

Assignment Results. Phase 3

Five-Volume Learning Kit

Introduction

The Assignment Results of phase 3 are *five-volume Learning Kit*. This page presents samples of sessions extracted from the Learning Kit. However the users can download all five complete volumes from CIP website. *The URL for each volume was presented at the Introduction page of RAC/CIP Project.*

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 to: (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 Tanzania, Nigeria, and Mozambique.

The learning kit provides a thorough plan to support the implementation of 14 sessions of a workshop — *at the most convenient time for the users* — and provide the learning facilitators with the sequential information to strengthen the 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.

Summary of Contents, Volumes 1–5

Volume 1

Preface	ix
Acknowledgments	xi
Volume 1. Introduction	1
Part 1. Design of the Learning Kit.....	3
Part 2. Pre-Workshop Assignment	21
Part 3. A Comprehensive Implementation Plan	55
Session 1. Introduction to the workshop and PAPA	57
Session 2. What do we need to learn to lead and manage project teams?	81
Session 3. Overview of project cycle management. Major OFSP project requirements, etc.	107

Session 4. Project Identification: stakeholder analysis, problems analysis, etc.	139
---	-----

Volume 2

Volume 2. Introduction	1
Session 5. How to prepare a concept note	3
Session 6. Reviewing concept notes and proposals	47
Session 7. Formulating an engendered logical framework	59

Volume 3

Volume 3. Introduction	1
Session 8. Writing full proposals	3
Session 9. How to prepare proposal budgets.....	33
Session 10. Preparing executive summary, submitting, following up, etc.....	53

Volume 4

Volume 4. Introduction	1
Session 11. Project implementation requirements	3
Session 12. Concepts of monitoring and evaluation? Design a theory of change.. ..	31
Session 13: Developing an M&E plan/matrix and implementing M&E systems	67

Volume 5

Volume 5. Introduction	1
Session 14: Workshop evaluation and PAPA.....	3
Annexes	
Annex 1. Support materials.....	17
Annex 2. Additional texts	41

Samples of two sessions extracted from the five-volume Learning Kit

This section provides the website user with samples of two sessions to demonstrate that the Learning Kit was designed step-by-step to guide actions by the professional facilitator to make sure that the results of the learning processes achieve their goals and objectives efficiently and effectively.

The samples present session contents, texts and exercises to practice the information provided by the facilitator. The titles of the sessions are as follows:

Session 2 (from volume 1). What do we need to learn to lead and manage project teams?

Session 13 (from volume 4). Developing and M&E plan/matrix and implementing M&E systems: responsibilities and processes.

PowerPoint presentations of Session 2 (from volume 1) and Session 13 (from volume 4) are presented in this webpage

The learning module includes the PowerPoint presentations for 14 sessions to facilitate the implementation of the workshop. To provide the reader with a sample of these PowerPoint presentations, this document presents those related to the sample sessions 2 and 13.

Sample extracted from the Learning Kit

SESSION 2

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

Instructions to Learning Facilitators

TIME FRAME

Presentation and Exercises: 2 hours 45 minutes

OBJECTIVES

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

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

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

PROCEDURE

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

PRESENTATION

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

EXERCISE 2

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

REMINDER

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

Phase 1. Individual work *(15 minutes)*

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

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

1. *(experience, process)* Invite participants to pair up and exchange the scoring sheet from the leadership skills questionnaire.
2. *(experience)* Ask each pair to transfer each other's results of the sum of 'total and mean' columns from 1 to 5 in the worksheet characteristics or attributes of a

leader (Handout 1.2.6). They should share their responses to the questions 2 and 3, i.e. the strongest and weakest areas of his/her performance related to leadership functions.

3. (*experience, process*) Invite each pair to compare the results of Sections 2 and 3 with the results of the work of the scoring sheet (Handout 1.2.4). Ask them to go over the statements in the questionnaire to understand better the scores. They should discuss and point out the similarities and differences of the outcomes.
4. (*experience*) Invite the participants to transfer the total scores from the scoring sheet to the second column of the worksheet (Handout 1.2.6).
5. (*process*) Next, deliver Handout 1.2.7 ‘Ten functions of a leader’. The pairs should list these functions in the appropriate column of Handout 1.2.6 and discuss Handout 1.2.7 briefly and attentively.
6. (*generalize*) Invite the pairs to discuss the results of this exercise and be prepared to write down and read to the audience two lessons learned during this session. Remember that this report is done without referring to the information and mentioning names. Ask them to use the worksheet (Handout 1.2.6) to record the results.

Phase 3. Plenary (60 minutes)

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

Closure (5 minutes)

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

CLOSURE

Domains of human learning¹

(Summary of Presentation)

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

The three basic domains of human learning are:

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

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

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

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

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

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

¹ *Extracted and improved by França (2014). From França, Z.P. 1994. Irrigation Management Training for Institutional Development: A Case Study from Malaysia. Colombo, Sri Lanka: IIMI.*

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

- **Knowledge** is retained information concerning facts, concepts, and relationships. For example, the concept of irrigation management; knowledge of methods of measuring water flow; the concept of farmer-managed irrigation systems; feedback (concept, how to give and receive); definition of decision-making process; and so on.
- **Attitudes** consist of feelings or statements for or against certain issues; they reflect the predisposition of individuals to view their jobs, other people, and the work in a certain way, and they are reflected in people's behavior, for example, in terms of responsiveness, flexibility, self-confidence, adaptability, tact etc.
- **Skills** are the abilities or personal attributes which make the individual to do things effectively; apply knowledge and personal aptitude and attitudes in personal and/or work situations. Skills development include:
 - (a) Social ability shows the level of development which belongs to the affective domain of learning. This kind of ability is known as 'soft' skills. Examples: abilities to lead effectively (e.g. the leader is approachable, a good listener; polite; caring, respectful, etc.); conduct meetings; give and receive feedback, display listening skills, and so on.
 - (b) Manipulative ability shows the level of development which belongs to the psychomotor domain of learning. This type of ability is known as "hard" skills, Examples: abilities to play piano; to play violin, to work with computers, to drive a car, tractors, motorbikes, etc.

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

Effective teamwork and managing teams, time and tasks² (Summary of Presentation)

Setting up the project

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

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

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

Effective teams³

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

Common characteristics of effective teams

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

The team then develops an organizational structure around the project, clearly indicating team interdependencies. It is also important at this stage to define the scope of authority of each team member and how certain types of decisions will be made. Showing respect and earning respect are two aspects of team membership; it is important to understand

² Extracted and adapted from: Diana McLean, *FAO/ISNAR Learning Module on Project Cycle Overview: Developing a Common Discipline, 1999–2000*.

³ Kevin Forsberg, Hal Mooz and Howard Cotterman. 2000. *Visualizing project management*. New York. John Wiley & Sons, Inc.

that diversity can be an asset, bringing a range of experiences and approaches to project teams. The essential element here is good communication with an eye on achieving the agreed objectives.

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

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

- *A reward system that acknowledges contribution by its members:* In a company, this might actually include monetary rewards and bonuses. Within public organizations, the reward system has more to do with recognition. Under a more explicit personnel appraisal system, working effectively on teams could be a criterion for advancement.
- *Team identity, spirit and energy:* To be effective, teams must be sustained through effective leadership. Recognizing the attributes and interests of individual members, while also putting team objectives in the forefront requires some insight and maturity on the part of the team leader. Teams can be motivated through a sense of team identity, through special efforts to forge strong commitment to one another. Many techniques are used in the workplace to reaffirm team spirit and identity, including encouraging innovation among its members, rotating leadership, and social outings.

Team leadership

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

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

One technique successfully used by team leaders is the team kick-off meeting.⁴ The first team meeting should provide each team member with a sense of organization, stability and personal, as well as team, accomplishment. A team kick-off meeting is used to:

- introduce project team members

⁴ Deborah S. Kezbon, Donald Shilling, and Katherine A. Edward. 1998. *Dynamic project management*. New York: John Wiley & Sons, Inc.

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

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

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

Managing time and tasks

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

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

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

Clearly, even if detailed information was given in the project proposal, once a project is approved and set into motion these activities need to be revisited and further defined. Remember that undertaking this process is best done in collaboration with the project team — those responsible for carrying out key actions. The analysis is often carried out in a

workshop setting, sometimes facilitated, if the project is complex. Visualization techniques can be employed, using cards on the wall and strings to demonstrate the activities, the time required, the sequencing and the inter-relatedness of activities. This becomes the detailed work plan, which, depending upon the complexity, can be managed through simple management techniques such as lists, and bar or Gantt charts, or through more complex management tools such as critical path management (aided by project management software). It is best to think of the simpler approaches first.

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

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

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

Project management techniques

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

Leadership Skills Questionnaire

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

Leadership skills (personal characteristics or attributes) questionnaire

Please fill out this questionnaire to be prepared for Exercise 2

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

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

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

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

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

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

How effective are you at....?

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

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

Scoring Sheet

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

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

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

(Individual and pairs)

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

Phase 1. Individual work (15 minutes)

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

(1) _____

Why? _____

(2) _____

Why? _____

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

(a) _____

Why? _____

(b) _____

Why? _____

Phase 2. Work in pairs (55 minutes)

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

Phase 3. Plenary Discussion (60 minutes)

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

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

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

2. Lessons learned

1. _____

2. _____

Exercise 2. Worksheet

Five characteristics (attributes) of a leader

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

1. Shared Vision

Shared vision is the picture people throughout the organization should carry. It is a vision to which many people are committed since it comes out of, and is thus created from each person's personal vision. An effective leader is committed to achieve an organization's goals and implements its mandate, communicating and engaging with its stakeholders. Leaders create opportunity for intensive dialogue on which shared vision is constructed. The process is developmental. It is a co-creating and collaborating process where a shared vision is built in a mood of generative learning. Successful leaders make themselves part of these processes.

Good leaders avoid involving with the 'vision business' by going off and writing, on their own, the official vision statement. Rather, they try to create a collective answer to the question 'What do we really want to achieve?'

2. Mental Models

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

3. Systems Thinking

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

4. Personal Mastery

Good leaders have a mechanism of developing their competence. Personal mastery is not something that we can force people to do. Leaders know that it is a potential organizational strategy, the importance of which needs to be explained to people. Good leaders tap into the

deep well of hope and aspiration, including the longing to serve something greater than oneself, and the desire to have a joyful life.

5. Team Learning

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

Sample extracted from the Learning Kit.

SESSION 13	Developing an M&E plan/matrix and implementing M&E systems: responsibilities and processes Instructions to Learning Facilitators
TIME FRAME	Presentation and Exercise: 4 hours 30 minutes Tea Coffee Break: 15 minutes
OBJECTIVES	By the end of this session, the participants will be able to do the following: <ul style="list-style-type: none">• Explain the importance of an M&E plan/matrix• Analyze a project's M&E framework/matrix• Practice developing an M&E plan/matrix• Demonstrate monitoring and reporting responsibilities as processes of an M&E system• Present a Toolbox to identify day-to-day output and outcome monitoring process• Discuss the importance of Data Management Flow Distribute handouts from 4.13.1 to 4.13.4.
PROCEDURE	Learning Strategies: presentation, group work, and plenary discussion.
PRESENTATION	<i>(experience)</i> Give a very brief presentation on how to develop an M&E plan/matrix, using RAC MERL Plan as an example. Use the PowerPoint slides from 4.13.1 to 4.13.10 to facilitate understanding. Next, refer to previous Session 12 (handout 4.12.4) and present the diagram of RAC M&E framework. . At the end of the presentation be sure to ask participants if they have any comments or questions, or if they need clarification <i>(30 minutes)</i> .
EXERCISE 13	Developing an M&E plan/matrix and identifying types of reports for an M&E system (<u>4 hours</u> for Part A and Part B Exercises) Part A. Developing and M&E Plan/Matrix (2 hours) Phase 1. Demonstration Exercise (30 minutes) <i>(experience)</i> Make sure that the participants have Handouts 4.13.3 and 4.13.4 in their hands. Go over the instructions with the participants step by step. Ask if any clarifications are needed.

Phase 2. Practicing developing and M&E Plan/Matrix: group work (45 minutes)

(experience, process) Ask the participants to form the same group that worked on the Kenya Case Study on ‘Research and Development of Orange-Fleshed Sweetpotato – to work together in the following tasks:

- (i) *identify 2 output and 2 outcome indicators from the Kenya Case Study on ‘Research and Development of Orange-Fleshed Sweetpotato’*
- (ii) *use the 4 indicators to practice developing an M&E framework for the project*

Phase 3. Reporting and Discussion (45 minutes)

(process generalization) The facilitator asks the groups to present their M&E plan/matrix to the plenary and invite other participants to provide feedback on the exercise results and/or provide inputs to improve the matrix. Each group should have 5 minutes to present their exercise results.

(generalization) Next, the facilitator invites participants to reflect about the process of this exercise and asks a few volunteers to share some lessons learned. The facilitator then asks the groups to move for the next Part B of the exercise.

Part B. Reporting and Data Management Mechanisms (2 hours)

Phase 1. Brief review of the PowerPoint on Reporting Responsibilities (10 minutes)

(experience) Use the RAC Monitoring and Reporting System as a case study. Introduce how a typical project ought to implement an M&E and reporting system. Use PowerPoint from 4.13.12 to 4.13.19 to facilitate learning.

(process) Invite questions and allow brief interaction during this presentation. Ask a few volunteers to share stories from their respective organizations.

Phase 2. Identifying, assessing and creating better ways to improve reporting and reporting responsibilities within their organizations. Group work (60 minutes)

(process generalization) Ask the participants to form the same groups as in Part A and elect a rapporteur. Guide the groups by saying that each participant needs to share the types of report they use in the organization, how effective they are (point out strengths and weakness) and how they plan to support their organizations – *stating clear actions* –

in relation to improving the design and production of M&E reporting to reinforce the M&E System.

(process generalization) Guide the participants to use Handout 4.13.4 to record their responses. This will be a very effective way to facilitate the rapporteur's task to summarize the results of the group reporting differences and similarities at the end of this phase. The rapporteur must be prepared to report these group results to the audience during the next Phase 3 of this exercise.

Phase 3. Report and discussion (45 minutes)

(process generalization) The rapporteurs of each group are invited to present their results to the plenary. After each group presentation, the facilitator must **only invite 1 or 2 volunteers** to make comments and provide feedback on the exercise results.

(process generalization) Each group should have 10 minutes to present and hear few comments or feedback. However, the facilitator reminds the participants that *after all group presentations*, there will be a plenary discussion to maximize learning about the reporting improvements by the participants in their organizations.

(generalization) The facilitator asks participants to give comments which might improve the group results and to provide feedback on the content of this exercise.

(generalization) The facilitator should also ask participants 'What did you learn?' 'How did you feel doing this exercise?' These kinds of questions increase the level of understanding and learning among the participants.

CLOSURE

Closure (5 minutes)

(application) Ask the participants 'How and when do you plan to apply the knowledge and skills acquired during this session in their work environment?' 'How could you summarize the anticipated impact of this application of new knowledge and skills?'

Make a transition to the next session.

FEEDBACK AND PAPA

Feedback on the day's Activities and PAPA: 15 minutes

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

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

Individual exercise using the attached handouts at the end of this session

(generalization, application) Ask the participants (1) to jot down some action ideas they may have as a result of today's activities (PAPA) and (2) reflect on the session's activities to provide feedback, i.e. strengths, weaknesses, and how to improve the day.

- Make transition for the next activities of Volume 5 of this learning kit and close the day.

Developing an M&E plan/matrix and Implementing an M&E system: responsibilities and processes (Summary of Presentation)

Introduction

The CIP Reaching Agents of Change (RAC) embraced the Monitoring, Evaluation, Reporting and Learning (MERL) Plan to design its M&E Plan/Matrix.

The MERL plan is a firm commitment to tracking and communicating impact. This is done through a knowledge management based system that ensures that all activities within the RAC design and implement a MERL plan.

RAC M&E MERL framework/matrix is used to present to the workshop participants what the overall purpose of RAC MERL plan is, in order to provide a framework for collecting accurate, relevant, and timely information to enable the project to meet information needs for all stakeholders. The proposed plan articulates performance indicators designed to track performance of results which RAC anticipates to deliver to realize the overarching goal. The plan also outlines the why, what, when, who and the how of RAC monitoring activities in order to keep implementers abreast of the progress of implementation as well as the realization of program purpose.

Participants analyze the importance of developing an M&E plan/matrix which assists them, as practitioners, to keep timely, reliable, and credible data/information for evidence-based decision making and the management and service delivery level; identify monitoring and reporting responsibilities; utilize toolbox components; ensure data management flow to provide feedback to project implementation; and define reporting system, types of reports and reporting responsibilities.

M&E framework/matrix for a project

An M&E framework/matrix provides detailed information about how the organization's goal, objectives, and intermediate results will be monitored and evaluated. The M&E framework/matrix should ideally contain all the information required to understand, collect, tabulate/analyze, disseminate, and report on the negotiated performance indicators. In essence, the M&E framework/matrix is not a monitoring tool per se, but a communication tool, complete with methodology for data collection, actions, timing, and responsibilities for implementation of each indicator including the baseline values, numerator, and denominator to be considered during data analysis.

Pact Brasil⁵ indicate that an M&E framework/matrix is a fundamental tool for monitoring and evaluating a project or program.

An M&E framework/matrix should be:

- Developed collectively during the development of the project or program
- Systematically updated throughout the project

The process of developing an M&E Plan can be divided into three basic steps:

- Definition of the project or program indicators
- Definition of the measurement tools for the indicators
- Definition of those responsible for collecting data related to the indicators

Key elements of the M&E framework/matrix

1. Indicators

An indicator is ‘a quantitative or qualitative factor or variable that provides a simple and reliable basis for assessing achievement, change or performance. A unit of information measured over time that can help show changes in a specific condition.’ (Guijt and Woodhill 2002).

An indicator should be:

- **Specific:** The indicator should clearly specify what it will measure
- **Measurable:** The indicator must be measurable by quantitative or qualitative mechanisms
- **Appropriate:** The indicator must directly relate to the project goals and objectives
- **Realistic:** The NGO must have the resources necessary, human and financial, to measure the indicator
- **Temporal:** The indicator must be measurable within the project time frame.

Please note:

After defining an indicator for an action, project or program, verify the following for each indicator:

- Does the indicator clearly specify what it will be measuring?
- What methodologies/data collection tools would be necessary to measure the indicator? Do these tools effectively measure what the indicator proposes?
- Is the indicator clearly related to the project goals and objectives?

⁵ *Pact Brasil (2006). Monitoring and Evaluation. Pact Inc. Washington DC.*

- Given the available resources and technical expertise of the project team, does the NGO have the capacity to collect and analyze data necessary to report on this indicator?
- Given the time frame in which the project will be implemented, is it feasible to expect a change in the indicator?

If the answers to all of the questions above are affirmative, the indicator is SMART!

Also, ensure that:

- Each evaluation question has a *range of indicators or other information needs* to answer the question. Together they can give a *comprehensive answer* to the question being evaluated.
- *You negotiate indicators* with stakeholders, especially primary intended users of the evaluation.

2. Baseline information

- This is the information about the *initial starting point* or situation before any intervention has taken place.
- Can help *assess change over time* and redefine development initiative at start up.
- Some baseline information may already be *present*, e.g. through the situational assessment for the development initiative, or secondary data like reports, or statistical data from other organizations.
- Some baseline information can be acquired *retrospectively* such as through storytelling.

As you think about the baseline survey, ask yourself the following:

What baseline information is already available? For which evaluation questions and indicators do we need additional baseline information? How are we going to get this?

3. Methods for data collection and processing

- Decide whether you need *quantitative or qualitative data*, or both.
- Data collection methods can be *individual* (e.g. for sensitive information) or group-based (e.g. to encourage learning).
- Data collection methods need to be *participatory* (where possible), especially when shared learning is important.
- The methods you select will depend on the kind of *information* you require and the purpose of the evaluation.

4. Measurement tools and sources of data

According to Pact Brasil (2006), measurement tools are the instruments that the project/program will use to measure the indicators. Examples of measurement tools include attendance lists, field reports, questionnaires, focus groups and observations. The measurement tools should be:

- Relevant to the indicators
- Feasible in terms of the resources available and project timeline

- Systematically collected and analyzed

5. Definition of Responsible Parties

Although the entire project/program team should participate in M&E activities, it is essential to identify one or two persons who will be in charge of collecting, analyzing, and reporting data on each indicator.

They will work in partnership with the rest of the project/program team to guarantee that the data necessary for each indicator are systematically collected. When identifying those responsible for each indicator, it is important to avoid centralizing all activities in the project/program M&E Specialist or coordinator. They generally have many responsibilities in the actual project implementation and may not have the time necessary to dedicate to entire data collection responsibilities.

Remember that an M&E matrix:

- Is a key tool in designing M&E evaluations
- Helps to summarize the implementation of the M&E processes
- Helps to clarify ways in which the key questions will be addressed during the evaluation
- Requires flexibility for complex issues
- should be developed with stakeholders, based on a shared understanding of the development initiative

Part of the RAC M&E matrix/framework is shown in Table 4.8.

Reporting and Data Management Mechanisms (The case of RAC project)

RAC considers progress reports as key tools for monitoring the progress of project objectives. Some of the reports at RAC are internal, while some are both internal and for an external audience as well. The former are more frequent/routine than the latter. The progress reports adopted in RAC included bi-weekly reports, quarterly progress reports, six-monthly/bi-annual reports and annual progress reports. Others are technical activity reports (such as training reports, workshop reports, etc.) and evaluation reports (such as the situation analysis reports and the mid-term evaluation) prepared by external evaluators/consultants.

In addition to being tools for monitoring progress, the reports are designed in such a way that project staff do not lose focus of the big picture, i.e. that activities are designed to deliver specific outputs and that outputs should be sustained to deliver outcomes/project objectives and these are to be linked accordingly. This alignment between activities, outputs, and outcomes is critical in managing for results. Therefore in our reporting arrangements, **bi-weekly reports** focus on the link between resource utilization and activities executed; **quarterly reports** link activities to respective outputs; and the **six-monthly reports** demonstrate how outputs are leading to respective objectives. **Annual reports** wrap this up with a synthesis on overall achievements, challenges, and lessons learned.

Figure 4.6 below shows the RAC reporting protocols.

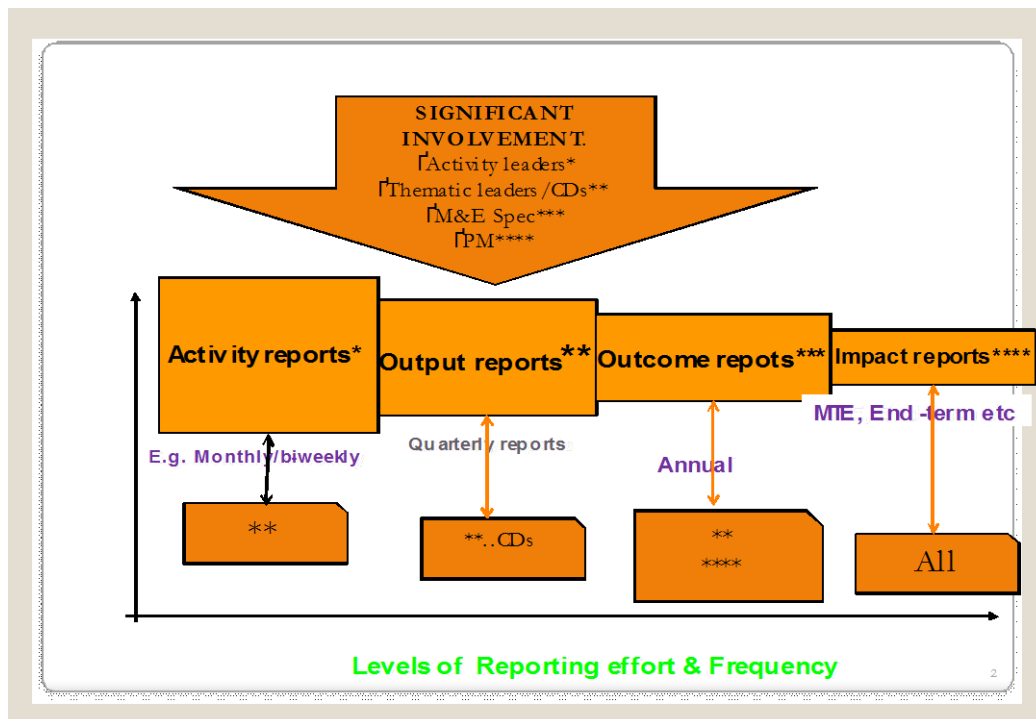


Figure 4.6: RAC reporting protocols

The bi-weeklies are written by all key RAC staff, but the main leaders are activity leaders (project implementers/program officers) who are in charge of executing RAC activities at the point of contact (with government agencies, donors, agricultural organizations and training institutions, decentralized vine multipliers etc). Though all the RAC staff openly share their bi-weeklies, the thematic leaders and country directors have the most interest in these reports.

Like the bi-weekly reports, the output reports are written by activity leaders on a quarterly basis, the thematic leaders review and consolidate them (from individual country reports to thematic regional reports). The consolidated reports (and accompanying data) are then send to the M&E function which reviews the thematic reports and data and further consolidates them into a single RAC regional report that is later submitted to the Project Manager (PM) for review and feedback. The same procedure is followed during the writing of the six-monthlies. However, unlike the output reports, the PM with the support of the M&E Specialist provides leadership in the writing and quality control of the outcome reports (six-monthlies). The PM, with assistance from the M&E function, also provides leadership during the mid-term evaluation but all the RAC staff and partners are involved.

Progress and evaluation reports are shared internally and, where applicable, externally, particularly with the donor through existing information sharing networks. Specifically, the bi-weekly and quarterly reports are predominantly internal with feedback sessions organized between the RAC management and the implementing staff. The six-monthly and annual reports are external donor reports. Feedback sessions are then organized between the donor and the RAC management to discuss the key contents of these reports. In addition, the project identifies, analyzes, and shares lessons learned that are deemed beneficial in the

design and implementation of future similar projects through publications. Identifying and analyzing lessons learned is however an ongoing process, and the need to communicate such lessons is one of the project's key endeavors. Sharing and discussing progress, challenges, and lessons learned is done routinely, but more formally during the annual joint planning and review meetings.

Data collection and management protocols

The RAC data management plan encompasses both the architecture and administrative processes and policies, around practices and procedures of collecting and managing information lifecycle needs in an effective manner. The administrative process ensures that relevant data are acquired, validated, stored, protected, processed, and accessed in a reliable and timely manner to the satisfaction of the data users.

For starters, data collection tools for indicators (we designed tools that collect information for at least two or more indicators) were designed, discussed, piloted, and reviewed. Staff and partners were then trained in the use of these tools before they were adopted. The idea was to build not only consensus but to facilitate uniformity in data collection (instrument reliability). The raw data are then collected by project implementers, stored and reported to thematic leaders at the regional level (see section on reporting mechanisms and Figure 4.6 for more details on this protocol). Figure 4.7 below shows the RAC data flow mechanism.

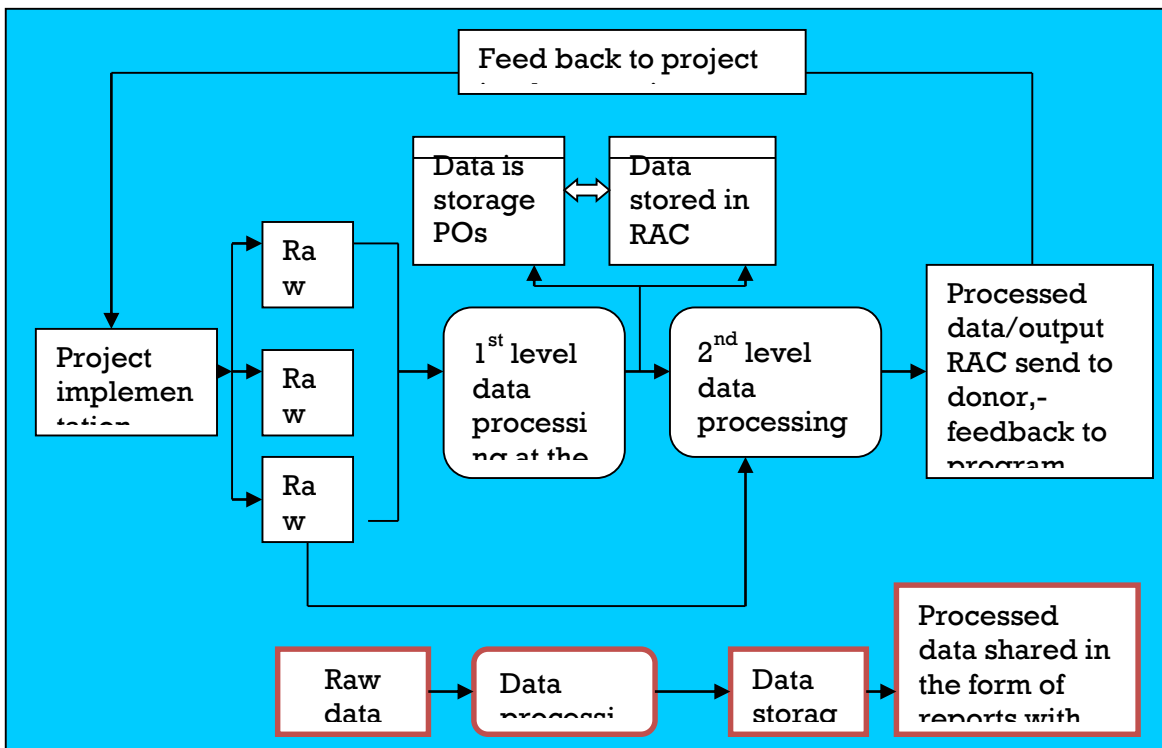


Figure 4.7: RAC data flow

Data audit is done at two levels: internally – more regularly – by the Regional M&E Specialist, and externally – by the external reviewer, during the mid-term evaluation exercise.

Exercise 13. Developing an M&E plan/matrix and identifying types of reports for an M&E system

(Demonstration & Interdisciplinary group work)

The groups have **four hours** to undertake the tasks of Part A and Part B of this exercise.

Part A. Developing an M&E Plan/Matrix (2 hours)

Phase 1. Demonstration Exercise by the facilitator (30 minutes)

1. The facilitator refers to the presentation on Developing an M&E Plan/Matrix and follows this introduction with a practical demonstration using the RAC M&E Matrix as an example presented in Session 12. He/she invites the participants to follow his/her demonstration through the handout 4.12.4.

Phase 2. Group Work: Practicing developing an M&E Plan/Matrix: (45 minutes)



2. The facilitator invites you to form the same group that worked on the Kenya Case Study on ‘Research and Development of Orange-Fleshed Sweetpotato’ (in Phase 2, part B above). The facilitator:
 - (i) Asks participants to identify 2 output and 2 outcome indicators from the Kenya Case Study on ‘Research and Development of Orange-Fleshed Sweetpotato’.
 - (ii) Asks participants to use the 4 indicators above to practice developing an M&E framework for the project.

Phase 3. Report and Discussion (45 minutes)

3. The facilitator asks the groups to present their M&E plan/matrix to the plenary and invites other participants to provide feedback on the exercise results and/or provide inputs to improve the Matrix. Each group should have 5 minutes to present their exercise results.
4. Next, the facilitator invites participants to reflect on the process of this exercise and asks a few volunteers to share some lessons learned. The facilitator then asks the groups to move for Part B of the exercise.

Part B. Reporting and Data Management Mechanisms (2 hours)

Phase 1. PowerPoint Presentation (10 minutes)

5. The facilitator uses the RAC Monitoring and Reporting System as a case study to introduce how a typical project ought to implement an M&E and reporting system.

-
6. The facilitator uses PowerPoint from 4.13.12 to 4.13.15 to improve understanding among the participants. Be prepared to ask questions for clarification and to share stories from your respective organizations.

Phase 2. Identifying, assessing and creating better ways to improve reporting and reporting responsibilities within their organizations. Group work (60 minutes)

7. The participants form the same groups as in Part A and elect a rapporteur. The rapporteurs invite each participant to:
 - (a) share the *types of report* they use in the organization
 - (b) point out *how effective they are* (point out strengths and weaknesses) and
 - (c) share *how they plan to support their organizations*
8. The participants use Handout 4.13.4 to record clear actions in relation to improving the design and implementation of M&E reporting to reinforce the M&E system. This facilitates the rapporteur's task to summarize the results of the group reporting differences and similarities during the next phase.

Phase 3. Report and discussion (45 minutes)

9. The rapporteurs have 5 minutes each to present their results to the plenary. After each group presentation, the facilitator must only invite 1 or 2 volunteers to make comments and provide feedback on the exercise results.
10. At the end of all group presentations, the facilitator leads a plenary discussion to maximize learning about the reporting improvements by the participants in their organizations.
11. Finally, be prepared to respond to the facilitator's questions: 'What did you learn?' 'How did you feel doing this exercise?' 'How and when do you plan to apply the knowledge and skills acquired during this session in your work environment?' and 'How could you summarize the anticipated impact of the application of this new knowledge and skills in your work environment?'
12. The facilitator invites feedback from a few participants, summarizes their views on the exercise and closes the session.

Exercise 13. Worksheet Identifying, assessing, and creating actions to improve types of reports for an M&E system

(a) List types of reports used in the organization	(b) Are they excellent, good or poor?	(c) Why are they excellent or good? List 2 strengths	(d) Why are they poor? List 2 major weaknesses	(e) State 2 clear actions that you will carry out to improve them	(f) How could you summarize the anticipated impact of the application? (one sentence)

Strengths and Suggestions for Improvement

List up to three things you liked about the sessions of volume 4

1.
2.
3.

List up to three suggestions to improve the sessions of volume 4.

1.
2.
3.

Guidelines to Provide Feedback on the Workshop

1. The module

Content

- usefulness/relevance
- amount of information

Structure

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

2. Process: L&CB techniques and direction

- usefulness/relevance/effectiveness
- group interaction
- clarity of questions, exercises, instructions
- opening and closure of the days

3. Facilitators' and participants' performance

- presentation/communication skills
- interaction/effective participation
- punctuality/interest/commitment/willingness to facilitate learning/willingness to participate
- other attitudes

4. Logistical support

- organization
- accuracy
- punctuality
- willingness to assist participants, services provided in general

5. Workshop environment

- physical (L&CB facilities, L&CB material, hotel facilities in general)
- psychological (personal feelings such as self-motivation, interest, satisfaction, self-achievement), social (development of friendships, relaxed, comfortable among participants, etc.)

6. Workshop results/outputs

- personal and professional assessment
- recommendations

7. General comments

