

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

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

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

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

## Volume 5: Introduction

Volume 5 of this learning kit is composed of Session 14 and Annexes 1 and 2.

### Session 14. Workshop evaluation and Participant Action Plan Approach (PAPA)

This session guides the user on how to evaluate the entire workshop and how to undertake the PAPA – Second Phase. In summary, this session is composed of two very important final activities.

(1) Workshop evaluation has been undertaken as a (a) *systematic feedback of the sessions* to follow up the participants' views and level of satisfaction during the implementation of the workshop and at this stage, and (b) *at the end of the workshop* which is presented in this session. This session of the learning kit offers a longer and more complete evaluation form to collect information on the efficiency and effectiveness of the workshop. This will assist the facilitator in the post improvement of the learning plans for future events as well as to measure the level of satisfaction among the participants related to the workshop content, processes, and the venue and facilities where the workshop took place.

(2) Participant Action Plan Approach (PAPA). This process is exhaustively presented in Volume 1 Session 1 since it is a key tool to measure the workshop efficiency and effectiveness through the participants' performance improvement in their organizations. This process provides the facilitators with the opportunity to follow up the implementation of the newly developed skills by the participants after returning to their own organizations.

### Annex 1 and Annex 2

**Annex 1** is composed of support materials that help the workshop leading facilitator to implement the learning plan presented in this learning kit. This Annex 1 suggests: (a) *Welcome letter for the participant's binder*, (b) *Registration form*, (c) *Exercise 1 interactive exercise*, and (d) *a sample of tentative schedule to serve as a 'model' for the facilitators to design their own to respond to the needs of the workshop participants*.

**Annex 2** presents *additional texts* to enrich the facilitator's competence and attitudes to deliver the workshop based on this learning kit. They are as follows:

*Annex A. Mainstreaming gender in project planning and management*

*Annex B. Managing time and tasks*

*Annex C. Cascading logic*

*Annex D. Organization learning and learning organization*

*Annex E. Project financing and budget*



## SESSION 14

## Workshop Evaluation and PAPA

### Instructions to Learning Facilitators

#### TIME FRAME

**Presentation and Exercises: 1 hour 30 minutes**

**Closure and delivery of certificates: 60 minutes**

#### OBJECTIVES

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

- List actions to be part of the plan to implement the new knowledge and skills in the organizations
- Evaluate and provide feedback on the workshop

Use PPs and distribute handout 5.14.1 to present the session's objectives and review of session contents.

Deliver the handouts for session 14: Evaluation Form for all sessions of the learning kit and PAPA Form - Second Stage (handouts from 5.14.2 and 5.14.3.

#### PROCEDURE

Learning strategies: presentation, individual work, and sharing PAPA in plenary session

#### PRESENTATION

Give a brief presentation reinforcing the use of PAPA during the workshop. You have few PowerPoint to review PAPA major steps and objectives. Remind the participants of the information you presented on PAPA at the beginning of the workshop. Note that the participants have been jotting down possible action items throughout the workshop. Now it is time for them to focus on finalizing their specific action items for when they return to their jobs. Be sure to ask the participants if they have any comments or questions, or need any clarification (5 minutes).

#### EXERCISE 14

**Workshop evaluation (25 minutes)**

**Attention Facilitators:** *Be aware of the need to adjust the Workshop Evaluation Form based on the sessions you chose to implement during the design of the workshop. You will select the objectives whose achievements you are interested in evaluating.*

Distribute Handout 5.14.2. Have the participants complete the evaluation before they leave the session. Give them about 25 minutes for this task. As soon as the participants return the evaluation forms, invite them to make oral comments regarding the evaluation of the workshop. Facilitate a brief discussion.

**PAPA Exercise – Second stage. (60 minutes)**

1. Distribute Handout 5.14.3. This is the form for the second stage of PAPA.



2. Individual work: Ask the participants to review the work they have done over the sessions and to refer to the PAPA notes they have made throughout the workshop. They should formulate specific action items and write them on the handout. Tell them to refer to the questions about their action items in order to be sure they are written as ‘specifically’ as possible (*15 minutes*).
3. Group sharing and discussion: Go around the room and ask each person to tell you his or her action items. If possible, list the items on flipcharts. If some people have similar items, use a tick to indicate the original item. Do not rewrite. This will give a good idea of the range of action items people are interested in undertaking.
4. Collect the completed forms from the participants. (*Make photocopies to return to the participants before they leave.*) Remind them that you will be following up with them after a few months (keep in mind that three months is the ideal – to see how they have progressed towards their action items).

## **CLOSURE AND DELIVERY OF CERTIFICATES**

### **Closure and delivery of certificates (60 minutes)**

5. Plan in advance the closure and delivery of certificates. Be prepared for it. Be brief and effective during this session. Remember that the participants want to leave, to pack, and to take flights to go home.
6. Keep in mind that DELIVERY OF CERTIFICATES is a very special and important function of the workshop. Psychologically, it shows the Facilitators’ attitudes of recognition for the participants’ efforts and interest in learning.
7. Please do not skip this important phase of the Learning Event that reinforces the interest in learning, in addition to being important for increasing their professional accomplishments, which will be recorded in their Curriculum Vitae.

## Session 14 PowerPoint Presentation

<p><b>Engendered Orange-Fleshed Sweetpotato Project Planning, Implementation, M&amp;E</b></p> <hr/> <p><b>Volume 5 - Session Fourteen Workshop Evaluation and PAPA</b></p> <hr/> <p>5.14.1 Adapted from IFPRI/ISNAR-ARDGF</p>	<p><b>Objectives</b> <b>Volume 5 - Session Fourteen</b></p> <hr/> <ul style="list-style-type: none"><li>▪ Evaluate and provide feedback on the workshop</li><li>▪ List actions to be part of the plan to implement the new knowledge and skills in the respective organizations</li></ul> <hr/> <p>5.14.2 Adapted from IFPRI/ISNAR-ARDGF</p>
<p><b>Evaluation</b></p> <hr/> <p><u>Participants</u></p> <ul style="list-style-type: none"><li>▪ receive evaluation form and provide feedback on all sessions of the learning kit.</li><li>▪ deliver the complete evaluation forms to the facilitators.</li></ul> <hr/> <p>5.14.3 Adapted from IFPRI/ISNAR-ARDGF</p>	<p><b>PAPA In-course Activities: Second Stage</b></p> <hr/> <p><b>Second Stage:</b></p> <ol style="list-style-type: none"><li>1. Develop an action plan</li><li>2. Prepare a preliminary list of action items</li><li>3. Report individual action plans to the group</li></ol> <hr/> <p>5.14.4 Adapted from IFPRI/ISNAR-ARDGF</p>
<p><b>Developing an action plan &amp; report to the audience</b></p> <hr/> <ol style="list-style-type: none"><li>1. Consult the <u>PAPA Form</u> from the previous sessions</li><li>2. Select actions that you plan to implement as result of this workshop</li><li>3. Write down the actions in the PAPA Form provided in your binder</li><li>4. Report to the audience as requested by the facilitator</li></ol> <hr/> <p>5.14.5 Adapted from IFPRI/ISNAR-ARDGF</p>	<p><b>Follow-up Activities - Responsibilities</b></p> <hr/> <p><u>Facilitators – at the end of the workshop:</u></p> <ol style="list-style-type: none"><li>a) receive PAPA plans from the participants</li><li>b) prepare a copy of PAPA plans and send original copies to the Human Talent Teams of each participant's organization</li></ol> <hr/> <p>5.14.6 Adapted from IFPRI/ISNAR-ARDGF</p>

### Follow-up Activities – Responsibilities (cont'd)

Human Talent Teams from the participants organizations:

- a) receive the PAPA plans and follow-up the implementation of the actions
- b) provide assistance to the participants to guide them on the implementation of the activities - with support of the workshop facilitators if necessary
- c) maintain the workshop facilitators informed on the process of implementation and send the feedback from the participants

S.14.7

Adapted from IFPRI-ISNAR-ARDISF

### Follow-up Activities - Responsibilities

Facilitators - later - as agreed with the Human Talent Teams of the organizations

- a. receive, analyze and interpret data
- b. improve the learning kit content
- c. follow up participants performance on the job related to learning kit contents.
- d. prepare brief report to send to the Human Talent teams and to the participants.

S.14.8

Adapted from IFPRI-ISNAR-ARDISF

### Closure

2. Facilitators & participants are prepared to close de event and receive the Certificates

Thank you!

S.14.9

Adapted from IFPRI-ISNAR-ARDISF

## Evaluation Form for the Sessions of Learning Kit

### Engendered OFSP Project Planning, Implementation, M&E

Your cooperation in completing this questionnaire is greatly appreciated. The information you provide will be useful in planning future events and will help resource persons to improve their materials and presentation.

<b>A.</b> General objectives	In general, I would rate the workshop as: <input type="checkbox"/> Excellent <input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Fair <input type="checkbox"/> Poor	On balance, would you say that the workshop objectives were achieved? <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No
------------------------------------	--	--

<b>B.</b> Objectives	The objectives of this workshop are listed below. Please mark on a scale of 1 to 5 if, in your opinion, the objectives have been achieved. <b>The scale is from 1 (the objective has <i>NOT</i> been achieved) to 5 (the objective has been achieved very well)</b>
-------------------------	--

1.	Discuss domains of learning to identify leadership and management skills	1	2	3	4	5
2.	Define three domains of learning: cognitive, affective and psychomotor	1	2	3	4	5
3.	Identify self-leadership skills	1	2	3	4	5
4.	Develop strategies to manage team members' tasks and time	1	2	3	4	5
5.	Define project management cycle	1	2	3	4	5
6.	Differentiate programs, projects and activities	1	2	3	4	5
7.	Practice stakeholder analysis and set objectives and strategies	1	2	3	4	5
8.	Distinguish between writing to inform and writing to persuade	1	2	3	4	5
9.	Identify and practice writing the key parts of a concept note	1	2	3	4	5
10.	Conduct an open concept review	1	2	3	4	5
11.	Develop a logical framework	1	2	3	4	5

8.	Write major parts of a full proposal	1	2	3	4	5
9.	Identify budget formats	1	2	3	4	5
10.	Prepare an executive summary for a proposal	1	2	3	4	5
11.	Analyze the use of project implementation requirements (case study)	1	2	3	4	5
12.	Describe the major uses of M&E	1	2	3	4	5
13.	Develop the project's theory of change and M&E framework matrix	1	2	3	4	5
14.	List factors which could affect the development of a project M&E plan	1	2	3	4	5
15.	Identify activities to finalize the draft of a full proposal upon returning to the work environment	1	2	3	4	5
16.	Develop PAPA to follow up implementation of competence and skills in your work environment	1	2	3	4	5

C.  
Strengths and  
weaknesses

Please list what you consider to be strengths of the workshop.

1.

2.

3.

Please list what you consider needs to be improved in this workshop.

1.

2.

3.

D. Features		Very Good	Good	Fair	Poor
	<u>Accommodation</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Meals</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Lectures</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Discussions</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Papers/Handouts</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Organization and management</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Quality of visual aids</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<u>Quantity of visual aids</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. Additional topics	What additional topics would you have liked to have included in this activity?
F. Management topics	On what other management topics would you like to receive training in future events?
G. Comments	Please use the space below to make any additional comments or suggestions you might have.

## ACTION PLAN

Date/venue \_\_\_\_\_

Name \_\_\_\_\_

Organization \_\_\_\_\_

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





## **Participant Action Plan Approach Supervisor's Contact Address**

**To fill out this form is necessary for the facilitators to attract the supervisors' attention to support the participants' implementation of PAPA in the job environment**

Name	
Organization/Centre	
Name of Immediate Superior	
Title of Immediate Superior	
Address	
Telephone No.	
Fax No.	
E-mail	



## Questions about Your Action Items

### 1. *Preliminary nature of plan*

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

### 2. *Resources*

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

### 3. *Implementation*

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

### 4. *Effects*

- Who will be affected by this action?
- How will it affect them?
- Will anyone be worse off?
- Will anyone be better off?
- What will be affected?

### 5. *Environment*

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



## **Annex 1. Support Materials**

- A Registration Form**
- B Welcome Letter**
- C Forms for Interactive Exercise**
- D A Sample of a Tentative Schedule**



## ANNEX 1A

### Engendered OFSP Project Planning, Implementation, M&E Registration form

Instructions: We would like your help in making this activity as beneficial to you as possible. In order to do this we request that you provide us with some information. Below you will find a number of questions relating to your background and expectations for the workshop. Most questions can be answered simply by placing a check in the appropriate space. Where a written answer is required, please print your reply clearly in the space provided. Please consider your responses carefully and answer truthfully. Everything you say will be held in strictest confidence. The information will be used only to help us make our activities more responsive to your needs.

Last name	First name
Function in this meeting <input type="checkbox"/> Participant <input type="checkbox"/> Facilitator/presenter <input type="checkbox"/> Organizer <input type="checkbox"/> Observer <input type="checkbox"/> Other _____	Title <input type="checkbox"/> Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Ing. <input type="checkbox"/> Other _____
Gender <input type="checkbox"/> M <input type="checkbox"/> F	Date of birth    m   d   y /   /
Degree <input type="checkbox"/> Diploma <input type="checkbox"/> B.Sc. <input type="checkbox"/> M.Sc. <input type="checkbox"/> Ph.D.	Year _____
Other degree _____	Year of other degree _____
Position (type) <input type="checkbox"/> Policymaker <input type="checkbox"/> Senior manager <input type="checkbox"/> Middle manager <input type="checkbox"/> Researcher <input type="checkbox"/> Information specialist <input type="checkbox"/> Technician <input type="checkbox"/> Other _____	Position (title) _____
Department _____	_____
Institute _____	
Name and position of your immediate supervisor _____	
Your institute's address _____	
Telephone no. _____	Fax no. _____
Email _____	





## ANNEX 1B

### Sample format — Welcome Letter to Participants

Dear Participant,

Welcome to the ‘hands-on’ Workshop on Engendered OFSP Project Planning, Implementation, Monitoring and Evaluation to build capacity among participants to access resources for OFSP.

We are delighted to have you in the workshop, as an African advocate already committed to the health and well-being of needy people in the target countries of RAC Project.

We believe that, during this week, we will provide you with an opportunity to develop your knowledge, skills, and attitudes in OFSP project planning, implementation, monitoring and evaluation as part of effective project management cycle, emphasizing how to mobilize resources.

During this workshop we also expect to discuss thoroughly and openly your experiences and/or observations related to writing project proposals, dealing with partners and donors, in addition to developing and managing projects in your institute.

You will be asked to address the opportunities and constraints you face in your work environment that affect the effective development, implementation, monitoring and evaluation of projects.

We look forward to learning with and about you.

Thank you very much for joining us.

We wish you a very pleasant and productive workshop.

Best regards

*(To be signed by the Manager-Leader responsible for promoting the implementation of the workshop in the organization).*



## **ANNEX 1C**

# **Forms for Interactive Exercise**

### **Note to Facilitator:**

**Each one of the following forms has a different question for participants. Be sure to photocopy and cut the forms as indicated before Session 1 begins.**



**Name:** \_\_\_\_\_

**Institution:** \_\_\_\_\_

**Area of Work:** \_\_\_\_\_

I feel that Project Planning to access resources is \_\_\_\_\_

\_\_\_\_\_

because \_\_\_\_\_

My major expectation of this workshop is \_\_\_\_\_

\_\_\_\_\_

*The Facilitator will request you to introduce yourself to the participants through this information.*

Cut here ✂.....

**Name:** \_\_\_\_\_

**Institution:** \_\_\_\_\_

**Area of Work:** \_\_\_\_\_

In relation to this learning event, I feel that my organization is expecting me \_\_\_\_\_

\_\_\_\_\_

because \_\_\_\_\_

My major expectation of this workshop is \_\_\_\_\_

\_\_\_\_\_

*The Facilitator will request you to introduce yourself to the participants through this information.*



<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
Most of my colleagues who work with me in Project Planning feel that my skills related to this activity are _____
_____
I think this is true because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>

Cut here✂.....

<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
The aspect of Project Planning that I most need to improve in my work is _____
_____
because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>





<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
My organization would be more successful in mobilization of resources if the Project Planning _____
_____
We need to do this now because _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>

Cut here ✂.....

<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
I think my project proposal designing skills are _____
_____
because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>



**Name:** \_\_\_\_\_

**Institution:** \_\_\_\_\_

**Area of Work:** \_\_\_\_\_

My organization depends on the skills of its staff to write relevant, efficient and effective project proposals because \_\_\_\_\_

My contribution is \_\_\_\_\_

My major expectation of this workshop is \_\_\_\_\_

*The Facilitator will request you to introduce yourself to the participants through this information.*

Cut here ✂.....

**Name:** \_\_\_\_\_

**Institution:** \_\_\_\_\_

**Area of Work:** \_\_\_\_\_

People who really get to know me as a member of a project proposal development team say I am \_\_\_\_\_

because \_\_\_\_\_

My major expectation of this workshop is \_\_\_\_\_

*The Facilitator will request you to introduce yourself to the participants through this information.*



<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
I like discussing issues related to Project Planning specifically to OFSP when _____
_____
because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>

Cut here✂.....

<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
At present, after going through the planning process which OFSP requires, I feel that _____
_____
because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>



<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
I expect to be among new Project Planning peers and diverse partners and I feel _____
_____
because _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>

Cut here✂.....

<b>Name:</b> _____
<b>Institution:</b> _____
<b>Area of Work:</b> _____
When I design project proposals in a group, I tend to be _____
_____
This is why I expect my team members to be _____
My major expectation of this workshop is _____
_____
<i>The Facilitator will request you to introduce yourself to the participants through this information.</i>





**Name:** \_\_\_\_\_

**Institution:** \_\_\_\_\_

**Area of Work:** \_\_\_\_\_

During this most important learning event which will guide me through our Project Planning steps, I feel \_\_\_\_\_

\_\_\_\_\_

because \_\_\_\_\_

My major expectation of this workshop is \_\_\_\_\_

\_\_\_\_\_

*The Facilitator will request you to introduce yourself to the participants through this information.*

Cut here✂.....



Day 1	Day 2	Day 3	Day 4	Day 5	Day 6
<b>8:00–08:30</b> <b>Welcome</b> <b>08:30–10:00</b> <b>Session 1</b> Introduction to the Workshop (Exercise 1)	<b>8:00–08:30</b> <b>Opening of the Day's Activities</b> <b>08:30–10:00</b> <b>Session 4</b> How to prepare concept note (Presentation & Exercise 4)	<b>8:00–08:30</b> <b>Opening of the Day's Activities</b> <b>08:30–10:00</b> <b>Session 6</b> Formulation of an engendered Log frame (Presentation & Exercise 6)	<b>8:00 – 08:30</b> <b>Opening of the Day's Activities</b> <b>08:30–10:00</b> <b>Session 8</b> How to write proposal budget (Presentation & Exercise 8)	<b>8:00 – 08:30</b> <b>Opening of the Day's Activities</b> <b>08:30–10:00</b> <b>Session 10</b> Project implementation requirements, etc. (Presentation & Exercise 10)	<b>8:00–08:30</b> <b>Opening of the Day's Activities</b> <b>08:30–10:00</b> <b>Session 12</b> Strengthening M&E Project Plan (Presentation & Exercise 12)
<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>
<b>10:15–12:00</b> <b>Session 2</b> Overview Project Management Cycle (Presentation & Exercise 2)  <b>12:00–13:00</b> <b>Session 3</b> Project identification, etc. (Presentation & Exercise 3)	<b>10:15–13:00</b> <b>Session 4</b> (cont'd) (Exercise 4)	<b>10:15–13:00</b> <b>Session 6</b> (cont'd) (Exercise 6)	<b>10:15–11:15</b> <b>Session 8</b> (cont'd) (Exercise 8)  <b>11:15–13:00</b> <b>Session 9</b> Preparing executive summary, etc. (Presentation & Exercise 9)	<b>10:15–13:00</b> <b>Session 10</b> (cont'd) (Exercise 10)	<b>10:15–13:00</b> <b>Session 13</b> What do we need to know to lead and manage projects? (Presentation & Exercise 13)
<b>Lunch</b>	<b>Lunch</b>	<b>Lunch</b>	<b>Lunch</b>	<b>Lunch</b>	<b>Lunch</b>
<b>14:00–15:30</b> <b>Session 3</b> (cont'd) (Exercise 3)	<b>14:00–15:30</b> <b>Session 5</b> Reviewing concept notes (Presentation & Exercise 5)	<b>14:00–15:30</b> <b>Session 7</b> Writing full proposal (Presentation & Exercise 7)	<b>14:00–15:30</b> <b>Session 9</b> (cont'd): (Exercise 9)	<b>14:00 – 15:30</b> <b>Session 11</b> What are M&E, etc. (Presentation & Exercise 11)	<b>14:00–15:00</b> <b>Session .14</b> PAPA & final Evaluation  <b>15:00– 15:30</b> <b>Delivery of Certificates and Workshop Closure</b>
<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>	<b>Tea/Coffee Break</b>
<b>15:45–16:45</b> <b>Session 3</b> (cont'd) (Exercise 3)  <b>16:45–17:00</b> <b>Feedback on the Day's Activities and PAPA</b>	<b>15:45–16:45</b> <b>Session 5</b> (cont'd) (Exercise 5)  <b>16:45–17:00</b> <b>Feedback on the Day's Activities and PAPA</b>	<b>15:45–16:45</b> <b>Session 7</b> (cont'd) (Exercise 7)  <b>16:45–17:00</b> <b>Feedback on the Day's Activities and PAPA</b>	<b>15:45–16:45</b> <b>Session 9</b> (cont'd) (Exercise 9)  <b>16:45–17:00</b> <b>Feedback on the Day's Activities and PAPA</b>	<b>15:45–16:45</b> <b>Session 11</b> (cont'd) (Exercise 11))  <b>16:45–17:00</b> <b>Feedback on the Day's Activities and PAPA</b>	



## **Annex 2. Additional Texts**

**Annex A. Mainstreaming gender in project planning and management**

**Annex B. Managing time and tasks**

**Annex C. Cascading logic**

**Annex D. Organization learning and learning organization**

**Annex E. Project financing and budget**



## ANNEX 2A

# Mainstreaming gender in project planning and management<sup>1</sup>

### Contents

#### **Mainstreaming gender in project planning and management:**

*Participants will learn about gender roles and identities, developing gender sensitive projects, gender based opportunities and constraints in project management, and activities that remove constraints in project management.*

- Defining gender and gender mainstreaming
- Why is gender mainstreaming important in project planning and management?
- Gender roles in sweetpotato
- Tools and guidelines for gender mainstreaming in sweetpotato projects
- References

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<sup>1</sup> By RAC Team, CIP Office, Kenya, 2012





## **Gender mainstreaming in project planning and management**

Gender is a relevant topic that needs to be integrated in project planning and management; the preferred approach is to mainstream gender across all results areas and activities.

Integration of gender leads to improved sustainable agricultural development programs and projects. Gender was, however, often ignored by many programs and projects. Gender sensitive project management ensures gender responsiveness in terms of project activities, project staff recruitment, and assigning roles and responsibilities. This session on gender mainstreaming will provide a quick reference on gender mainstreaming along with checklists and tools that can be used in developing and implementing gender sensitive sweetpotato projects. Upon completion of this session, participants will have learned about gender roles and identities, gender based opportunities and constraints in project management and activities that remove constraints in project management, and tools and guidelines for developing gender sensitive projects.

### **Defining gender and gender mainstreaming**

#### **What is gender?**

The term gender does not refer to biological or physiological differences between men and women. Gender refers to the 'rules, norms, customs and practices by which biological differences between males and females are translated into socially constructed differences between men and women and boys and girls' (Kabeer 2008:1).

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

Gender roles are thus shaped by history, social, cultural, economic, and political aspirations in communities or societies and are valued differently. A person's social identity is therefore formed of expectations based on the idea that certain values, behavior, characteristics, needs and roles are normal for men and others for women within a given community. The social roles and expectations differ from culture to culture and in time and place. Gender roles are thus not static and are influenced by social, environmental, economic, and technological trends.

#### **What is gender mainstreaming?**

There has been a shift towards the gender mainstreaming approach because gender issues vary by country, region, and situation. Gender mainstreaming involves identifying and then addressing the specific roles, needs, priorities, and constraints of women and men during project design, implementation, monitoring and evaluation. Gender mainstreaming is a strategy for governments, non-governmental and development organizations to promote sensitivity to gender issues in projects, programs, and policies. The process of gender mainstreaming enables the concerns of men and women and their experiences to be factored into the design, implementation, monitoring and evaluation of projects.

Gender mainstreaming has also been defined as 'a commitment to ensure that women's as well as men's concerns and experiences are integral to the design, implementation, monitoring, and evaluation of all legislation, policies, and programs so that women and men benefit equally and inequality is not perpetuated' (Derbyshire 2002:9). Most development assistance organizations advocate for gender equality.

## **Other important gender concepts:**

### ***Sex***

Sex is referred to as the biological differences between men and women that are concerned with the bodies of men and women.

### ***Gender analysis***

Gender analysis is a tool for examining the differences between the roles that women and men play in communities and societies (what they do), resources and services they have access to, resources they control, decisions they participate in, their levels of power, their needs, constraints and suggested solutions, opportunities and impact of the differences on their lives.

### ***Gender equality***

Gender equality refers to equality in terms of opportunities and law, and addressing the needs and priorities of men and women and giving them equal opportunity to work. Derbyshire (2002:6) points out that gender equality does not signify equal numbers of men and women or boys and girls in all activities or treating them in a similar way. Gender equality has to do with working with men and boys and women and girls to bring about change in attitudes, behaviors, roles and responsibilities in development. Gender inequality is pervasive with the female being more disadvantaged.

### ***Gender equity***

Gender equity refers to giving men and women a fair chance to benefit from project benefits – giving them equal treatment, thus ensuring projects leave women and men better off than before the intervention. This entails working towards a society in which men and women do not suffer from poverty, both genders have fulfilling lives, and recognizing that the men and women have different needs and priorities and contribute differently to development.

### ***Gender analysis***

Gender analysis refers to the examination of experiences, needs, and priorities of men and women. This information helps to highlight relationships of women and men in society, power relations within a household and community, gender gaps, inequalities, and to ensure adequate financial commitments are provided for projects.

## **Why is gender mainstreaming important in project planning and management?**

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

- promote gender equality and equity in society regardless of whether it is men or women who need advancement
- encourage men and women to participate (bridge existing gender gaps) in project activities to ensure their needs and priorities are addressed and that they benefit from the project
- create conditions for equitable access of men and women to project resources and benefits
- create conditions for equitable participation in project implementation and decision making

- identify risks and point to commensurate strategies in the context of the project for managing the risks
- provide an opportunity to incorporate gender equity into the development agenda

**Projects should ensure:**

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

**Gender mainstreaming: strengths and weaknesses in project management**

*Table 1: Gender mainstreaming strengths and weaknesses in project management*

Strengths in project development	Weaknesses in project development
<ul style="list-style-type: none"> <li>• Make a distinction between male and female headed households in the target community</li> <li>• Flexible and participatory approaches are used that help to incorporate gender issues in project implementation</li> <li>• Data collected is aggregated by sex, thus providing entry points for gender sensitive M&amp;E systems</li> <li>• Addresses differences of men and women in life and how development policies affect them</li> </ul>	<ul style="list-style-type: none"> <li>• No provision for gender-specific strategies to address the needs, constraints and priorities of men and women</li> <li>• No strategy to incorporate gender issues in project components</li> <li>• No gender-disaggregated data and information on the community or analysis of gender inequality</li> <li>• No provision for gender training</li> </ul>

Dynamic and participatory approaches should thus be employed in project design and implementation. There is also a need to develop training programs in gender at project coordination unit, beneficiary, and intermediary levels.

**Gender roles in sweetpotato**

Agriculture plays a key role in development and contributes a major share to the Gross Domestic Product in most African economies. Women in particular play a pivotal role in ensuring food security, alleviating poverty, and in promoting health and nutrition. They produce 50–60 percent of food crops and are the gatekeepers of household nutrition and health. However, most extension workers are men and the fields of nutrition and food security are male-dominated. Research has shown that most female farmers have little access to extension advisory services and information. Women also have poor access to production resources.

## Gender role exercise to be done by men and women

Gender roles are comprised of a set of norms or expectations about behaviors that are appropriate for men and women. Norms prescribe and specify what men or women should do in society. Norms also describe how women and men behave in their social settings. Ask participants to list at least two items under each of the slots below on the cards provided, *in the context of agriculture in their communities*. Stick the cards on the wall and discuss the different views in plenary.

### MEN

BECAUSE I AM A MAN, I AM		
Allowed to	Expected to	Forbidden to

**Allowed to:** things you believe you can do because you are a man, which you might not be able to do if you were a woman.

**Expected to:** things you believe society, women and other men, parents etc., expect of you because you are a man.

**Forbidden to:** things you believe you can't do because of social taboos, legal sanctions, etc. because you are a man.

IF I WERE A WOMAN		
I could	I would	I would not

**I could:** things women can legally, anatomically, socially do simply because they are women.

**I would:** things that you think women don't do now, but you think they should do.

**I would not:** things that you think women do now but you think they should not do.

## WOMEN

BECAUSE I AM A WOMAN, I AM		
Allowed to	Expected to	Forbidden to

**Allowed to:** things you believe you can do because you are a woman, which you might not be able to do if you were a man.

**Expected to:** things you believe society, women and other men, parents etc., expect of you because you are a woman.

**Forbidden to:** things you believe you can't do because of social taboos, legal sanctions etc. because you are a woman.

IF I WERE A MAN		
I could	I would	I would not

**I could:** things men can legally, anatomically, socially do simply because they are men.

**I would:** things that you think men don't do now, but you think they should do.

**I would not:** things that you think men do now but you think they should not do.

(Adapted from: <http://www.polleverywhere.com/polls?page=27687>)

### Gender roles in sweetpotato

Sweetpotato is widely grown – particularly by women – and there are opportunities to boost its production and utilization to improve incomes and nutrition status. Orange-fleshed sweetpotato (OFSP) in particular is highly nutritious and is a means to combat Vitamin A Deficiency and food insecurity, is a good source of energy and other vitamins and minerals, and provides an opportunity for economic empowerment. It is however anticipated that as demand for sweetpotato increases, more men will be involved in producing, processing, and marketing of sweetpotato. Whereas most small-scale production of sweetpotato is associated with women, intensive large-scale production is male dominated. Findings by Adam, Badstue and Sindi in the Lake Region in Tanzania show that:

- Women are the custodians of sweetpotato knowledge in the local production system

- Women farmers were the primary producers and suppliers of sweetpotato planting material
- Sweetpotato is managed and owned by women and they make decisions as to whether to produce sweetpotato, and how much
- Plowing is done by women, men and children
- Ridging is done by women, men and children
- Preparing beds is done by women, men and children
- Weeding is done by women, men and children
- Cutting vines is mainly done by women
- Carrying vines to the plot is mainly done by women
- Planting vines is largely done by women
- Harvesting is mainly done by women
- Bagging is mainly done by women
- Transporting roots to the market is mainly done by women

There is need for inclusion of men and women, and to ensure women do not risk being displaced. Investing in sweetpotato could improve this scenario by developing gender sensitive projects. Governments, donors, NGOs, and other actors need to generate new investments to scale-up the adoption of OFSP by developing gender sensitive projects where consideration is given to the context in the design, implementation plans, monitoring systems, and communication strategies. This can be achieved through mainstreaming gender in project management.

### **Tools and guidelines for gender mainstreaming in sweetpotato projects**

Gender mainstreaming in projects is an approach to put gender issues at the centre of project design, implementation, and monitoring. It involves building gender analysis into resourcing (human and financial), ensuring equal participation by and benefits to men and women. Gender mainstreaming requires an understanding of and response to institutional issues related to gender, gender differences in the need for and access to information and resources, gender related policies and legal issues, culture and values, and power distribution between men and women.

### **Gender mainstreaming steps**

Gender mainstreaming in projects is done through the following steps (Derbyshire 2002):

#### **Step 1: Sex disaggregated data and gender analytical information**

In planning and managing a project you need to use a gender analytical framework (Table 2) that is tailored to collect data and information about the beneficiary groups, management, and project implementing organizations. Data on beneficiaries, groups, management, and implementing partners needs to be disaggregated by sex and gender analysis. Sex disaggregated data is quantitative and may include figures for men and women, mortality, division of labor, access and control over resources, and needs of women, men, girls, and boys based on the context of the project. Gender analytical information is qualitative and explains disparities between men and women. Both gender analytical and sex disaggregated data are essential to gender mainstreaming. The framework or tools is a checklist of relevant questions that guide planning and resource allocation, and ensures gender equality is achieved.

- Sex disaggregated data on the sector and context of the project – quantitative statistical data such as mortality, morbidity, school attendance, access to land, and access to credit provide useful information on differences and inequalities between men and women.
- Gender analytical information on the sector and context of the project – qualitative information such as understanding culture with respect to the issues being addressed by the project help to explain why there are disparities and how to correct them.

Before planning a project, relevant socio-economic characteristics (age, income, marital status, household structure, education level) should be disaggregated by sex wherever appropriate. Sex disaggregated data and gender analytical information can be collected from secondary sources of information such as reports, baseline surveys or focus group discussions.

Table 2: Example of a gender analytical framework

Roles	Reproductive		Productive		Community managing		Political	
	Women	Men	Women	Men	Women	Men	Women	Men
What are the existing tasks and contributions of women and men in each role								
<b>Resources</b>								
What resources do women and men:								
- Have access to								
- Have control over								
What benefits, status, do women and men get from each other								
<b>Power and decision making</b>								
What decision making do men and/or women participate in								
<b>Gender inequalities, needs, priorities, and perspectives</b>								
What gender inequalities and needs are expressed in each role by women/men?								
What gender inequalities and needs are not so easily expressed by women/men?								
What inequalities/needs are directly linked to the program/project (e.g. accessibility criteria)?								
What inequalities/needs are context-specific (e.g. cultural values, traditions etc.)?								
What constraints do women and men face?								
What priorities to women and men have?								
What perspectives do men and women have on sustainable ways of addressing their needs?								

Adapted from Azarbaijani-Moghaddam, S. 2007. *Gender mainstreaming manual: resource material for gender trainers*. UNDP



## Step 2: Women and men influencing the development agenda

The involvement of men and women should be promoted in decision-making. The voices of both need to be heard so that they can act on their own behalf. Gender advocates are thus good entry points for promoting and fostering gender equality. Stakeholder analysis helps to identify the key actors involved in the sector. Gender-sensitive stakeholder analysis ensures the needs, constraints, and priorities of women and men are addressed by a project. Participatory approaches such as stakeholder analysis checklists with men and women in separate groups, and inclusion of men and women beneficiary groups, decision makers, and gender advocates can be used.

## Step 3: Context-specific action to promote gender equality

This entails recognizing that men and women have different needs, constraints, and priorities and allowing them to air their voices in defining objectives. The sex aggregated data and gender analytical information determine the choice of action to promote. The inclusion and promotion of strategies that promote gender equality and women's empowerment based on specific actions and gender analysis and disaggregation should be built into project documents, reflected in staff recruited, project budgets, monitoring and evaluation, and impact indicators. Table 3 presents an example of a gender equality action framework while Table 4 presents an example of a checklist for ensuring gender equality.

*Table 3: Gender equality action framework. Adapted from Derbyshire (2002)*

TYPE OF ACTION	ISSUES TO CONSIDER
<b>Organizational level</b>	
Information systems and research	Collating and commissioning targeted gender analytical research
	Establishing sex disaggregated information systems
Building the capacity of staff in management, policy making, and implementation agencies	Developing staff gender-related skills, knowledge, and commitment through e.g. training workshops, consultancy support, provision of guidelines, and checklists
Promoting gender equality in policy making, management, and implementation agencies	Development of procedures to promote equality in recruitment and career development
	Identifying and addressing gender related issues in the organizational culture
Solidarity and networking	Activities to link together individuals and groups working for gender equality
<b>Beneficiary level</b>	
Addressing women's and men's practical needs	Recognizing and addressing practical needs/problems identified by and particular to either women or men e.g. providing childcare or developing domestic labor saving appliances for women to reduce drudgery
Promoting equality in decision making	Promoting women's and men's equal participation in community level decision making institutions and community representation
Addressing the ideology of gender inequality	Working with beneficiary groups to reflect on gender norms, traditions and values e.g. participatory community workshops on child nutrition
	Addressing inappropriate gender stereotypes

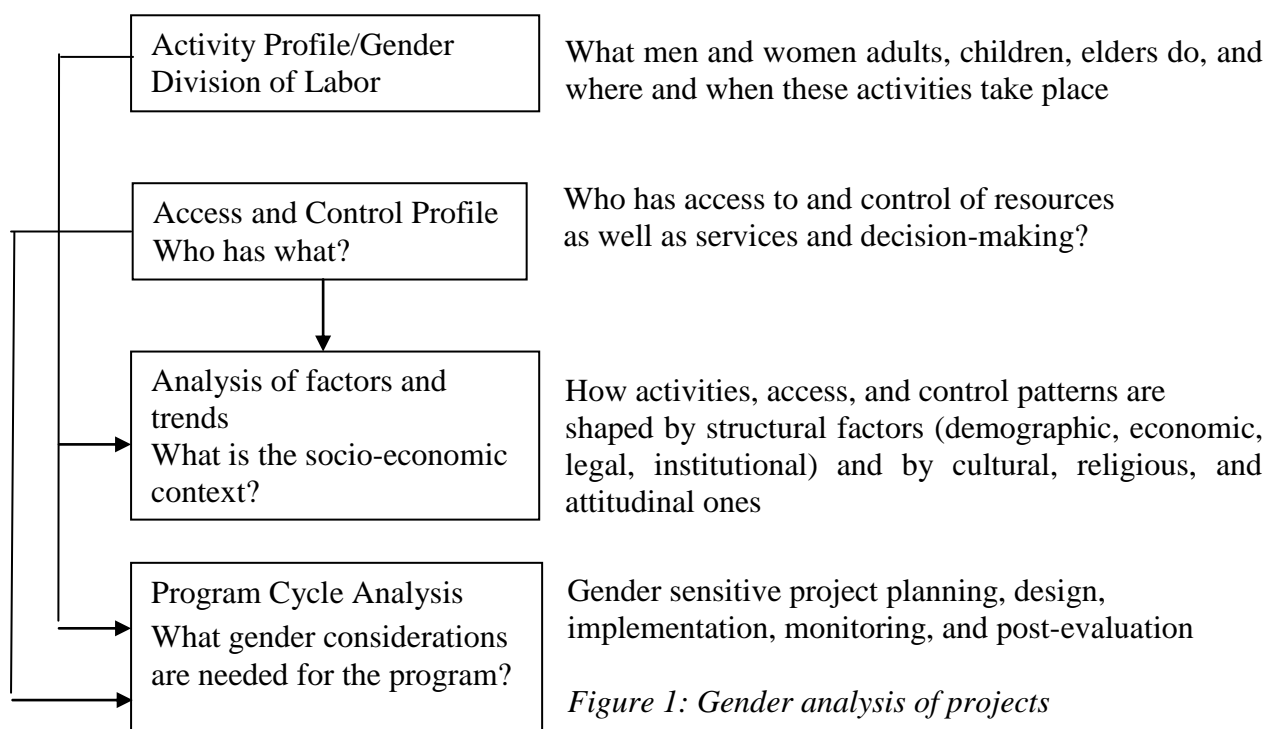
Table 4: Checklist for gender equality

Gender Analysis
1. All needs assessments have included gender issues in the information gathering and analysis phases.
2. Women, girls, boys, and men are consulted (together and separately) about their concerns, information needs, opinions, and solutions to key issues.
3. Mechanism for routine exchange of information is established and functioning.
4. Data are being consistently collected and analyzed by age and sex.
5. Sex disaggregated data are included routinely in reports and the implications for project results are addressed.

The project planning framework is an important document for gender mainstreaming. The gender dimension needs to be visible throughout the project document under:

- Background and justification
- Target groups e.g. instead of ‘poor farmers’ specify ‘poor male and female farmers’
- Wording and indicators under purpose and goal
- Outputs — benefits for men and women and in output indicators
- Activities should promote benefits for men and women and resources should be allocated to the activities
- Risks
- Budget — e.g. for gender sensitivity training
- Logframe — where most donors and partners focus

The gender dimension also needs to be spelt out under the monitoring, evaluation, and impact indicators (Figure 1).



## Step 4: Organizational capacity building and change

This refers to the collective organizational learning. Organizations learn through training, sharing information and knowledge, and consultation processes. Effective promotion of gender equality is achieved through training and capacity building. Training ensures staff have the requisite gender sensitive skills, knowledge, and commitment in planning and implementation of projects that are gender sensitive. Staff need to understand the roles and responsibilities, priorities, opportunities for involving men and women in decision making, and be informed about gender issues and mainstreaming. Appropriate training activities thus need to be incorporated in project documents and adequate staff and budgets should support the activities in relation to the changing environment. Appropriate indicators should be used to monitor and review the activities. An organizational capacity building framework (see Table 5) can be used to appraise the institution.

Table 5: Example of an organizational capacity building framework

TYPE OF ACTION	ISSUES TO CONSIDER
<b>Gender focal staff</b> (responsibility for spearheading and mainstreaming gender in the organization)	Clear terms of reference (TORs)
	Training in gender mainstreaming and advocacy
	Professional backstopping/support
<b>Financial resources</b>	Budgetary allocation for staff capacity building
	Gender equality initiatives
<b>Capacity building strategies</b> <ul style="list-style-type: none"> <li>• Gender policy and action plan</li> <li>• Staff gender training</li> <li>• Internal and external networks</li> <li>• Development of checklists and guidelines</li> <li>• Commissioning gender research</li> <li>• Developing sex disaggregated information systems</li> <li>• Including gender issues in staff TORs/interviews/appraisals</li> <li>• Monitoring and reviewing policy commitments</li> </ul>	Appropriate strategies based on the context of the organization
<b>Political will/management support</b>	Management support and political will are important hence need to be promoted
<b>Equal opportunities</b>	Gender equality needs to be taken into account (structure, culture, staffing)

## Developing gender sensitive projects

Experience in project management has showed that:

- Gender analysis information and sex disaggregated data need to inform gender sensitive planning processes, program/project/policy development.

- Gender awareness consultation processes are important.
- Sufficient resources, effective monitoring processes, and capacity building are important in fulfilling commitments to gender equality.
- Recruiting a gender advisor on a development project management team helps to ensure gender sensitivity during project implementation.
- It is important to consider diversity throughout the project life cycle because different social groups in society have different needs, problems, and priorities that have implications for project outputs.
- Gender analysis in project planning and implementation helps project staff and beneficiaries to identify and analyze: factors that limit or facilitate equal participation of men and women; the roles carried out by men and women in the community; access by men and women to control over resources and income; and the needs and priorities of men and women.
- There is need to conduct analysis of gender inequities in the project area to highlight the differences and inequities between men and women in relation to tasks they carry out, access to resources, opportunities, constraints, and workload.
- There is need for a gender-specific strategy for working with men and women, in addition to a gender mainstreaming strategy. Make a distinction between male and female-headed households and develop different strategies for each group.
- Training and gender sensitization helps to reduce the exclusion of gender concerns in project development and implementation.
- There is a need for training of project staff in gender issues, participatory methods and tools, and gender sensitive M&E systems.
- M&E systems developed for project implementation should be gender sensitive, therefore projects should collect disaggregated data by sex. Progress made in implementation and impacts of the project on gender gaps needs to be measured.

### Gender mainstreaming checklist

Table 6 presents a gender-mainstreaming checklist for developing and managing projects.

*Table 6: Gender mainstreaming checklist for OFSP projects*

Project Phase	Important Gender Checklist
<i>Problem Identification</i>	<ul style="list-style-type: none"> <li>✓ What aspects of OFSP does the project address?</li> <li>✓ What bearing do gender disparities have on the extent of the problem/issue being addressed?</li> <li>✓ What gender disaggregated data relevant to OFSP are available?</li> <li>✓ To what extent is the project going to empower men, women, and the poor households in the community?</li> <li>✓ To what extent have socio-economically disadvantaged women and men been involved in the identification and selection of the OFSP project?</li> <li>✓ Has a gender situational analysis been conducted in view of the issue/problem?</li> <li>✓ What major gender gaps exist in the elements of OFSP as addressed by the project?</li> <li>✓ What are the major causes for the gender disparities in the OFSP value chain?</li> <li>✓ What are the practical and strategic gender needs for women and men in the context of OFSP as addressed by the project?</li> <li>✓ Do project implementers and target beneficiaries need gender awareness training in the perspective of OFSP dimensions being focused on by the project?</li> </ul>

<i>Goals and Objectives</i>	<ul style="list-style-type: none"> <li>√ Do project goals and objectives explicitly attempt to address gender gaps pertinent to OFSP?</li> <li>√ Do they pay attention to the removal of gender related discriminatory practices relevant to food security, health and nutrition?</li> <li>√ Do goals and objectives have targets based on gender sensitive indicators?</li> </ul>
<i>Planned Activities</i>	<ul style="list-style-type: none"> <li>√ Do the private sector, governmental and nongovernmental organizations involved in this project need gender sensitization training, particularly in the context of OFSP issues?</li> <li>√ Is gender awareness training for all needing groups satisfactorily budgeted for?</li> <li>√ Does the type of program/project intervention take active account of the relevant gender issues including those identified in the problem diagnosis or are project activities showing the 'gender fade away' syndrome?</li> <li>√ Are planned activities empowering for men and women, not only in terms of their traditional gender interests, but with respect to the gender redistributive/transformational goals and objectives?</li> <li>√ How SMART, from a gender perspective, are the planned interventions and activities?</li> <li>√ Have male involvement strategies in OFSP response been taken into account when designing activities?</li> </ul>
<i>Monitoring</i>	<ul style="list-style-type: none"> <li>√ Have the gender monitoring indicators for this project been clearly outlined, and have the indicators been designed from a gender perspective?</li> <li>√ Does the monitoring process involve consultation with all the relevant stakeholders?</li> <li>√ Are there any identifiable aspects of the project showing positive or negative impacts of engendering the process already?</li> </ul>
<i>Evaluation</i>	<ul style="list-style-type: none"> <li>√ Is the project evaluation team gender sensitive with respect to OFSP related issues?</li> <li>√ Do the TORs for the project indicate the need to evaluate the gender impact of the project in terms of improving food security, health and nutrition as aimed through the project goals?</li> </ul>

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## Annex 2B

### Managing time and tasks <sup>2</sup>

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

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

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

Clearly, even if detailed information was given in the project proposal, once a project is approved and set into motion these activities need to be revisited and further defined. Remember that undertaking this process is best done in collaboration with the project team – those responsible for carrying out key actions. The analysis is often carried out in a workshop setting, sometimes facilitated, if the project is complex. Visualization techniques can be employed, using cards on the wall and strings to demonstrate the activities, the time required, the timing sequence, and the inter-relatedness of activities. This becomes the detailed work plan which, depending upon the complexity, can be managed through simple management techniques such as lists and bar or Gantt charts, or through more complex management tools such as critical path management (aided by project management software). It is best to think of the simpler approaches first.

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

- list main activities
- break down main activities into manageable tasks (this can be presented as a work breakdown structure or WBS for easy reference)
- clarify the sequence of these tasks and their interdependencies (e.g. task 3 cannot proceed until task 1 and 2 are completed)
- estimate the start-up, duration and completion of activities
- summarize scheduling of main activities (if they are complex or highly interdependent, this can be done using a critical path network)

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<sup>2</sup> Extracted from: Diana McLean, *FAO/ISNAR Learning Module on Project Cycle Overview: Developing a Common Discipline*, 1999-2000

- define performance indicators (selecting milestones to track progress)
- define the expertise required
- allocate tasks among team members

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

### Project management techniques

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

### Task lists

This is the simplest approach for displaying a work plan. It consists of a listing of the tasks (perhaps also broken down into sub-tasks) in a column down the left side of a page. Successive columns might represent start-up dates, anticipated completion dates, elapsed time, person-days, total cost for tasks, etc. (Figure 1).

The merits of this approach are that task lists are easy to compose, modify, and use. Their greatest drawback is that they do not show the relationships between tasks. For example, it may be possible to carry out some tasks simultaneously, whereas the start of some may be completely or partially dependent upon the completion of others. The information is available to deduce these kinds of relationships, but the relationships and dependencies are not obvious.

### Project Title: *Striga* suppression and control in maize

Project task	Start	End	Months
1. Obtain hybrid lines <i>Striga</i> -resistant materials	Mar 1	May 30	3.0
2. Multiply under irrigation	Jun 1	Sep 30	4.0
3. Score previously identified fields	Dec 1	Mar 15	3.5
4. Screen introduced and local lines	Nov 1	Mar 15	4.5
5. Conduct field surveys to collect more local tolerant lines	Dec 1	Mar 15	3.5
6. Harvest and measure grain yield	Mar 1	Mar 30	1.0
7. Test for milling quality	Apr 1	Apr 30	1.0
8. Analyze results	May 1	May 30	1.0
9. Write annual report	Jun 1	Jun 30	1.0
10. Compile/write quarterly progress reports	Jun 1	Jun 30	1.0

Figure 1: Task list of activities

**Task list advantages**

- very simple technique to develop, modify, refer to
- specifies tasks comprising the project
- can depict start-up and completion dates; elapsed calendar time per task; which tasks overlap in time; level of effort needed to complete tasks (e.g. person-days per task); costs associated with level of effort

**Task list disadvantages**

- does not indicate relationships between tasks, such as which tasks must only commence after another has been completed, or which can operate concurrently without interfering with each other (e.g. competition for person-days, resources)
- does not indicate critical tasks or possible slack in the schedule
- does not indicate activity bottlenecks
- does not show a schedule of deliverables beyond the completed task itself

**Bar charts**

Bar charts, or Gantt charts, are two-dimensional charts with the tasks listed on one axis and the time-line arrayed on the other axis. Then 'bars' are used to indicate start-up, duration, and completion times for each task. They are an improvement over the task list because they are more graphic; they show the time relationship of tasks to each other; and they accommodate a variety of information (Figure 2). The standard bar chart can be improved by the addition of symbols for more information. The milestone or deliverables chart is an adaptation of the bar chart.

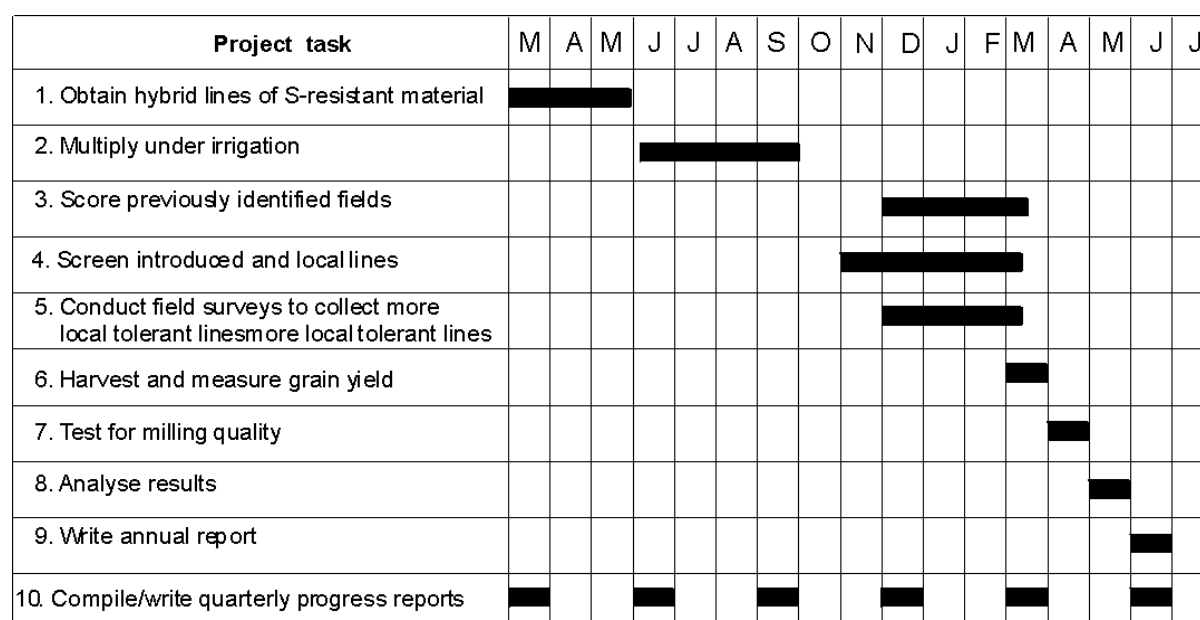
**Project Title: *Striga* suppression and control in maize**

Figure 2: Bar chart of activities

**Bar chart advantages**

- very simple technique to develop, modify, refer to; is familiar to most people
- specifies tasks comprising the project graphically for easy comprehension



- can depict start-up and completion dates; elapsed calendar time per task; which tasks overlap in time
- depicts times of fewer activities, providing some information on project slack time
- depicts times of greatest activities, providing some information on probable bottlenecks
- does a better job of emphasizing tasks that require the longest and shortest duration – a useful observation even though it does not necessarily indicate level-of-effort or costs

### **Bar chart disadvantages**

- is oversimplified for complex projects
- does not indicate critical relationships between tasks, such as which tasks must only commence after another has been completed, or which can operate concurrently without interfering with others (e.g. competition for person-days, resources)
- does not highlight critical path
- creating and updating bar charts is difficult without special software

### **Milestone chart**

The milestone or deliverables chart (Figure 3) adds to the information in the task list and the bar chart. The milestone is a specific, significant checkpoint in the project that can be used for monitoring progress.

In the example below, the open stars in the milestone chart indicate the most important tasks to be performed for the success of the project, and their target dates. The symbol represents a concrete, measurable output from these tasks, and is filled in when the task is actually completed. The differences between planned and completed activities are depicted by the open and closed symbols respectively. This graphic presentation can give managers an overview of the scheduled performance of the project. Management should closely monitor these milestones.

Arriving at milestones and deciding which are the most critical or important is one important outcome of building the project management team. Project success is much more likely when all responsible team members can understand and agree on the importance of the tasks and the measurable, expected milestones or deliverables.

### **Milestone chart advantages**

- simple to draft and is familiar to many people; easy to understand
- specifies tasks comprising the project graphically for easy comprehension
- can depict start-up and completion dates; elapsed calendar time per task; which tasks overlap in time
- depicts times of fewer activities, providing some information on project slack time
- depicts times of greatest activities, providing some information on probable bottlenecks
- does a better job of emphasizing tasks that require the longest and shortest duration – a useful observation even though it does not necessarily indicate level-of-effort or costs

- identifies critical events and is time-scaled
- provides a structure for reporting during implementation, having identified important events to monitor

### Milestone chart disadvantages

- is oversimplified for complex projects
- does not indicate critical relationships between tasks, such as which tasks must only commence after another has been completed, or which can operate concurrently without interfering with each other (e.g. competition for person-days, resources)
- does not highlight critical path
- creating and updating milestone charts is difficult without special software

### Project Title: *Striga* suppression and control in maize

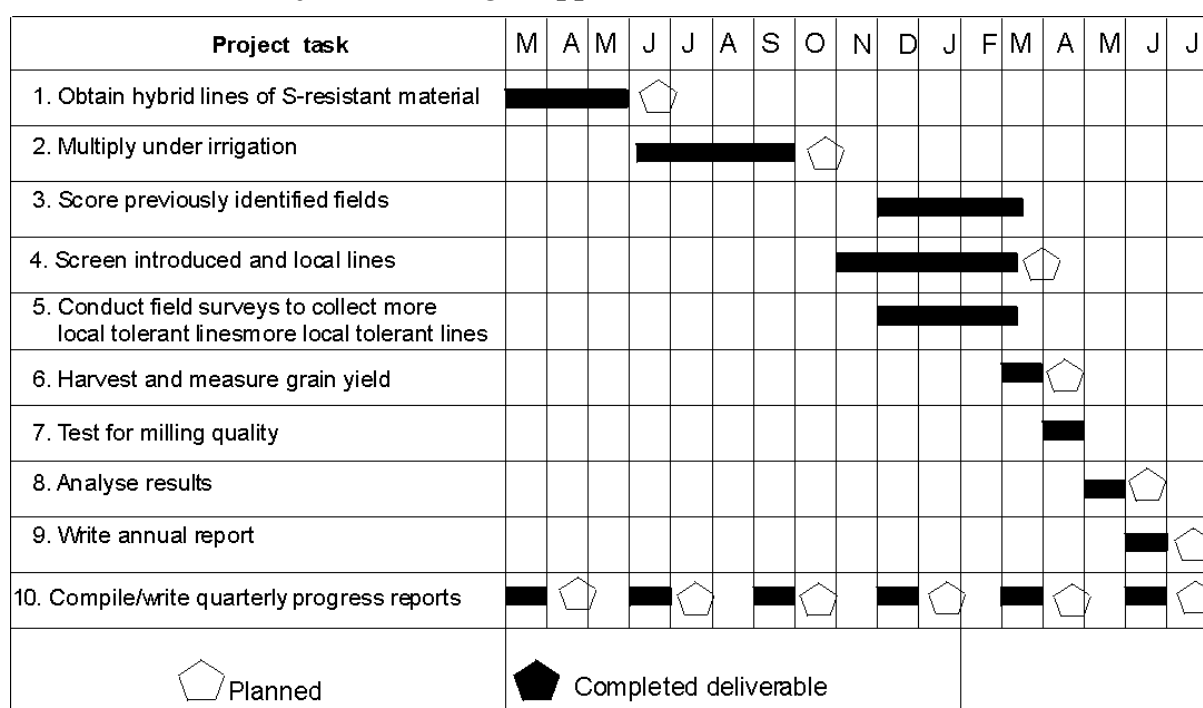


Figure 3: Milestone chart of activities

Each project management team must consider the degree to which more complex and comprehensive management techniques are necessary. A network is a technique which can be used for complex projects. Mastering the various techniques of networking, including the project management software most often used to support these applications, requires time and practice.

### Networks

Networks using arrow-diagramming methods were introduced in the 1950s for improving project planning and scheduling. Building upon the ideas behind milestone charts, it eliminated the matrix format and replaced it with a free-form network, which can be time-scaled. It permitted a graphic representation of the relationships between completed and started activities. It also introduced a formal means of calculating activity times for analyzing project schedules, bottlenecks, and priorities for management.

The network is a project plan in graphic form. There are many variations of networks, the most commonly used being the Critical Path Method (CPM). CPM was developed by the DuPont Company and is similar to the ‘Program Evaluation and Review Technique’ (PERT) developed by the U.S. Navy. Both use arrow diagram methods in the same way. PERT uses statistical estimates of duration; CPM uses known fixed duration dates.

Arrow diagramming methods use two symbols – circles and arrows – called respectively, events (milestones) and activities (tasks). To construct a network, it is necessary to know three things:

- the planned outputs from different tasks
- how much time each task takes
- which tasks have to be done first (their relationship to each other)

Much of this information, such as the tasks and timing, is already available from the milestone chart. To construct a CPM, however, the relationship between these tasks needs to be defined. Can the tasks be done simultaneously? Or do certain ones depend partially or completely on the completion of others before they can be carried out?

Since drawing a network can be time consuming and complicated, only the tasks that are essential to making progress on the project are included. Using our example (Figure 4), the quarterly progress reports are relatively independent of project progress; this is not to say that they are not important but only that whether they are completed or not is not *essential* to the completion of the project itself. Since project progress does not depend on the quality or frequency of these reports (unless they are proactively used by management for mid-project corrections), a decision can be made to leave them out of the network.

Constructing a network is best done with the project team or key stakeholders. A visualization technique with cards on the wall and string attaching tasks in sequence can be an excellent project team-building approach through which all the team members understand how the tasks within their management arena influence tasks managed by other team members.

The first step in constructing a network is the determination of a work breakdown schedule. Figure 4 presents a work breakdown schedule of major project activities, using the previous example, by relating each task in sequence with others.

**Project Title: *Striga* suppression and control in maize**

- |  |
|--|
| <ol style="list-style-type: none"><li>1. Obtain hybrid lines of <i>Striga</i>-resistant material 90 days--</li><li>2. Multiply under irrigation 120 days [1]</li><li>3. Score previously identified fields 105 days--</li><li>4. Screen introduced and local lines 135 days [2]</li><li>5. Conduct field surveys to collect more local lines 105 days--</li><li>6. Harvest and measure grain yield 30 days [4]</li><li>7. Test for milling quality 30 days [6]</li><li>8. Analyze results 30 days [3, 5, 7]</li><li>9. Write annual report 30 days [8]</li></ol> |
|--|

*Figure 4: Work breakdown schedule of activities [numbers refer to Figure 5]*

The second step is constructing the network. From this point, drawing the network is relatively straightforward. First a symbol is chosen to depict the tasks, such as a circle with the task number in it. Arrows are used to signify the relationships between tasks. If the two tasks are done progressively, they are drawn on the same level with an arrow between them. If the two tasks can be done simultaneously, then they will appear one over the other.

If there is no significant functional relationship between tasks, then no arrow connects them. If information from one task is important for the progress of the other, but neither task ultimately depends on the completion of the other, then they are connected with a broken (or dotted) arrow.

The last step is to indicate the time needed to complete the tasks in the network. This enables the manager to calculate the total time needed to complete the project. The time figure is inserted over or within the arrow connecting the task.

The circles represent the completion of the task. That is why the network does not start with the first task but rather with a circle labeled 'start'. Figure 5 depicts the network for the project example.

### Project Title: *Striga* suppression and control in maize

Now it is time to interpret the network. What information does it give, besides the chain of project tasks? This is where a network proves to be a more powerful planning and management tool than task lists, bar charts, or milestone charts. Networks can help us isolate the route to project completion that has the least amount of slack time in it. In other words, any delay along this particular route holds up the whole project.

The critical path is the path that takes the longest time to accomplish (Figure 5). It is critical because if any delays occur in it the whole project will be delayed. How is this vital or critical path determined? Which tasks will require the closest monitoring and control of resources to ensure that the project is completed on time?

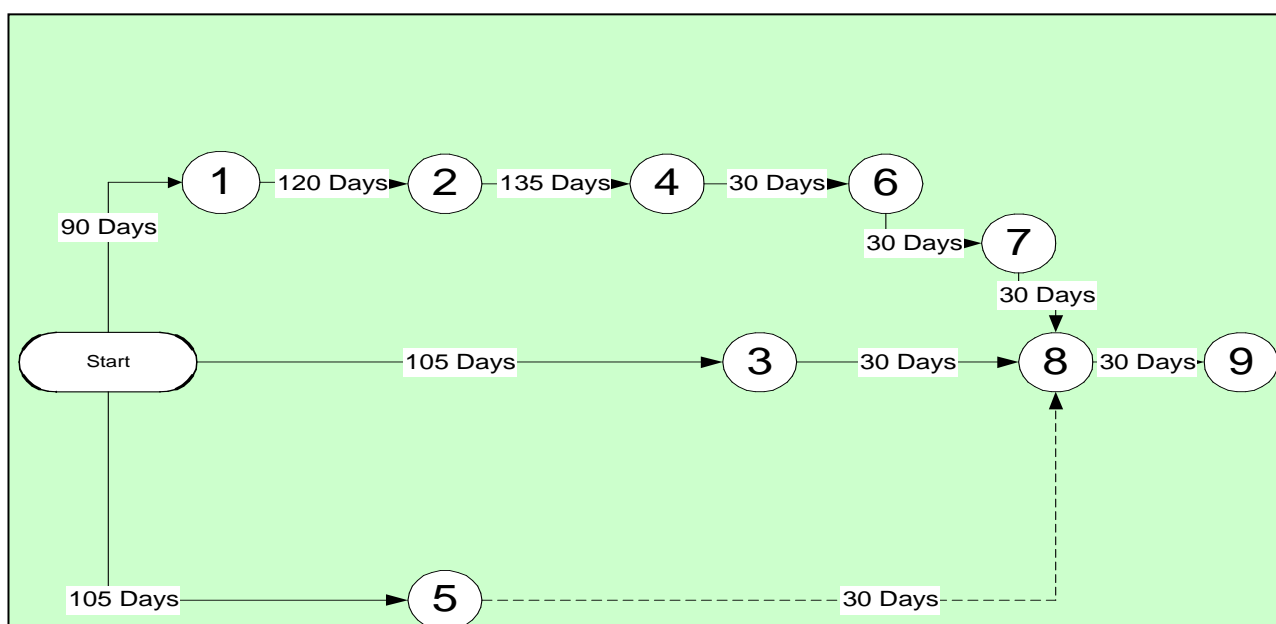


Figure 5: Critical Path Network

To identify the critical path of the network, consider each horizontal group of tasks from ‘start’ to completion. Add the time required for each vertical set. In our example, the path ‘Start’-1-2-4-6-7-8-9 requires 465 days; the path ‘Start’-3-8-9 requires 165 days; and the path ‘Start’-5-8-9 requires 165 days. Our critical path, then, is the one that takes the longest time to complete.

What does this mean in terms of management? Using this example, it is imperative that no time delays occur in obtaining hybrid lines and in multiplying them before the growing season. Should this occur, the only outputs from the project would be the scoring of previously identified fields (task 3) and the collection of more local, tolerant lines (task 5). This network also graphically indicates that tasks 3 and 5 can proceed independently of the other activities.

While a bar or milestone chart is more valuable as a graphic calendar scheduling device, a network indicates which tasks require the closest surveillance and which might be eliminated in case of unforeseen budget constraints. If, for instance, this project lost some personnel or funds, task 5 could be postponed without influencing the outcome of the first track of activities. Likewise, while varieties could be screened without having formally scored fields for Striga, the analysis would be less complete without this step having been taken.

### **Network advantages**

- In addition to the benefits provided by bar and milestone charts, networks simplify the scheduling of complex projects by indicating the dependencies, logic, and sequence between project tasks. They can, if dates are added to the network, indicate when a task is to be started or completed, and the target dates for milestones. Networks help managers to anticipate bottlenecks and plan resource needs in advance.
- Networks identify critical research project tasks and can reduce total project time by improving time control. They provide a basis for monitoring project technical, time, and cost performance. They reduce the possibility of overlooking important tasks in the execution of the project.
- Likewise, networks help managers anticipate project slack time so that valuable resources, particularly personnel time, may be reallocated to other project tasks.
- Networks facilitate precision in planning and encourage collaboration in their design. They can clarify individual and joint project responsibilities.
- Once a critical path is defined, decisions can be made regarding how it can be shortened. Can tasks be done in parallel? Can more resources be added to a task to reduce its duration?

### **Network disadvantages**

- Networks are more complicated and time consuming to use than task lists, bar charts, and milestone charts. The technique is less familiar to people.
- Learning to design and use networks for complex projects may require short, formal training.
- Also, in very changeable situations, where available resources fluctuate, maintaining and updating a network can be more difficult unless project management software featuring Critical Path Methods has been used.

## Summary

The complexity of a project and the skills and resources of the project management team will determine whether simple or more complex project management systems are needed. The value of these tools is twofold: to bring the project team together to define clearly how the project will proceed and who is responsible, and to monitor project performance in its implementation phase adequately.

Each manager will have to place the competing demands on his/her time in perspective. How urgent is the task? How important? In an ideal world, the urgent AND important tasks would take precedence. In reality, many of us spend time on urgent but less-important tasks. It is within the spirit of the work being done at FAO to streamline procedures and decentralize authorities that the management of important tasks should be made more workable.

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## Annex 2C

### The cascading logic<sup>3</sup>

The cascading logic is a model that illustrates how the components of a system are combined sequentially, to form a cascade-like arrangement. A generic version of this arrangement for a hypothetical agricultural research and development system is shown in Figure 1.

The cascade consists of hierarchies of objectives<sup>4</sup> for the individual system components. The hierarchies of objectives consist of the design elements goal, purpose, outputs, and activities. The model shows how the hierarchies of objectives of neighboring system components are linked horizontally and how the design elements of the hierarchy of objectives within one component are linked vertically. In Figure 1 these linkages are indicated by arrows.

The essence of this model is conveyed through the horizontal linkages between neighboring system components, which is illustrated by the following examples:

- The purpose of the higher system component is equivalent to the goal of the next lower system component.
- The purpose of the lower system component is equivalent to the output of the next higher system component.
- The activities of the higher system component are equivalent to the outputs of the next lower system component (please note that the arrows indicating this linkage are missing in Figure 1).

Using this model helps to understand how the objectives of a lower level system component, such as a project, are matched with or contribute to the objectives of a higher system level component, such as the program, organization or the national agricultural research system (NARS). The aim of this model is to show the path by which each system component ultimately contributes to the development goal (or people level impact) of the highest system component. Obviously this assumes that the objectives of the higher system components indeed express the development orientation or people level impact in the first place.

Closely related models that are described in the literature and express similar concepts are: impact pathway, impact chain, results chain or results framework. Despite their slight variations in definitions and context, these models are often categorized as ‘outcome models’ or ‘impact models’.

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<sup>3</sup> **Source:** ARDSF Capacity Building Module 6. ‘AR4D Project Activity Planning’. A Distance-Learning Module

<sup>4</sup> Goal, purpose, outputs, and activities are all considered to be objectives, albeit at a different level.



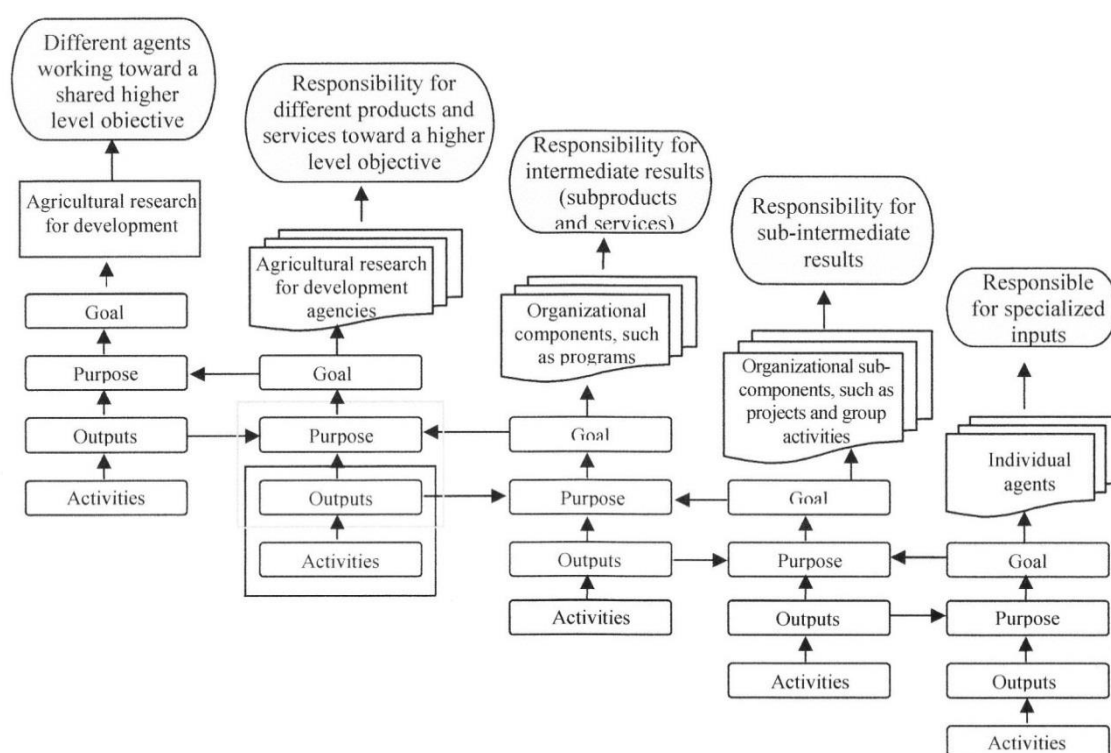


Figure 1: A generic cascading logic for a hypothetical agricultural research for development (AR4D) system. Source: Mbabu and Ochieng (2006)

Applying the concept of the cascading logic to a NARS organization helps to realize how the different decision making levels in a NARS organization are linked.

Table 1 shows how this model can be applied to a NARS organization. The columns in the model relate to the four decision-making levels of the organization, such as the project activity level, project level, thematic area/program level and strategic level. The rows describe the design elements of the hierarchy of objectives (activities, outputs, purpose, goal) for each decision making level. In the same way as for the generic cascading logic above, the arrows indicate the relationships between the design elements within and across the decision making levels.

In the right hand side column and at the lowest level of the ‘cascade’ one finds the hierarchy of objectives of the project activities that are implemented within a project. The next column to the left and a level up shows the hierarchy of objectives of a project. At the next higher level in the next column to the left, the hierarchy of objectives of the thematic area/program is shown, and in the left column and at the highest level, the hierarchy of objectives of the NARS organization is represented. Further up the cascade, but not shown in Table 1, one could imagine the hierarchy of objectives of the NARS, then the agricultural sector, and at the highest level the national development sector.

A good appreciation of the model will enable the reader to understand the linkages between the decision making levels and how the objectives at one level contribute to the achievement of the objectives at the next higher level: different types of project activities contribute to projects; different types of projects contribute to thematic areas/programs; the latter contribute to the organization.

By going up this ‘development pathway’, organizations will be able to demonstrate how all decision making levels ultimately work towards achieving development change, either in the short, medium or long term. Again, this assumes that the goal of the organization expresses the intended development orientation or the people level impact of the organization.

***This is the pathway to change people’s lives for the better***

***Box 1: ARDSF approach to achieving outcomes and impact in agricultural research***

ARDSF recognizes that there are different types of outputs, outcomes, and impacts along the impact pathway. For example, a short-term project can deliver early intermediate results (project outputs, purpose, and goal); while a medium-term program, through sequentially related projects, can deliver more advanced intermediate results (program outputs, purpose, and goal) closer to people level impact; while a cumulative effect of several programs within an organization and in partnership with relevant organizations will deliver the ultimate impact at people level. This is often represented by the organizational outputs, purpose, and goal.

ARDSF also recognizes that the traditional usage of the terms ‘outcome’ and ‘impact’ are associated with high level results in terms of changes in development conditions for people and society as a whole arising from development project interventions. However, this projects-based approach to achieving development outcomes and impact has been found limiting. ARDSF and the NARS have therefore adopted the systems perspective and the AR4D framework which recognizes the program approach. Others such as UNDP have also realized the same and are adopting the program approach.

The AR4D framework articulates this program approach through the cascading logic (Table 1) linking results from activities to projects which are organized in programs to deliver on long-term organizational objectives (purpose and goal) associated with development outcomes and impact. The cascading logic shows that there are different results at different levels; hence outcomes and impacts are associated with the different levels of purpose and goal respectively for activities, projects, programs, organizational and higher order systems.



Table 1: A Model of an Impact Oriented Cascading Logic for a NARS Organization<sup>5</sup>

NARS Organization Objectives			
Strategic Level Objectives (Organization or Agency)	Thematic Area/Program Level Objectives	Project Level Objectives	Project Activity Level Objectives
<b>Organizational Goal</b>			
↑ ↑ <b>Organizational Purpose</b>	← ↑ <b>Thematic Area/Program Goal</b>		
↑ ↑ <b>Organizational Outputs</b>	← ↑ <b>Thematic Area/Program Purpose</b>	← ↑ <b>Project Goal</b>	
↑ ↑ <b>Organizational Activities</b>	← ↑ <b>Thematic Area/Program Outputs</b>	← ↑ <b>Project Purpose</b>	← ↑ <b>Activity Goal</b>
	← ↑ <b>Thematic Area/Program Activities</b>	← ↑ <b>Project Outputs</b>	← ↑ <b>Activity Purpose</b>
		← ↑ <b>Project Activities</b>	← ↑ <b>Activity Outputs</b>
			↑ ↑ <b>Activity Tasks<sup>6</sup></b>

- <sup>5</sup> ARDSF has adopted specific definitions and terminology for the design elements of the cascading logic. See Glossary for further clarification.
- <sup>6</sup> As shown, the more accurate term for ‘activity tasks’ would be ‘Project Activity activities’. This is consistent with the design logic of the logical framework approach and the model of the cascading logic as shown here. However, this is a mouthful of a term, hence, the term ‘activity tasks’ is suggested here.



## Annex 2D

### Organizational learning and the learning organization<sup>7</sup>

The importance of learning is linked to the current pressure for change facing most, if not all, organizations. Within a stable, not pressured environment, the need for organizational learning on a major scale is seen as unnecessary. In fact, stable environments rarely exist, just environments that are *perceived* as unthreatening, where organizations fail to detect the small signs of emerging change and react to them confidently in terms of established ways of doing things.

The concept of managing learning implies that organizations encourage their staff to be better at recognizing key signals: at analyzing data, at seeing possibilities, at thinking the unthought and the unthinkable, at challenging their own and others' assumptions. None of this is new, but the notion of the learning organization seems finally to have come of age. And with maturity come hard questions:

- Can learning actually be managed by an organization, or does it just happen?
- Why do some organizational norms obstruct learning, while others promote it as a way of life?
- How can diversity in the workforce be used to enable, rather than inhibit, learning?

First we need to define what a learning organization is and distinguish the concept from organizational learning.

#### Organizational learning

It is individuals within organizations rather than organizations themselves that learn. Individuals are the primary learning entity in organizations, and it is individuals who create organizational forms that enable learning. Thus, organizational learning is the acquisition of data, information, and knowledge that the organization gathers through individuals, processes, and systems. The information and knowledge so acquired become part of the cognitive systems, memories, and cultures of the organization. These, in turn, constitute the unconscious learned responses of the group to problems of survival in its external environment and its problems of internal integration.

Such memories come to be built up through at least three relevant aspects of an organization's structural capability:

1. Its knowledge base, which refers to how a firm acquires, articulates, and enhances the unique knowledge which it controls;
2. Its organization-specific competencies, namely the mechanisms it employs to accumulate and dissipate distinctive skills and capabilities; and
3. Its routines for using the skills and knowledge it possesses in an effective and competitive manner. These routines will include both its formal rules, procedures, technologies, and strategies as well as its less formal structure of beliefs, frameworks, paradigms, codes, and cultures.

However, to produce collective learning the individuals in the organization need to move beyond the single-loop learning – where errors are detected and corrected, which is effective for the day-to-day operational matters but may lead to a rigid, unquestioning culture – to

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<sup>7</sup> Extracted from the course B751 from the Open University: *Managing Development and Change*. 1995. Milton Keynes. UK: The Open University (bibliography below).

double-loop learning which challenges and examines the taken-for-granted internalized assumptions and results in a deeper level of collective knowledge. So long as the assumption remains that learning is essentially to support organizational structures and prescribe how people should behave within them; so long as organizational capability refers exclusively to the ‘sum total of the organization working in unison’ without reference to ‘*expanding on that which remains undeveloped*’ – the point of the learning organization concept is being missed.

### **Connecting the levels of learning**

Individuals do not always learn that which is genuinely helpful for organizational progress, and organizations do not automatically learn when individuals within it have learned something. There has to be a mutual behavioral change. There has to be an enhancement of collective competence among the members of an organization if organizational learning is to mean anything at all. This means that the learning — at all levels — is conscious; that there is a collective and explicit review, and possible rejection and renewal of the ways things are done.

### **What is a Learning Organization?**

Earlier we were concerned to find examples of good practice so that the learning organization might be replicated. What happened was that some of the organizations held up as role models were subsequently found to be flawed. This has served to diminish the importance of the concept in the eyes of those looking for cook-book solutions. People who are looking for the ‘right way’ have missed the point of the concept. The right way is as elusive as any other idealized state of being — there is no perfect organization, for they are all peopled by fallible human beings; therefore, it is inevitable that organizations make mistakes, get things wrong, and suffer setbacks. Mistakes and setbacks are elemental features of development and learning. It is the way in which organizations respond to the normal features of the modern world and the lessons learned from the experience that qualifies them for the title ‘learning organization’.

It is not what they do, but how they do it. Pedler, Boydell, and Burgoyne set out to define and test the feasibility of the idea as an appropriate approach to business and human resource development strategies in the 1990s. They produced a working definition of a learning organization:

**An organization which facilitates the learning of all its members and continuously transforms itself.**

In their report, they take pains to stress the two-sided nature of the definition. A learning organization is not one that merely engages in a lot of training. The need for the development of individual skills is embedded in the concept, equal to and part of the need for organizational learning.

### **Is an organization an entity or a collective?**

It is not possible to continue into the investigation of a learning organization without considering whether an organization has an existence of its own which is separate from those of its members, or whether it is simply a sum of the component parts. Organizations are an essential part of the way our society operates. They can be found at all levels of society and are involved in the bulk of the transactions in which we engage with other people.

Organizations are, however, much more than means of providing goods and services. They create the settings in which most of us spend our lives. In this respect, they have profound influence on our behavior. Because of their importance to our everyday lives, the study of behavior within organizations has become a discipline in its own right, concerning:

The study of human behavior, attitudes and performance within an organizational setting; drawing on theory, methods and principles from such disciplines as psychology, sociology and cultural anthropology to learn about *individual* perceptions, values, learning capacities and action while working in *groups* and within the total organization, analyzing the external environment's effect on the *organization* and its human resources, missions, objectives and strategies.

(Gibson, Ivancevich, and Donnelly, 1988)

Life within one organization may be similar to life in another, but it will also be different. Each organization is unique. This uniqueness emanates from each organization's culture, which grows and changes during the life of the organization. It is influenced by its original and developing purpose, the people in the membership and those with influence on the organization.

Therefore, if each organization is unique and has its own identity manifested in its culture, which develops and changes over time as a result of experience and influence, the organization must be capable of learning. Learning, as defined earlier, is a purposeful activity aimed at the acquisition and development of skills and knowledge and their application. An organization's skills are found in its accepted behavior patterns and its collective knowledge in its shared assumptions. The organizational attitude exists in the core values. If these can be developed within an individual, there is no reason why this cannot happen for an organization. It is more difficult and will take longer to achieve, but these factors do not reduce the possibility of organizational learning.

A learning organization is one that:

- Seeks to create its own future
- Assumes learning is an ongoing and creative process for its members
- Develops, adapts, and transforms itself in response to the needs and aspirations of people, both inside and outside itself
- Allows people at all levels, individually and collectively, to continually increase their capacity to produce results they really care about
- Has a climate in which individual members are encouraged to learn and to develop their full potential
- Extends this learning culture to include customers, suppliers, and other significant stakeholders
- Makes human resource development strategy central to organizational policy
- Is in a continuous process of organizational transformation.



The purpose of this process of transformation, as a central activity, is to enable the organization to search within and without for new ideas, new problems, and new opportunities for learning, to improve its performance in an increasingly competitive world.

Why should organizations care? Because the level of performance and improvement needed today requires learning, lots of learning. At the heart of a learning organization lies the belief that enormous human potential lies locked and undeveloped in our organizations. Central to this belief is the conviction that when all members of an organization fully develop and exercise their essential human capacities, the resulting congruence between personal and organizational visions, goals, and objectives will release this potential.

Being a member of a learning organization is not necessarily an easy role. In fact it can be distinctly uncomfortable, depending on the individual's view of the world. To those who are excited by learning and development, who actively seek change and growth, the notion of continuous learning is very attractive — the prospect of being involved in a learning organization is desirable. To others, the opposite may be true. The idea of change and challenge can be frightening to those who prefer continuity and routine.

There is a belief among those who are committed to learning and development that this will be beneficial to all. This is not a correct assumption. Some people are content to go to work and do the same job, day in, day out, for the whole of their working lives. They have as much right to take this view as those who believe differently. However, their wish for stability must not lead to stagnation, for stagnation brings death, ignites wake. As with people, some organizations prefer stability in their culture, and work actively to preserve the status quo. The existence of 'dynamic conservatism' must not be ignored.

### **The Shape of a Learning Organization**

It is not possible to construct a diagram of a learning organization. There is no predetermined structure that can be laid out on a page. Neither is there a flow chart of systems and processes that can act as a formula for other organizations to replicate. Learning organizations are not like that. It may be easier to draw a picture of a learning organization than to show its structure. A picture can communicate feel as well as give form to an organism, for a learning organization is more than doing; it is being. It is important that managers who want to develop such an organization appreciate that they need to believe. To become a learning organization, an organization must be more than one with a policy. Commitment and beliefs only become real when they are translated into the actions and approaches taken by the organization's managers and others with leadership or power roles. These people need to base their actions on the belief that people throughout the organization have the right to be treated in a developmental way.

A total organization can be a learning organization. Alternatively, it is possible for a small section of a larger organization to become a learning organization, even though the rest of the wider organization would not meet the conditions. This is because the actions and approaches taken by individual managers can foster and nurture a developmental climate. Equally, they can inhibit one. Even in an organization striving to be learning organization, an individual manager can sabotage the intent by the attitudes adopted and actions taken towards other staff. Being a developmental manager requires determination, commitment, effort, and belief. Being a contra-developmental manager is easy. You expect nothing, give nothing, and get nothing.

## Being a Learning Organization

A learning organization is an organization that facilitates the learning of all its members and continuously transforms itself (Pedler et al., 1991). Learning happens at two levels: i) the individual level, where individuals learn through training, development processes or working experience, and ii) the organizational level, which is determined by the attribute that might encourage learning in a collective or systemic way, innovation, and change. To achieve the conversion of individual learning into organizational learning, certain essential factors need to be in place such as structure, systems, and a climate where vertical and horizontal communications are strong; teamwork results in working routines that support innovation and knowledge creation.

Senge (1990) found that organizational learning could be i) adaptive or single-loop learning, which is concerned with learning to cope and respond, and ii) generative or double-loop learning, which refers to new ways of looking at the world. In this respect Argyris (1990) stresses that ‘the single-loop refers to learning or adjustment that follows the recognition of an error ... Single-loop learning does not solve the more basic problem of why these problems existed in the first place’ – very probably due to politics, fear, deference, and attitudes towards authority. Double-loop learning calls for a higher level of learning, questioning why errors happened and problems occurred. Triple-loop learning involves questioning established mindsets and a deeper sort of analysis about what the organization does and why it does it; about the constraints themselves; about the need to change values, assumptions, and ways of thinking. In an organization where double- and triple-loop learning is achieved, performance is enhanced: i) by increasing its efficiency as it cuts errors (doing things right), and ii) by strategically devoting itself to do what it is supposed to do the way it is supposed to be done, thus increasing its effectiveness (doing the right things). The challenge is to create a synergy by relating learning at the individual and organizational levels.

## Difficulties in Becoming a Learning Organization

Becoming a learning organization is difficult to achieve mainly due to mental models and mindsets that limit the possibilities that we are prepared to consider (Senge 1990, 1994). These mindsets perpetuate traditional conceptions of organizations, such as conventional structure, culture and systems. Organizations may be systemically bad at a type of learning that is fundamental to their success in contemporary markets and environments. As Argyris and Schön (1978) explain, ‘organizations tend to create learning systems that inhibit double-loop learning that calls into question their norms, objectives and basic policies’ — they learn not to learn. Double-loop learning requires unlearning — requires the removal of obstructive working routines, processes, and habits. The staff of an organization perceive ‘reality’ through the systems of representation and meaning they use, e.g. categories, assumptions, convictions, and ways of thinking and understanding, which are pervasive within an organization and decisively structure what reality is, and what we think it means.

Jones and Hendry (1992) developed a five-development phase model with the objective of creating the synergy necessary to become a learning organization, by relating learning at the individual and organizational levels:

- 1) *Foundation* — Here the responsibility of the organization is to ensure that the ‘basic survival skills’ are acquired by developing human resource development strategies to motivate learning.
- 2) *Formation* — Here the organization is to make available opportunities and resources for training and development of individuals as the learner makes demands for new learning.

- 3) *Continuation* — Human resource development systems need to be sensitive to the differential pace of learning of individuals both on and off the job (Kolb).
- 4) *Transformation* — concerns a complete change in the structures, systems, and culture of the organization to respond to changes in society, technology, economy, environment, and politics. It aims to achieve this by actively implementing HRM strategies that value diversity, promote creativity, teamwork and communications. Transformation learning connected to practical improvements and occurs by developing strategies that actively support community initiatives; ensuring that the social and ethical dimensions underpin all organizational activity; and emphasizing on corporate responsibility. Transformation involves questioning deeply held opinions and beliefs hence calls for reflection.

Learning thus focuses on managing people, change and self-assessment.

- 5) *Transfiguration* — during this phase the organization will be concerned with the transformation plus the elevation leading to idealization: people coming first and a concern for society's general welfare and betterment; asking questions about why the organization exists in the forms that it does; representing a way of life to be cherished because of its values; and developing to accommodate and understand global cultures, tolerance, integration, and cooperation. ...

The transition from organizational learning to the learning organization happens during the transformation and transfiguration phases. This kind of dynamic could create the synergy necessary to become a learning organization and achieve a double-loop learning that would enhance performance (Figure 1).

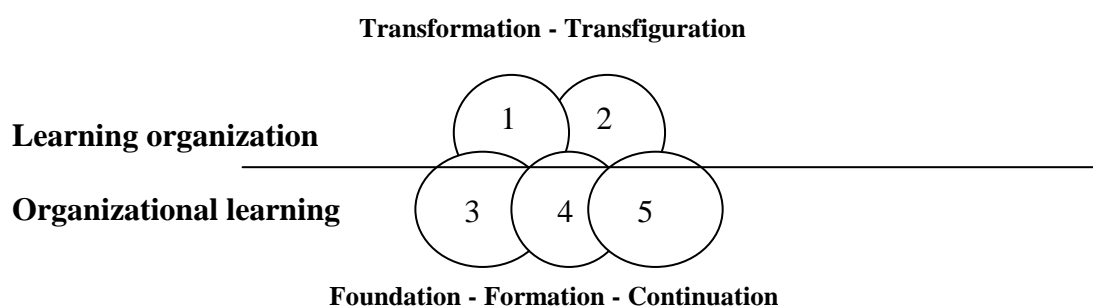


Figure 1: Five development phases of the learning organization

### ‘Characteristics of a Learning Organization’<sup>8</sup>

A more practical way to understand the learning organization is to consider what its key characteristics might be – in other words, what is it that makes learning organizations different?

One way of summarizing the learning organization is to say that it:

- Recognizes the need for change
- Provides continuous learning opportunities to its members
- Explicitly uses learning to reach its goals
- Links individual performance with organizational performance
- Encourages inquiry and dialogue, making it safe for people to share openly and take risks

<sup>8</sup> Adapted from Britton B. (2002). *Learning for Change; Principles and Practices of Learning Organizations*. Swedish Mission Council, Sundsberg

- Embraces creative tension as a source of energy and renewal
- Is continuously aware of and interacts with its environment.

An important feature of learning organizations is that they are organized so that learning happens at five levels:

- Individual learning
- Team or work group learning (sharing lessons between individuals working together in permanent work groups or temporary teams)
- Cross-functional learning (sharing lessons between departments or sections e.g. between fundraising and operational staff)
- Operational organizational learning (focusing on improving practice, increasing effectiveness and efficiency)
- Strategic organizational learning (learning to deal with significant changes in the environment which affect the overall strategy of the organization).

**Organization Learning is hindered by:**

- The difficulty of unlearning
- (Organizational) defensive patterns, e.g. skilled incompetence
- Norms, privileges and taboos, e.g. 'it's different for us'
- Information disorders, e.g. structural information disorders (info blocked or distorted because of hierarchy, specialization or centralization)
- Power differences
- And more....

**Paradigm shift towards the learning organization**

Project management in today's volatile environment can be equated to the paradigm shift towards the learning organization and there is a need to move:

FROM	TO
Knowledge hoarding is power	Knowledge sharing is valued
Sporadic training	Continuous training
Evaluation as isolated effort	Learning-orientated monitoring & evaluation informs management
Uneven responsibility	Shared responsibility
Culture of blame	Culture of responsibility
Risk adverse	Entrepreneurial
Only managers know financials	Open book
What's in it for me	What's in it for the stakeholders
Task forces selected by management	Communities of practice

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## Annex 2E

### Project Financing and Budgeting<sup>9</sup>

*Equipping change agents with skills to initiate and manage innovative, adaptive and cost effective Orange-Fleshed Sweetpotato projects.*

#### Introduction to grant management

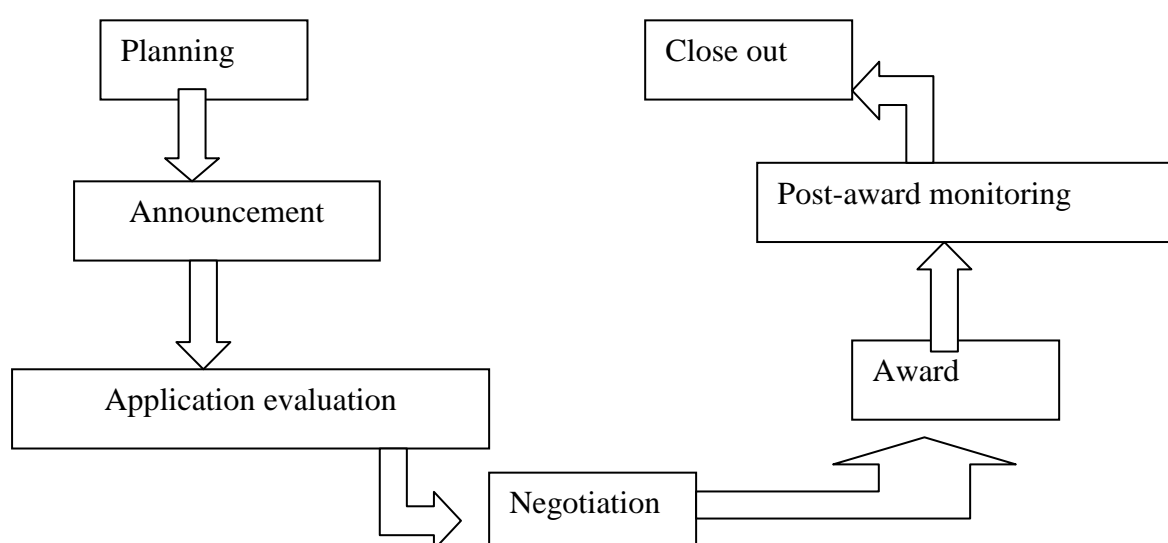
A grant is defined as funding for a non-profit organization, usually for a specific project (according to investorwords.com).

#### Grants Management Process

We have put together a generally used and acceptable guideline in grant award irrespective of the donor to help guide you and make you understand the grant management process. The process reflects established policies and regulations and is designed to ensure that grants serve the organizational objectives/desired results (usually a shared desired result with the donor). This process specifically ensures that:

- The results to be achieved within a stated period are clear and desirable by both the organization seeking funds and the donor. The attainment of such results usually benefits a number of disadvantaged people, or at least is expected to impact the lives of a targeted number.
- Grant program is properly planned
- Competition for limited available funds is open and fair (except in special cases)
- Proposed budgets are carefully scrutinized
- Grant awards are negotiated and structured to empower and protect the areas of interest being addressed by an organization.
- Recipients are given the assistance and support they need to succeed
- Awarded grants are carefully monitored and modifications/adjustments made as necessary to solve any oversight as they arise
- Conflicts with recipients are constructively resolved.

The process can be summarized in the grant process cycle below:



<sup>9</sup> From Project Management Courses led by RAC/CIP team in African countries under the project responsibility. 2010–2013

This session will ensure that we take this entire cycle into consideration from the planning stage to the closeout. We will ensure we have knowledge of what is expected of the finance manager, the management, and the entire organization in enhancing financial compliance as well as delivery of results against allocated resources.

With relatively full knowledge of the agreed terms of the award, the organization (recipient) has to ensure it exhibits capacity to enable them to carry out tasks/activities on hand efficiently through to the closeout (technically and financially).

### **The Budget**

A **budget** is a financial document used to project future income and expenses. The budgeting process may be carried out by individuals or by organizations to project and estimate whether they can start or continue to operate with its projected income and expenses.

In order to manage finance in compliance with the drafted budget, and to report accurately, it is important to have sound internal control structures/policies that will enhance and clearly define budgeting process and financial management in an organization.

Budgeting will always require team work between the technical team and financial staff; this ensures that the budget and technical proposal are synchronized. It is also very important to know the donor requirements in terms of what is and is not allowable, proposal and budget templates (where available), terminologies, etc.

Some key things to consider when budgeting for a funding opportunity include:

- Project proposal and budget development **MUST** be consistent and expenses justifiable and allowable
- Donor guidelines in budget development and implementation of grant should be considered
- Budget lines need to be consistent with the donor reporting systems and expenses need to be charged to the correct budget lines
- Consult the donor (if possible) to clarify issues that may not be very clear or certain e.g. on overhead costs being allowed
- Proposed expenses need to be easy to understand e.g. personnel required, effort and duration of engagement, proposed salary etc.

### **Why do we develop budgets?**

A budget helps to plan actual operations of an organization for a given period, usually one year. This helps the organization to plan well in order to deliver desirable results with the available resources. A budget also acts as a guide to regulate against over-spending or to alert the organization on where funds are available so that if re-direction is necessary, the budget line from which to request the donor for re-direction is clear. Other essential purposes of a budget include:

- To control resources
- To communicate plans to various responsibility center managers
- To motivate managers to strive to achieve budget goals
- To evaluate the performance of managers
- To provide visibility into the organization's performance

## **Project start-up budget**

The process of calculating the costs of starting a new project begins with a list of all necessary purchases including tangible assets (for example equipment, inventory) and services (for example insurance), sources (in this case grant) and collateral (if the organization has other income-generating activities (IGA)). The budget should contain a narrative explaining how you decided on the amount of every allocation and a description of the expected financial results of business activities (unless the templates for submission don't make provision for justification).

## **Applications for continuation**

At the end of every defined period, usually one year (and varying depending on certain types of grants), an organization will be expected to submit technical and financial reports, as well as an application for continuation proposal and budget during the final year.

If the actual figures delivered through the budget period come close to the budget, this suggests that the managers understand their business and have been successfully driving it in the intended direction. On the other hand, if the figures diverge wildly from the budget, this sends an 'out of control' signal, and the finance officer should review and plan well for subsequent budgets.

*In summary:*

Purpose of project budget

- Controls spending to an approved level
- Establishes accountability for spending and project accomplishments
  - A project states in its budget that it will perform a specified amount of work in order to achieve its goal and objectives
- Tracks productivity so that improvements can be made
  - Productivity is comparison of work accomplished to resources used

**NB:** The project should establish clearly what the allowable and disallowed expenses are, to avoid back and forth negotiation over budget issues. More often, this is guided by the activities for which the proposal is prepared.

## **Types of Grants**

- i. Cooperative agreement
- ii. Fixed-price contract
- iii. Restricted contracts
- iv. Unrestricted contracts

While implementing grants, a project may need to work with several organizations, CBOs, institutions, etc. to deliver its results. This working relationship is usually referred to as a sub-grantee partnership, whereby the sub-grantee receives grants to implement specified activities aimed at achieving certain deliverables. You (the principal organization) have to ensure that the sub-grantee reporting system is uniform with the donor reporting requirement. This ensures consistency in reporting of donor funds by a principal grantee and the sub-grantees.



## Communication

Good communication skills are essential between the grantee and the donor, as well as between the grantee and sub-grantees, other stakeholders, beneficiaries, etc. The organization has to have clear communication policies, and proper records of communication need to be kept for reference.

## Financial Management

Different organizations have different finance procedures, but they all lead towards arithmetic accuracy and accountability (compliance to international accounting standards). Each organization has a responsibility to ensure that they have clearly defined procedures for carrying out their activities. These procedures can be clearly documented in a finance manual.

The finance manual will always address issues relating to:

- Procurement guidelines (though there could be a separate procurement manual)
- Human resource (HR) procedures (though there could be a separate HR manual)
- Asset and inventory management and control
- Financial procedures guideline – petty cash and bank policies, fixed assets, travel, reporting etc.
- Job descriptions of finance staff
- Bank reconciliation
- Reporting formats etc.

It is the responsibility of the project management to ensure compliance to all organizational policies, and to also ensure that reports (technical and financial) are submitted in time upon satisfactory review.

### Group work

- i. As the management, outline some of the measures you would have in place to ensure compliance in the procurement policies.
- ii. What mechanisms would you have in place or would you recommend for retaining competent staff (*cheap option* and *partially funded or fully funded option*)? What appraisal system do you recommend to ensure staff deliver in their various roles in the project/organization?
- iii. Highlight what recommendations you would have in place to ensure an efficient and effective inventory management system.

## Procurement

Where an organization doesn't have clearly defined procurement guidelines, they should borrow guiding operational principles from the Public Procurement Oversight Authority Act (PPOA) or any public procurement act of the host country. Procurement procedures are key focus points for financial audit owing to the sensitivity of the process of evaluating an organization's compliance and integrity.

We have attempted to summarize the procurement process below using the general guidelines for grants.

### ***Heads of Department (HODs)***

The procurement process is initiated with needs for operational supplies, services, and/or equipment. HODs should raise requisitions in liaison with staff in their departments to ensure that what is requisitioned is allowable and justifiable. HODs work closely with the procurement and accounts department to ensure smooth flow of activities in the project/study.

HODs should requisition for items needed in their departments in time. They should offer advice on specifications of purchases in the department to the procurement office.

### **Procurement System**

*Plenary discussion: Who takes charge of the procurement system(s) in your organization? What is the role of a procurement committee?*

Organizations may institute committees to review quotations for a given threshold (say > \$300); such a committee is convened whenever the organization is purchasing items whose unit value exceeds the threshold amount. For petty items, the procurement officer or, in the absence of a procurement officer, the accountant (or any such staff mandated to take charge of procurement) may use pre-qualified suppliers or source for those supplies according to clearly laid down procedures of the organization.

A general procurement process has been outlined below to guide partners/organizations:

HODs consolidate the departmental requirements X days (usually defined) before anticipated stock-out or on a need basis, and forward the requisition to the relevant officer (for review/approval) on the designated day of the week.

The mandated officer verifies all requisitions in consultation with HODs/accountant for budget verification.

- Procurements of requisitions less than \$XXX (set amount) can be approved by the designated staff in consultation with the coordinator/director and forwarded to the accounts department for procurement.
- For major procurements, requisitions are forwarded to the director (>\$XXX) for approval and then directed to the procurement/accounts department for a procurement order (note: the director/coordinator consults with the relevant HOD if needed). It should also be noted that certain donors may provide guidelines and be involved in certain purchases, usually specified.

In facilitating the procurement process, the head of procurement solicits at least three quotations from three different prospective or pre-qualified suppliers.

The head of procurement, with the procurement team (HODs, accountant, coordinator or designate, other relevant staff), assesses and compares any competitive three quotations in consultation with the HODs.

*Plenary discussion: What do members of the procurement committee consider during quotation review?*

Upon selection of a potential supplier and after consultations and approval of the process, the head of procurement then places a local purchase order (LPO) for the most justifiable quotation.

The selected member of a department responsible for receiving/maintaining inventory receives the delivery recorded on a goods received note (GRN) in the presence of the

project coordinator or designated staff and HOD. Upon verification of the delivery, it is entered in the inventory.

During delivery, invoices and delivery notes are usually delivered by the supplier, whereupon the organization raises a GRN signed by the supplier verifying accuracy of delivery as ordered through the LPO.

Once the delivery is complete, all these supporting documents are forwarded to the accounts department (from requisition, quotes, review minutes, invoice, delivery note, and goods received note).

***Exceptions:** sometimes the organization might not select the cheapest quotation; quality, speed of delivery and terms and conditions of the supplier are also considered, among other justifiable reasons.*

## **Human Resource**

### **Staff recruitment**

*Plenary discussion: How would you advertise and recruit for the various cadres of employees?*

- Positions are advertised in the local dailies or job advertisements are pinned in public places and notice boards in major institutions, online platforms etc.
- Applications are long-listed, after which a shortlist is generated by a selected committee specializing in the areas being advertised.
- All shortlisted candidates are then invited for an interview by designated panelists and the best candidate selected. The form of interview is determined by the panelists, usually depending on the nature of the position.

### *Group work*

- i. Discuss and present how you would settle on an appropriate salary scale for various positions in your organization.
- ii. Explain the role of a Remuneration Scale in an organization.

### *Appraisal*

- Staff are entitled to x% annual increment on monthly salary. This is in accordance with the annual increment rate prescribed by an organization or the donor, and HR policies.
- The office of the HRO is also charged with the duty of conducting appraisals for staff to ensure optimal performance from every staff.

### *Fringe benefits*

- Staff are entitled to annual leave of xx days (depending on the labor laws of the host country) out of every calendar year upon completion of a probation period.
- All contracted staff on payroll/regular/full-time basis may be entitled to health insurance (depending on availability of funds).
- All contracted staff on payroll/regular/full-time basis may be entitled to a pension at prescribed rates (depending on availability of funds); other insurance covers may be provided depending on nature of work and availability of funds.

## **Asset and Inventory Management**

This is usually maintained manually or electronically under the supervision of administration department personnel.

- The coordinator or his designated representative authorize the issuance of any stock item requested by staff from the stores, and this schedule is checked by the accounts personnel to ensure compliance and accuracy by conducting stock counts.
- Note: It is advisable to have certain departments maintain their own inventory, e.g. Lab/Pharmacy, but this should be overseen by another identified independent staff member.
- On reaching re-order level, the system should notify the officer in-charge so that s/he can initiate more purchases via a requisition.

## **Financial Procedures**

### ***Accounting system***

- Computerized systems are recommended, the simplest being spreadsheets such as MS Excel, although other accounting software is recommended, e.g. Sage, SUN system, Quick-books, ERP systems, etc.
- It is recommended that the accounting roles be segregated to strengthen internal control in the department e.g. petty cash be handled by a different staff member from the one handling other payments; bank reconciliation be prepared by one staff member and verified by another.

NB. It is recommended that a back-up of records should be maintained off-site and updated monthly.

### ***Plenary discussion topics***

How would you address commingling of funds challenges in an organization?

### ***Banking***

There should be at least two signatories for check(s).

- All checks being forwarded to the signatories for signing should be duly accompanied by supporting documents including invoices, statements or any other vouchers/narration to shed light on the payment being made. The Accountant reviews the documents for completeness before presenting them for signing by the signatories.
- Almost all payments should be made by check except for petty cash expenses, most casual wages, traveling, and facilitating field activities.
- All the checks are crossed except for petty cash checks, which are left open for counter withdrawal. Set the limit for petty cash.
- Payments are acknowledged as having been received by the payee duly signing the payment voucher, which is filed attached to the invoice, statement, payment advice, etc. except for suppliers with whom an organization has credit facilities, in which case because a contract is in place.

### ***Petty cash***

- Used for general administrative duties, official errand (transport), wages for casual laborers; however, all these expenses don't exceed a set limit, e.g. \$60

- Expenditures exceeding (in this case \$60) are made by check except in exceptional cases, where the Project Coordinator may authorize the extra expenditure (e.g. for renovation, airtime, etc.).
- All cash reimbursements are made on presentation of all supporting vouchers.
- The project accountant or, in his absence, a designated staff member, duly authorizes all cash payments.
- Vouchers are filed according to the filing system adopted by the organization; the system should be simple, accessible, elaborate, etc.
- The expenditure is categorized based on awarding criteria provided by the grantor (salaries and wages, fringe benefits, supplies, travel, other direct costs, etc.)
- The system in place should disallow cashing of checks, payments effected without supporting vouchers, and IOUs.
- Policies on the vouching system should be simple and elaborate i.e. cheque vouching system and cash payment vouching system should clearly outline what voucher is used to process what transaction/ payment. Petty cash vouchers should be used for petty cash transactions and payment vouchers should be used for cheque and EFT payments

### ***Re-direction of funds***

A project manages its funds based on the awarding criteria set by the donor. However, in the event of changes in project/program activities as planned and approved by the donor, the project through the director/accountant writes to seek redirection of funds for other activities which may be deemed more pressing or beneficial in promoting the project goals. There are usually guidelines on when to seek re-direction and how it is done.

- Cash count should be a part of the internal control system to ensure accuracy.

Before approving requests for petty cash replenishment, the director should go through the schedule detailing how the previous cash was spent.

### ***Re-direction of funds***

A project manages its funds based on the awarding criteria set by the donor. However, in the event of changes in project/program activities as planned and approved by the donor, the project through the director/accountant writes to seek redirection of funds for other activities which may be deemed more pressing or beneficial in promoting the project goals. There are usually guidelines on when to seek re-direction and how it is done.

### ***Carry-over***

Funds may be carried over from one financial year to another if activities were not carried out due to certain justifiable reasons.

### ***Categories of award/budget lines***

- i. Salaries and wages
- ii. Fringe benefits
- iii. Supplies
- iv. Travel
- v. Other costs
- vi. Consultants/consortium
- vii. Indirect costs/overhead costs, etc.

## Reporting

### Technical reporting

This has been handled in the technical sessions, but note that the two reports must show consistency, for instance if technical report says staff did not travel as much because they were hired late, yet the financial report shows that the travel budget has been exceeded, this discrepancy will definitely raise questions.

### Financial reporting

Different donors have different reporting requirements and formats. Whichever mode of reporting is adopted will therefore depend on the donors' guidelines. Whatever the case, the financial report should capture expenses incurred in a given financial year.

As a standard practice, financial reports should be accurate, complete, and sufficiently supported. Accuracy with regard to accurate classification of expenses, arithmetic accuracy, compliance to the donor award, and complete, means that all relevant supporting documents should be attached to a payment voucher (or at least be easily retrievable if needed).

Financial reporting may take two bases: *cash basis* or *accrual basis*.

The *cash basis* of accounting for expenses and transactions when they are actually incurred means that only what has been paid or liquidated is considered an expense. On the other hand, the *accrual basis* considers unliquidated obligations as having been expensed. This means we include committed expenses in the reporting, for instance immediately an organization issues an LPO or a local service order (LSO) to a supplier, it is booked as an expense as well. It is important to understand the reporting basis provided for by the donor for the sake of compliance. It should also be noted that the reporting system should be consistent over a period of time, and thus should be retained unless it becomes justifiable to change from one basis to the other.

Always have financial reports reviewed internally before submitting them to the donor. This is aimed at ensuring that any mistakes that may arise are resolved before the report is submitted. This is easier where the accounts department is well staffed.

**A sample financial report is shown on page 91 below.**

### Auditing

Part of the post-award monitoring of grants involves M&E activities as well as financial auditing. Well established institutions usually have internal audit departments, but where the organization doesn't have the capacity to run its own internal audit department, the management may form committees that review payment vouchers from time to time. These could be selected members of the management team, or particular staff. This is basically aimed at ensuring that financial records are sufficiently supported and reflect a true and fair view of the organization's position at any point in time.

Auditing can be carried out by anyone. All they need to know is what constitutes a well-supported payment voucher, so that they can review and give a reliable opinion before an external auditor reviews the same.

A complete payment voucher should be supported by the following documents:

i. Payment to supplier

- a. Requisition form
- b. Quotations (depending on threshold)
- c. Analysis matrix/minutes of procurement committee
- d. Invoice
- e. Delivery note
- f. Goods received note
- g. Receipt
- h. Other relevant documents as may be necessary

ii. Payment towards travel

- a. Invitation (where applicable)
- b. Travel request form (reviewed/approved)
- c. Liquidation form with supporting documents duly attached (usually submitted after the trip)
- d. Relevant receipts (depending on the policy of the organization)
- e. Deposit slip (for the balance of funds)

iii. Payment of salaries/wages (this may require a separate file where the following documents are kept owing to their confidential nature)

- a. Contract, copies of certificates, and hiring minutes
- b. Timesheets completed on a monthly basis (reviewed and approved)
- c. Any other relevant document depending on the organization's personnel policy

iv. Payments to consultants

- a. Contract duly signed
- b. Invoice and timesheet for services rendered (duly signed by consultant)

The management is responsible for all financial activities in the organization, and accordingly they have to ensure that the organization operates credible records of accounts and that the entire organization complies with the financial procedures.

**INTERNATIONAL POTATO CENTER (CIP)**

**Subgrant Number:** SSA-GNC7815/ARMTI-ILORIN

**Subgrantee's Name:** Agricultural and Rural Management Training Institute

**Project Name:** Reaching Agents of Change (RAC): Catalyzing African Advocacy and Development Efforts to Achieve Broad Impact with Orange-fleshed Sweetpotato

**Date:** \_\_\_\_/\_\_\_\_/\_\_\_\_

**Total amount requested for the First Payment:** US\$ \_\_\_\_\_

**STATEMENT OF INCOME AND EXPENDITURES**

*(fill in this section for all payment requests after the First Payment)*

From : \_\_\_\_\_ To : \_\_\_\_\_

Income	Local Currency	Exchange rate	US Dollar
Initial balance			
Funds Received			
<b>Funds available</b>			
<b>Expenditures</b>	<b>Local Currency (*)</b>	<b>Exchange rate</b>	<b>US Dollar (**)</b>
Personnel			
Fringe Benefits			
Travel			
Supplies			
Contracted Services			
Consultants			
Equipment			
<b>Total Direct Costs</b>			
<b>Total indirect Costs (x% of MDC)<sup>(1)</sup></b>			
Grand Total			
<b>Actual Balance</b>			

**Total amount requested for the period: US\$** \_\_\_\_\_

Prepared by : \_\_\_\_\_

Approved by : \_\_\_\_\_

Name

Name

Title

Title

Tel / Email

Tel / Email

<sup>(1)</sup>MDC= Modified Direct Costs: Total Direct Costs minus Equipment.





XYZ ORGANIZATION									
BLANTYRE, MALAWI									
GRANT #:	Final Detailed Budget								
Prepared by:	APRIL 2012 - MARCH 2013								
Reviewed by:	Please Enter data into yellow shaded cells only								
	Please List Costs in Malawi Kwacha only								
	Cost Per Unit	Unit Type (day, hour, each)	# of Units per month	Monthly Cost	Total Number of months	Total needed for program		Total Amount Contribution	Total Amount requested

#### 1. Salaries and Personnel Costs

List titles of all positions involved in project implementation


Sub-total:

A general budget format to consider if no template is provided. (Donors may require the use of their own templates for budgets).

Budget Notes	
Budget Items	Budget Notes. Please provide descriptions and explanation of calculations.

#### 1. Salaries and Personnel Costs

Indicate if position is full-time or part-time. If part-time, indicate number of hours worked


The first part of the paper discusses the importance of understanding the local context in which a project is implemented. This involves a thorough analysis of the social, cultural, and economic factors that may influence the project's success or failure. It is essential to engage with the local community and stakeholders from the outset to ensure that the project is relevant and sustainable.

The second part of the paper explores the challenges of implementing a project in a complex and dynamic environment. These challenges may include limited resources, conflicting interests, and changing priorities. It is important to develop a flexible and adaptive management approach that can respond to these challenges effectively.

The third part of the paper discusses the importance of monitoring and evaluation in assessing the project's impact and progress. This involves establishing clear indicators and targets, and regularly collecting and analyzing data to inform decision-making. It is also important to involve the local community in the monitoring and evaluation process to ensure that the project is meeting their needs and expectations.

The fourth part of the paper discusses the importance of communication and stakeholder engagement in the project implementation process. This involves developing a communication plan that identifies the key stakeholders and the messages that need to be communicated. It is also important to establish a regular communication channel and to involve stakeholders in the decision-making process.

The fifth part of the paper discusses the importance of building local capacity and ownership in the project implementation process. This involves providing training and support to local staff and community members to ensure that they have the skills and resources to manage the project effectively. It is also important to establish a local ownership structure that ensures that the project is sustainable in the long term.

The sixth part of the paper discusses the importance of documentation and reporting in the project implementation process. This involves keeping accurate records of the project's progress, challenges, and achievements. It is also important to prepare regular reports that provide a clear and concise summary of the project's status and findings.

The seventh part of the paper discusses the importance of flexibility and adaptability in the project implementation process. This involves being open to change and willing to adjust the project plan as needed in response to new information or changing circumstances. It is also important to have a contingency plan in place to deal with unexpected challenges.

The eighth part of the paper discusses the importance of collaboration and partnership in the project implementation process. This involves working closely with local organizations, government agencies, and other stakeholders to leverage their resources and expertise. It is also important to establish a clear role for each partner and to ensure that everyone is working towards the same goals.

The ninth part of the paper discusses the importance of transparency and accountability in the project implementation process. This involves being open about the project's finances, resources, and decision-making process. It is also important to establish a system of checks and balances to ensure that the project is being managed in a responsible and ethical manner.

The tenth part of the paper discusses the importance of sustainability in the project implementation process. This involves ensuring that the project's benefits are long-lasting and that the project is financially viable in the long term. It is also important to consider the environmental and social impacts of the project and to take steps to minimize any negative effects.