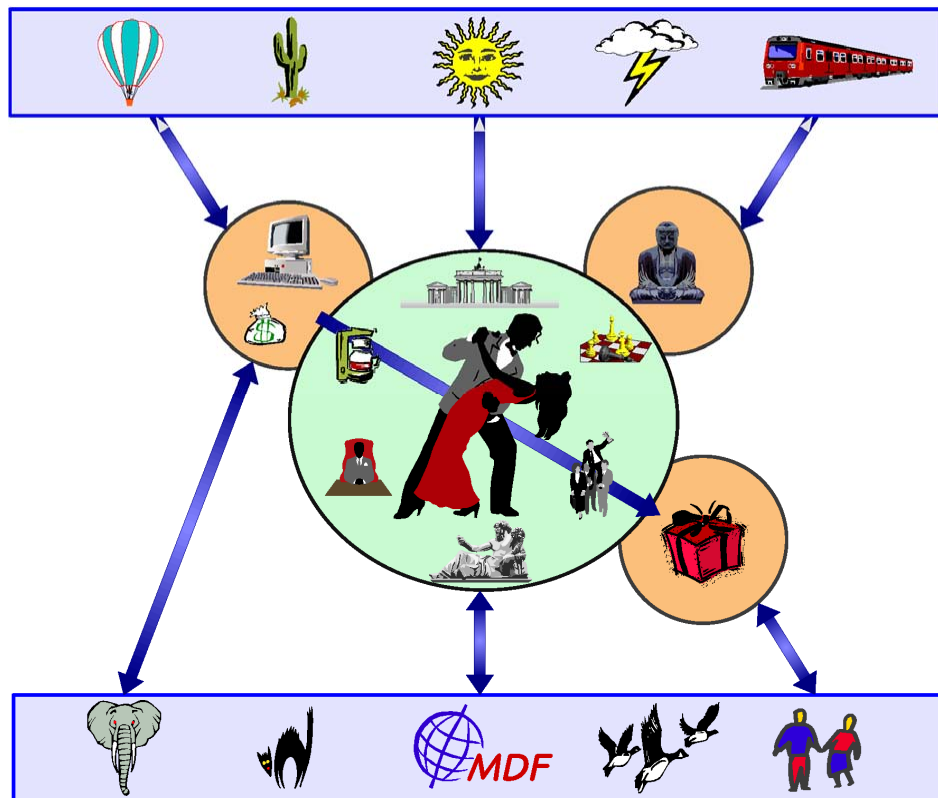# Tango for Organisations

40 Tools for

Institutional Development and Organisational Strengthening

MDF Training & Consultancy

"Tango for Organisations;

40 Tools for Institutional Development and Organisational Strengthening"

ISBN 90-808685-1-5

MDF Training & Consultancy BV
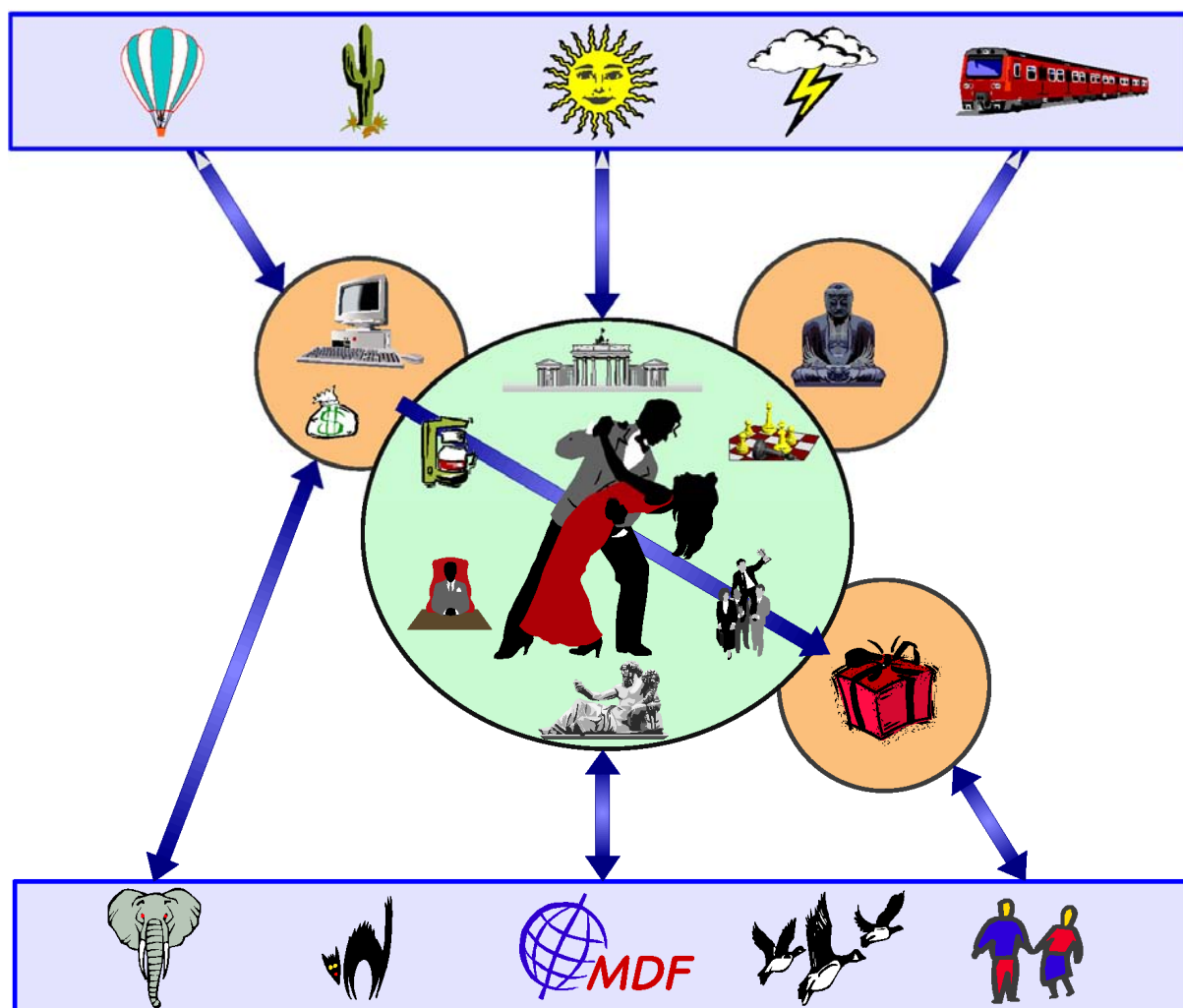Bosrand 28
Postbus 430
6710 BK Ede
The Netherlands

www.mdf.nl

Tango for Organisations

40 Tools for

Institutional Development and

Organisational Strengthening

MDF Training & Consultancy

Ede, April 2004

Table of Contents of the CD Rom

Acknowledgements

This toolkit is the result of a collective effort to dance the Tango of Organisations and reflects collective experience of the trainers and consultants of MDF Training and Consultancy BV.

We would like to pay tribute to the people who have practised the steps in the tango during their assignments and within training sessions. They have become real practitioner and have shared their experience in this toolkit. The examples of the toolkit come from real life situations. The authors who are responsible for this first version of this ID/OS Toolkit comprise a great number of trainers/consultants of MDF Ede, notably: Herman Snelder, Hans Rijneveld, Diederik Prakke, Niek Bakker, Frans van Gerwen, Teun van Dijk, Riet Nigten, Eline Weijers, Jan Bruinsma, Mike Zuyderduym, Siliva van der Cammen and Hanneke Spaans.
We acknowledge the editors, Diederik Prakke and Hanneke Spaans, who have compiled all the concepts, tools and practical experiences into this well-organized and logical toolkit.

We would further want to acknowledge KERN Konsult for their approval to use the tool of the core-quadrant.

We would like to thank all those organisations and advisers who have used the tools in their daily work; becoming more client centred and aware of the need to nurture the organisation and its surrounding.

For those who want to stay up-dated on this Tango, please send us your address and a copy of your payment. After purchasing, the up-dates of the first year will then be send to you free of charge.

For those advisers and consultants who have tested the tools and have comments, please do not hesitate to contact us at mdf@mdf.nl.
This also applies should you have any ideas for new tools that could be included in the next update.

The management of MDF Training and Consultancy BV
April 2004

Preface

This book gives the overview of the ID/OS Toolkit, the Tango for Organisation. The book goes hand-in-hand with the CD-Rom you will find in the back cover, on which a much more detailed description of the tools is provided.
The introduction in this book is the one to the whole of the ID/OS Toolkit. In this book you can find the quick steps, those steps you need just before starting your performance.
On the CD-Rom there are hyperlinks to the tools description, examples and detailed steps.

List of Abbreviations

Abbreviation	In full
ASC	Advisory Skills Course
HID	Human and Institutional Development
HRM	Human Resource Management
IAT	International Advisory Trail
ID/OS	Institutional Development and Organisation Strengthening
MDF	MDF Training & Consultancy
ODAC	Organisation Development for Advisers and Consultants
PCM	Project Cycle Management
PCOM	Project Cycle & Operational Management
SWAP	Sector Wide Approach
BQ	Basic Question
EOA	External Organisation Analysis
ID	Institutional Development
IOM	Integrated Organisation Model
ISA	Institutional Sector Analysis
ISOA	Institutional Sector and Organisation Analysis
MIS	Management Information System
OOPP	Objective Oriented Project Planning
OS	Organisational Strengthening
OT	Opportunities and Threats
PC	Project Cycle
PODia	Participatory Organisation Diagnosis
QFD	Quality Planning and Deployment
QS	Quick Scan
SMART	Specific, Measurable, Achievable/Agreed upon, Relevant/Realistic, Time-bound
SO	Strategic Options
SOR	Strategic Orientation
SW	Strengths and Weaknesses
SWOT	Strengths, Weaknesses, Opportunities and Threats
TNA	Training Needs Assessment

Abbreviation	In full
VEPP-C	Verifiable Ecological Personal Positive Contractual
LogFrame/ LF	Logical Framework
A	Activities
Ass	Assumptions
Ind	Indicator
OO	Overall Objective
OVI	Objective Verifiable Indicator
PP	Project Purpose
R	Results
SoV	Source of Verification
BEP	BRAC Education Program
DA	Direct Assistance
DGIS	Directoraat Generaal Internationale Samenwerking (Dutch Ministry for Development Cooperation)
FAO	Food and Agriculture Organisation of the UN
IDP	Integrated Development Project
ILC	International Learning Centre
IMF	International Monetary Fund
INGO	International NGO
INK	Instituut Nederlandse Kwaliteitszorg (Institute for Dutch Quality Management)
ISS	Institutive for Social Studies
NGO	Non Governmental Organisation
ODI	Overseas Development Institute
RNE	Royal Netherlands Embassy
SNV	Netherlands development organisation
UN	United Nations
WUA	Water Users Association
CBO	Community Based Organisation
GAD	Gender and Development
GAS	Gender Assessment Study
PGN	Practical Gender Needs
SGN	Strategic Gender Needs
WID	Women In Development

Abbreviation	In full
DED	Deputy Executive Director
DH	Department Head
DRDP	District Rural Development Project
ED	Executive Director
G.D.	General Director
HDI	Human Development Index
ISPA	Institutional Strengthening of Private Agriculture
IT	Information Technology
MD	Managing Director
MDG's	Millennium Development Goals
NLP	Neuro Linguistic Programming
P&DD	Planning and Development Department
PO	Programme Officer
R&D	Research and Development
RAAKS	Rapid Appraisal of Agricultural Knowledge Systems
SAP	Structural Adjustment Program
SME	Small and Medium Enterprise
ToR	Terms of Reference

1   Tango for Organisations

What does it take to Tango? What does it take to make an organisation swing? To make organisations excel in their unique niche, managers and advisers need to assess the situation, develop plans and guide interventions to success. In all these stages of fact-finding, reflection, brainstorming, decision taking and change, tools and models can help to explore, present and communicate on the situation. The tools collected in this manual represent the collective wisdom of many development practitioners connected with MDF, who read about or developed, tested and refined dance movements and instructions.

Being a fast and energetic dance, the Tango requires that you master the steps, but then rewards the dancers with vigour and a clear sense of direction. This toolkit similarly portrays the necessary steps in Institutional Development and Organisational Strengthening (ID/OS), for organisations inspired to dance towards their mission. It presents a comprehensive variety of tools and angles to accurately diagnose the dance floor (the external facts and trends) and your tango skills (competence and capacity of the internal organisation). The purpose is to remove hindrances that may cause one to stumble or fall. At the same time the dance fosters commitment and motivation for change: The determination and flexibility that enables even elephants to dance the Tango (our organisation's name MDF is also explained as 'Management by Determination and Flexibility').

Users of this toolkit

This toolkit contains diagnostic (and change) tools for managers, advisers and consultants who wish to engage in ID/OS processes for different purposes. These purposes differ in starting point and objective[1]:

- **Strategic orientation**. An organisation decides on priorities for *innovation* and plans the road ahead, including adjusting its own capacity in view of the planned change
- **Sector development**. Sector key players initiate a review and adjustment *of who does what* in an institutional sector, and plan *ways to enhance* sector performance
- **Programme development**. A programme implementing organisation or donor looks for partners to decide *who does what* and on *how to get every party ready* for his role
- **(Re-) positioning**. An organisation reviews and envisions *what to do*, and establishes a new vision, mission, norms, approach and guiding principles
- **Operational and technical development**. An organisation decides *how to improve* in what it does.
- **Change Tools**. How to plan interventions; how to enable support; how to monitor change processes

Professionals experienced in organisational analysis and consultation can select relevant tools and use the tool descriptions in this manual as recipes in their work. Sound and optimal application of these tools, however, presumes professional integrity and competence. Without these qualities, the random application of tools can become mechanical and inflated, leading to erroneous conclusions. However, the Tango helps less seasoned managers and advisers by providing an overview and idea of possible approaches to their issues. Should they employ consultants, the Tango helps them to

---

[1] See further the ID/OS process design tool in 2.3.1

identify their question clearer and maintain the lead in establishing Terms of Reference and receiving support. Knowing what you don't know makes you a better partner.

Concepts and definitions[2]

An organisation can be defined in general *as a complex of people and/or groups that, according to commonly agreed rules and procedures, strives to realise one or more pre-set objectives.* In this toolkit we use the term 'organisation' for the actor(s) on who tools are applied.

Norman Uphoff defined institutions as: *Complexes of norms and behaviours that persist over time by serving collectively valued purposes.* In this toolkit the term 'institutions' points at the institutional environment or the context around the organisation(s) under analysis. This context comprises of factors (economic, technical, political-legal, socio-cultural influences) and actors (suppliers, financiers, competitors, partners, and target groups, and the networks between them).

Whereas 'organisation' stands for what is *internal*, the term 'institutional' stands for the *external* world and relations that is not under the control of the organisation(s) under analysis, but have effect on the organisation and its performance.

The organisation under scrutiny has reasons for applying tools, which need to be clear[3] and agreed upon. Analysis therefore starts with formulating a Basic Question (BQ). This question states the objective of analysis, and then asks *how* to achieve it. The BQ also helps to delineate the border between internal (organisation) and external (institutional context).

Having defined institutions and organisations, we come to the concepts of Institutional Development and Organisational Strengthening (ID/OS). As a working definition, ID stands for *the creation or reinforcement of a network of organisations to effectively generate, allocate and use human, material and financial resources to attain specific objectives on a sustainable basis.* And in this toolkit we define OS as *measures to improve the organisation's capability to execute selected activities while striving to achieve the objectives of that organisation.*

Framework and approach

All development interventions, including ID/OS, are ultimately geared towards a target group: All development efforts should in the end benefit the beneficiaries. However, we distinguish three categories of development interventions:

1. Direct Assistance (DA)
2. Organisational Strengthening (OS)
3. Institutional Development (ID)

The below illustration shows the relation between ID, OS and DA interventions

---

[2] For more details see the Glossary in Chapter 1.1
[3] Initially this purpose is often broad, and may be refined or adjusted during the ID/OS process.
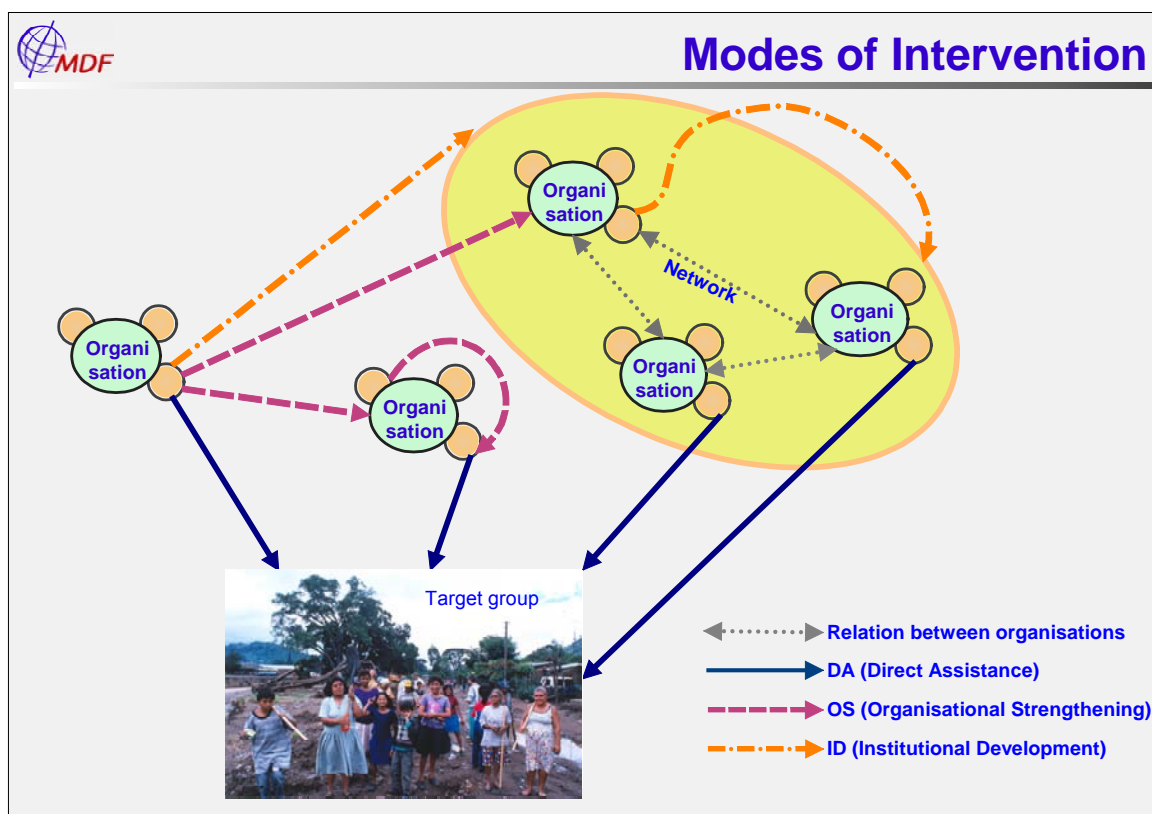
The three categories of interventions are complementary. Most development processes include two or more intervention categories. However, in each category different instruments and approaches can be applied.

What applies to interventions, also applies to diagnosis. Investigations can focus on the clients or target group (DA), on a single organisation with its products and services (OS), or on the wider institutional sector serving the target group, and surrounding the individual organisations (ID). This toolkit focuses on ID/OS, assuming that the target group organisation is sufficiently known. However, as reality is more intertwined than the above suggests, in reality some tools touch on target group analysis as well, or can be applied at that level (see e.g. Section 9.2 OOPP).

As for the order of ID/OS: We generally (advocate to) start diagnosis[4] from the outside (institutional context analysis). The reasons for this order relate to both content and process. We move from global to local[5] because the institutional context provides the reason for existence (target group) and the situation to fit to. External orientation prevents that capacity building efforts become internally focussed, without serving a clear external purpose. '*Only fiddle around with the internal organisation if there is a clear external (performance) problem'*. In terms of process the advantage of starting with an external analysis is that that is less threatening/intimidating, while recognising external problems provides a strong incentive for change.

---

[4] In implementing ID/OS interventions there is no preferred order: One should do what the situation demands
[5] The full cycle is also described as 'Think micro-macro, act macro-micro'. The ID/OS process is in line with this logic, because it presumes a good target group analysis at micro level (DA) as basis

Process and limitations

The ID/OS diagnostic and change process can involve (internal or external) advisers, or can be directed by the regular management of the organisation(s). If consultants are involved, they can be either experts (giving independent judgement and advice), or process consultants (facilitating self-assessment). In general MDF trainer/consultants (advocate to) combine both[6]: To know the sector, and to have stakeholders play an active role. The optimal impact ensures quality decisions (based on accurate diagnosis), supported by broad commitment.

The process starts with an 'Intake': Defining the purpose, designing the route and determining the responsibilities for the diagnostic process. All the steps are
- Intake
- fact-finding
- reflection (analysis)
- assessment (judgement)
- identify invention options, and weighing options
- deciding the course of action
- implementation of change[7].

It is important not to skip or rush any of the steps, and jump to premature conclusions.

Steps in the Diagnostic Process

| Intake |
| Fact Finding |
| Analysis |
| Assessment |
| Options Identification |
| Decision-making |
| Implementation of new options |

In process[8], the diagnosis first roughly scans output (performance), mission and input. Then the more thorough institutional analysis follows (focussing on factors and actors). Next the organisation analysis looks at strategy, structure, systems, -often roughly in this order. The diagnosis finally leads to strategic and operational planning– this is also the order of the chapters of this toolkit.

Parallel to this process in terms of diagnosis and content, runs a mental process of learning and readiness for change[9]. The tools in this toolkit are described at such a level that a person experienced in the application of various tools and instruments, can start working with it, preventing the most common mistakes. However, it does not teach you the inter-personal competence and skills required for success in consultancy and management (see Section 2.4 on the Adviser). To enable this experienced person to place the tools in the context of the Organisation Learning Process, chapter 2.2 provides a schematic overview. This overview gives an indication in the learning stage that an organisation needs to be in before the tool can be applied.[10]

---
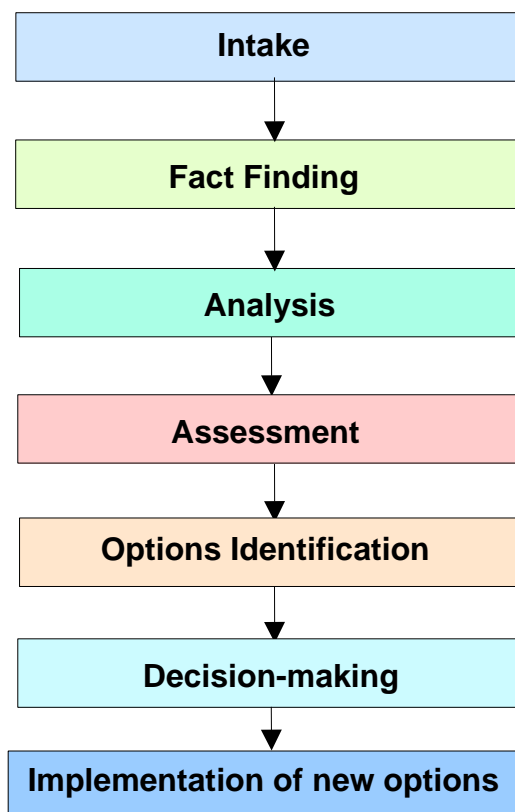
[6] Although in varying proportions, tailored to the case
[7] Analytically change implementation is the last step, but in practice change (and especially the dynamics of awareness and commitment, or resistance to change) is embedded from the inception of the process
[8] This is the order of the Chapters and Sections of this toolkit, see the below paragraph 'Flow of the Tango'
[9] See for example the tool 'Organisation Learning Cycle' in Section 2.2
[10] Not all Tango Tools can be positioned at a particular learning stage. A number of them are models, e.g. IOM, and provides the opportunity to be used at various stages of the organisational learning process.

The tools in this kit are action tools. They aim to provide pragmatic insights, enough to take informed decisions. They seek to get to the main point rather than striving for academic completeness. For this reasons they make ample use of visualisations, both to capture facts and views in a memorable manner and to facilitate communication.

Tool descriptions

The descriptions of tools in this manual follow a standard layout:

Chapter: Section: Tool	The header in the right top corner indicates the Chapter, Section and Tool. The numbering of the Chapter and Section is also repeated in the footer of each page
Tool	Gives the title of the tool
What is it?	Gives a short description of the tool
What can you do with it?	Describes in which situations this tool can be applied
Basic (sub)questions	Gives examples of questions that you may have, and for which situations this tool can be used. These questions can be a Basic Question (guiding the whole diagnosis and probably several tools) or sub-questions that define what you exactly want to get out this particular tool
Results	Lists possible concrete outcomes of applying this tool. These outcomes contribute to answering the above BQ's or sub-questions
How to use it?	Describes the use in three sub-headings:
Process	Lists with whom and in how much time the tool can be applied. This section also gives points of attention for facilitators, in view of the fact that tools are both a means to improve content (quality) and communication (commitment)
Groundwork	Records what should already be clear as a starting point when applying this tool
Follow up	Suggests what next to do, often giving cross-references to other tools
Requirements/limitations	Lists preconditions and restrictions of the tool, which are road blocks when not acknowledged for what they are
References	Provides some references to literature, organisations and internet sites
Example	Gives one or more examples of applying this tool. Whereas the forgoing 'Description' and the 'Steps' can sound abstract, the examples should give you a better idea of the relevance of the tool (yet should not close your mind to possible different outcomes)
Steps	Describes in detail a way of how to apply the tool. The readers are encouraged to test variations, which is also the route by which these tools were developed (Suggestions and experiences can always be send to the author).

Notes

Some of the elements presented are actually concepts and models that are used in a later stage or are needed to understand the content.
A note of warning is needed for use of the toolkit. Tools are just tools. A tool creates/provides a model, and a model is not more than an extract of the reality. Tools can serve as means to understand reality and need to be seen and used that way. No more, no less. Selecting the right tool for the existing situation is most crucial and most difficult.

Flow of the Tango

In dancing the Tango there are forward and backward steps, turns and sideways movements, intimate approaches and disengagement. But although there is ample freedom for improvisation, the order of the movements is by no means ad random. Similarly this toolkit follows a definite logic, and yet this represents only one possible dance, which is by no means prescribed for all occasions[11]. The graph below depicts this particular flow, which is closely related to the flow leading to Strategic Orientation (see the Section 'Users of this toolkit' and the 'ID/OS process design' tool in 2.3).

Content of the CD-Rom

Chapter 2 discusses the **Approach to ID/OS**. The **Question** (Section 2.1) and the **Client** (2.2) determine which **Process** is appropriate (possible processes are therefore elaborated in 2.3). Note that finding the right research or 'Basic' Question is a key art in itself, closely related to the aspect (or criteria) in which the need for change is perceived. Understanding the Client entails identifying the different stakeholders, their interests and readiness for change (or even their readiness for analysis). This is the reason why the Client receives due attention (with four tools) even during the intake. Paying attention to the Client, however, makes it fair to look at the **Adviser** (consultant or manager) who guides the process; this is done in Section 2.4.

---
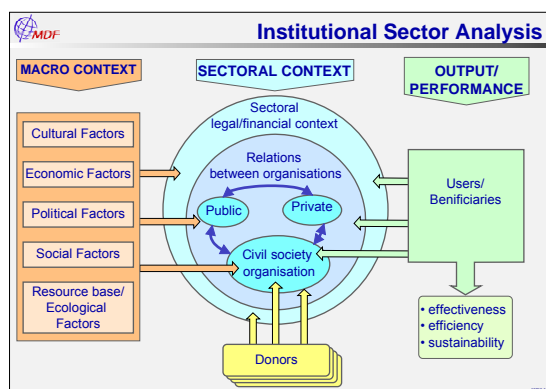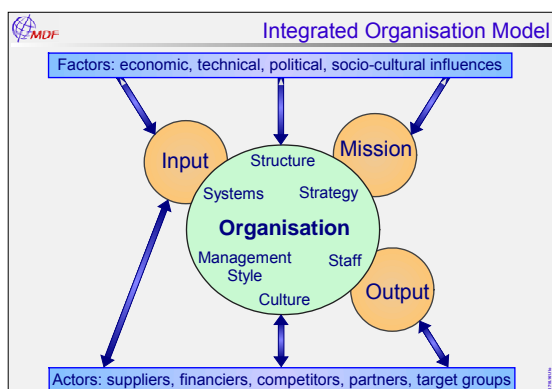
[11] Many tools can be applied in a different order or context than suggested by the sequence in this toolkit. A few examples:

- A Process flowchart or Management assessment can be used during Planning, rather than during Internal Organisational Analysis, which is before Strategy setting
- Core quadrants are presented in this toolkit in the first place as a means to analyse the staff in an organisation, but it can also be applied to describe organisational culture, or to make an institutional context analysis of possible collaboration between two organisations.

Next in the toolkit follow the main two **Models** underlying MDF's ID/OS approach (Chapter 3), represented in the picture by the glasses looking at the process. Section 3.1 presents the Model used to Analyse **Organisations** and 3.2 the Model that expresses how we look at institutional **Sectors**. Thinking macro to micro it would be logical to present the Sector Model first, but as this broader view is optional and the Organisational view key to ID/OS, we present the IOM (Integrated Organisation Model) first.

Chapter 4 provides tools to get a **first impression of organisations**. It looks at the organisational elements (and the inter-relations between those elements) that represent the link between an organisation and it's surrounding: **Output** (4.1), **Mission** (4.2), and **Input** (4.3). These three elements are presented in the above order, because this is the sequence to get an impression and judge the performance of an organisation. First look what they do (Output), then what they (officially) aim for (Mission), and finally with which Inputs this is done. These elements together (represented by the three orange circles around the green circle in the picture) are referred to as External Organisation, and the Chapter therefore **External organisational analysis**.

Whereas Chapter 4 is still in many ways an appetiser to get ready for in-depth analysis, Chapter 5 introduces the very important tools for **institutional context analysis**. In the 'Flow of the Tango' drawing this institutional context is represented by the two blue rectangles around the central organisation. They stand for **Factors** (5.1; more abstract forces, like the law or the economy) and **Actors** (5.2; other organisations, or even other Departments than the one under scrutiny) around the organisation. In most cases the findings are interpreted and assessed as Opportunities and Threats (OT). This Chapter already concludes with a tool on how to develop potential strategies (**Strategic Options**) that respond to the OT. Strategy identification is possible because what is relevant and desirable is quite independent from what is feasible given the internal functioning and capacity of an organisation.

Only in Chapter 6 we dive into the **Internal Organisational Analysis**: The large green central circle in the 'Tango Flow'. The elements under investigation here are firstly **Strategy** (6.1; determining *how* to achieve what was desired in the mission), **Structure** (6.2; which relates to hierarchy and chains of command, but equally to co-ordination mechanisms between units, and balance in attention and time expenditure), and **Systems** (6.3; the rules, procedures and processes that describe the actions of the organisation). These three are often referred to as the 'hard' internal elements, as they are often topic of discussion and their (official) functioning documented in plans and instructions. Three 'soft' elements relate to **Management Style**, Staff or **Staff performance** and **Organisational Culture**. While all organisational elements are related (therefore the word *Integrated* in the 'Integrated Organisation Model') problems in the 'hard' and 'soft' elements are often diagnosed and addressed in the wrong area (e.g. system interventions attempting to control staff performance, or 'motivational talks' to resolve tasks and authority mismatches). An analysis considering all aspects therefore yields more comprehensive and reliable insights. The assessment of the internal organisation yields Strengths and Weaknesses (SW).

Chapter 7 integrates the foregoing analysis into **Strategy setting**. A major tool MDF applies for organisations that want to review their strategy[12], called Strategic Orientation, matches what an organisation *wants* (opportunities, threats and strategic options derived

---

[12] Note that Strategic Orientation is not relevant for e.g. programme or operational development, which is nevertheless a more common purpose for organisational diagnosis.

from the institutional context analysis) with what it is *able* to do (looking at strengths and weaknesses in the internal organisation). This leads to strategy decisions and focussed capacity interventions (rather than an approach that indiscriminately attempts to remove all weaknesses).

Chapter 8 takes the final steps to operationalise and implement the (strategic) plans developed in response to all analysis. The **Operational planning** Section (8.1) contains tools to make a presentable comprehensive plan, to assign responsibilities, assess and deal with interests and resistance, and identify training needs in view of the change. The Section on **Change management** (8.2) explores how to analysis and manage change implementation.

All above tools had a focus on a particular step or element in the ID/OS analysis, which is the heart of this toolkit. However, there are also tools and approaches that cover a whole range of issues, often even including target group analysis and running through to strategy making and sometimes change implementation. Some of these **Generic methods** are listed briefly described in Chapter 9, and a few are worked out in more detail.

While Chapter 10 gives an **Overview and resources**, Chapter 11 provides '**The Quick Step**'. Just before you go on stage to perform a dance you studied, you need last minute battle instructions. At this point full-blown technical user manuals become a burden to you: Just before (or during) the exams you need scrip sheets. At the end of the Tango, and therefore easy to find, the Quick Step provides just that, collectively for all tools presented in this manual.

A remark on page numbering is that the tools are loose-leafed and the pages not numbered through, to facilitate adding future tools or revise existing ones. As with computers: as soon as this manual is published it starts getting outdated.

Throughout the toolkit we refer to facilitators of change as consultants, advisers, change agents, managers or leaders. These are generally interchangeable, but all terms can be used as appropriate for anyone responsible for change within organisations.(See glossary with some definitions).

Content of the book

In this booklet you will find; the **IOM model,** as this is the basis for the flow of the Tango of Organisations; the **IOM checklist** and the **Organisational Learning Cycle**. The main part of the book is the **Quick Step** and the **Tools Overview**. In the quick steps, the steps of the tools of the TANGO ID/OS Toolkit give, the last minute battle instructions. The Tools Overview gives an indication of when you can use a certain tool in the organisational change process.

We would like to make a final remark: where 'he' is mentioned in the text, this can also be meaning 'she' and vice versa.

Approach
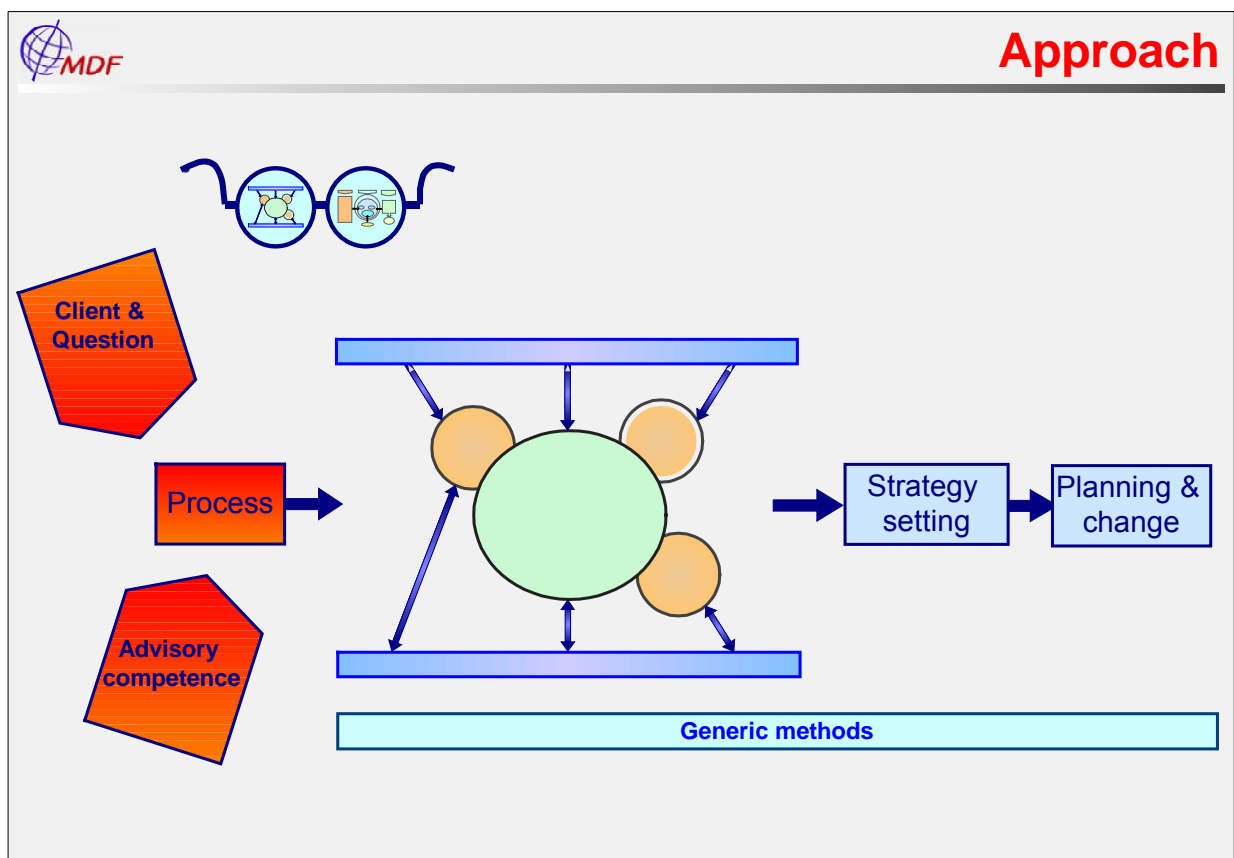
2 Approach

This Chapter deals with the approach to institutional and organisational matters. We recognise four major aspects to this subject. Firstly there is the **question,** the main question to deal with that can be tackled in ID/OS process (problem and/or objective), which may change over time and can be perceived differently by different stakeholders. Therefore the question comes from a **client, or client system**, which is the second aspect. The third aspect, the **diagnostic and change process**, should respond well to the earlier aspects of question and client. Some questions and clients are best served with for example a well-planned and detailed expert research, while for another situation the process evolve flexibly over time, and may be more modest but more sustainable in magnitude. Which introduces the fourth aspect: The **adviser.** The adviser should not determine the process (based on his biases), but should have the competence to take the road that best fits the case (or have the ethics and professionalism to refer to the client).

In terms of exploring the **Question**, the toolkit offers two tools:
1. *Basic Question* (BQ): An instrument to formulate the purpose of diagnosis and change into a single statement, broad enough to be relevant, yet confined enough to provide focus. The steps also emphasise the importance of having people consent upon this problem and purpose definition and create ownership.
2. *Criteria*. This tool explores a specific feature of nearly every question: The criteria for judgement. Everybody wants to make things better, but one interprets better as cheaper, while another may be interested in long-term impact. The criteria tool reviews some major criteria, illuminating what these criteria focus on.

The Section on the **Client and mindset** explores the parties in terms of who are the clients and what is their relation to the intervention (*Client system*). Furthermore the different interests of different parties are explored (*Stakeholder analysis*), which has implications for whom to involve at what point in the diagnostic and change process. But this Section also explores the clients in terms of their understanding and motivation. The *Organisational Learning Cycle* (OLC) points to the fact that the analytical stage of analysis (fact finding, assessment, exploring options, etc.) needs to proceed hand-in-hand with an appreciation of the relevance, priority, and commitment that key clients attach to the issue.

Another general remark fits to be repeated here: Whereas analytically we regard diagnosis as separate from change implementation, this is in actual practice only partially the case. Starting at the intake itself the adviser intervenes through confrontation or even merely through his or her presence and questions. In this toolkit the OLC is presented before the bulk of tools in this manual, but it is also relevant during later steps. And while we present the Interest chart as a tool to assess and deal with interests after strategic decision were made, the awareness on push and resistance should be kept in mind from the start.

The Section on **Process** explores five different possible starting points and objectives for ID/OS. Each of these 'destinations' can be travelled to by infinite different roads, of which only a few are indicated. Proposing (and reconsidering when appropriate) a sound road to the BQ is one of the challenges of the adviser. And therefore the fourth Section shares

some thoughts about the **Adviser**. These pages by no means pretend to be a users-guide for good consultants, but it would not be prudent to present tools in this manual without pointing to the fact that the adviser makes the difference between optimal professional or blind and mechanical use of tools. This Section lists some major options and issues for advisers, in terms of possible roles and required competencies. It points to different possible roles, with consonant behaviour and skills in the progressive stages of the ID/OS process.

Finally the *Drama triangle* points to the dynamics and possible entanglement between client(s) and adviser. Whereas the OLC points out that much of the art of advising is in synchronising that the clients follow the diagnostic process, the Drama triangle warns against the possibilities that clients manipulate the adviser, or vice versa. As such the triangle transcend a naïve interpretations that 'the customer is always right', exploring eventual sub-conscious hidden agenda's. Yet one should then remember that your actual clients are always people, rather than archetypal 'cases'. Matthias von Kibed put it: 'Models are of service, as long as you don't believe in them'.
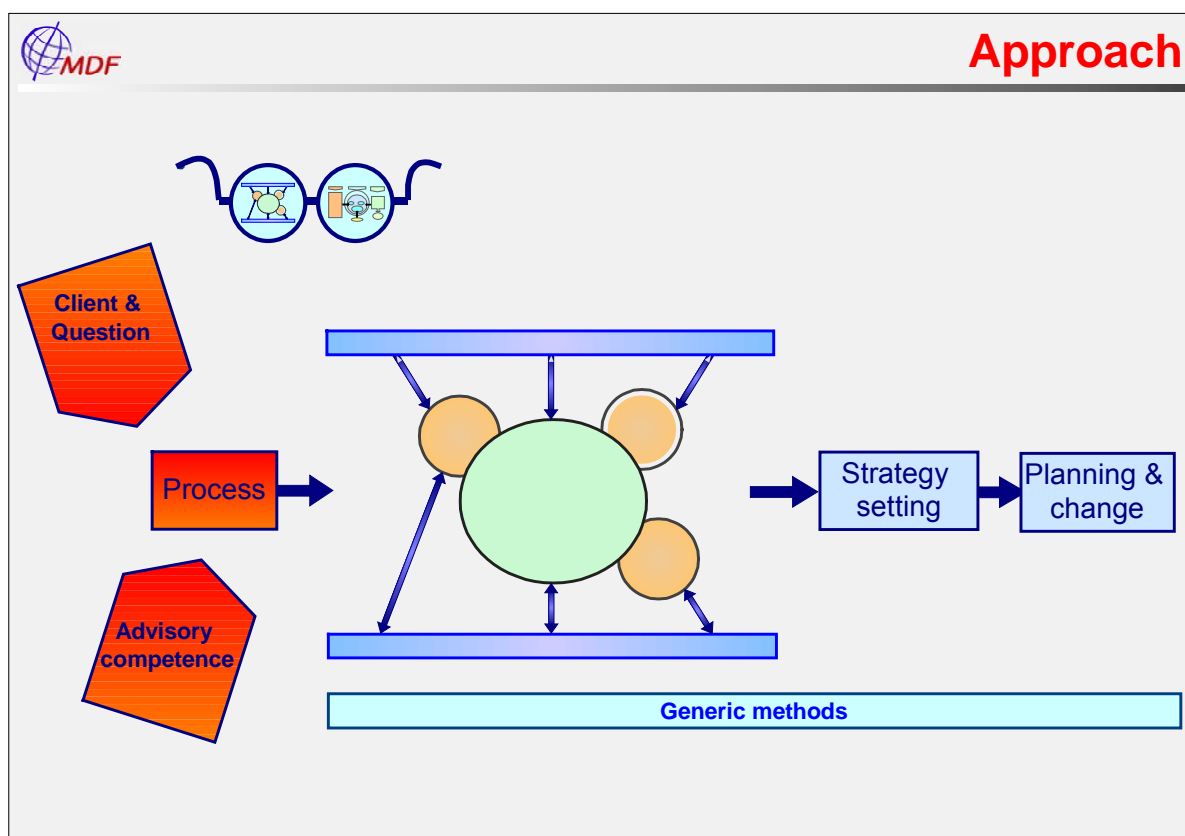
2.1.1   Basic Question

What is it?

A Basic Question (BQ) is a statement that defines the issue(s) the ID/OS analysis and planning process will address. It is a question (sometimes supported by sub-questions) to which the ID/OS diagnostic process should deliver an answer. The BQ represents a common agreement among the case-owners on the purpose, focus and results of the ID/OS process.

The initial BQ is formulated prior to co-ordinated in-depth investigations, and may therefore turn out to be too wide, too specific, or not focussed on the right issues. The BQ can therefore be adjusted during the analysis, provided that the involved stakeholders explicitly consider and agree on such adjustment.

What can you do with it?

Making (and subsequently systematically referring) to a BQ helps to focus the ID/OS analysis and planning. It prevents or confronts differing expectations of different stakeholders. A good definition of the BQ also provides the basis to design a fitting ID/OS process (defining who, when, and how the fact finding, analysis, judgement, decision-making and planning will take place). In this respect the BQ helps the case-owners and advisers (if any) to estimate and agree on efforts (thoroughness of analysis and tentative interventions) that match with their (specific/modest or broad/profound) objectives.

Basic (sub-) questions

- Defines the purpose and issue(s) that the ID/OS analysis and planning will address
- Defines who is the primary case-owner (of the problem/opportunity), and which other stakeholders are involved
- Defines the internal and external components most pertinent to purpose and issue(s)
- Specifies criteria for the desired change

Results

Clarity what is included and what is excluded from the analysis and change process:
- Motivation among stakeholders to address their core problems/opportunities
- Commitment (or early confrontation) of stakeholders to the analysis and planning exercise
- Early identification of commitment or opposition to tentative interventions (identification of change drivers and resistance)
- Realistic expectations and agreements between case-owners and advisers, also expressed in agreement on the ID/OS process
- (Relative) relaxation among stakeholders as they also know what will *not* change

---

How to use it?

Process

A first tentative BQ may be formulated by the case-owner (assisted by the adviser, if any adviser is involved). Assuming that a participatory analysis and planning process is chosen, the wider group of stakeholders should be welcomed to sharpen and rephrase the initial BQ, as one of the first exercises. Throughout the subsequent analysis process, the BQ should be consistently kept in mind.

If during analysis the BQ seems beside the point it should be reviewed. Indicators of an erring BQ are:
- Interest of the participants drops, or
- Participants repeatedly bring in issues which are irrelevant to the standing BQ

Rephrasing of the BQ is possible at any time, but should meet two conditions:
- All stakeholders working with the BQ are involved in the reformulation
- The reformulation is done based on comprehensive considerations (rather than in response to an isolated deadlock)

It is worthwhile to invest between two hours to half a day in formulating and refining the BQ. If there is a strategic planning workshop, the definition of the basic question can take between one and three days.

Ground work

The BQ is the starting point, and therefore requires no structured groundwork. However, if an external donor initiates the ID/OS process, development of the right 'mindset' is crucial (see under limitations). From the side of the adviser (if any) formulating the BQ may be preceded by a Quick Scan to become familiar with the organisation, and a Client System analysis to recognise the primary client and other stakeholders.

Following or parallel to the formulation of the (initial) BQ, the ID/OS process (steps, methods and tools) will be designed, and it will be decided whom to involve in the ID/OS process (stakeholder analysis). BQ formulation, ID/OS process design and stakeholder analysis is often an iterative process.

Follow up

After a first BQ has been drafted, but before in-depth analysis starts, the IOM quick overview may be used to check the comprehensiveness of the BQ.

The entire analysis and planning process has the BQ as its official start. After the formulation of the BQ and the process design, in most cases an institutional analysis will follow as the first next step.

Requirements and limitations

It is not always necessary to make the BQ explicit. Any assessment has a purpose and criteria, and thus answers a 'Basic Question' related to that particular purpose. If an organisation decides to make a quality definition chart, it implicitly works with a BQ that

reads something like 'How can the critical aspects of the quality of our product/service be improved?' In such obvious and uncontroversial cases the BQ can be left implicit.

Another important point is that the distinction between what is internal (organisation) and external (institution) should be very clear to all involved (see examples).

> *Note: In institutional sector analysis the definition of inside and outside also follows who are under control of the case-owner(s), and <u>not</u> the wide definition of who has a stake in the sector. It is not useful to talk about sector strengths and weaknesses, if these are not in the hands of the case-owners that wish to improve the sector performance. The characteristics of actors (other than the characteristics of the case-owners) all represent opportunities and threats to the case-owner(s), regardless and indistinct of whether they relate to actors outside or inside the sector.*

If the BQ is reformulated, the border between internal and external is sometimes changed as well, and one should review whether the earlier findings are still categorised correctly. Throughout the analysis care should be given that no levels are doubled (findings listed both as internal and external) or skipped (aspects not listed at all).

If an ID/OS analysis and change process is initiated or promoted by a donor, great care should be given to the development of the 'mindset for ID/OS' at the level of the case-owner. (Formulated in terms of the client system: The BQ should be owned by the primary client, rather than only by e.g. the financing client). Crucial components to developing the mindset and ownership are time and an open dialogue. How the BQ is formulated also has a large impact. Compare the two questions below:

- How much money can the Department of Agriculture absorb in an effective and accountable manner?
- How can the Department of Agriculture best be supported to absorb €1,000,000 in an effective and accountable manner?

Why obviously the Department of Agriculture will be more inclined to play open cards and get the best out of the ID/OS analysis if the second BQ is chosen.

> *Note: When ID/OS is embarked on to identify implementers for a Direct Assistance Intervention Plan (e.g. after OOPP), there is no need to formulate a BQ. Implicitly the BQ is in such cases is:*
> - *Which actors can best carry out the intervention plan, and which supporting ID/OS measures should be planned? And/or:*
> - *What should the organisation do (e.g. collaboration or ID/OS) to be a capable and competitive implementer for this project?*

Examples of Basic Questions

Problem owner

Network of environmental NGO's

Proposed BQ

How can the NGO's co-operate better?

Commentary

This is only an OS (internal) BQ (because the relations *within* the network belong to the internal analysis). The proposed question should be put in perspective of its external goals, and these goals may be specified. Then the question becomes an ID/OS BQ.

Improved BQ

How can the NGO's co-operate more effectively to lobby for law change?

Problem owner

Department of Agriculture

Proposed BQ

How can the Department of Agriculture work better with contractors?

Commentary

The criterion of what is 'better' work with contractors may be specified.

Improved BQ

How can the Department of Agriculture improve the *timeliness* of its responses to tender proposals and invoices from contractors?

Problem owner

Permanent working group of the Council of Local Government Authorities and the Civil Society Network

Proposed BQ

How can local governments better co-operate with civil society?

Commentary

To ensure active participation of all, the role of the working group may be included in the problem definition.

Improved BQ

How can the working group enhance more timely, effective co-operation between local governments and the civil society?

Problem owner

A consultant observes that Union meetings start late, last very long and finally the Chairman dictates (unwise) decisions, which frustrates the staff and Union members

Proposed BQ

How can the meetings of the Union become business-oriented, efficient, action-oriented and participatory in a meaningful way?

Commentary

This is an OS or Internally oriented question. It is moreover obscure who is the client: The Chairman of the Union, and/or the staff of the Union, and/or the members of the Union? A problem is only a problem if somebody perceives it as such. Hopefully the parties agree that that the true reference point should be external, and they should only change something if that serves the members better. That would change the OS (internal) question to an ID/OS BQ.

Improved BQ

How can the Union make *better decisi*ons in a manner that motivates the staff to implement them? *Better decisions* are defined as decisions that clearly focus on the interest of the members, and evaluate different options in a transparent way.

Proposed BQ

How can the Samaritan Trust Foundation *teach* street children vocational skills?

Commentary

This is a good DA (Direct Assistance) question, and probably some OS (organisation capacity) issues will pop-up while addressing it. However, it may be worthwhile to look at the larger picture: Involving more actors and looking beyond output.

Improved BQ

How can the NGO's and government guide street children to well-paid vocational *jobs*?

Proposed BQ

What systems should the Programme Support Unit (PSU) put in place to be responsive, effective, efficient and transparent in delivery of services (money transfer, staff administration, computer and car maintenance) and products (equipment, cars) to the programmes and other partners?

Commentary

The question is very comprehensive. Should you focus on one or two key problems? On the other hand: Why focus on systems beforehand?

Improved BQ

How can the PSU provide equipment more timely, maintaining accountability to the donor?

Problem owner
The Training Department of an organisation observing that the internal strife in the management team weakens the programmes and trust of the donors.

Proposed BQ

How can the Training Department improve the management of the entire organisation, to maintain its services to the target group and ensure continued funding from donors?

Commentary

A very relevant question, but very risky. Normally the case owner asks how to _best fit to_ the external world (including higher levels of management) rather than _how to change_ it. You can adopt the question to find options and assess the risk, or work with a BQ that focuses on options for the Training Department alone (with the risk of ignoring that management changes may be a pre-condition or 'killer assumption' that, if not resolved, make any other efforts futile).

Improved BQ

How can the Training Department ensure effectiveness and sustainability of its activities?

Problem owner

Maize Research Institute.

Proposed BQ

How can the Maize Research Institute develop a maize variety that is high yielding, disease resistant and early maturing?

Commentary

It is a Direct Assistance question. Apparently the needs of the farmers have already been identified, now the research methodology has to be designed. There could however, be an ID/OS question related to this technical DA question:

Improved BQ

With which research institutes, government agencies and farmers associations should the Institute co-operate to develop an improved variety at least cost and in minimal time?

Proposed BQ

How can the local government _install a generator_ and train the technician in the village?

Commentary

This seems a straightforward issue, not requiring ID/OS. However, it could be that alternatives have been ruled out too quickly, that are included in the following question.

Improved BQ

How can the local government and other stakeholders bring _sustainable electricity_ to the village?

Problem owner

Ministry of Education, in consultation with donors and sector stakeholders

Proposed BQ

How can the Education Sector improve its performance and capacity in addressing the education needs of ethnic minorities?

Commentary

Consultation is not the same as control. So take care to list only the characteristics of MoE

Improved BQ

How can the Ministry of Education improve the performance and capacity of the Education Sector in addressing the education needs of ethnic minorities?

Problem Owner

Ministry of Women and Youth

Proposed BQ

How can the Ministry of Women and Youth be a valuable participant in all national debates that affect women and youth?

Commentary

Although the line-Ministries and donors like to involve the Ministry of Women and Youth in many policy discussions, the Ministry may not have the capacity and know-how to realise concrete results through participation in all these debates. The BQ may be widened.

Improved BQ

How should the Ministry of Women and Youth position itself vis-à-vis the line Ministries, donors and target groups, to make a tangible contribution to its mission?

Problem Owner

MDF Training and Consultancy

Proposed BQ

How can MDF formulate an excellent tender proposal, spending minimal time?

Commentary

Especially if MDF wants to invest little time in writing a proposal, it should estimate how the good competitors will do, and only attempt to be slightly better than they would be.

Improved BQ

How can MDF become the most attractive bidder for this tender?

Steps to formulating a Basic Question

1. **Identify entity** (the subject, problem and/or opportunity).
   Those who initiate the analysis and change process make a first sketch of the problems they wish to resolve or the opportunities they wish to seize.
   [Note that the case-owner(s) may involve external advisers from this point onwards]

2. **Identify case-owner = Distinguish Organisational and Institutional**
   Identify for the case-owner(s) for whom there is a problem (or opportunity). If you are involved as an adviser, looking for the case-owner(s) means looking for (and deciding who you identify as) the primary client(s) – see 'Identifying the client system'. It is the one *who knows*, *who cares* and *who can*. The client or case-owner can be:
   - An organisation
   - A part of an organisation (e.g. one department)
   - A network of organisations
   When diagnosing the situation based on the BQ:
   - What is under the control of the case-owner(s) is internal (organisational), and will be categorised as strong and weak
   - What is *not* under the control of the case-owner(s) is external (institutional), and will be categorised as opportunity and threat

3. **Explore the entity = Formulate tentative BQ**
   - Let people express the core problems and opportunities and ask:
     - Forward: What's the effect of the problem (effect)?
     - Backward: What produces that problem (cause)?
   - Converge into one (or more) problems or opportunities
   - Transform the problem or opportunity into a positive, action-oriented question:
     - Define the goal/target you want to achieve (not just what you want to solve)
     - Ask what needs to be done to achieve the goal/target

4. **Verify the nature** of the question:
   - <u>DA question</u>: Direct Assistance: The case-owner(s) want to know the needs of the target group or technical options how to address these needs. For this type of question evaluate technological options or use OOPP; not ID/OS tools
   - <u>ID/OS (strategic or sector capacity) question</u>: The case-owner(s) want to perform better in the outside world, and see possibilities to take action
   - <u>OS (internal or organisational capacity) question</u>: The case-owner(s) want to improve the internal functioning of the organisation, not taking into account further concern about the external performance. Consider to change such a question:
     - The real pressure for change always comes from outside, therefore a technical question can better be reformulated as an ID/OS question. Ask: Why should the internal organisation change? Include the answer in the BQ
     - *After* strategic planning a technical question (about specific internal issues) may not be broadened into an ID/OS question
   - <u>Risk analysis question</u>: The case-owner(s) observes risks in the outside world, but see no possibility to influence or adapt to those risks. Distinguish two situations:
     - *Before* project approval. With the algorithm (see OOPP tool) assess whether the risk is a killer assumption

- *During* operation of a (project) organisation attempt to change the question into an ID/OS question. Organisations often overestimate the relevance of unfavourable circumstances (victim attitude), or underestimate their options of influencing (reactive attitude). To reformulate a risk analysis question into an ID/OS question ask*: What does the risk impede the case-owner to do* and/or *How can the case-owner adapt to (cope with) the risk*?

Risk analysis question	ID/OS question
How big is the chance that the Ministry push 'Prosep' to accept a politically coloured Director?	How can 'Prosep' maintain its independence from the Ministry?
How big is the chance that the rebels will enter the capital and nationalise public transport?	How can the taxi-drivers function even if the rebels take over the capital?

5. **Focus the criteria** for judgement (see Criteria):
   - Be as narrow and specific as possible (to be clear and manageable)
   - Be as broad and general as necessary (to be relevant and comprehensive)
   - An ID/OS question has at least one external criterion (related to *performance*, see 2.1.2 Criteria), and possibly one or more internal criteria. This may be checked with the IOM: Which elements relate to the tentative BQ (for an ID/OS question output, mission and or input should be included)
   - Make the target/goal measurable (the target does not have to be SMART[1] in all respects)

[Note that often the first proposed BQ is later replaced by a wider BQ, and the first question can become a sub-question].

6. **Optional: Formulate sub-questions**

7. **Present tentative BQ => Agree on BQ**. At the start of participatory analysis and planning events (e.g. workshops) present the tentative BQ and adjust it if the meeting agrees on adjustment

8. **Need based: Review BQ**
   Signs that indicate the need to adjust the BQ during analysis:
   - Interest of the participants drops, or
   - Participants repeatedly bring in issues which are irrelevant to the standing BQ
   If you adjust the BQ:
   - Include all stakeholders involved
   - Check validity of earlier findings (what is inside-outside, positive-negative)

Preparation by IDOS initiators

- Identify entity
- Identify case-owner(s)
- Formulate **tentative BQ**
- Verify nature
- Focus criteria
- (Formulate sub-questions)

IDOS kick-off workshop

- **Establish BQ**

IDOS analysis

- (Review BQ)

---
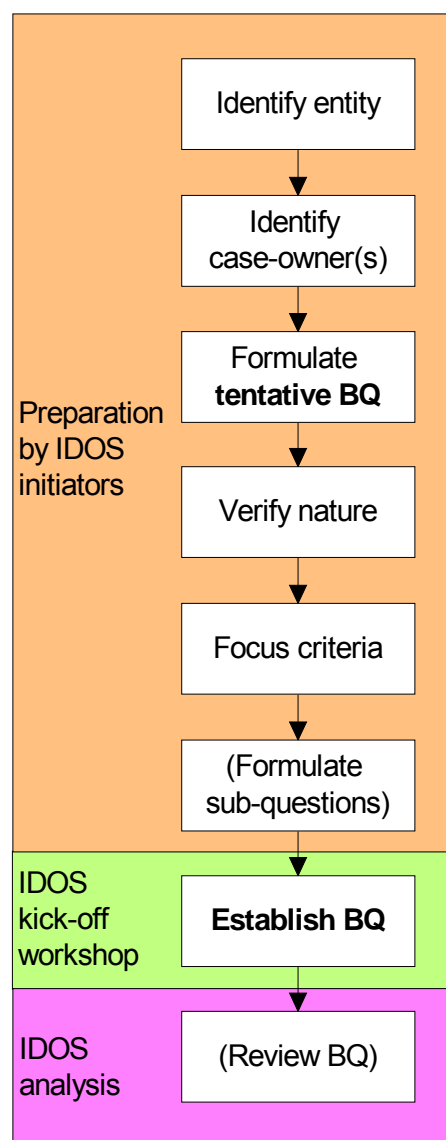
[1] SMART stands for Specific, Measurable, Achievable and Agreed-upon, Relevant and Realistic, and Time-bound. The (initial) BQ should be specific (and therefore measurable), agreed-upon and relevant. However, you do need not be sure that the purpose is realistic and time-bound: This can be established later.

2.1.2   Criteria for judgement

What is it?

This tool provides three sets of key criteria for judgement. Criteria are the basis to assess whether a fact *helps* (opportunity or strength) or *hinders* (threat or weakness) an organisation. Is a directive management style (which may be observed as a fact) good or bad for an organisation? This depends on the aspirations: Does the organisation need and want to be *quick* and *innovative*, or should it build up a *reputation* and set an example as a *democratic* employer?

A typical feature of criteria is that they look whether different elements are *adjusted to one another*. The above example looks at management style. But we don't ask whether the management style is appropriate as such, but whether this style is congruent with the:

- Mission (should the organisation set an example?)
- Input (are people willing to work for a dictatorial chief?) and/or
- Factors (are market opportunities changing fast?).

The picture below shows key criteria and indicates which IOM elements they relate to.
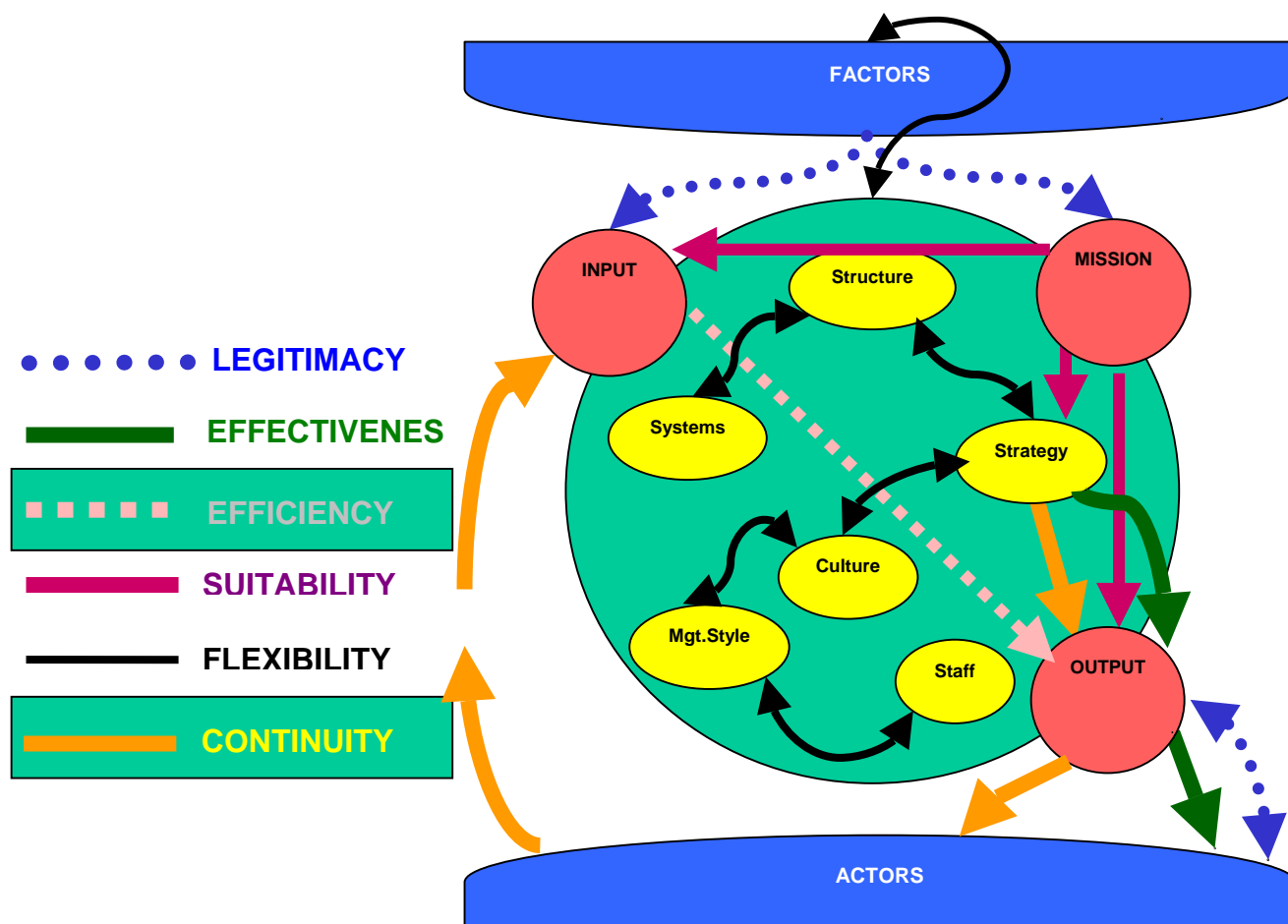
What can you do with it?

Results

- Specifying the criteria draws out hidden disagreements on objectives (vague criteria can lead to repetitive clashes that are not clarified)
- Excessive discussions on criteria results in unpractical, complicated and irrelevant discussions

---

How to use it?

Process

During the ID/OS process the Basic Question is often refined. Three elements are important in this regard:

- Participants don't have to agree, but should agree what they disagree on. If one person advocates one criterion and another person another, you can:
  - Find a common denominator. E.g. timeliness and quality both relate to output
  - Adopt both or neither (do not allow that persons are disqualified for their opinion)
  - Find common interests under the positions. Ask for example: Why do you find timeliness (not) important?
- Make the criteria as narrow as possible, but as broad as necessary. In practice it is safe to start vague and become more specific during the process
- Adjustment can be done any time – if everybody is involved (see further the BQ tool)

Requirements and limitations

This tool gives a list of key criteria, but there can be many more. Also note that the definitions are not universal: There are possibly different interpretations of the criteria (e.g. the term effectiveness can be used for achievement, effectiveness or impact).

Discussions on criteria can become very abstract; in which case many participants may loose interest. A good consultant makes sure that the criteria are adjusted and refined when needed, yet without academic discussions. The steps of making and refining the criteria are included in the tool on formulating the BQ.

The tool 'Quick Scan' further illustrates the criteria suitability, effectiveness and efficiency.

The criterion 'Relevance' (comparing mission to factors and actors) is not included, not because it is not relevant, but because this is supposed to be verified even before embarking on an ID/OS exercise. It relates to target group needs analysis, which may be done with OOPP.

Practical references

MDF syllabus The Integrated Organisation Model
MDF syllabus Project appraisal

Key criteria for judgement

1 External

1.1	**Legitimacy**	Is the mission (and style) of the organisation in balance with the factors?	Legitimacy questions whether an <u>organisation</u> sufficiently fits into its context.
1.2	**Effectiveness**	To what extend does the organisation realise its plans?	This criterion checks whether the organisation does <u>the right things</u>?
	Result effectiveness (achievement)	To what extend does the organisation (only) produce/deliver the intended output?	This divides realised results (or output) by planned results (in quality and quantity – as stated in the project plan or organisation annual plan).
	Purpose effectiveness	To what extend does the organisation (only) produce/deliver the intended outcome?	This divides realised purposes (or outcome) by planned purpose (in quality and quantity - as stated in the project plan or organisation strategic plan).
	Development effectiveness (impact)	To what extend does the organisation (only) produce/deliver the intended impact?	This divides realised impact by planned overall objective (in quality and quantity – as stated in the project plan or organisation mission) with achievements at impact (overall objective) level.
1.3	**Suitability**	Is the organisation fit to produce/deliver its assigned (or considered) task?	Suitability questions whether an <u>organisation</u> (particularly viewing its input) is fit to produce/deliver a certain outcome.

2 Internal

2.1	**Efficiency**	What is the balance between the input and the output of this organisation?	Does the organisation do thing in <u>the right way</u>? This divides realised results (or outputs) by inputs (costs/resources).
	Cost-effectiveness of purpose (outcome)	What is the balance between the input and the outcome of this organisation?	This divides realised (or outcome) by inputs (in costs or resources).
	Cost-effectiveness of mission (impact)	What is the balance between the input and the impact of this organisation?	This divides realised overall objective (or impact) by inputs (in costs or resources).
2.2	**Flexibility**	Can the organisation cope with the unexpected?	This considers the internal response to external changes (different inputs, or demand)
2.3	**Timeliness**	Is the time span in which the organisation responds/ delivers short enough?	Timeliness looks at the time aspect of efficiency, which normally focuses on material or human resources

3   Future oriented

3.1	**Continuity**	Is the organisation able to continue (also after funding ends)?	Continuity questions whether an <u>organisation</u> (its input and output) will be able to continue through own means
3.2	**Viability**	Will the planned organisation flourish in its external context (stakeholders)?	Organisations are often 'mental inventions' (of donors and governments) to carry out a function (e.g. represent a group, ensure sustainability). Whether an 'artificial' organisation becomes 'alive' depends largely on how the external system relates to it

X   General criteria

X.1	**Performance**	What and how well does this organisation produce/deliver?	This is the most general question you can ask (with emphasis on output, but also considering mission, input and factors). It considers *actual output*. Whenever possible it is advisable to narrow down to one or more specific criteria (rather than use this balloon in the BQ)
X.2	**Capacity**	What and how well is this organisation able to produce/deliver?	This criterion is as general as performance, but now focuses on *potential* (looking at mission, input and organisation) rather than actual output. Narrowing down is advisable, whenever possible

2.2.1 Client system identification

What is it?

The identification of the client system helps the adviser to realise which clients he serves, and which interests he is inclined to or wishes to accomplish. Mapping the client system helps the adviser to advance and monitor the development of the required mindset for progress. It is a first step in identifying and dealing with resistance (see operational planning tools).

For various roles within a client system see after the references in this chapter.

What can you do with it?

Basic (sub-) questions

- How can the adviser prevent/resist systemic traps (incompatible and/or counterproductive expectations) and be honest and clear about his/her choices and loyalties?

Results

- Who are the different clients and other stakeholders?
  - Involved with finance
  - Involved with decision-making power (hierarchy)
  - Involved with energy (human efforts)
  - Involved with information (media, universities, etc.)
  - Involved as competitors
  - Involved as recipients of benefits
- Are the primary clients interested in the proposed change; are they the true clients?
- Who proposes whom as primary client, and whom does the adviser accept as primary client?
- What are the ethical and practical consequences of the choice of primary client?

How to use it?

The adviser assesses from the first contact to the last the different levels of expectations of various stakeholders. This guides him/her in whom to accept as client, with which question. An explicit mapping exercise (a desk-study done by the adviser, possibly with his/her supervisor) may take one hour. Alternatively the adviser may confront the clients with his/her impressions and let them reach agreement on the purpose of and their commitments to the consultancy.

Requirements and limitations

Identifying and dealing with the client system is one of the most basic and yet most difficult skills – way beyond mastering through an indicative tool as this one. The classification of clients in this tool helps to understand interests, and assists in choosing/accepting whom is your primary client, and what are the relations to other clients and actors.

This tool does *not*:

- Explore the bottlenecks and remedies to clients and actors who oppose change. To deal with this see the 'Organisational learning cycle' (general principles), 'Stakeholder analysis' (who to involve) or 'Interest chart' (who will resist and what to do about it) or 'Organisational Change Cycle'.
- Provide steps to get the system present and working constructively together.
- Explore how and why clients knowingly or unconsciously play 'Games' with each other and the consultant. For this dimension see the tool 'Drama triangle' and study 'Transactional Analysis' links, or the Four-Room Apartment Model of Claes Janssen.
- Explore how clients knowingly and unconsciously get entangled in their relations. To explore this dimension consult the literature on systemic work and organisation constellations (see Bert Hellinger)

Practical references

- MDF syllabi 'Advisers and Consultants, the roles they play', Advisory constellation', Identifying the Client System, Systematic constellation
- Hellinger, Bert. 'Love's Hidden Symmetry', 1998, Zeig, Tucker & Co., Phoenix, Arizona, USA
- Mellor, Ken and Eric Sigmund, 'Discounting', Transactional Analysis Journal, 5/3,1975
- Veenbaas and Weisfelt 'De Reiziger en zijn Gids, Doelgericht (samen)werken in organisatie, training en therapie, Phoenix Opleidingen TA/NLP, Utrecht, 1999

Identifying the client system

<u>Clients</u>

Contact clients

They approach the adviser/consultant (or agency) initially.

Intermediate clients

They participate in various meetings on fact finding, assignment planning, review alternatives, etc.

Sponsoring clients

They provide financial (or other) resources to make the consultancy possible.
> There is always at least one sponsoring client, although it may be the same person as the contract client. If the sponsoring client becomes active in the consultancy process, this is by means of taking on other roles (e.g. intermediate client).

Contract clients

They play a key role in the consultant selection procedure and/or in negotiating his/her contract.
> They guard the contract from the side of the client and judge whether the outputs of the consultant/adviser meet what was agreed in the contract. As they engage with the consultancy provider (and not with the individual consultant/adviser) in a contract, they are not the line-manager of the adviser/consultant.

Primary clients

They own the problem for which they *want* help. This is truly 'the Client': The one *'who knows, who cares* (has an interest)*, and who can*'.
> If they do not want the help the contract client arranges, they are still actors, but not clients!

Ultimate clients

The welfare and interests of this target group will ultimately be affected by the assignment.
> This target group is often mentioned in the mission of the other clients and in the advisory ToR (e.g. farmers, slum-dwellers, illiterate women, etc). But other stakeholders can also be regarded as ultimate clients (e.g. a donor who wants to ensure and prove to its parliament that funds are spent legitimately and effectively). The adviser/consultant may have to make choices where his/her primary loyalty lies.

Other actors/stakeholders

Consultancy provider

They contract[1] and second the adviser/consultant to the contract client, and therefore supervise whether the adviser/consultant delivers what was agreed with the contract client.
> The provider may delegate the consultancy tasks to various degrees to the adviser/consultant.

Advisers/consultants

They carry out the consultancy assignment with the contract client, but are in the first instance answerable to the provider (unless specified otherwise, as in some of the cases above).

Donor

They provide financial (or other) resources to enhance developments in the sector (wider than sponsoring the consultancy).
> They often want the consultancy to take place to verify progress and to decide whether and how to provide further funding. As a donor, they are not a client, but they may take on client roles (e.g. contact and intermediate client)

Other stakeholders

Other persons who fulfil a role in making the work possible or who are involved in either of the diagnostic steps

---

[1] Note that this contract between consultancy firm and the adviser/consultant is not the contract between contract client and consultancy provider

Example of client system identification

Situation

Akash detests the smoking habits of his wife Devi. It dirties their house, and as Devi may die young, he may stay a widower. Akash asks his friend Mohandas to act as an adviser to Devi and make her quit smoking.

Option 1

Mohandas may accept the proposed 'consultancy' assignment with the Basic Question 'How can Devi quit smoking?' This means that Akash becomes his contract client (and sponsoring client, if they agree on a reward). Mohandas has to try to make Devi his primary client. Unless she agrees on the 'project' Mohandas has no primary client, because she is the one who knows (the problem) and can (do something about it), but does not care (to make an effort). The ultimate clients are both Akash and Devi, and possibly their children.

Option 2

Mohandas may propose that Akash becomes his primary client, for the Basic Question 'How can Akash accept Devi's smoking habits?' and/or 'How can Akash make Devi quit smoking?' If Akash accepts, he is at once the contract client, the primary client, and the ultimate client – although Devi and their children may also be ultimate clients.

Option 3

Yet another option is to make a 'multi party' contract, e.g. with the Basic Question 'How can Devi and Akash live happily ever after?' In this case Devi and Akash jointly become primary clients.

Conclusion

To have a workable assignment, the adviser should ensure that the primary client accepts a formulation of the problem in which that client takes responsibility to change the situation. The 'actual' work cannot start before the primary client acknowledges he knows, cares and can. Consultancy reality is as a rule that reaching this acknowledgement is a crucial part of the assignment. Frequently assignments start with a complaint (the primary clients feels obstructed by an external party or factor), and changing it is only gradually accepted as a task of the primary client.

Example of client expectation matrix

Contract client

General Director

Primary client

Three Unit Directors

Ultimate client

Company (including Unit Staff)

Basic question

How can the merger of Units become a success?

	General Director(GD)	**Director Unit 1**	**Staff Unit 1**
Relations	Unit Directors should make this merger work	• To G.D.: I must defend Unit interests • To colleagues: Their gain is my loss	Our unit Director is our representative
Aims	Make merger a success	Defend my Unit's interests	Keep things as they are
Expectations	Impossible to work with these Unit Directors	My colleagues pray on me	Unit Director will protect us
Resistance	I fear I cannot live up to the expectations	I have to do the impossible: I have to serve two bosses (general interest and the interest of my Unit)	Everything new is a threat

Conclusions

For any change and success it will be crucial to get the clients to orient themselves at the new situation, rather than hold on to the past. After an analysis of the problems experienced in the past, it will be crucial to get people to dream of a future unhindered by the limitations of keeping to the security of maintaining the status quo.

Remark

This elaboration of client system identification comes close to making an interest chart or change resistance matrix, which are operational planning tools.

Example of client expectation triangle

Donor-recipient dynamics

The tension between donor and recipient interests is often characteristic of consulting in development co-operation - whether or not the parties genuinely strife for partnership and reciprocity.

Contract client

Wants an objective external assessment, and determines the Terms of Reference (ToR) for the consultancy. NGO funding will be decided upon, based on the outcomes of the assessment.

```
                    Contract client:
                        Donor
                        /  \
                  ToR  /    \  Draft ToR
                      /      \
         Consultant --- BQ --> Primary client:
                                  NGO
```

Primary client

Is interested (feels obliged) to be subject to this external assessment, but is reluctant to provide a complete insight, because playing open cards regarding problems may result in reduced funding. The primary client wishes to maintain autonomous and may therefore conceal problems, unless safety is provided that this will not backfire on the NGO.

Consultant

Should be clear and honest on the stand he takes:
- While looking for the shared interest of both clients and jointly aims to formulate a basic question that serves both interests. In this case shared interest lies in the fact that the contract client wants to minimise risks that their NGO partner is not making optimal use of their funding support due to capacity gaps. While the NGO in principle would have an interest in improving its own capacity in doing its job and fulfilling its mission.
- To strengthen the shared interest an agreement can be facilitated whereby the contract client would accept to use part of its funding for bridging capacity gaps of the NGO that have become apparent through the assessment.
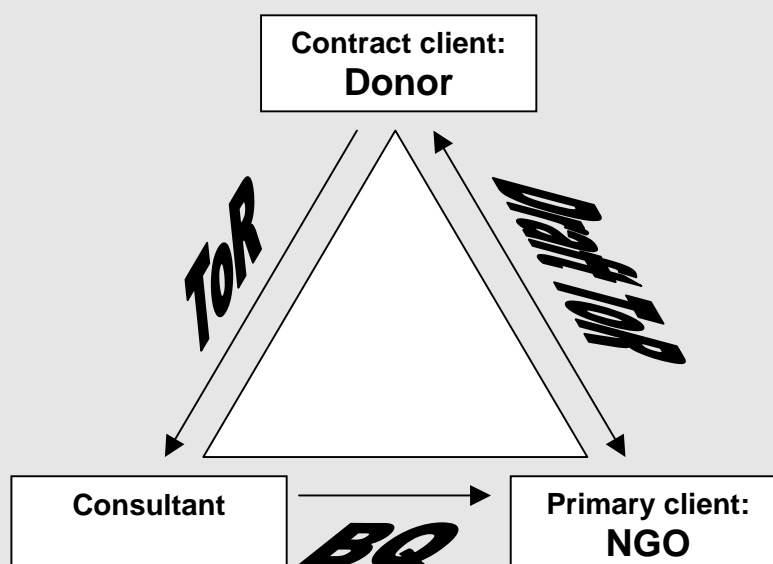
2.2.2   Organisational learning cycle

What is it?

The organisational learning cycle (inspired by Kolb's adult learning cycle) shows the processes involved in learning and change, in terms of content and process or attitude. It provides an assessment in identifying whether the progress in content and mental predisposition goes hand in hand. Assessment also shows whether the organisation does take shortcuts in the cycle.
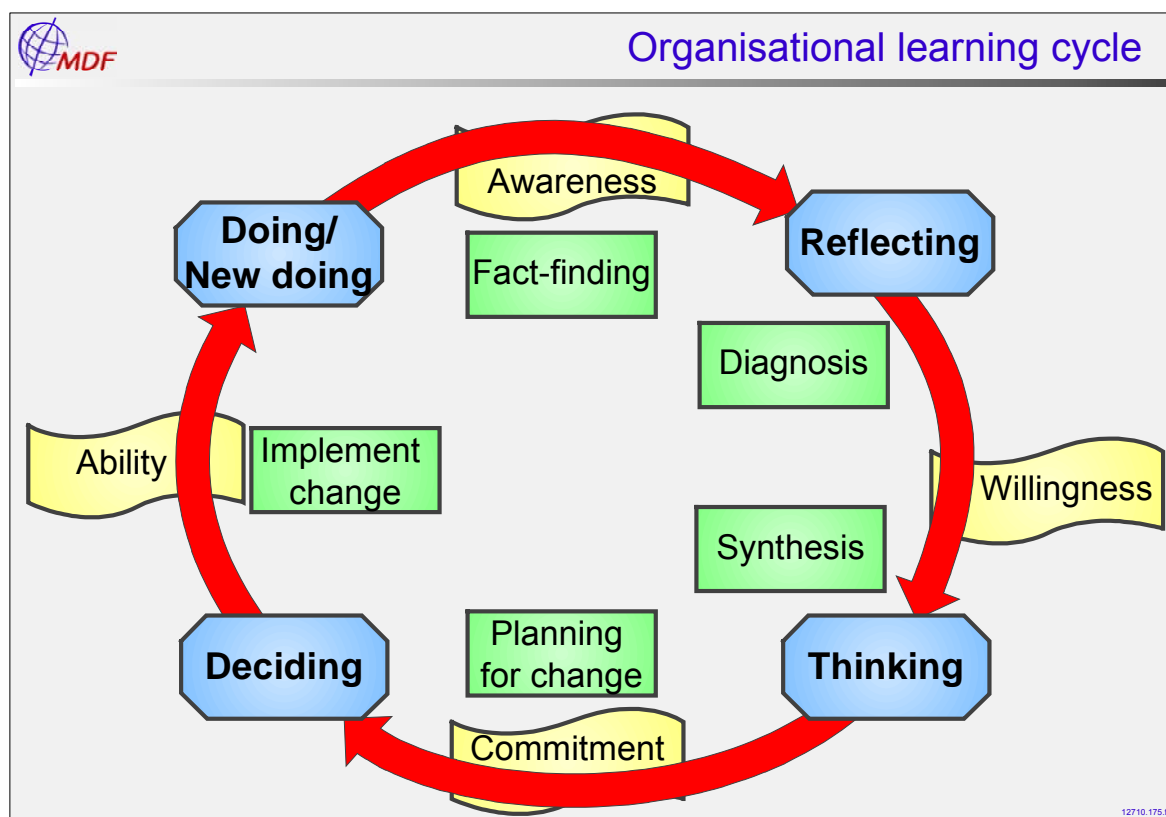
The illustration above (organisational learning cycle) shows the importance of a (sufficiently) shared vision on problems, options and decisions. Starting from the current practice (doing) (blue rectangle left top corner), productive reflection (next blue rectangle going clock-wise) requires an awareness (yellow flag between the rectangles) of the disadvantages of the current situation.

To progress from reflection to thinking about causes and solutions (third blue rectangle), willingness (second yellow banner) has to develop to explore further. This willingness can only come about once the problems are experienced as problematic. Subsequently, to progress from options to critically supported decisions (fourth rectangle), commitment is needed (third yellow banner), which prerequisites a transparent and sufficiently participatory process. Finally, to lead decisions to new doing (first blue rectangle again), people need to develop the required abilities (fourth yellow flag).

Thus training (and other means of enhancing capacity) comes into the picture, but only after a thorough and shared analysis of problems, objectives and performance needs.

The cyclical nature of organisational learning further implies that from the start there is a focus on continuity, as the learning cycle is done by the client system and will be completed over and over again.

What can you do with it?

The learning cycle assists in defining hindrances to development and potential activities to stimulate change.

Results

- What are the hindrances for different stakeholders to change?
- At what stage of the learning process are the different stakeholders?
- What type of activity could help them to progress?

How to use it?

Process

A learning cycle can be used on an individual basis or in a group (not more than 20 people) on a participatory basis. It takes around 30 minutes to complete the steps. Applying the learning cycle is done over and over again.

Follow up

The follow up of the learning cycle is depending on the outcome: on the stage at which the stakeholders are. The learning cycle deals with getting an organisation ready for change. To prevent friction between adviser and client use the 'Drama triangle' and to clarify the clients use the 'Client system' tool (possibly followed by 'Stakeholder analysis').

Requirements and limitations

It is less a tool and more a conceptual framework that positions the function of a monitoring system together with a motivation system.

---

e. Practical references

- Instrument based on theory of Kolb;
- MDF Syllabus "Learning and change";
- Argyris, Chris and Donald A. Schön, 'Organisational Learning II', Addison-Wesley Publishing Company, 0-201-62983-6, 1996
- Garret, Bob, 'The Learning Organisation' (1987).
- Janssen, Claes, 'Four Room Apartment Model of Change'.
- Mellor, Ken and Eric Sigmund, 'Discounting', Transactional Analysis Journal, 5/3,1975
- Senge, Peter, 'The Fifth Discipline' (1992);

Applying Tools in the Organisational Learning Cycle

The tools of the toolkit are instrumental in a particular stage of the organisational learning cycle. When an organisation is in the process of learning and probably moving towards change, a particular tool can be applied. Towards the reflection stage, tools to identify how the organisation relates to it's surroundings are important,(e.g. 'Quick scan' and 'quality definition chart). During the 'thinking' period, creativity to come with various change options come up, like in 'strategic options". After decisions have been made, the organisation and its staff need to grow into the new situation and 'training needs assessment' and capacity building is needed.

Applying Tools in the OLC

Diagram: Applying Tools in the OLC — organisational learning cycle

- Awareness: Evaluation grid, Problem area matrix, Basic Question, Quick scan, Quality definition chart
- Reflecting: Environmental scan, Actors, Envisioning
- Willingness: Internal Organisational Analysis
- Thinking: Strategic Options, SOR with SOP, SOR with OT, SOR to Logical Framework
- Commitment: Interest chart, Participation matrix
- Deciding: Organisational Change Cycle
- Ability: Training Needs Assessment
- Doing/New doing

12710.175.flo

Example organisation learning cycle

Shortcuts to organisational learning and change

Consultant and organisational learning cycle

Ad hoc shortcut

Irresolute shortcut

Aware

Do

Reflect

Able

Willing

Decide

Think

Pragmatist shortcut

Committed

Theorist shortcut
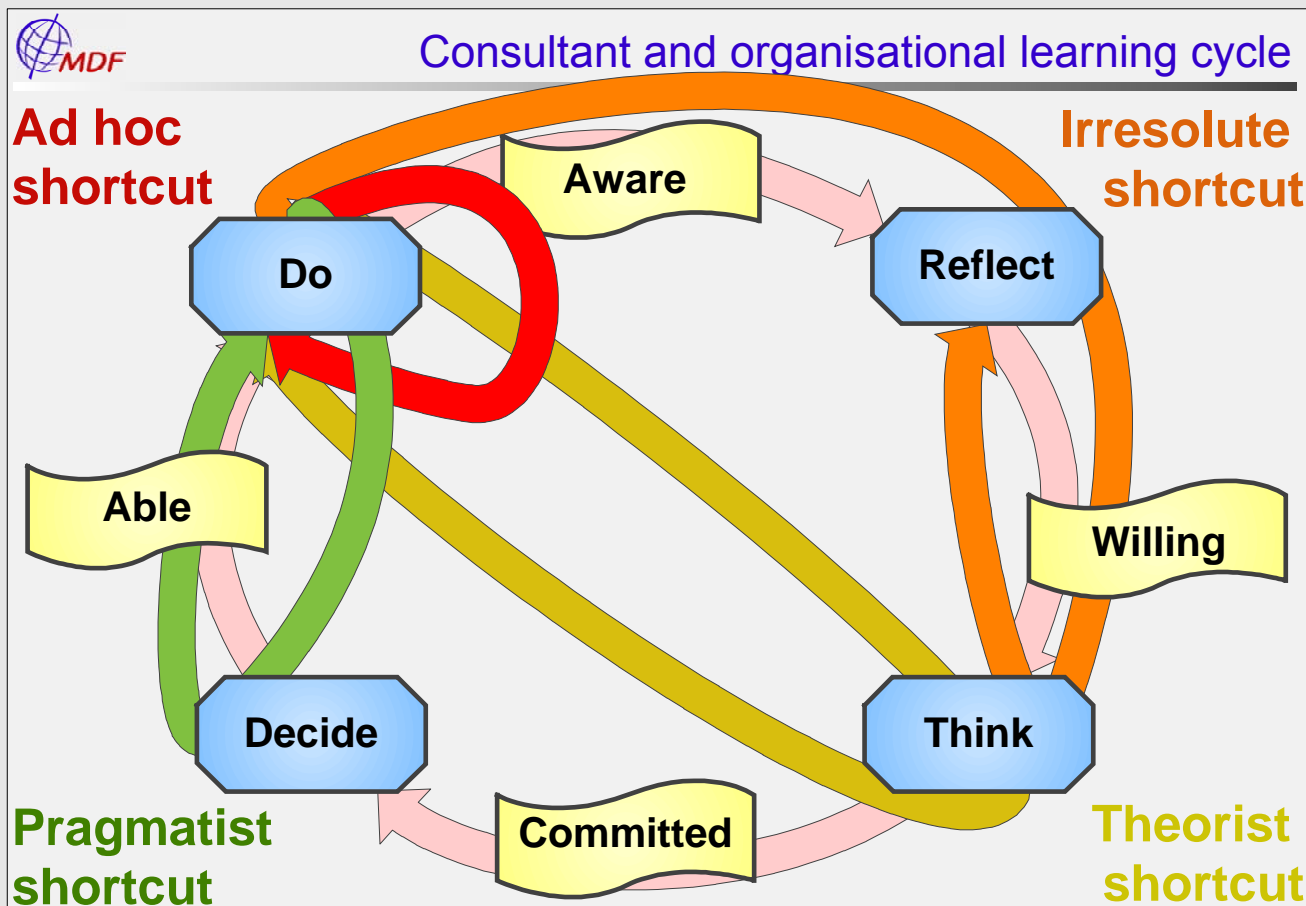
Conclusions

- **Ad hoc** organisations adapt their products, services and strategy, probably back and forth, whenever the slightest problems occur, without analysing the problems, causes and options
- **Irresolute** organisations reflect on problems, their causes and options, but fall back to reflecting and further research and never get to decision-making
- **Theorist** organisations respond to problems by working out an ideal solution, but without regarding whether it fits the specific problem and options
- **Pragmatist** organisations immediately and radically change their products, services and strategy when problems occur, without analysing the problems and causes

Steps in analysing the organisational learning cycle

0. **Define the problem owner** who wants to intervene (more effectively) and the issue

1. **Formulate the (sub-) question** that you want to answer by analysing the situation of the organisation in terms of the organisational learning cycle. The aims to analyse where the organisational learning cycle is suitable are:
    *   Entry of you as adviser or stakeholder: You are not yet sure at what stage the various stakeholders are
    *   Balance of content and process: You are not yet sure whether the bottleneck to progress for the various stakeholders lies with the content or the process

2. **Identify the stage and bottlenecks**
    *   At what stage is the problem owner and are other stakeholders in the cycle?
    *   If the bottleneck to progress are in the yellow steps, take a process facilitation role (see roles of an adviser 2.4)
        *   Have they realised the problem (awareness, feedback)
        *   Are they thinking of alternatives (willingness to change)
        *   Have they decided already (commitment to change)
        *   Are they able to implement?
    *   If the bottleneck to progress is in the green steps, take an expert role (see roles of an adviser 2.4)

3. **Draw conclusions**, in relation to your basic (sub-) question. Plan action to further align all stakeholders in terms of both content and process

2.2.3   Stakeholder analysis

What is it?

Stakeholder analysis is the identification of the key stakeholders in the analysis and planning stage of a change process, and an assessment of their interests and the way in which these interests are likely to affect this process. It results in deciding whom to involve in which way in the analysis and planning (and tentatively in the change implementation) process.

What can you do with it?

Stakeholder analysis is a tool to analyse whom to involve in which way in the ID/OS diagnosis process. The participation matrix that concludes stakeholder analysis can be applied in many settings. It lists the involvement of external actors in the ID/OS diagnostic process. The matrix can (additionally) include internal actors, such as departments and individuals within an organisation.

Basic (sub-) questions

Stakeholder analysis relates to the BQ, although this analysis is not a step towards answering the BQ of the ID/OS process. Stakeholder analysis is a step towards deciding whom to involve in which manner in the ID/OS process. The question or purpose of stakeholder analysis is: How should participation in the analysis and planning process be designed, in order that this process yields the optimal combination of relevant, realistic objectives and commitment from the key stakeholders.

Results

- What are the interests of the stakeholders in the basic question?
- What are conflicts of interest?
- What relations between stakeholders can be build upon?
- What participation (inform, consult, partnership, control) is appropriate by different stakeholders at the different stages of the analysis and planning process?
- Where are gaps or overlaps in the current participation planning
- Identification of the pressure points for different stakeholders and whom to address to cushion the effects and overcome potential resistance.

How to use it?

Process

Stakeholder analysis is a political assessment (resulting mostly in deciding whose influence to strengthen and whose influence to minimise). It is therefore typically a tool, in which a limited number of change initiators assess (to the best of their ability) the opportunities and threats other stakeholders pose to positively answering the BQ.

Groundwork

Stakeholder analysis can be done after the initiators of the ID/OS process formulate the initial BQ and probably designed the (tentative) ID/OS analysis and planning process. After decisions about participation in the analysis and planning process, the BQ normally should be open to refinement, as otherwise there is a risk of demotivating the wider group of stakeholders you engage.

Follow up

Making a participation matrix (determining whom to involve how at each stage of the ID/OS diagnostic process) is the logical next step, and therefore included in this tool. Concrete structuring of meetings or committees and a budget exercise can follow the participation matrix. If the participation matrix was made as part of the preparatory of stakeholder analysis (rather than as part of operational planning for implementing change), the actual analysis phase can start after completion of the matrix.

Requirements and limitations

A small and intimate group does the assessment of stakeholders, and may therefore be biased. This bias is a factor to be aware of rather than to avoid. It remains the responsibility of the initiator and leader of change to assess and decide on participation in the ID/OS process (a participatory self-selection of stakeholders may confirm the balance of power as it currently prevails in society, rather than as you want it).

Stakeholder analysis is one of the tools that are clearly not blind for power issues. However, in practice influential stakeholders are not easily dissuaded, and disadvantaged groups may not gain power without friction. Moreover the 'in-crowd' carrying out the stakeholder analysis may not judge the interests of the stakeholders correctly, or they may (purposely) conceal their own political agenda.

Be careful that existing rules and regulations are consistent with the planning you make in the participation matrix (in particular if internal task division is determined in the organisation).

Practical references

- Alan Rogers and Peter Taylor, *Participation curriculum development in agricultural education.* Rome, FAO, 1998.
- Habitat (1989): Community participation in problem solving and decision-making (1), Basic principles, training module, Nairobi
- Thompson, John (1995): Participatory approaches in Government Bureaucracies: Facilitating the process of institutional change; World Development, Vol. 23 No 9
- Brett, E.A. (1996): The participatory principle in development projects: the costs and benefits of co-operation; Public Administration & Development, Vol. 16
- Farrigton, John (1998): Organisational roles in farmer participatory research and extension: lessons from the last decade, ODI, Natural resource, no 27

Example of stakeholder analysis: Potato co-operation

Problem owner

Potato co-operation

Basic question

How can the co-operation increase its market share, and still provide fair and sustainable prices to the member-farmers?

Question for stakeholder analysis

How should the participation in the analysis and planning process be designed, in order that this process yields the optimal combination of relevant, realistic objectives and commitment from the key stakeholders?

Interest table

Stakeholder	Interests	Benefit from (planned) change
Member farmers	Stable high potato price	+
Non-member farmers	Stable high potato price	+
Local traders	Stable price	+
	Low prices	-
	Protection against international market	0
International traders	Low prices	-
	Opening to international market	0
Local government	Satisfied farmers	+
Central government	Satisfied farmers	+
	Satisfied consumers in cities	-

Benefit-influence matrix

	Low influence (A)	High influence (B)
Benefit (1)	Non-member farmers Local government	Member farmers
Neutral (2)	Central government	Local traders (stable prices)
Damage (3)	Local traders (low prices)	International traders

Conclusions

- The interests of non-members run parallel to the plan of the co-operation– so it seems advantages to secure a voice for them in the change process. The local government can also be a change driver if activated, so it should be involved
- International traders represent a threat, so they should be carefully monitored. The safest strategy seems to act low-profile but open, so that they feel reassured enough to let the process happen
- Local traders have interests that give them different attitudes towards the planned change: They have quite an impact on price stability, but not an outspoken interest in this area. They can be distantly monitored in this aspect. But they are interested in low prices, and should be monitored quite sharply in this aspect, since their current low influence may expand. There is little room to capitalise on common interests and little scope to positively involve the traders in the ID/OS process

Participation matrix

	Member	Non-member	Local trader	Intl. trader	Local govt.	Central govt.
Intake workshop	P[1]	P		I	P	I
Mission workshop	A	A				
Institutional analysis	P	P	P	A	P	A
Strat. options workshop	A	A	A		A	
Organisational analysis	P				A	
SOR workshop	D	A	I		P	I
Operational planning	P					
Change implementation	?	?	?	?	?	?

Remark

For the change implementation a participation matrix can only be drawn up after the strategy and change process has been decided upon.

---

[1] the abbreviations are explained in the steps

Steps in Stakeholder analysis (and making a Participation matrix)

0. **Formulate the initial BQ** that the ID/OS analysis and planning process should answer. The stakeholder analysis will help you decide whom to involve in this process (not to answer the BQ itself)

0. **Define the field of analysis**
   • Define the sector
   • Define the geographical area

1. **Identify the stakeholders**

2. **Identify their interests** in a table:
   • Note the interests of the different stakeholders: their expectations, benefits, resources offered/withheld
   • Mark conflicting interest (with arrows)
   • Assess benefit (neutral or damage) the stakeholder has if the planned change succeeds (estimating the balance of all interests of each of the stakeholders)

3. **Develop a benefit-influence matrix**
   • Make a table with two columns and three rows:
      • Two columns: A=Low influence, B=High influence
      • Three rows: 1=Benefit, 2=Neutral, 3=Damage
   • Categorise the stakeholders in the matrix. This step includes an assessment of *influence* (whereas the previous step only looked at *interests*). You assess the influence of the stakeholders over the planned change

4. **Draw conclusions**
   • Take special initiatives to protect the interests of benefit-low influence groups (A1)
   • Create a good relationship with high benefit-high influence groups (B1)
   • Give low priority (maybe involve in evaluation) to neutral-low influence groups and neutral-high influence groups (A2 and B2)
   • Monitor damage-low influence groups (A3), as they represent a potential risk
   • Carefully monitor and manage low importance-high influence groups (B3), as they represent an immediate risk

5. **Develop a stakeholder participation matrix** (for the diagnosis process)
   • Columns for each stakeholder
   • Rows for each step of the analysis, planning (and optionally the change implementation) process
   • Fill in the boxes, if you plan any involvement:
      I   = Inform (gets informed)
      A   = Consult (gives advise)
      P   = Partnership (gives approval)
      D   = Control (takes decision)
      [R   = Supervision (is responsible over the delegated authority that decides. This is relevant if internal divisions of an organisation are in this matrix]

6. **Check the participation**:
   • Correct overlap or gaps
   • Correct possible contradictions with existing task and power distribution

2.3.1 ID/OS process design

What is it?

ID/OS[1] processes are typically long-term and often cyclical endeavours. Although below we schematically present five different routes, the art is to combine and integrate tools corresponding to your specific situation. The 'ID/OS process design' tool indicates a few typical, major roads you may take through 'the world of ID/OS', with an indication of possible tools. We distinguish five processes that differ in starting point and objective:

- **Strategic orientation**. An organisation decides on priorities for *innovation* and plans the road ahead, including adjusting its own capacity in view of the planned change
- **Sector development**. Sector key players initiate a review and adjustment *of who does what* in an institutional sector, and plan *ways to enhance* sector performance
- **Programme development**. A programme implementing organisation or donor looks for partners to decide *who does what* and on *how to get every party ready* for his role
- **(Re-) positioning**. An organisation reviews and envisions *what to do*, and establishes a new vision, mission, norms, approach and guiding principles
- **Operational and technical development**. An organisation decide *how to improve* in what it does

Most of these efforts lead to plans that include interventions that develop the **capacity** of organisations to succeed in their plans.

	Type of change	Focus
Strategic orientation	What and how	Strategy
Sector development	Who and what	Sector actors
Programme development	Who and what	Programme
(Re-) positioning	What	Mission
Operational development	How	Primary process

1 Strategic Orientation (innovation)[2]

An existing organisation wants to decide on the focus for the coming years. This strategy should match the external trends and opportunities with the capacity of the organisation. The action plan will determine both the external objectives the organisation will pursue, and internal measures to succeed in that external strategy. Many actors can have this type of question: NGO's, INGO's, UN organisations, private organisations, local governments, and Ministries.

---

[1] ID/OS: Institutional Development and Organisational Strengthening; more on the concept can be found in the introduction, chapter 1.4
[2] SOR is the abbreviation used in this toolkit for Strategic Orientation

ID/OS flow with SOR
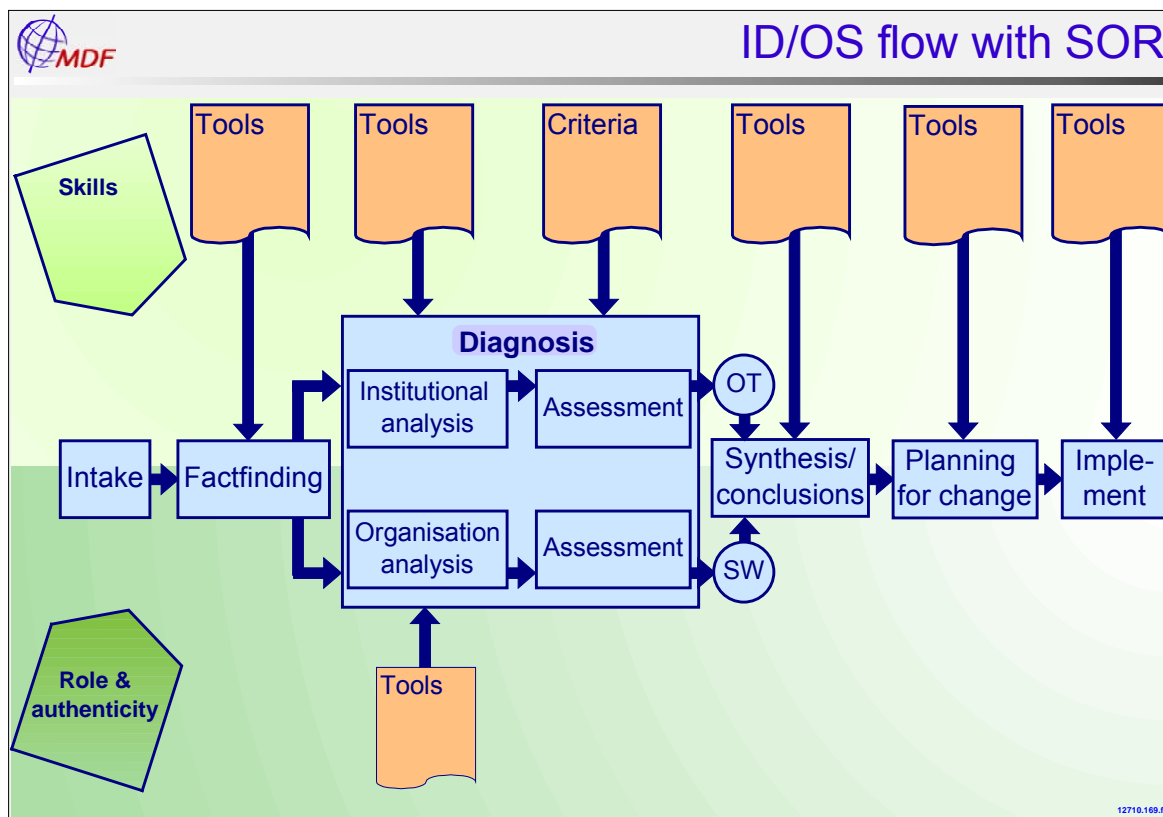
The picture above shows the typical steps in strategic orientation, which is usually facilitated by an external adviser. An intake (dialogue between client and consultant) establishes the objectives of the analysis and planning exercise. Then the analysis starts with an institutional analysis: Fact-finding, analysis, assessment and (often) the formulation of strategic options. The (external) institutional analysis is complemented by an (internal) organisation analysis, leading to the identification of strengths and weaknesses. Matching the strategic options and the capabilities leads to choices and an action plan, and finally a plan of how to realise the change.

The IOM[3] is a good model to depict the institutional and organisation analysis and the plan can well be recorded in a logical framework. The next illustration shows the same ID/OS process, but then indicating how the tools help transform mere facts into concrete plans.

The IOM 'journey' may be via many roads. An indicative example could be:
- As preparation: Client system and BQ
- For the institutional analysis: Institutiogramme, environmental scan, and the formulation of strategic options
- For the organisation analysis: Mintzberg matrix, process flow chart, staff conditions algorithm, Quinn management assessment, Handy's Gods of organisation culture
- SOR and SOR to LF to choose and work out plans
- Interest chart to take advantage of drivers and resistance to the plan

---

[3] Integrated Organisation Model, for more on the model, see chapter 3.1

2 Sector development: ISOA[4] flow

Sector development aims at strategic innovation of a whole sector, rather than only of an individual organisation. Questions of sector development are:
- What should the external sector objectives be (policy)?
- What should the organisations do to fill the most critical capacity gaps?
- What should the (local) government and other relevant actors do in terms of policy, financing and service delivery, to optimise the performance of the sector?

ISOA Process
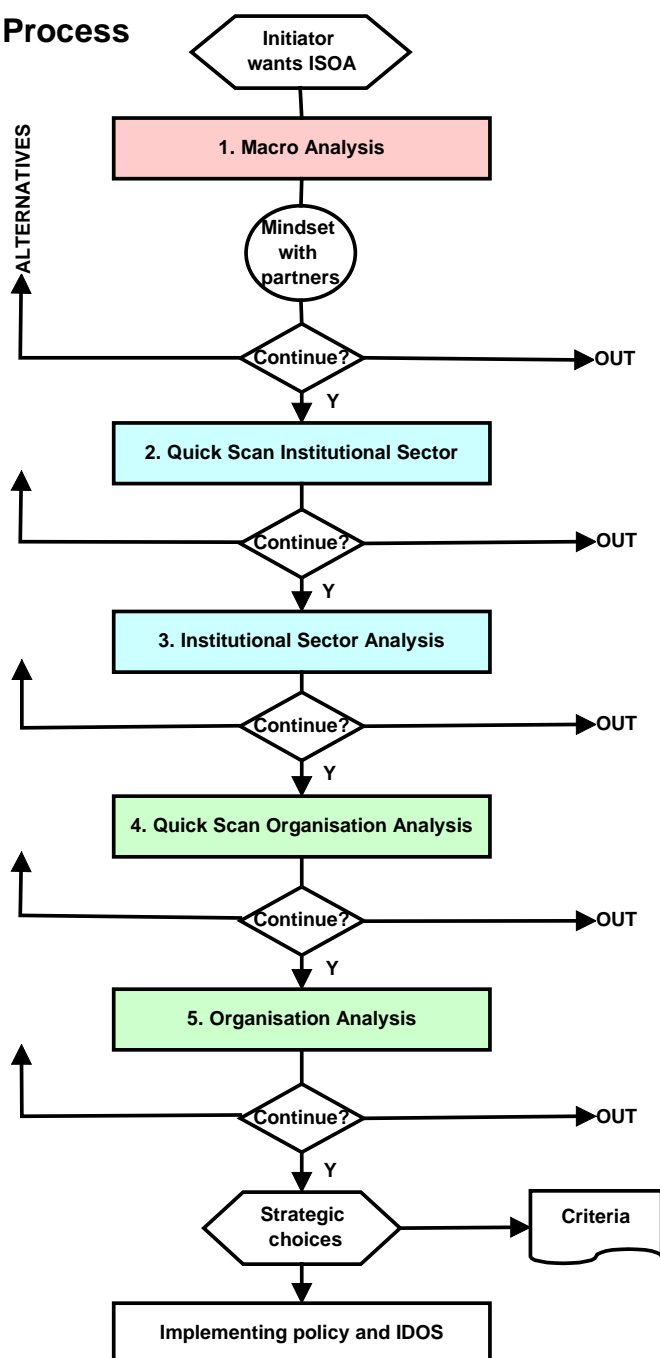
It is characteristic of sector development that both the sector objectives and the ID/OS support are simultaneous under discussion.

The analysis and planning process for sector development is known as ISOA. It starts with one of the stakeholders wanting to bring about a Sector-Wide Approach (SWAp). The crucial step (possibly after a macro analysis of the sector) is to get a critical mass of stakeholders supportive for the sector analysis – in other words to build the mindset for ISOA. Especially if the original initiative comes from a donor, allowing time is a critical success factor for meaningful sector planning. Participatory stakeholder analysis is important to ensure sufficiently broad involvement.

Once a broad field of stakeholders wants to proceed, the institutional sector analysis can start with a quick scan. The quick scan already ends in sector strategic choices, and therefore an action plan in which areas detailed sector analysis is required. The scan is followed by an in-depth sector analysis (which can include specialised consultancy work).

Selected key organisations may finally be subjected to an organisational analysis, and strategic planning at organisation level, as in strategic orientation.

---

[4] Institutional Sector and Organisation Analysis

3 Programme development (partner selection and development)

An NGO, company, donor or government body has an overall programme in mind to assist a target group (e.g. developed through Object Oriented Project Planning or OOPP). The overall programme outline is ready (and possibly developed with participation of various organisations). Now the question is:

- For governments/donors: Who can best implement the programme/project?
- For programme developers who intend to be key implementers (NGO or private company): How do I secure funding for the proposal, or how do I win the tender? In other words: How does my organisation become the most convincing, attractive and competitive actor to implement this programme? This can be done in two ways:
  - Strengthen the organisation to be better than competitors
  - Find partners to co-operate with

The image below shows how a (global) institutional analysis and a (detailed) organisational analysis can lead to a choice of partner(s) and activities to make them most suitable to implement the project or programme.
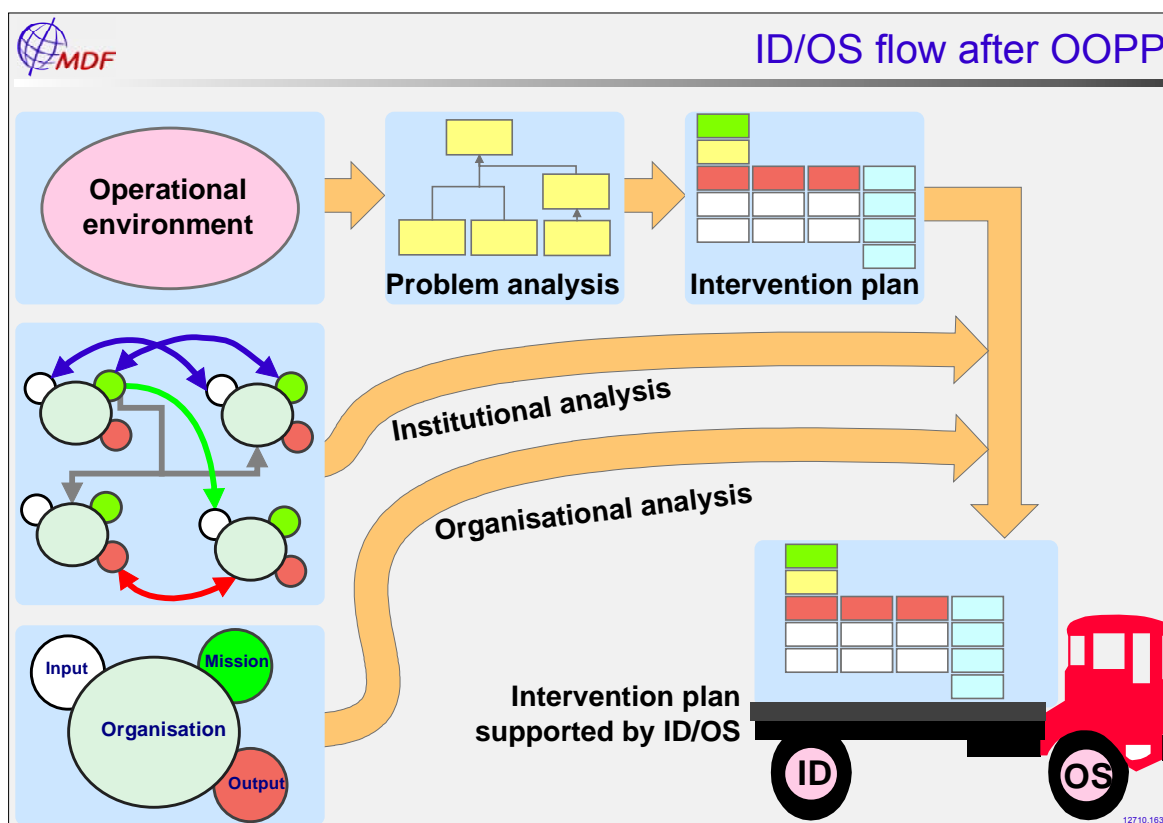
In actual practice programme development and partner identification are (and should be) more intertwined than suggested in this text and picture above. Partnership should recognise the fundamental autonomy of organisations, and therefore appreciate that organisations like to 'do things their way'. By implication partners need to be involved in working out at least the activity level of the Logical Framework - else we should talk about sub-contracting rather than partnership. This involvement can take shape through full participation in a joint programme formulation, or by asking (potential) partners to develop proposals in response to Terms of Reference that only set main goals and guidelines.

A programme development 'journey' may be travelled through many roads. An indicative example could be:

- OOPP
- Coverage matrix, environmental scan and collaboration matrix for the institutional analysis
- Quick scan to see which implementers may need strengthening
- Quality definition chart and functional team roles to analyse in what respects the key organisation(s) need strengthening

Another possible road could be:

- Problem area matrix (for a systematic, comprehensive overview at target group level)
- Coverage matrix (to assign tasks)
- Envisioning (to develop creative, rather than mechanical and common approaches to address bottlenecks)
- Logical Frame work and participation matrix

4 (Re-) positioning / Envisioning

All organisations at certain intervals face the necessity to (re-) position themselves, contemplate a fundamental shift, and rebuild an inspiring and clear vision. Whereas strategic orientation assumes an existing organisation and/or a partial adjustment (innovation) of priorities and activities, repositioning fundamentally reviews or establishes the mission and core business of an organisation. It assumes you have a group of individuals with the question 'What should we do?'

Envisioning is a key tool for this type of ID/OS. Leaders of this process should guard that plans are both truly visionary and creative (the design of projects and organisations should not simply copy those of others), but also practical (at the end of the day people need to know what to do).

5 Operational and technical development

Organisations may identify specific problems and imbalances, e.g. as a result of strategic orientation. In the tool for formulating the Basic Question there was a warning against a focus on merely internal problems. It is often argued that internal symptoms should be addressed in the light of the external problems related to them (e.g. that a bad internal team spirit undermines client-friendliness to customers). And screening internal strength and weaknesses in the external opportunities and threats suggests strategic orientation: innovating and adjusting the direction of the organisation as a whole.

Yet, if the bigger picture is sufficiently known, technical problems and processes may of course be treated in isolation. This also referred to as business processes re-engineering. Production processes can improve without reconsidering the objectives and strategies. In fact, gradual improvement (rather than an overhaul of an entire organisation) is the most common type of change. If one wants to develop an organisation on this level, one can apply one or a few tools pertaining to an (often internal) IOM element as 'stand-alone' tools. Rather than looking for strengths and weaknesses (that you later match against strategic options), you analyse the problems and directly plan remedial action. A process flow-chart can for example serve to directly redesign specific processes, while no wider strategic orientation exercise takes place.

What can you do with the typology of ID/OS processes?

Results

- Recognise that there are different starting points and objectives for ID/OS
- Match your road and choice of tools with your specific situation

How to use it?

Groundwork

Defining the Basic Question should give you an impression of what type(s) of ID/OS process fits the case. Along the road you may choose the specific tools you apply (or develop).

Follow up

The ID/OS process itself is the follow-up of designing the process!

Requirements and limitations

In actual practice you may drive different 'roads' at the same time: The distinction between the different types is often artificial.

Practical references

- Noel M. Tichy, Managing Strategic Change, (1983)
- Gareth Morgan, Images of Organisations, (1986)
- Norman Uphoff, Local Institutional Development: An Analytical Sourcebook with cases (1986)
- Eduardo A. Morató Jr., Strategic Intervention for Development Managers (text and cases), Environmental Development Process - Volume II, (1993)

2.4.1 Advisers: Roles and Competencies

1. Introduction

"The adviser/consultant will know the answer" is the common misunderstanding, between the management of the "client organisation and the adviser/consultant. A misunderstanding that can lead to disastrous effects.

We define an **adviser** as *an expert attached to an organisation for a relative longer period with a specific assignment to advise the management on a series of complex issues.* Whereas a **consultant** is *an expert attached to an organisation, invited to intervene on a specific issue for a dedicated period of time, very often based upon terms of reference, specifying the responsibilities and desired outputs of the consultant.* Both the consultant and the adviser have no hierarchical position in the organisation.

When we are asked for advice from the client, we have a tendency to respond and to play the expert role: "we are supposed to know, isn't it? ". When the solution is given the client often resists to the given solution, and argues that the problem is not correctly understood or that the solutions are too difficult to implement, etc. etc.

Developing competencies of an adviser for MDF means that it is important to deal extensively with the perception of different roles that both client and consultant can assume. An underlying assumption is that, both client and consultant can change role, if required. The challenge is to detect, in what extend these role changes are possible for us as consultants.

The Tango is a toolkit for advisers based on the MDF concept of advisory work in international co-operation. Applying the toolkit successfully depends on the skills of the adviser and her/his ability to create a well-understood role distinction between the adviser's responsibilities and those of the client system.

To clarify this concept, we introduce here three models of consulting:
1. The Process consultant
2. The Doctor / Patient consultancy process
3. The Expert Model

One of the dilemma's that faces any manager or consultant is how to be helpful in a situation in which there is a genuine choice between:
- Giving advice, telling others what to do, playing the role of an expert, and
- Helping "clients" to figure out the solution for themselves, facilitating their own problem solving, even if that involves withholding what may seem to the consultant an obvious solution.

With this distinction in mind, we discuss in this chapter a number of aspects that are relevant for the MDF approach (beyond the toolkit) to advisory work in the sector of international co-operation. We further look into the skills, attitudes and competencies of the adviser in international co-operation and the role of the adviser in the organisational learning cycle.

2. The Advisory process

The following table provides an overview of the various steps that can be distinguished in an advisory process:

Diagnostic process	Important questions
1. **Intake**	What is the Basic Question? Which aspects to focus on? Which criteria for judgement? Which are the parties involved? What is expected of the consultant? What will the organisation contribute?
2. **Fact finding**	Which information elements? Which kind of data to collect? Which sources and which methods? Who to involve? How long will it take?
3. **Diagnosis**	Which strong and weak points? Which influencing factors in the environment? Which cause-effect relations?
4. **Synthesis and Conclusions**	How to operationalise criteria? How to weigh the criteria for decision making? What conclusions to draw from the Diagnosis? What are the possible alternative solutions
5. **Planning for Change**	To whom to give feedback? How to give feedback? Which are the feasible solutions
6. **Change**	What are the consequences and for whom? What are the interests involved? How to ensure commitment to change?

The effectiveness of an advisory process depends on the extent to which the different stages are effectively implemented.

Three models of consultation

1. The purchase of information or expertise ("Expert");
2. The doctor-patient model ("Doctor");
3. The process-consultation model ("Process Consultant").

Expert model

"Please take the problem of my shoulders and bring me back a solution".

The core of the model is that the client has made up his mind on what the problem is, what kind of help is needed, and to whom to go for this help. (Systems analyst to write computer program, an architect to design a new building, manager wants to find out how to more effectively organise some function such as Extension, Research, etc.

Assumptions underlying this model/role:

1. Client has correctly diagnosed the problem;
2. Client has correctly identified the consultant's capabilities to provide the expertise;
3. Client has correctly communicated the problem and the nature of expertise/ information to be purchased;

4. Client has thought through and accepts the potential consequences of obtaining the information/service.

In summary, this model of consultation is appropriate only when clients have diagnosed their needs correctly, have correctly identified consultants capabilities, have done a good job of communicating their needs to the consultant, and have thought through the consequences of the help they have thought. The irony of this model is that the expertise is attributed to the consultant, but in fact a tremendous load falls on the client to do things correctly if the problem is to be solved.

The doctor-patient model

"Find out what is wrong and recommend how to fix it".

This model is an elaboration of the expert role but gives the consultant the additional power to make a diagnosis and recommend what kind of information and expertise will solve the problem.

Assumptions underlying the model:

1. The diagnostic process itself will be seen as helpful tool of perturbing the organisation;
2. Client has correctly interpreted the organisation's symptoms and has located the sick area:
3. The person or group defined as "sick" will reveal the pertinent information necessary to make a valid diagnosis; that is, they will neither hide data nor exaggerate symptoms;
   * observation is an important source of information;
   * only visit the group when is known what happens there, seen from the contact client's perspective.
4. The client will understand and correctly interpret the diagnosis provided by the consultant, and will implement whatever prescription is offered;
5. The client can remain healthy after the consultant leaves.

In summary, the doctor patient model is appropriate only when the client is experiencing clear symptoms, knows where the sick area is, is willing to intervene in the organisation's systems by bringing in a consultant, and is willing to become dependent on the consultant for both diagnosis and implementation. It implies that the "patient" is willing to "take his medicine" and thereby cures the ills, but he will probably not learn how to take care of himself better or do his own diagnosing and healing in the future. The power relations among members of the organisation may be changed permanently by the very process of bringing in a doctor.

Process Consultation Model

"Client owns the problem and continues to own it".

The PC structures the relationship with the client differently; the client doesn't do the same things as in the two other models. In PC the client is encouraged to take the ultimate responsibility for deciding what to do, how to intervene in the situation.

Diagnostic and prescriptive ideas should be withheld early in the process for three reasons:
* consultant is most probably wrong because of the likelihood that there are hidden cultural, political and personal factors operating;

* client is likely to be defensive, to not list or deny what is being said, to argue or to misunderstand;

* client fails to learn how to diagnose in future himself.

Assumptions underlying the appropriate PC intervention:

1. Client is hurting somehow but does not know the source of pain or what to do about it;
2. Client does not know what kind of help may be available and which consultant may provide help;
3. The nature of the problem is such that the client not only needs help in figuring out what is wrong but also would benefit from participation in the process of a diagnosis;
4. Client has "constructive intent" is motivated by goals and values that the consultant can accept, and has some capacity to enter into a helping relationship;
5. Client is ultimately the only one who knows what form of intervention will work in the situation;
6. Client is capable of learning how to diagnose and solve his own organisational problems.

All the above in a matrix where X means: Takes the responsibility

Phases in the Client Adviser Relation.	Expert Consultancy Model		Doctor Patient Model		Process-Consultancy Model	
	Client	Consult.	Client	Consult.	Client	Consult.
Problem Definition (Basic Question)	X		X		X	X
Analysis of Findings	X		X	X	X	X
Diagnosis of the Organisation and Context	X			X	X	X
Identifying Change Options		X		X	X	X
Deciding on the Change Process	X		X		X	
Implementing the Change Process	X		X		X	X

3. Using the different roles

It is crucial for a consultant to be able to play each of these roles at the appropriate time in the right situation. Below an overview is given of different consultancy situations and the relevance of the three major consultancy roles.

	Expert	Doctor-Patient	Process Consultant
High experience in client system	XX	X	XX
Low capacity in client system	XX	XX	-
High conflict within client system	-	X	XX
High threats from environment (high need to solve problem fast)	XX	X	-
Problem clear/well known to client	XX	X	XX

Possible solutions clear to client	XX	-	XX
High resistance(acceptance of solutions) in client system	-	X	XX
Client system capable of learning to solve problems itself		-	XX
Client system willing to invest in problem solving capability	-	-	XX

XX= substantial relevance
X = some relevance
- = little relevance

It can be seen that in most situations process consultation has substantial relevance. It is often advisable to start with a process consultation role and stay in it as long as possible. This role permits maximum flexibility and is most consistent with the overall development goal of enabling clients to become more effective in solving their own problems. Even in one consultancy different roles may be played in different circumstances and towards different parties involved. Such changes of roles are important, but should, be made without disrupting or confusing the relationship.

Below we have described the roles of advisers and consultants in the organisational learning cycle (see chapter 2.2.2). The arrows (blue, pink and red) indicate the stages when the different consultancy roles can occur.
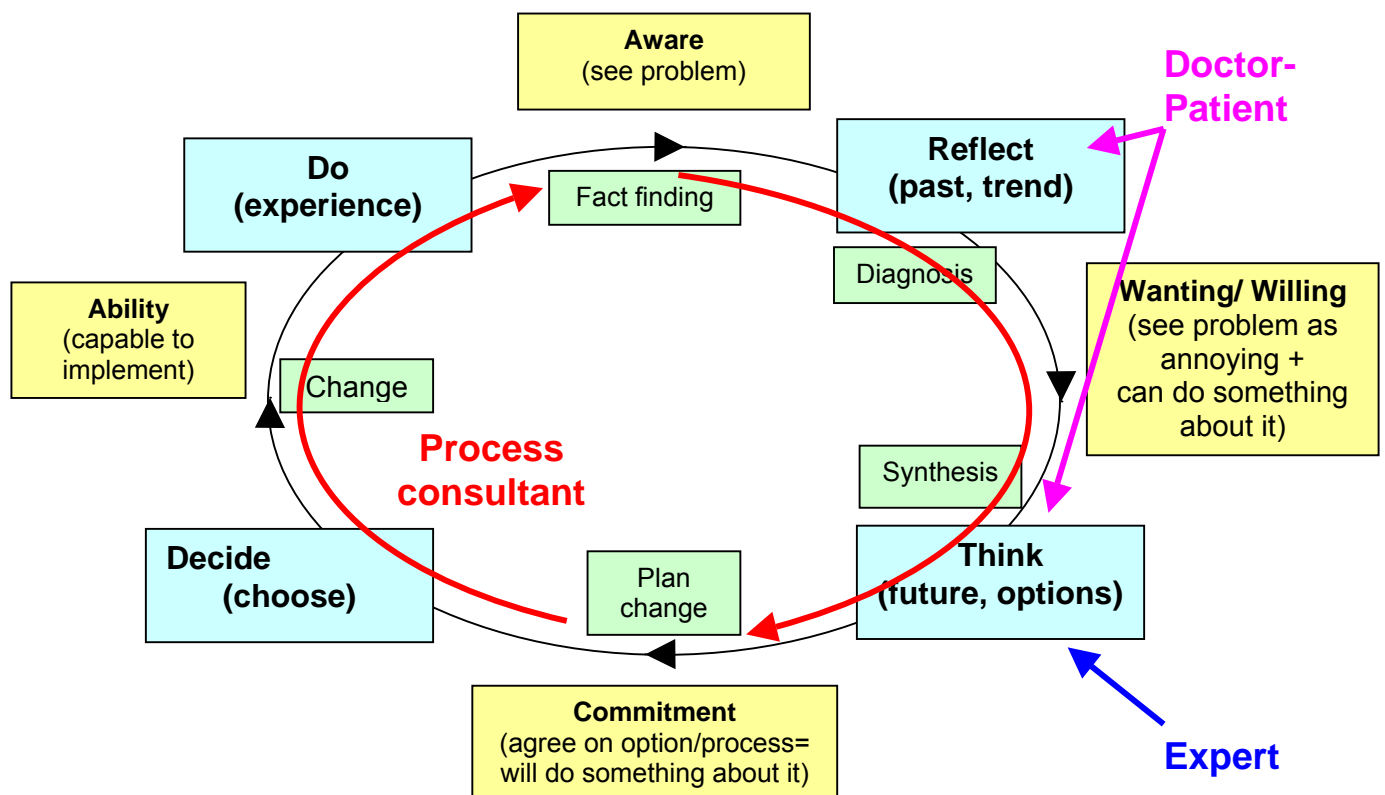
4. Requirements for an advisory relation

A consultant may easily not live up to expectations of the client if those expectations are not well worked out and clarified. The wrong consultant is selected for the wrong job, the capability of the consultant may be overestimated, and the contribution of the client to the success of the consultancy may have been underestimated. Clients may see the consultants too much as a magician 'who will solve all my problems almost instantly'.

Clarity is therefore a key word in a sound relationship between a client and an adviser:
• Clarity on the assignment
• Clarity on the client system
• Clarity on the adviser
• Clarity on the commitment of the client system

Clarity on the assignment

First, it is important to get a good view on the background, the magnitude and the limitations of the assignment. In discussion with the client it may be necessary to reformulate an initial given problem is such a way that the problem field is clear to both the client as well as the consultant. Key questions are:

• What is the problem
• How did it develop, what is seen as causes of the problem
• What are facts, what are interpretations
• Which aspects does the problem have, what is not a part of the problem field

Clarity on the client

In many cases the person having the initial contact may not be the one co-operating with the adviser during the consultancy or the one who the consultant discusses the final report with. All may be part of the client system (see also chapter 2.2.1 Client system).

In this respect we can have different clients:
• Contact clients approach the consultant or manager initially
• Intermediate clients get involved in early meetings or planning next steps
• Primary clients own a problem for which they want help
• Ultimate clients may or may not be directly involved with the consultant or manager but their welfare and interest must be considered in planning further interventions

Besides, a distinction can be made between the client as the person to report to and the client system, all components of the organisation that are affected by the problem or its solutions.
The following questions are important to address during the exploration phase of the advisory process:

• Who is the client? To who is the issue a problem? Who wants a solution? Why?
• What is the client system? Which levels of the organisation are affected by the problem?

Clarity on expectations from the adviser

Often expectations towards the consultant are not explicitly formulated. Maybe the activities are specified broadly in the terms of reference, but what the activities should

lead to may not be sufficiently clear, not the least because they may not be clear to the client system itself. It is thereby important to specify the area of intervention of the consultant. Such areas of intervention may include any of the different components of the Integrated Organisation Model.

Important questions include:

- What is being expected from the adviser (roles, limits)?
- Why did the client ask specifically this adviser and not some one else?
- What are the limits of the assignment: time, money, etc.? Which areas is the adviser allowed to investigate and which not?

Clarity on the commitment of the organisation

A consultancy can only be successful if the organisation provides the necessary support. Consultants often require logistical support like transport etc. He needs the members of the organisation to make time available for providing information, discussing ideas, to test solutions etc. Also testing and implementing solutions will require resources.

As such it is important to establish the commitment of the organisation to solve the problem at hand:
- What is the organisation ready to contribute?
- What support can you expect from management and others?
- How legitimate is the assignment?

5. The role of the consultant in the Advisory Process

In MDF courses for advisers (such as the ODAC), we assume often the Process Consultancy Role. This means that the adviser/consultant plays a role in every step of the advisory process. Below a short overview of attention points, which are important to play this role effectively.

Intake

- Identification of BQ of client
- Analysis of BQ of the client
- Identification of perception - gap between consultant & client (system)
- Assessment of readiness
- Feedback of client
- Joint planning of diagnosis activities
- Defining the role of the adviser
- Coming to an agreement about diagnosis activities (2 expected results) (TOR)

Fact finding

- Identifying involved parties (client system)
- General organisation diagnosis
- Identifying different levels and aspects of analysis
- Drafting of analysis processes
- Compilation of data about organisation and persons
- Coming to an agreement about diagnostic process

Diagnosis

- External analysis (actors, factors, network)
- Internal analysis (processes, co-ordination method styles tasks & resp. strategies)
- Defining assessment criteria
- Compilation of diagnosis on organisation and persons
- Check for validity & biases
- Presenting diagnosis on organisation and persons
- Agreement about strategic options (e.g. reformulation of BQ)

Synthesis and Conclusions

- Assessing resistance to change
- Assessing internal and external pressures for change
- Assessing readiness for change, i.e. conditions to be guaranteed before implementation of change
- Assessing advisers' influence/power
- Identifying org. strengthening activities
- Motivating for change
- Compilation of recommendation
- Presenting recommendations
- Coming to agreement about valued output of implementation. process

Planning for Change

- Designing/planning the process implementation
- Defining structures, decision moments and communication mechanism for adjustment
- Defining temporary roles & responsibilities. of involved actors and adviser

Implementation of change process & follow-up

- Coaching and steering progress
- Monitoring
- Finalise the change process
- Evaluation

6. Skills of the adviser

Advising and consulting, described by G.M. Bellman (1992) as 'Getting things done when you are not in charge', requires a variety of competencies (*competency stands for mastery of the knowledge, skills and attitude related to a certain expertise and context*).

The table below gives a concise overview of characteristics of (and comparisons between) our selection of core advisory skills. The first column lists the skills during the phases of the advisory process. The next column (Type) mentions whether the skill is an analytical or problem –solving skill (A) or an interpersonal skill (I). As communication skills form a large group within the interpersonal skills, these are specifically indicated (I-C). The third column (Role) says for which role of advising the skill is most relevant: the expert (E), the doctor-patient (DP), or the process consultant (PC) role of advising. Then follows a column with characteristics of the skill, and with some remarks on its application.

The last column indicates what to be aware of, and which other skills may be applied in such situations. In this column you will often find the advice 'distinguish x and y'. By this term we indicate that several reactions are appropriate (and often even changing between them is fine), but that you should be clear and consistent at each moment which one you apply.

After the skills follows a list of attitudes, only with a short description (and without 'when not to use column') as it is the nature of positive attitudes that they are never inappropriate.

	Skill	Type	Role	Characteristics / When to use	Things to be aware of
Orientation	Making rapport	I-C	All	Adjusting to the world of your client in terms of words, images and gestures. To make your client feel at ease and to help you sense the world of your client, accepting his insecurities and emotions	
	Observing	I-C	DP+ PC	Realising what messages, apart from the verbal content, your client communicates. Assessing his values and abilities	Distinguish observation from interpretation (interpretations are welcome but require probing), and conclusion from generalisation (your client *does* things from which you can deduct conclusions, but your client may not always *be* like that)
	Active listening	I-C	DP+ PC	Helping your client explore his problem, getting from symptoms to causes	
Contract	Constellation building	A+I	E+ PC	Visualising the pitfalls that can trap you in the relationships between and with your client, and finding a free and productive stand you can take to prevent 'entanglement'	Distinguish constellation building with the objective of preventing that you as adviser get stuck, from constellation building aimed at helping your client(s) relate more effectively
	Contracting	A	All	Reaching an agreement that leads to what kind of assistance you provide, geared at solving which problem. Getting a clear basic question and keeping that in focus during the assignment	Distinguish when you advocate your own (legitimate) interests and when (you confront your client with) your client's interests

	Skill	Type	Role	Characteristics / When to use	Things to be aware of
Contract	Negotiating (keeping on track)	A+I	E+ PC	Narrow: Balancing the interest of your client (objectives and inputs) and yourself (reward and task) Wide: Confronting your client which set of interventions serves his objectives best (many clients want to reach Rome (objective and purpose) while skipping some steps (activities and results). There are many ways to Rome, but skipping part of a trail will not get you there). In this wider sense negotiating often happens during the later steps as well (then referred to as 'keeping on track' or 'confronting your client of the integrity of the intervention logic')	Distinguish negotiating for your (legitimate) interests, from confronting your client to serve his own interests. In confronting your client about what serves his own (official or hidden) interests, respect that he chooses
Fact-finding	Identifying (sub-) questions	A	All	Identifying the issues on which you need information, to answer the central question, and designing an appropriate intervention process	
	Questioning	A+I	E+ DP	Interviewing (life or on paper) clients and other stakeholders, ensuring you receive answers on the questions you prepared, or that you *consciously* adjust your line of questioning (rather than that your interviewee guides the interview). Meanwhile you need to maintain a relationship, at least to ensure that the answers are reliable	
	Summarising / Probing	I-C	All	Summarising the information your interviewee gives you, and asking him whether your summary fits what he tried to relate	Distinguish summarising from posing a new thesis and asking your client for his view on that assertion
Diagnosis	Running meetings	A+I	DP+ PC	Guiding groups through the process of fact-finding, diagnosis, envisioning, weighing, and/or deciding	The different stages/types of meetings have different dynamics (see above), that need different kinds of chairmanship

	Skill	Type	Role	Characteristics / When to use	Things to be aware of
Diagnosis	Interpreting data	A	E+ DP	Drawing correct conclusions on causal relationships between the data	Distinguish possible interpretations (thesis's) from inevitable, logical conclusions (Note that e.g. in opinion research opinions are themselves facts – but statements on their significance can be either interpretations or conclusions)
	Alert to (silent) concerns	I	E+ PC	Observing when certain stakeholders (for reasons of culture or power) withhold their true (but relevant and legitimate) view, and enabling them to speak up	
Exploring options	Envisioning / Dreaming	I	PC	(Facilitating groups to) Visualise the desired future uninhibited by the current problems and concerns, and work from that vision backwards to actions (thus overcoming apathy or non-creative responses to daunting challenges)	Do not allow criticism on ideas during dreaming/envisioning. This interrupts the creative imagination, leads to a scattered list and scares people from speaking. Reviewing visions is the next step
	Brainstorming	I	E+ PC	(Facilitating groups to) List options and creative ideas related to an issue, in order to gather 'fresh air': ideas to address a challenge in a new way	Do not allow criticism on ideas during the brainstorm. This interrupts the brainstorm, leads to a scattered list and scares people from speaking. Reviewing options is the next step
	Help others communicate clearly	I	PC	Helping people overcome their shyness or fear to contribute ideas, and helping them to formulate their ideas in terms that others understand well	

	Skill	Type	Role	Characteristics / When to use	Things to be aware of
Conclusion	Facilitating	I	PC	Helping a group of people to progress in analysis, conclusions and decision-making, without providing ideas and opinions on the subject itself yourself	Especially in the heated stage of conclusions, distinguish very clearly between facilitating (as a PC) and contributing expert advice. At that stage, do not alternate between advising and facilitating. As facilitator leave the content alone or lead the content through the process
	Confronting / Convincing	I	E	Confronting: Making your client realise that (according to your observation) he acts in way that harms achieving what he wants to achieve (if the issue is the advisory process, this implies negotiating Convincing: Confronting with the intention that your client arrives at conclusions you already have in mind (Provoking: Triggering people to stay actively engaged)	Be clear whether you are convincing or try to convince, and avoid forcing (applying tricks to make your client go the way you want him to, but against his wish) Note: In negotiating your consultancy contract, you may point out to your client that the objectives and proposed activities (of you and him) do not match. In other words: You confront him regarding his role *in the constancy*. In confronting / convincing at the conclusion stage, the subject is usually how your client deals with an issue *in his regular work*
	Dealing with politics	A+I	E+ PC	Being aware and responding to power differences and (hidden) power plays – not allowing *yourself* to be used unconsciously as a weapon for one of more opposing parties, and acting tactfully when you observe that politics between different stakeholders threaten to undermine your *client*	'Dealing' with politics does not need to mean being a chairman, mediator, or arbiter. As an adviser you are not a proponent of any party, but at the most of certain views.
	Dealing with conflict	I	E+ PC	Being aware and responding to (hidden) conflicts, often (but not necessarily) by making it the subject of an open and structured discussion. This implies ability to be assertive (at times) and dealing with negative emotions, among other by helping them to disidentify (take a larger perspective) or identify with each others positions	'Dealing' with conflict does not need to mean being the chairman, mediator or arbiter (left alone judge) – it can very well mean appealing to your contract client to perform such a role. Note that conflicts are different when you are involved as a party yourself

	Skill	Type	Role	Characteristics / When to use	Things to be aware of
Planning change	Advancing concrete agreements	A	E+ PC	Encouraging and advocating that agreements are made that are clear (same interpretation by all), and SMART (specific, measurable, achievable, realistic, time-bound) and leaving no loose ends	
	Team building	I	E+ PC	Motivating clients to co-operate well, and realise the strength of their complementarities. Foreseeing and counteracting resistance	
	Keeping momentum	I	E+ PC	(Motivating your client to) Translate strategic decisions and principles into practical action, before the momentum is lost. Help your client (in particular new manager) to give follow-up on lofty intentions	Whether strategy making is an academic exercises does not only depend on the quality of the chosen orientation, but very much on whether it is put into practice
	Preventing overwhelm	A+I	PC	Advancing that all stakeholders keep on board of the process, and in particular that the management does not start to run far ahead of the implementing core, who would then loose track, identification and motivation	
Change	Seeing and adapting to reality	A	All	Seeing what happens in reality (rather than hammering on what should happen) and adopting interventions to that reality	Do not immediately throw the entire strategy overboard when you observe that not all prognosis were correct
	Stimulate timely adjustment	I	All	Advancing that diversions are acknowledged and adaptations are made timely	
	Coaching / Supporting	I	E+ PC	Being available to your clients for expert advice, reflection and support	

7. Attitude of the adviser/consultant

	Attitude	Characteristics
	Authentic	The premise is that all skills and attitudes are qualities to enrich and develop yourself, rather than to replace who you are
Orientation	Respectful	Fully accepting that your (contract) clients decides and sets the pace. Respect is in particular important in this as well as in the decision-making stage. Trusting your client
	Giving permission	Giving permission that your client has the problem he has, in the way he experiences it. Logically you may argue that your client is autonomous and independent of your opinion. Yet in practice your acceptance decisively determines the progress (openness, insight) your client makes
	Interested	Being curious to find out more about the issue
Contract	Committed / Engaged	Being committed to contribute something of value to your client, and feeling connected with the problem
	Clear on expectations	Being clear on what can be expected from you, and on what you expect and demand from your client, to prevent grudges and disappointment
	Win-win	Believing in win-win principal, rather than in positional bargaining
Fact-finding	Systematic	Keeping an orderly overview of progress and findings, and verifying data
	Comprehensive	Seeing the bigger picture and interdependencies in which your assignment fits, so that you do not propose partial solutions that undermine the overall objectives
	Trustworthy	Being transparent and honest to all stakeholders with whom you interact and providing security and confidentiality where appropriate
Diagnosis	Logical	Drawing logically justified conclusions from data and statistical correlation
	Open	Sharing your impressions and convictions without blame or holding back, and instigating others to do so
	Perceptive	Observing when stakeholders feel restrained to speak up freely and formulate clearly, and creating chances for them to share their views
Exploring options	Creative	Going beyond projecting the past into the future
	Non-judgemental	Accepting behaviour and opinions of your clients they way they are (which does not imply you are not allowed to desire and try to change behaviour and opinions, but it means being non-manipulative). Judging issues rather than people
	Stimulating	Stimulating others to think creatively and contribute actively

	Attitude	Characteristics
Conclusion	Humorous / Relaxed	Being stable (though not insensitive) to storms, and skilled to name tough issues with gentle, natural humour
	Patient + Energetic	Simultaneously accepting patiently that your client and other stakeholders set the pace and direction, and being very active in keeping the process running (a/o. others through rewarding contributions)
	Power aware	Having and eye for power differences and hidden conflicts, knowing the way they influence conversations, and being able to work with the situation
	Process aware	Being aware of the stages and dynamics of interactions, and skilled to intervene for the better
	Modest + Complete	Being simultaneously realistic and modest, as well as comprehensive and idealistic (not advancing plans you know are practically unreachable, ignoring loose ends)
Planning change	Liberating motivation	Advancing that people take responsibility and connect to their motivation to expert themselves and realise objectives
	Help getting to action	Stimulating people to start practising the changed behaviour that has been proposed and planned
	Imperturbable	Remaining steady and serene in chaos and doubt
Change	Responsive to reality	Willing and able to see what happens in reality
	Learning	Being eager to learn and stimulating others to continuously learn
	Celebrating	Being able to enjoy successes and admiring great personal endeavours, and sharing your appreciation about it, possibly with rituals

8. Competencies of the International Adviser

To enhance the actual performance of organisations and individuals in development co-operation, MDF provides short, separate training courses on specialised topics, in which participants are removed from their daily routine. However MDF wants to guide its clients (in this case particularly other advisers and consultants) to a holistic and accredited diploma of excellence. For this purpose MDF has chosen for a competency based individual learning trail, which offers individual learning routes with individual professional coaching: the **International Advisory Trail** (IAT). Competency descriptions are needed to define the standard of excellence (and subsequently to measure the performance of candidates against it). A single job-description would not be sufficient, because the assignments and specialisation of the targeted clients differ considerably.

Key choices

The table below shows the competencies and indicators for the International Adviser. Two considerations have been made:

Level versus number of competencies
Ideally competencies are so concrete, that the indicators that underpin them can be observed directly, and therefore unambiguously. The competency 'Maintains contact', with as one indicator 'Makes repeated eye-contact also in difficult stages of an encounter' is

more measurable than 'Manages good relations' with as an indicator 'Maintains contacts made earlier'. However, the more detailed you are, the more competencies you will distinguish. MDF aimed to identify around 12 competencies for the International Adviser, so the competencies are relatively broad. As a consequence some indicators remain broad, and MDF implicitly relies on the competence of the assessors and trainers working with them, to link them to directly observable behaviour.

Instrumental versus intermediate competencies
The competencies required for successful consulting can be categorised based on discipline. One can for example differentiate between technical competencies, contractual competencies, contactual competencies, competencies in planning and co-ordination, etc. The real art and critical success-factor of consulting lies in the simultaneous application of disciplines. In making a good contract, an adviser needs to simultaneously master analytical and relation skills. For this reason MDF has chosen for a main categorisation of competencies in terms of stages of the advisory process. In addition four cross-cutting competencies have been defined that are important in most of the different stages of the advisory process.

Assessment
During the IAT the assessment of the competencies is done as start of the trail to define the content of the trail and towards the end to be able to obtain the Certificate of the International Adviser.

	Competency	Indicator
1	Marketing	a. Has obtained assignments through networking b. Approached by those organisation that need your service that are ready to change c. Apply appropriate marketing approaches and techniques d. Entrepreneurial competencies e. Handling different types of assignments
2	Entry	a. Trust shown by client in advisor and the advisory process b. Quickly grasp the client system c. Match between client profile and your advisors profile d. Clarification on real issues
3	Contracting	a. Negotiate agreement on roles, responsibilities, support services and limitations of advisor and client system in the process b. Agreement on objectives, process, outcome, moments of evaluation and feedback c. Identify critical success factors for the intervention d. Set up an advisory contract and clarify ethical boundaries e. Client is prepared from the start that advisory process has a definite duration
4	Diagnosis	a. Use of solid conceptual framework of organisational analysis using mix of methods to handle complex situations b. Systematic involvement of concerned parties c. Get to the core problem and problem owner(s) d. Focus on the purpose of the assignment e. Clarified boundaries of confidentiality
5	Assessment and feedback	a. Use of institutional and organisational design, b. Focus feedback and confront c. Prepare client system for realistic picture d. Develop clear and concise verbal and written reports for discussion e. Verify common interpretation of the findings

	Competency	Indicator
6	Strategic planning	a. Facilitate participatory envisioning process b. Develop creative strategic options c. Create participatory decision making atmosphere d. Put into perspective dreaming, practical elaboration, critical assessment and decision-making e. Co-create a concrete implementation plan
7	Change implementation	a. Design organisational change strategies and change processes including practical monitoring agreements b. Make appropriate use of change agents c. Assess resistance strategies and manage resistance d. Keep momentum, and yet adjust the plans to the rhythm of the change process in the client system e. Maintain/restore strategy driven change as opposed to project driven change
8	Follow up, evaluation and separation	a. Develop and support implementation of a plan for follow up and evaluation: time bound and with responsibilities b. Share learning and ensure learning will continue c. Recognise when separation is desirable d. Indicate successes and make sure clients regard them e. Deal with critics, remarks and compliments of the client f. Provide after-care possibilities: post consultation contact
9	Interpersonal competencies	a. Effective Communication skills b. Give and receive feedback, confront and mirror, negotiate and conflict management c. Facilitate group process, empowerment of teams of members of the client system, d. Communicate the reasoning for the way your are working to client groups e. Cope with different human behaviour f. Coaching and counselling; let change agent of the client start a learning process
10	Cross-cultural competency	a. Sensitivity to unravel the norms and values system of the client b. Sensitivity to different communication styles, sense of time and space, competitiveness, action orientation, environment c. Be able to deal with politics and power patterns d. Adaptation to changing environment: create collaborative environment
11	Client-centredness	a. Cope with different organisational cultures b. Dealing with people's feelings and own feelings c. Guard ownership of change process is with client system d. Let change agent of the client system promote proposals, get the credits and be in the spotlight e. Observation, problem solving skills and feedback skills
12	Self awareness Professionalism	a. Be natural b. Monitor and take consequences whether your limits and biases match the needs and aspirations of the client system c. Keep up with field of expertise, develop new methods for advisory practice d. Institutionalised learning – knowledge management e. Use state of art technology

2.4.2 Relation with Client System

Acknowledging the dynamics of the client system and identifying one's own role within the system are two important issues that we have discussed in 2.2.1 and 2.4.1. This chapter examines the relationship between the adviser and the (members of the) client system. This is done through the use of the **drama triangle**.

What is it?

The drama triangle is a simple model to analyse whether or not clients and consultant relate to each other in a mature and autonomous manner. Whereas the organisational learning cycle examines whether the clients are mentally ready for the next step, the tool at hand determines whether the clients and/or consultant (sub-consciously) attempt to manipulate each other, and suggests ways to escape this 'drama'.
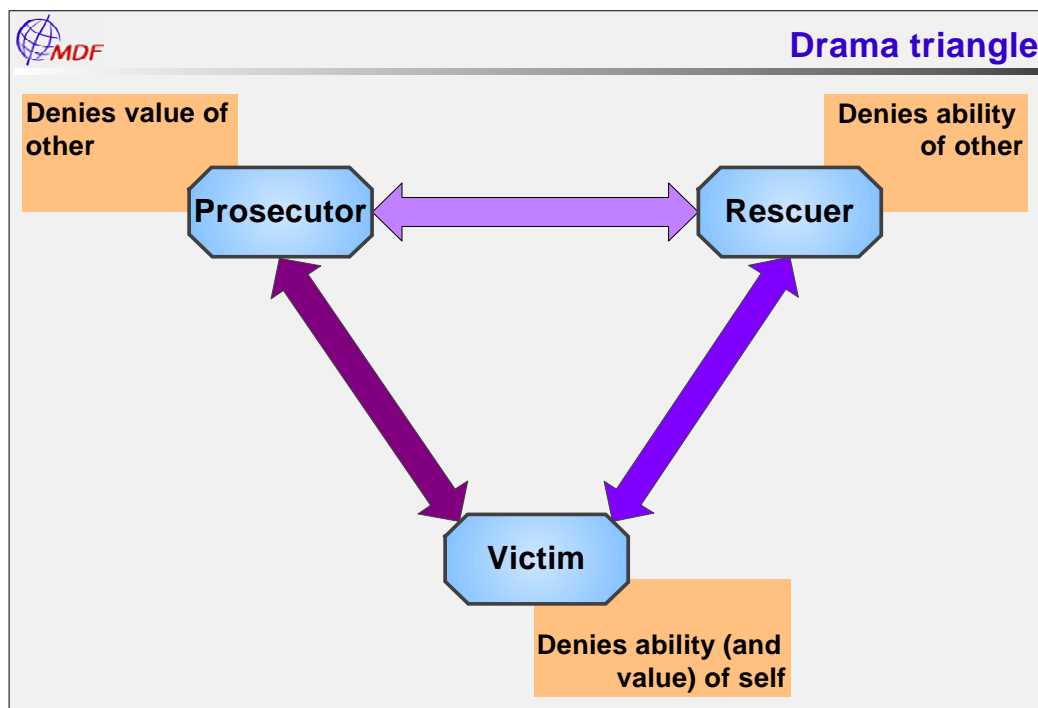
What can you do with it?

Analysing your relation with your client(s) in terms of the drama triangle helps you to see whether (or to what extend) this relation is honest and the expectations realistic. If this is not the case, the triangle suggests options for improvement.

Basic (sub-) questions
• How can the consultant stimulate that the client acts autonomous (without attempt to manipulate the consultant)?   • How can the consultant bring about that he/she personally acts autonomous (without attempt to manipulate the client)?

Results

- Do any of the parties use **pastime**[1] and **rackets** (hidden messages and secondary feelings)?
- Do any of the parties play psychological **Games** (**pastimes** and **rackets** that lead to a predictable **switch** with negative **pay-off**)?

How to use it?

Process

It is a tool that the consultant applies privately to analyse what happens and to decide on his/her reactions to the client.

Groundwork

You can study the drama triangle to learn from a negative experience or in preparation of working with a client on an assignment that is unclear and/or makes you uncomfortable.

Requirements and limitations

In using this tool one should remember that your *perception* and *interpretation* of reality might not be reality itself. And even if you do not project, it is good to remember that people are more than their behaviour (the **pastimes** and **Games** they play). They may limit themselves to a narrow **script** at a certain moment, but they still have the potential to step out of it and surprise you with completely different sides. Finally (as indicated in the steps) one should realise **pastimes**, **Games** and **rackets** were once the best response for those who use them. They may now be immature and even intolerable, but they were developed to survive in difficult circumstances. Fundamentally people don't mean to be mean: If they hurt themselves and others that is just a misplaced way of carrying on.

Practical references

- Berne, E. 'The structure and dynamics of organisations and groups'. Philadelphia. J.B. Lippicott Co, 1963 and 'Games people play'. New York. Grove Press 1964.
- Karpman, Stephen, 'Fairy tales and script drama analysis', Transactional Analysis Bulletin, 7/26, 1968
- Stewart, Ian and Vann Joines. 'TA Today. A New Introduction to Transactional Analysis.' Lifespace Publishing, Nottingham (UK) and Chapel Hill (USA), ISBN 1-870244-00-1, 1994.
- Veenbaas, Wibe and Piet Weisfelt. 'De Leidraad'. Phoenix, Utrecht, 2000

---

[1] The words in **bold italics** in this text are explained in the glossary of Transactional Analysis terms

Glossary of *TA* terms

Note	*Capital letters indicate that the position or behaviour refers to an inner state of mind rather than a necessity dictated by outer circumstances. Games are capitalised to indicate they are not free chosen, playful and conscious games.*

General

TA	Transactional Analyses, an analytical theory of personality founded by E. Berne
Racket	An artificial need, feeling, action, or fulfilment that substitutes for a true need, feeling, action or fulfilment. E.g. hunger as replacement for affection or rage as substitute for mourning loss
Stroke	Unit of attention. People play *pastimes* and *Games* to receive attention, even if that is negative attention
Script	Unconscious life-plan, developed in ones youth, which dictates how to react to situations
Driver	Positive command in the *script* of a person, such as 'Be perfect'. When the person does not succeed to measure-up with the driver he/she starts playing *Games* and takes drama states of mind
Stopper	Negative command in the *script* of a person, such as 'Do not succeed (but fail like your father)'. This leads in the first place to the *victim* position, but can then proceed to *prosecutor* or *desperate*
Allower	Antidote to a *driver*: A conscious permission you give yourself to resist the *bate*, so that you break with your *script*
Crossed transaction	Reaction that differs from what the *bate* asks for. A *prosecutor* attack for example calls for a *victim* response from the attacked. A crossing transaction would be to react as *rescuer*, or *script* free
Discounting / denial	Ignoring of symptoms, problems, options, value, and/or ability of oneself or others

Drama

Prosecutor	State of mind in which the person criticises or complains from a superior position
Rescuer	State of mind in which the person reaches out from a superior position
Victim	State of mind in which the person reacts to his situation as an innocent and powerless subject
Desperate	A *victim* who gives up hope that he/she can change the situation for the better

Ego-states

Critical Parent	Ego-state that is very similar to the *prosecutor* position
Nurturing Parent	Ego-state that is very similar to the *rescuer* position
Adult	Mature and free state of mind, the basic position from where the individual (sub-consciously) decides to go to other ego-states
Adapted Child	State of mind in which the person reacts to the situation and rules from an inferior position. The *victim* position is a specific type of Adapted Child behaviour, while being a rebel is the opposite manifestation of Adapted Child.
Free Child	State of mind in which the person reacts freely to the situation, but without taking adult responsibility

Game analysis

Pastime	Talking *about* an issue (what *they* did or how *it* is), rather than entering into ones experience. Taking a drama position is a **pastime**, unless it anticipates a **switch** (in which case it is a **Game**)
Game	A series of transactions between persons in which they take fixed positions, until a **switch** that leaves all players hurt and confused. **Games** are indicated with a capital letter, to distinguish them from voluntary fun games
Bate	The (non-verbal and sub-conscious) invitation to play a **Game**
Weak spot	The tendency of a person to bite into **bate**. Persons who often play **Games** (unconsciously) know to find and approach potential other players very well
Response	Reaction by the person biting into the **bate**
Switch	Change of position, such as from **victim** to **prosecutor**
Confusion	You wonder with desperate disbelieve: How did I get in this vague yet too familiar and undesired situation *again*?
Pay-off	Each party has unpleasant **racket** fulfilment and feelings in the end (the **Game** has only losers!)

Example of drama triangle

Games and pastimes

The below drama triangle indicates some **Games**. The characteristic of such **Games** is that the players take fixed positions in the triangle, until a (predictable) **switch** takes place. This **switch** was in fact (unconsciously) anticipated from the start (else the interaction would be called a **pastime** rather than a **Game**). The names of the **Games** are therefore written next to arrows that show from where to where the person who leads the **Game** switches.

Drama triangle

Denies value of other

Prosecutor

After all I did for you!
Look how I did my best

Denies ability of other

Rescuer

Yes but
Look what you made me do
Now I got you!
Wooden leg
You are so great!
Special friend

Kick me
Cobs and thieves
Cosmetic flaw
If it weren't for you
Mine is bigger than yours

Why don't you...
I only tried to help you
Isn't it terrible?

Victim

Denies ability of self

Wolves' game
Suicide

Denies value of self

Desperate

For short descriptions of the **Games** see the next page.

List of Games[2]

Yes but	Also known as 'YB', is one of the most common transactions between clients and consultants. The client lets the consultant think up solutions to his problem, which he rejects without exception with YB (if it were easy to find a solution the client would have found it before!). The solution is for the consultant to make the client search for himself, but with a different state of mind.
Look what you made me do!	Here the client (e.g. a trainee) laments about the devastating impact of following the irresponsible instructions of the consultant (trainer)
Now I got you!	The person who finally manifests as **prosecutor** first entices the other to go break certain rules (e.g. gossiping) and then condemns the immorality
Wooden leg / I need help…	The client can't do it, or can't even think, and is full of arguments/ excuses why he can't (hard youth, bad employer, nasty policemen, traffic problem). The client may also solicit for help without *asking* directly for it: Just looking helpless and waiting for a rescuer…
You are so great!	This client starts out praising the consultant to heaven. Remedy: Ask who else is fantastic, or why others fell off their pedestal
Special friend	Attempts to lure the consultant into saying everything but to mention the obvious 'secrets' of the organisation
After all I did for you!	The consultant more typically plays this: How can you be so unthankful to ignore my advice and act so autonomous?
Look how I did my best	As client of this consultant you should feel obliged and guilty. Prevent it by paying what the consultant deserves, that keeps the relation clean (and as consultant by not asking too little!)
Kick me	The client chronically comes late or forgets appointments, and asks humbly to be forgiven. The consultant holds back until he lashes out and the client gets what he was asking for, seeing it as confirmation that nobody is truly nice…
Cobs and thieves	The client is naughty and waiting to be exposed, but switches when this is done.
Cosmetic flaw	The person consistently nags with 'small' remarks about the flaws of the other. If the other bites, he denies that there is an issue: 'O, I just only meant…'
If it weren't for you…	A lethal **Game** if played by parents: If you weren't born, I would have gone to university. The ultimate way to instil incompetence and guilt
Mine is bigger than yours	The reference may be clear… It concerns clients who show of to their adviser, questioning and undermining his competence
Why don't you…	This person gives free advises until you get crazy of it and kick him, at which point he switches into your **victim**, saying:
I only tried to help you…	
Isn't it terrible?	This is mostly a **pastime**: Just gossiping about the bad political systems or the degraded mentality of the youth. The **Game** is also in enticing the listener to ask questions (draw the story out), rather than telling the story because *you* (as the teller) want to share it
Wolves' Game	This person so often sounds false alarm that he manages to have everybody ignore him when he is in true trouble…
Suicide	Whenever challenged this person withdraws from the confrontation by threatening with suicide. While truly desperate, he also misuses the threat to evade contact and responsibility

[2] Note that parts of these **Games** can also be played as **pastimes**. In other words, the behaviour that starts in one of the drama positions does not necessarily anticipate a **switch** to another position.

Steps in using the drama triangle

A   Work with yourself.
Analyse your own *script*:

- What happens to me time after time?
- How does that start?
- What happens next?
- What is my secret message to the other?
- And what happens then?
- What is the secret message from the other to me?
- How does it end?
- How do I feel then?
- How (I suppose) does the other than feel?

B   Work with the relation.
Analyse underlying dynamics in the *pastime* or *Game*. The general *Game* formula is as below – each stage provides options to terminate the *pastime* or *Game*. The next steps of this tool describe these options. Game formula:

> *Bate* + *Weak spot* = Response -> *Switch* -> Confusion -> *Pay-off*

1.   The origin of the *bate*: Recognise the *discounting* and *drivers* behind the *bate*. Look for verbal and non-verbal signals that indicate the position.

Drivers: If you recognise that you are invited and inclined to react to *drivers*, give yourself an *allower* as *Free Child* in stead of reacting on *driver* as *Adapted Child*:

Driver	*Allower* (antidote to *driver*)
• Be perfect	• You are good enough the way you are
• Please (the other)	• Please yourself
• Be strong	• Be open and express your needs
• Do your best	• Just do it your way
• Hurry up!	• Do it in your time

Discounting	**Options** how to deal with this
• Denial of own ability (victim)	• Make problem bigger until other recognises own or external resources and *actively* wants to use them
• Denial of own value (desperate)	• Show appreciation for other and own dignity
• Denial of ability of other (rescuer)	• Help rescuer realise he/she can't do it for the other
• Denial of value of other (prosecutor)	• Confront or undermine superiority. Bring in 'human size': The ones he/she defies are 'only' human

Signs (not proof!) of denial (of own capacity) are:
Verbal: Being passive, over-adapted or illogically aggressive
- 'I will try to do my best to…' (rather than 'I will…')
- 'You make me feel…' (rather than 'I feel … when you say…')
Non-verbal: Body and speech are not synchronised, e.g.:
- Laughs nervously while saying something painful
- Frowns while saying he/she understands
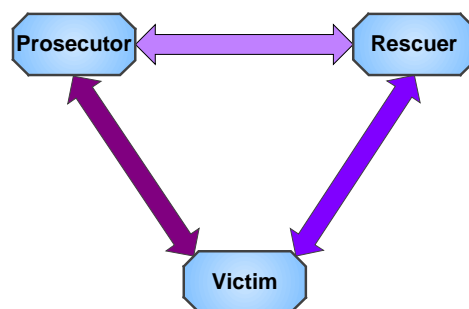
2. Recognise the **bate** (or 'invitation'). Four options how to deal with the bate:
   - Get back to the main issue with the key question: _What do you want to achieve_?
   - Exaggerated **Prosecutor** transaction: So you idiot you made the same old mess _again_!
   - Exaggerated **Rescuer** reaction: O that is really so mean of them, and you can't help it at all! Let me solve it for you!
   - Exaggerated **Victim** reaction: O goodness me, that is _really_ hopeless, terrible, etc.!
   - Confront directly: (It looks like) you try to… and that is not a way I work!

3. Deal with the **confusion**. Break out of deadlock situations (impasses that you don't even understand) by fulfilling at least the first two (of the below four) conditions:
   - At least one actor has to change his/her drama position or ego-state
   - Cross the communication. In other words _prevent_ or clearly _overdo_ the following matches:
     - **Rescuer** with **victim** (**Nurturing Parent** with **Free Child**)
     - **Prosecutor** with **victim** (**Critical Parent** with **Adapted Child**)
   - Change the topic
   - Forget the foregone topic

4. Refuse the negative **pay-off**. If you recognise the **Game** only after the turn, all is not lost!
   - Congratulate yourself for recognising what happens and appreciate your freedom from **script**-compulsion to wallow in the **confusion** and **racket** feelings
   - Honour the positive intention behind the **Game**. Look for the authentic need behind the **Game** and look for direct satisfiers of that true need
   - Intimacy at the time of **pay-off** or confusion: Name how you feel about where you got (meta-discussion, probably starting with confronting)

Note: Realise that people long for **strokes**, positive or negative. If you succeed in preventing or ending a **Game**, realise you deprive yourself and the other(s) of intense **strokes**. Breaking a **script** (and in particular ignoring a **stopper**) is threatening, because most people perceive a conditional right to exist: 'Only if I am perfect, I deserve to live (happily)'. People feel compelled to hurt themselves when they don't measure-up to their drivers (perfection, strength, speeding, pleasing, trying). Stopping to bang your own head necessarily leads to the deeper fear that you have no right to live… In other words, stepping out of ones script has a similar effect as experienced by Pavlov's dog. That dog did not only slobber when hearing a bell, but also feared a shower when hearing a beeper. Yet hearing the beeper without shower made the dog paranoid: In the beginning it feels terribly uneasy not to beat yourself up.

Therefore find substitute **stokes**, in particular **allowers** (confirmations that it is brave and legitimate not to repeat the same mistakes). Only when this is done consistently, confidence grows that positive **strokes** are reliable.

Models
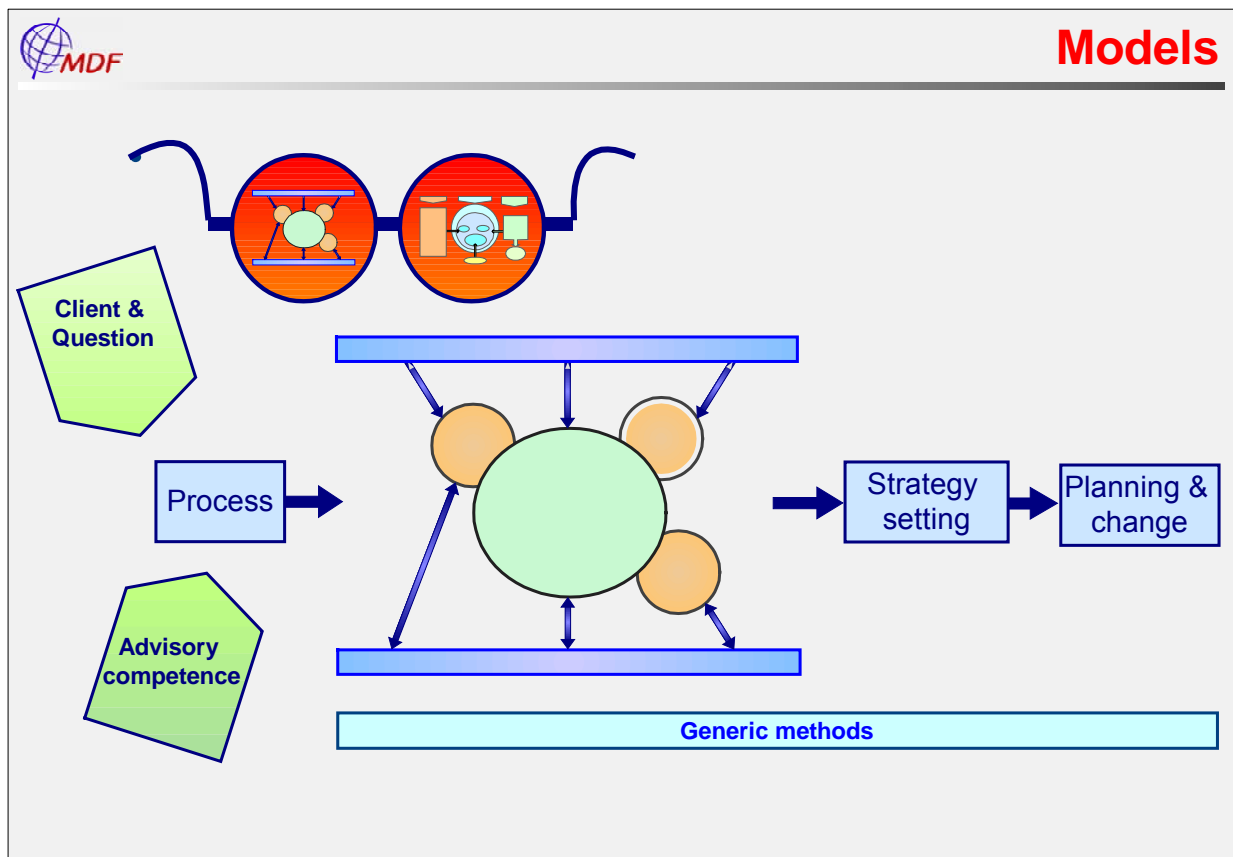
3   Models

This Chapter presents two Models that give an overview of what is at stake in Institutional Development and Organisational Strengthening (ID/OS). These Models are the glasses through which we will look at the ID/OS process. The Integrated Organisation Model (IOM) presents eleven elements that comprehensively characterise any organisation. And the Institutional Sector Analysis (ISA) Model provides an image of a Sector (a Sector can be any issue for which a country has developed a policy and budget), that includes several organisations. Thus the ISA is the larger picture and the IOM zooms in, which would make it logical to present the ISA first. However we do present the IOM first, because for ID/OS it is not mandatory to have the sector perspective, whereas ID/OS necessarily includes looking at organisations. Another reason to put the IOM first is that the Flow of the Tango (the name and order of Chapters and Sections) closely relates to the IOM, making the IOM the basis of this manual.

Both Models are first described and then followed by a checklist, that offers questions for organisation and sector analysis respectively. As the ISA is very brief, and the IOM checklist more detailed, they can be referred to as first- and second level of questioning respectively. Note that the IOM also includes a gender checklist, to facilitate a check that principally focuses on gender. Gender is already integrated in the regular IOM checklist, but this separate checklist can be of use if gender is the prime focus of an exercise.
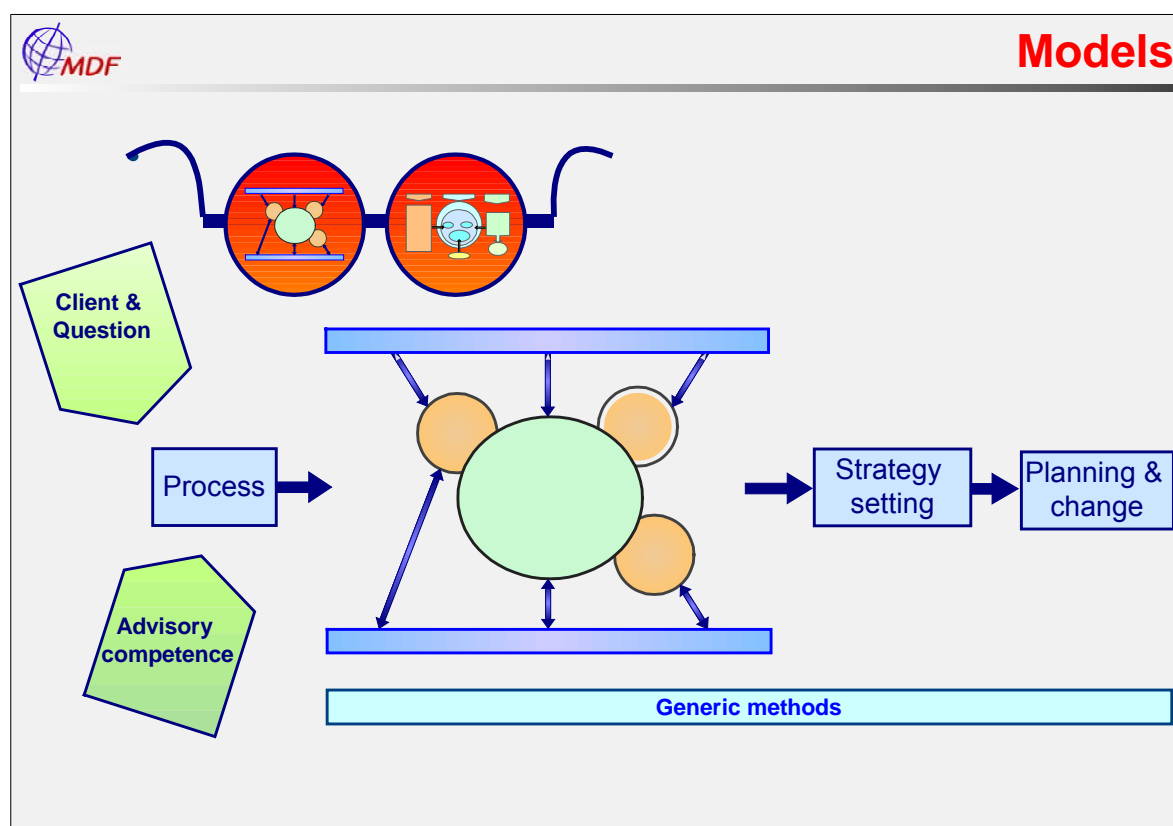
3.1.1   Integrated Organisation Model (IOM)

What is it?

The Integrated Organisation Model (IOM) is a model that can be applied to describe, to analyse and to diagnose organisations. The IOM is an integrated (or integral) model to emphasise the interrelationships of the different elements of an organisation: although the elements can to a certain extent be treated separately, they are all connected to each other and - ideally - in balance. When there is no or no clear fit between the different elements within an organisation, the organisation will not function optimally and the need for organisational change will be (or become) apparent.

Integrated Organisation Model

Factors: economic, technical, political, socio-cultural influences

Input

Mission

Structure

Systems   Strategy

Organisation

Management   Staff
Style

Culture   Output

Actors: suppliers, financiers, competitors, partners, target groups
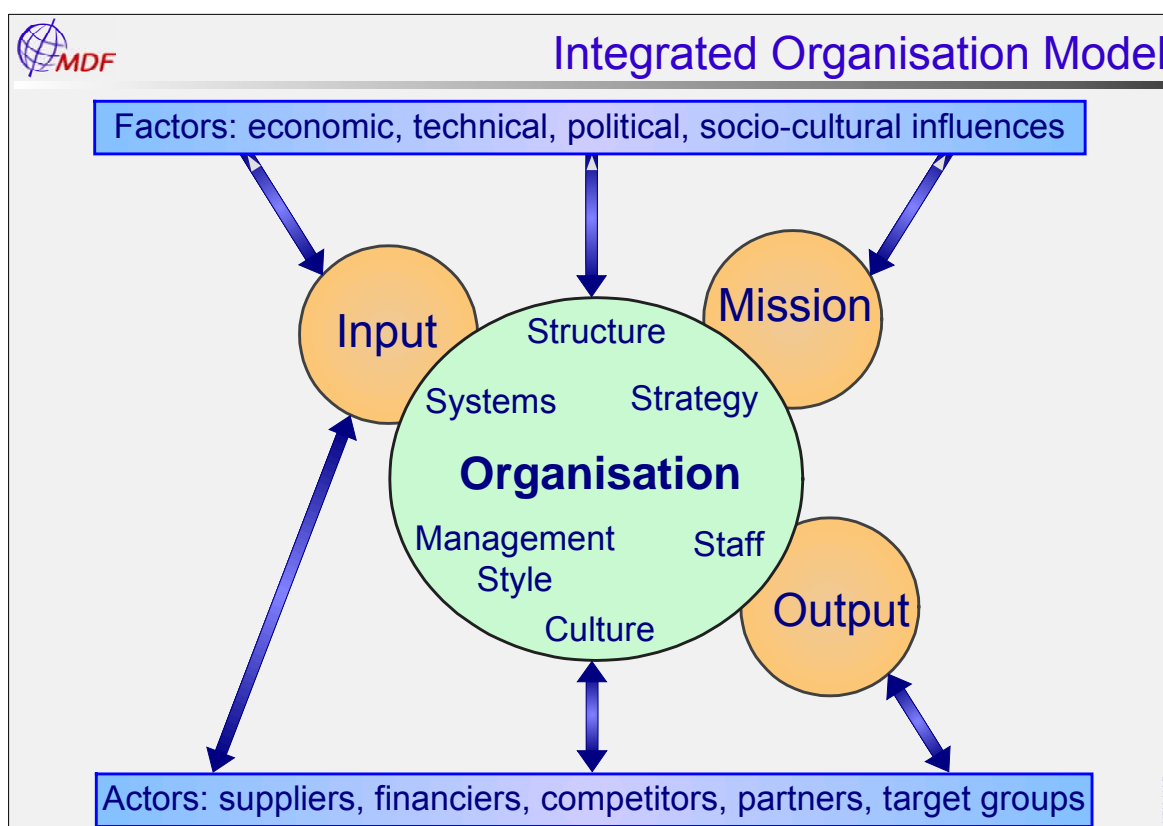
The IOM offers an overall tool to put the various elements of an organisation in their place, be it a government department, a non-government organisation, a local government, a people's organisation or a private enterprise wherever in the world. If you look at organisations using this model you wouldn't overlook the most important elements. However, it is an overall model, and instead of seeing it as a tool, one might rather refer to it as an organisational concept. To analyse an organisation in depth, you may need more specific tools, depending on the exact aim of the analysis.

Describing the model

The IOM consists of 5 external components and 6 internal components.
The **external components**, mission, outputs, inputs (together called the external organisation), factors and actors (together called the institutional elements) describe the environment of the organisation or have strong relations with this environment.
The **internal components** describe the internal organisational choices.

External organisation elements

Mission

The mission of an organisation is its 'raison d'être', or in other words, the overall objective(s) and main approach that explains why the organisation exists and what it wants to achieve with which means.

Output

The output of an organisation comprises all material and immaterial products and services delivered by the organisation to its various target groups (clients or customers).

Input

The inputs of the organisation include all the resources available for generating the products and services of the organisation. The following categories of inputs and resources can be distinguished: staff, means, infrastructure and source and level of income.

Institutional elements

Factors

The factors or general environment is the complex set of political, economic, technical, social and cultural factors that influences this (type of) organisation.

Actors

The actors or the specific environment comprises of the relations with those actors that the organisation is directly dealing with. These relations may include: target group, suppliers, financiers, partners, competitors, etc.

Internal organisation elements

Strategy

Strategy refers to the way the mission is translated into concrete objectives and approaches.

Structure

The structure of an organisation can be defined as the formal and informal division and co-ordination of activities and responsibilities.

Systems

The systems determine the functioning of the organisation. It comprises internal processes that can be divided into flows of main activities, procedures, approaches and methodologies, formal and informal systems.

Staff

The staff or personnel component refers to performance and motivation of the staff, utilisation and development of staff capacity. Some major elements staff policies are incentive systems, sanctions and bonuses, staff satisfaction and staff development.

Management style

The style of management can be described as the characteristic pattern of behaviour of the management. Where does a manager put priorities? Which *aspects* does he/she feel are important and how does the manager spend his/her time: Internal or external relations, people or means, relations or performance, inputs or outputs, quality or quantity What is his/her attitude in making *decisions*: Participatory or directive/authoritarian, risk taking or risk avoiding, long or short term oriented, formal or informal, rational or intuitive

Culture

The culture of an organisation is defined as the shared values and norms of people in the organisation.

What can you do with it?

The IOM provides an integrated model to emphasise the interrelationships of the different elements of an organisation, internal and external relations and can be used as a framework for structuring fact-finding. After analysing the individual elements, their relations can be investigated to judge (im-) balances. Reviewing the most obvious facts concerning all elements can provide a first identification of strengths and weaknesses and the opportunities and threats of the organisation (SWOT). The model also shows the relations, between Mission-Input-Internal Organisation-Output (see also Quick Scan).

Basic (sub-) questions

The IOM is an overview model and can be relevant to all ID/OS questions.

Results

- What are facts that comprehensively describe the organisation in its context?
- What are positive and negative aspects of the organisation?
- What are major imbalances and relations between the organisational components?
- What are priorities for improvement?
- What are areas for further investigation?

How to use it?

Process

On an individual basis or in a group (not more than 20 people) an organisation can be assessed. Such an assessment can be organised as per the IOM. With group sessions it is recommended to have an external facilitator. The model can be used by an adviser/ consultant at several moments in the consultancy process (e.g. preparing data collection). The IOM (as a general model, or as a means to group and order facts and judgements concerning a particular organisation) can be used in groups to reach consensus on the comprehensive picture and major priorities in the organisation.

Groundwork

The IOM can be used as a reference point throughout the ID/OS analysis, planning and change implementation process. The IOM is a reference point to check that the BQ is neither too narrow, nor too broad and ambitious.

Follow up

The IOM can be used to organise and depict facts, analytical conclusions and judgements (in terms of strengths, weaknesses, opportunities and threats), and to derive (and base) strategic choices on.

Requirements and limitations

For assessing the organisation, indicators have to be developed to judge the validity of statements made (these indicators should relate to the BQ). Different other tools should be used to deepen the analysis of the individual elements. The model is not very specific on external influences (actors, factors). And it provides static description (disregarding change processes or developments), although trends can be included as facts.

There are many other models to describe organisations (e.g. EFQM[1]/INK[2], McKinsey, etc.). In spite of their differences, they mostly yield fundamentally similar results, but their simultaneous application can lead to term confusion.

Practical references

The IOM is developed and extensively spread and used by MDF, and widely adopted by actors in development co-operation. It is a crucial reference point in MDF training programmes like the ID/OS course. Various MDF syllabi describe the IOM in more detail. Michael I. Harrison, Arie Shirom (1998), Organisational Diagnosis and Assessment

---

[1] See www.EFQM.org for the EFQM management model
[2] See www.ink.nl for the INK management model, based on EFQM

Example IOM: Municipality IDP

Problem owner

Municipality managing an Integrated Development Project (IDP)

Basic question

How can the Municipality increase the relevance, quality, quantity and timeliness of the services under the IDP?

Sub-question

What are strength and weaknesses in the current situation inside and around IDP?

FACTORS
+ Government support and political power to IDP
- Low economic development
- No legislation to force business people to contribute

INPUT
+ Good support system and information available
+ Good technical knowledge and information
- Limited knowledge on IDP

MISSION
+ Role of municipality well accepted

Strategy
-Weak consultation strategy

Structure
-stakeholders not serving on committees
- Poor co-ordination and communication between departments
-No follow up of IDP structure

Systems
- Weak monitoring and evaluation system
- Consultation process takes long

ORGANIZATION

Man. Style
+ Strong political leadership
-Top-down style top mgt
-Gender inequalities top mgt

Culture
+Eagerness to proceed with IDP
- Cultural differences in municipality

Staff
- Weak incentive system
- Weak staff development programme

OUTPUT
-Slow delivery, not according to expectations.

ACTORS
- Non Payment of services by the Community
- Still weak community participation in IDP

Conclusions

- Weak participation of communities
- Limited knowledge Staff and Councillors on IDP
- Weak Monitoring and evaluation systems

Steps in using the IOM

(As reference and overview tool in a strategic ID/OS process with participation of stakeholders)[3]

0.   Formulate the Basic Question

1.   **Present the IOM**

2.   **Relate the BQ to the IOM**:
   - On which elements should you focus (Is the BQ broad enough to be relevant and narrow enough to be manageable?)
   - Which criteria for judgement should be used?
   - To which (interrelated) elements do these criteria refer?

3.   **Identify the facts** and place them (on white cards) in the model, *using in-depth tools on the concerned IOM elements.* First scan the
   - External organisation elements (see chapter 4) (or the full overall picture), then assess in depth the
   - Institutional components (see chapter 5), and lastly the
   - Internal organisation (see chapter 6)

4.   **Analyse the facts**
   - Determine which facts are causes and which facts are effects
   - Position causes and effects in the IOM

5.   **Judge the facts** in view of the
   - BQ and in their
   - Balance with other elements (specially the internal elements can seldom be judged in isolation from the other elements)
   - Using criteria for judgement, like efficiency and effectiveness, see chapter 2.1.2

   S: Strength   Write positive internal judgements on green cards
   W: Weakness   Write negative internal judgements on red cards
   O: Opportunity   Write positive external judgements on yellow cards
   T: Threat   Write negative external judgements on blue cards

6.   Develop strategies and prioritise them by using other tools, and work out an operational ID/OS intervention plan, see chapter 7 and 8

---

[3] This is only one of multiple possible applications of the IOM.

3.1.2   IOM checklist

What is it?

The IOM checklist is a list for inspiration and suggestions concerning the elements to look into when analysing an organisation in its context. The aim of the checklist is to assist in analysing an organisation from different points of view; it *broadens and deepens* ones understanding of the situation. It is not an exhaustive list; it merely triggers to pose new questions. Working with this checklist is therefore referred to as 'Second level of analysis'.

What can you do with it?

Results
• A impression of the strong and weak points of the organisation • A comprehensive impression on the balance and match between the elements • A list of issues for further investigation

When to use it?

The IOM checklist can be used at various stages in the diagnostic process:
• At the start, to review where there are bottlenecks, and to which other elements these bottlenecks are related
• During the analysis, to check whether the fact-finding and analysis are still balanced in terms of focus and comprehensiveness
• At the time of assessment, to order and interpret the collected information

Requirements and limitations

The checklist is not complete. It raises common as well as often overlooked issues, but does not cover everything that could possibly be relevant about the various IOM elements. Moreover it does not give insight in which elements and aspects are crucial under particular circumstances. It should therefore support rather than replace common sense thinking. To get a first impression about a sector or organisation, you may use the much shorter ISA checklist (which is called a 1st level of analysis tool).

Steps

See the 'Steps in using the IOM' for possible steps in using the IOM checklist.

IOM Checklist

Relevant questions need to be selected and adapted based on the organisation and the basic questions concerned.

	Positive (+)	Neutral (±)	Problem (-)	Unknown (?)
01.0 MISSION				
01.1 Is the mission clearly formulated?				
01.2 Is the mission relevant to the situation of the beneficiaries?				
01.3 Is the mission understood & accepted by stakeholders?				
01.4 Is the mission clearly supported by the staff & management?				
01.5 Is the mission adequately translated into long term objectives?				
01.6 Is the organisation legally registered?				
01.7 Does the organisation have a clear constitution?				
02.0 OUTPUTS				
02.1 Does the organisation offer a relevant range of products/services?				
02.2 Do the products and services adequately address the needs of the target groups?				
02.3 Are the existing products/services in line with the mission and long term objectives?				
02.4 Do products/services adequately address the different gender roles and positions of the target group?				
02.5 Is there sufficient demand for these products/services?				
02.6 Does the organisation deliver a substantial volume of outputs?				
02.7 Can the organisation meet the demand for its products/services?				
03.0 INPUTS				
03.1 Is there a sufficient number of staff?				
03.2 Is there sufficient skilled staff?				
03.3 Are premises and equipment adequate?				
03.4 Is the location of the premises adequate?				
03.5 Are offices and equipment adequate?				
03.6 Are supplies of sufficient quality?				
03.7 Are services of third parties adequate (water, electricity, accountancy, etc.)				
03.8 Are financial means adequate?				
03.9 Is the organisation able to fulfil its short-term debts?				
03.10 Are there major financial risks and are they covered?				
03.11 Is there sufficient access to necessary information?				
03.12 Are inputs adequately utilised considering the volume and quality of outputs?				

	Positive (+)	Neutral (±)	Problem (-)	Unknown (?)
04.0 ACTORS				
04.1 Is the target group satisfied with the quality of products and services delivered?				
04.2 Is the target group satisfied with the volume of products and services delivered				
04.3 Is the organisation satisfied with the relations with financiers/donors?				
04.4 Are the financiers/donors satisfied with the results?				
04.5 Are relations with other agencies adequate?				
04.6 Has the organisation adequate relations with policy makers in the region and country?				
04.7 Has the organisation a good public image?				
05.0 FACTORS				
05.1 Is the socio-economic situation conducive to the performance of the organisation?				
05.2 Is the legal framework conducive to performance?				
05.3 Are socio-cultural norms and values among the target group and in society conducive to performance?				
05.4 Is the physical environment (climate, infrastructure) conducive?				
05.5 Is the political climate conducive?				
06.0 STRATEGY				
06.1 Is the strategy in line with the mission?				
06.2 Is the strategy clear and realistic?				
06.3 Is the strategy translated in a clear, realistic annual plan?				
06.4 Is the annual plan regularly monitored and adapted?				
06.5 Did the organisation realise earlier annual plans and budgets?				
06.6 Is there a clear and effective work planning?				
06.7 Is the plan of work monitored?				
06.8 Is the staff adequately involved in planning and monitoring?				
06.9 Do strategies and plans address gender differences among the staff and target groups?				

	Positive (+)	Neutral (±)	Problem (-)	Unknown (?)
07.0 STRUCTURE				
07.1 Is the decision making structure based upon a clear division of responsibility?				
07.2 Is the division of tasks and responsibilities clear and understood by the staff?				
07.3 Is there a logical division in departments and units?				
07.4 Is the logistical support adequately arranged?				
07.5 Is there sufficient co-ordination between departments/units?				
07.6 Is there sufficient communication between management levels?				
07.7 Is there an adequate balance in the position of men and women in different units and levels?				
08.0 SYSTEMS AND PROCESSES				
08.1 Are financial/administrative procedures adequate?				
08.2 Does the organisation adhere to its procedures?				
08.3 Are working methods/approaches adequate?				
08.4 Are working methods/approaches followed by the staff?				
08.5 Is there an adequate planning system?				
08.6 Is there a good system for monitoring and evaluation?				
08.7 Are realistic monitoring indicators developed?				
08.8 Is there sufficient attention to quality control?				
08.9 Is sufficient information about performance easily available?				
08.10 Is there an adequate reporting system (financially, non-financially)?				
08.11 Is there a positive audit report on the last year?				
08.12 Are recommendations of the auditor being implemented?				
09.0 STAFF				
09.1 Is staff performance adequate, considering the circumstances?				
09.2 Are the staff salaries and secondary benefits adequate?				
09.3 Is the performance of staff reviewed periodically?				
09.4 Is performance adequately linked to salaries and benefits?				
09.5 Are recruitment procedures adequate?				
09.6 Is the staff turnover within normal limits?				
09.7 Is the staff adequately utilised?				
09.8 Are there adequate staff development activities?				
09.9 Do the staffs have sufficient career perspectives?				
09.10 Does the staff policy adequately address gender differences?				

	Positive (+)	Neutral (±)	Problem (-)	Unknown (?)
10.0 MANAGEMENT STYLE				
10.1 Is concern of management adequately divided over internal and external relations?				
10.2 Is attention of management adequately divided over quality and volume of outputs?				
10.3 Is concern of management adequately divided over people and means?				
10.4 Is concern of management adequately divided over relations with staff and task performance?				
10.5 Is there adequate balance between giving responsibilities and control?				
10.6 Are decisions taken in time?				
10.7 Is staff adequately involved in decision making?				
10.8 Is the staff adequately informed on decisions?				
11.0 CULTURE				
11.1 Is there an adequate balance between hierarchy and participation?				
11.2 Is there an adequate balance between attention to performance and concern for people?				
11.3 Is there an adequate balance between short and long-term thinking?				
11.4 Is there an adequate balance between risk taking and risk reduction?				
11.5 Is there an adequate balance between individual responsibility and team spirit?				
11.6 Is adequate attention paid to accountability and transparency?				
11.7 Is there adequate attention to inequalities (gender differences & minority groups)?				
11.8 Is the organisation willing to learn from its past mistakes?				

3.1.3   IOM gender checklist

What is it?

The IOM gender checklist lists a number of questions on issues that have proven to be important in various projects, in terms of gender impact and sustainability.
This checklist has been developed applying the concept of the IOM with a specific gender focus. The checklist is by no means universal; it is simply an example of how the IOM as a generic method can be applied, looking at organisational performance from a gender perspective.

What can you do with it?

You can use this checklist when you need to pay more attention to gender in the project, organisation or sector. The checklist assists to get a broad and comprehensive overview (broadening your view), and thereby also assists to realise which aspects are of particular relevance in your case (focussing your efforts). It can analyse whether your organisation is sufficient gender sensitively organised in reference to the environment.

Basic (sub-) questions

- How can this project, organisation or sector serve both women and men (or implement an explicit choice for either of them)?

Results

- What are some important questions and issues concerning gender?
- What further issues, ideas, and associations come up when scanning this checklist?

How to use it?

Process

It can be done individually by a desk-officer, project manager, or consultant. The checklist can also be used to spark a discussion and analysis.

Follow up

Upon identifying and agreeing on the aspects of particular attention for a particular situation, in-depth analysis should follow, culminating in refined (or changed) interventions. The revision, like any change process, should be closely monitored and supported to realise the intended implementation and effect.

Requirements and limitations

Attention for gender aspects should be an integral part of development interventions, and the regular IOM checklist therefore already contains questions regarding gender.
However, when gender aspects have been neglected, this checklist may be consulted.

Like the IOM checklist, the IOM gender checklist is not (and does not claim or even aspire to be) exhaustive. Rather it is a list for inspiration.

As the IOM elements are interdependent (and often have cause-effect relationships), the discussion of subjects and interventions should take the wider context into account.

Practical references

- MDF syllabi:
    - An introduction to gender: Some basic concepts.
    - Definitions of concepts and tools used in gender diagnosis.
    - Gender issues and the culture of organisations: key words.
    - Considering Gender Aspects in the Project Cycle.
    - Gender sensitive monitoring: Indicators.
- Mc. Donald, Sprenger, Dubel. Gender and Organisational Change, (1997)
- Lingen, Annet. Gender Assessment Study (GAS), a manual for gender consultants, Institute for Social Studies, Advisory Service (ISSIS, 1997)
- Caroline Moser, Gender Planning and Development: Theory, Practice and Training, Routledge, London, 1993
- Sara Longwe, *Gender Awareness: The Missing Element in the Third World Development Project*, in Changing Perception: Writing on Gender and Development, Oxfam, Oxford, 1991
- Harvard framework, see: Overholt, Anderson, Cloud and Austin, *Gender Roles in Development Projects: A Case Book*, 1984

IOM gender checklist

1. Mission

Is the mission of the organisation described in gender sensitive terms, i.e. does it differentiate between the position of women and men among the target group/ beneficiaries?
- Does the mission of the organisation express gender-sensitivity (implicitly or explicitly), or gender-blindness (i.e. not gender-conscious)?
- Is it known which gender vision/motivation led to identify the mission?
- Is the mission of the organisation:
    - Gender sensitive, but not explicitly stated in the mission statement?
    - Gender sensitive and explicitly stated in the mission statement?
- In case the mission is gender-blind, do you think it is relevant to review the mission of the organisation from gender point of view?
- Does the organisation aim to improve the situation of specific male or female target group/beneficiaries? In case of yes, which one and why?

2. Outputs/results

Do products/services of the organisation take into account the differences in roles, needs and/or interests of men and women, old / young, within the target group/beneficiaries? Do the products/services contribute to a more equal gender situation?

- Do sex-disaggregated data concerning the external environment exists in order to identify the practical and strategic needs[1] of women and men?
- Are the products/services focused on the specific gender-needs of men and women within the target group?
- Are the products/services of the organisation focused on gender sensitive changes within the target group/beneficiaries? If yes, what effects are expected from such gender sensitive changes and/or empowerment? How sure is it that such results are fulfilled?

3. Inputs

Recruitment and selection of human resources

- Do women have similar employment opportunities within the organisation as men? Consider pre-application, application; which gender-sensitive criteria are used in the advertisement and/or in the application policy; which actually sits in the application committee; who is doing the interviews?

---

[1] Practical gender needs (PGN) are the needs defined by women and men that arise out of the customary gender division of labour. PGN's are a response to immediate perceived necessity, identified within a specific context. They are often concerned with inadequacies in living conditions such as water provision, health care, and employment. Strategic Gender Needs (SGN's) reflect a challenge to the customary gender relations and imply change in relationships of power and control between women and men. SGN's which women identify arise from women's recognition and challenge to their subordinate position in relation to men in their society, e.g. equal access to employment, equal pay, equal legal rights. SGN's which men identify arise from men's recognition and challenge to their exclusion from domains which customary male roles impose and which contribute to the perpetuation of women's subordination, e.g. sharing childcare. SGN's are context-specific.

- What does the organisation do to reduce the hindrance for women to apply? E.g. are advertisements published in "women-magazines"; within networks for women; are there "second opportunity" possibilities for women; what language is used in advertisements; has the job description been adjusted to address female qualities; do advertisements include the French benefits; do women participate in the application commission, etc.?
- Is the job description to employ temporary consultants, trainers, etc. gender sensitive, in order to enlarge equal opportunities.

Financial/material inputs

- In what way means have been set aside to encourage equal opportunities?
- Is there a budget to initiate and develop gender policy and gender expertise within the organisation?
- Are funds earmarked for specific gender issues?
- Does the organisation offer specific facilities to enable women and men to get access to special functions? E.g. child care, kindergarten, maternity/paternity leave, "under five" parents leave, to carry the baby to the work, transport, working times?

4. External relations/actors

Beneficiaries

In what way is the relationship, the organisation has with the target group/beneficiaries, based on an adequate analysis of differences in position (roles, needs, interests of men and women within the target groups/beneficiaries?

- In which way do different groups of beneficiaries participate in the interventions of the organisation? Please check Moser's classification below[2]:

to receive benefits	welfare approach
to take action essentially prescribed by others	welfare approach
to get access to opportunities/services	equity vision (gender)
consultation	equity vision (gender) poverty alleviation (WID) efficiency principle (WID)
to plan solutions to problems	efficiency principle empowerment vision
to implement solutions to problems	empowerment vision
to evaluate solutions to problems	empowerment vision

- Is the organisation familiar with the results of gender analysis on the level of the beneficiaries? (See e.g. Harvard analysis, which analyses the distribution of labour between women and men, the distribution of resources/inputs, the distribution of benefits and the related consequences for men and women.)
- If no, why is the organisation not aware? Can that be arranged? How?
- If yes, which results are relevant for the organisation?

[2]   One could also use Longwe's criteria for levels of equality and empowerment: welfare, access, conscientisation, participation and control.

Other actors

- In what way differentiate the current organisation from similar organisations in relation to gender-issues?
    - referring to its strategies focused on target groups/beneficiaries;
    - Referring to its internal gender policy.
- What gender related contacts does the organisation have with local, regional and/or (inter) national networks or service organisations?
- Do such contacts strengthen the organisation's gender policy? How?
- Do the organisation have a networking preference for actors with or without a strong gender policy? Why?

5. External factors

- How do external factors influence positively or negatively:
    - Equal access of men and women among the target group/beneficiaries towards products and services of the organisation?
    - Equal access of women and men to the organisation?
- Does (local) government has an explicit national/regional/local gender policy?
- If yes, what does this policy mean for the organisation in terms of opportunities and threats:
    - For the target group/beneficiaries?
    - For the organisation itself?
- Are women and men available on the labour market for the required functions? (quality and quantity) If no, for which functions is it problematic to recruit men or women?
- On the labour market, do women and men get a similar remuneration for the same function? If not, what are the differences?
- What level of education of men and women is available on the labour market in reference to the required functions within the organisation?
- Which values in society are valued as male or female? What does this mean for the organisation in reference to:
    - Products and services for the target group/beneficiaries?
    - Attraction and functioning of staff?

6. Strategy

a. Strategy/beneficiaries

In which way are the different positions (roles, needs, interests) of women and men within the target group/beneficiaries adequately addressed in the approaches and work plans?

- Is there an explicit gender-strategy focused on target groups/beneficiaries?
If yes, is the policy:
    - Gender-neutral, i.e. current gender relations are kept intact?
    - Gender-redistributive, i.e. the strategy is focused to encourage a different distribution of tasks and responsibilities among women and men?
    - Gender-specific, i.e. the intervention is focused to improve the situation of specific gender-groups?
- Do the target group/beneficiaries consider such a strategy as an improvement?
- Are the risks of such strategy known/unknown?

b. Strategy/personnel

- In which way are the different positions (roles, needs, and interests) of male and female staff and management adequately addressed in the approaches and work plans?
- Does the organisation have an explicit gender-policy concerning its own staff? E.g.:
  - Equal opportunities for women or a policy of preference?
  - To employ an emancipation worker: which tasks and what status?
  - Establishment of confidential commission?
  - Change of one-time-arrangements in established rules?
  - Maternity leave arrangements?
  - Additional training/education in case women are behind?
  - Are men/women able to fulfil their tasks? Do they get sufficient challenge and support in reference to new tasks?
  - What kind of behaviour is encouraged/how does that relate to specific female/male behaviour?
  - etc.

7. Structure

- In what way is policy of the organisation focused to have balanced number of men and women in (middle) management and strategic apex?
- What are its motives?
  - Efficiency (e.g. in case women do stay longer with the organisation, turn over expenditure reduces and money is saved)?
  - Labour market (e.g. to anticipate that less men with a partner at home to take care for the household, will be available on the labour market)?
  - Feelings of justice (women have equal rights; however such motives normally does not convince the apex)?
  - Complementing qualities (e.g. women do communicate easier than men in certain cases do)?
  - Competition motives: organisations compete with each other in reference to their gender sensitive image (financing is given conditioned when positive action is taken)?
- How is the number of men and women distributed over the different units/departments within the organisation?
- Are women in position in staff (professionals) and management functions?
- If not, why not? Mention the reasons?
- If yes, what percentage of management functions and what percentage of staff (professional) functions are occupied by women?
- How is this percentage compared to the last years?
- Does the organisation give the staff (male and female) equal access to exiting functions? How does the organisation do it? (E.g. meeting or core hours favourable for personnel with children.)
- Do mainly men or women in the organisation have important decision making responsibilities operationally (work processes) and/or on the policy level (management control process)?
- In what way do men/women control the informal decision-making?
  - Does one accept the little flexibility of women for overtime?
  - Is their mutual consultancy about specific tasks; does one emphasise a win-win situation in which women and men participate?

8. Systems and processes

Do work processes sufficiently consider the differences in position (roles, needs, interests) of men and women within the target group/beneficiaries?

- Monitoring and evaluation: are the objectives and indicators sufficiently gender-sensitive formulated?
- Are milestones and effects of implemented gender policy considered in the monitoring system?
- If not, is it possible to formulate such milestones and effects of the gender policy implemented?

9. Staff motivation

Do women and men in equal positions have an equal remuneration and equal opportunities for development?

- Career planning: do men and women in equal positions have equal chances in reference to training, tasks with individual opportunities for learning?
- Do women have possibilities to improve their backward situation (if any)?
- Labour conditions: do women and men in equal positions have equal labour conditions?
- Does the organisation consider the staff's situation "back-home" in order to offer equal opportunities for existing functions?
- If yes, how is such reflected in the labour conditions of its personnel? E.g. flexible hours, childcare, possibilities for maternity or parenthood leave, transport facilities, etc.
- What labour conditions have to be created to create equal opportunities for existing functions for men and women?
- Career: how to develop the career of women (or part-timers) compared to men (or full-timers) within the organisation, even though they both have the same "entry point" in terms of education, experience, etc.? Check whether the difference in part-time/full time is in line with the reality?
- Internal training/on the job training: those who teach/train, are they trained in gender-sensitive analysis?
- Does the staff that deals with the target group/beneficiaries consist of both sexes? Do they exchange information?
- Those who are directly in touch with the target group are they trained in communication skills in reference to gender-sensitive interventions?
- The staff that has contact with the target group directly do they have sufficient skills to address the needs of both women and men within the target group?
- Is apex and middle management trained in reference to gender issues?

10. Management styles.

Does the manager try to emphasise equal opportunities for men and women within his/her own staff in reference to their roles, needs, and interests?

- Is the manager able to identify the strong and weak points of people?
- Does he/she know which people are gender-sensitive?
- Does he/she encourage mutual communication concerning gender-issues? How?
- Is he/she emphasising individual gender-sensitivity training of his/her staff? How?

- Is the manager deal or relations oriented? What are the consequences for the relations between the manager and his/her staff and for the gender policy of the organisation?
- Are tasks and opportunities related to each other (do women have to fulfil the same requirements, or don't they have any choice)?

11. Culture

- In what way is a gender-sensitive balance felt important within the organisation?
- Emphasised here is the change of organisation culture in reference to gender:
    - Is the management/staff aware of internal practices and habits that are gender insensitive?
    - Have there been steps to be aware of these inadequacies and to final solutions to the problem?
    - Are gender policy plans communicated throughout the organisation?
    - Are positive results of the implementation of gender policy announced within the organisation?
    - Are norms and values equal for men and women or does one measure with double-standard measures?
    - Are masculine and feminine norms and values discussed within the organisation?
    - Does management share the potential capacity of female staff?
    - How is gender policy implemented?
- How do people express their frustrations? How do people communicate? How does one settle issues? Do men and women do such in a similarly way or are there distinct ways of communication or settling of issues?

3.2.1   Institutional Sector Analysis (ISA) Model

What is it?

The ISA model provides an overview of institutions affecting a sector. It is complementary to the IOM (see 3.1.1), but then applied to a network of actors that are active in a sector, rather than to an individual organisation.

- In the centre it contains the sector organisations: The government, NGO's, CBO's and private (entrepreneurial) actors
- It contains the network between these organisations (indicated by arrows as in an institutiogramme)
- Around these networks you find the legislative and budgetary framework, containing laws and regulations (both formal and informal) pertaining exclusively to the sector at stake.
- Outside you find the (inter-) national macro context (macro factors)
- As actors (other than the sector organisations) you find in particular the target groups and donors
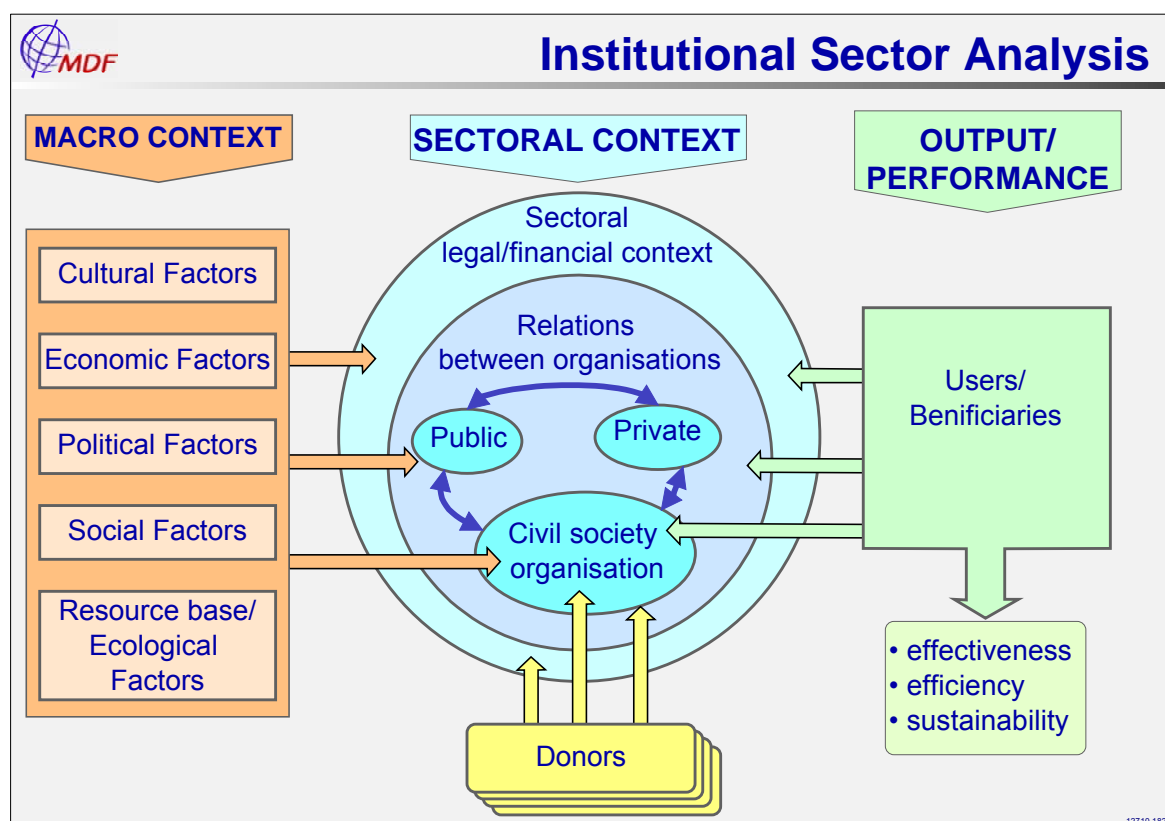
The ISA model provides an overview of the institutional elements of a sector to be assessment when reviewing the performance of a sector as a whole. Local/central government departments, community based organisations, non-government organisations and private enterprise are dependent on each other in a certain sector. The sector as a

whole aims to produce a certain output (products/services) towards a particular target group. All actors within that sector are playing their part. An institutional sector analysis is a set of systematic steps to analyse the institutional arrangements (incl. primary, commercial, non-commercial and institutional development systems) of a particular sector in order to identify the strengths, weaknesses, opportunities and threats in the sector as a whole. The primary system is defined as e.g. the actual health, education, agricultural, veterinary or telecommunication service or output to the target group and its related activities to produce or supply such output or services.
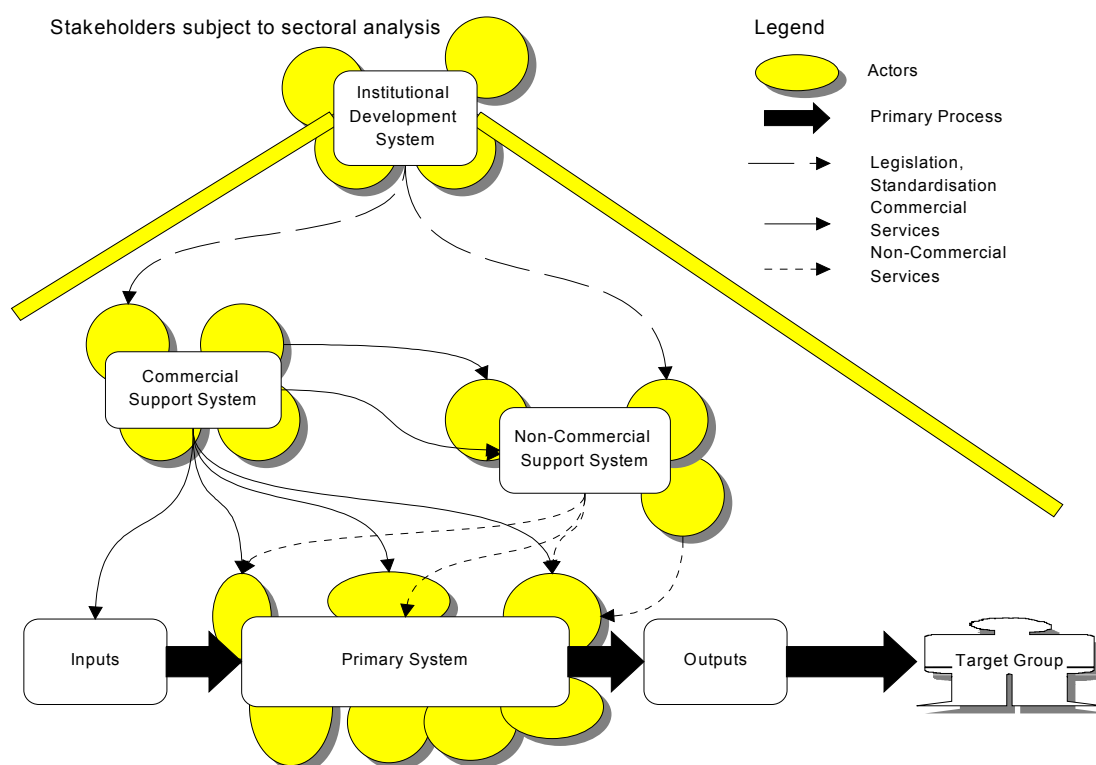
Although, in above picture, the target group is indicated as the "receiver" of the output of the primary process, it is obvious that the target group may play a distinct role in the primary system. To ensure target group orientation and involvement there should be feedback loops in the opposite direction of all arrows in the picture.

What can you do with it?

The sector analysis (and the ISA model) are designed to adequately distinguish policies, institutions and financing mechanisms within a sector of concern. It helps to identify the role all stakeholders play in relation to each other and in relation to the identified output of the sector as a whole.

Basic questions
How can the performance of the sector as a whole become more effective (i.e. a more effective implementation of the sector policy)? How can a key Sector Organisation become more effective, both policy- and management wise, in making its mandated contribution to the implementation of the Sector Policy?

Sub-questions

- What could be the sector priorities given the problems in the working field and the capacity of the actors in the sector (direct assistance planning)?
    What could the government do to enhance the desired sector priorities?
- What could be done to develop priority capacity in the coming years (IDOS intervention planning)?
    What could the government do to enhance the desired sector capacity development?

Results

- What is the quality of the relationship between and the functioning of key-actors within the sector, in reference to its intended output
- What are the strengths, weaknesses, opportunities and threats (SWOT) in the sector as a whole?

How to use it?

Process

The sector analysis can be done through consultancy services. Sector expertise is required, which is not always available within the local government body of concern. Terms of reference for such consultancy need to be prepared; while during the consultancy the various key actors are interviewed and/or individually analysed. The final SWOT should be endorsed by the initiators of the analysis (most likely the government), but preferably by a wide group of stakeholders in a joint meeting.

Alternatively an approach of facilitation is possible, whereby the consultant facilitates a sector analysis, which is conducted by players in the sector themselves.

Groundwork

The development of a supportive mindset (an eagerness among key actors to genuinely learn and subsequently commit to an action plan) is key to the validity and value of sector analysis.

Follow-up

After identification of the SWOT a strategic orientation needs to be designed to address the identified institutional bottlenecks in the sector (eliminating threats and grasping opportunities by using its strengths and overcoming its weaknesses). Government needs to design policies to enable other relevant actors within the sector to function as efficient and effective as required.

Requirements and limitations

Application of the steps in sector analysis requires knowledge of both the sector (e.g. about legislation, primary system, input requirements, processing and marketing aspects) and of institutional and organisational analysis.

Although sector analysis first assesses the capacity of a sector as a whole (and therefore also judges the performance of non-government actors in terms of strengths and

---

weaknesses), it is normally in the first place the government that commits to an action plan. The focus then shifts from 'What can and should *the sector* as a whole do?' to 'What can and should *the government* (and possibly other actors with which the governments co-operates formally) do *to enhance sector performance*?' Participation of all stakeholders is required during the sector analysis with the main challenge of bringing actors in the sector together to jointly work towards improved sector performance.

Practical references

- MDF Syllabus "Steps in Sector Analysis";
- DGIS (1998): Institutional assessment of sector assistance programmes: a methodology.

Example of ISA use: Health Sector case

Problem owner

Ministry of Health, donor community and stakeholders in Health Platform

Basic Question

What should be the strategic priorities of the Health Sector in the coming years?

MICRO LEVEL

OUTCOME/IMPACT: low health indicators

USERS:
- rich vs. poor
- urban vs. rural
- income, age, gender

Differences in situation and in demand and supply, and impact

Other stakeholders: public and private organisations

OUTPUT:
Reproductive health (RH)
Curative health (CH)
Preventive health (PH)

n:\overige\1688\04.flo

INSTITUTIONAL SECTORAL FRAMEWORK

other health related ministries and public institutions

government (parliament/cabinet)

Ministry of health (policy form. and implem./public health control

SECUNDARY (SUPPORT) ORGANISATIONS

NGO Support product/service

Public support product/service

Private support product/service

control ·····**monitoring evaluation**

PRIMARY ORGANISATIONS

HEALTH SERVICE DELIVERY:
1. public hospitals & health centers
2. private (urban) clinics
3. NGO services
4. traditional service

Drugs, tool, equipment supply etc.

Education, training information supply etc.

coordination ·····

INPUT: finance, personnel, means, information etc.

SECTOR LEVEL

DONORS:
- international financing institutions (IMF)
- multi lateral IDC agencies
- bilateral IDC agencies
- international NGO's

MACRO LEVEL

CULTURAL FACTORS:
- globalisation popular culture (ICT/MM)
- changing cultural identities
- change health concept

ECONOMIC FACTORS:
- globalisation market
- unemployment
- dominance agriculture sector
- stable national finance

POLITICAL/INSTITUTIONAL FACTORS:
- IMF policy (SAP, SCR)
- donor policy (G.G., GAVIM)
- donor focus (RH + PH)
- liberalisation, privatisation, decentralisation
- weak political leadership
- weak civil society
- weak state, but stable,
- weak enabling policy
- weak private sector
- strong NGO sector

SOCIAL FACTORS:
- globalisation civil society
- poverty/low HDI
- unequal distribution of wealth and access to services
- low education

ECOLOGICAL FACTORS:
- depletion of natural resources
- contamination of habit

Steps in Sector Analysis

Like the IOM, the ISA model can be referred to at various stages of the analysis and planning process. Being a Model rather than a Tool, the use of ISA cannot be defined in steps. The wider sector analysis itself (which builds on the model) can be shaped as indicated below.

0. **Define the problem owner(s)** who want to the analysis to take place, and who subsequently wants to intervene more effectively

1. **Define the sector**
   - Identify the primary system and its target group
   - Identify the commercial support system
   - Identify the non-commercial support system
   - Identify Institutional development system

2. **Analyse the aspect systems**
   - Primary system
     ⇒ Assess relations with the target group (services versus needs & requirements)
     ⇒ Assess collaboration/competition with other actors in primary system
     ⇒ Assess performance of individual organisations
   - Commercial Support System
     ⇒ Assess relations with primary system
     ⇒ Assess collaboration/competition with other companies
     ⇒ Assess performance of individual companies
   - Non Commercial Support System
     ⇒ Assess relations with primary system & commercial support system
     ⇒ Assess relations with target group of primary system
     ⇒ Assess collaboration/competition with other organisations
     ⇒ Assess performance of individual organisations
   - Institutional Development System
     ⇒ Assess general legislation for planning, standardisation and co-ordination
     ⇒ Assess relation with target group
     ⇒ Assess relation with primary system
     ⇒ Assess relations with commercial and non-commercial support systems

3. **Assess and prioritise** sector strengths, weaknesses, opportunities and threats

4. **Develop and operationalise** sector and government **strategies**

Note: The latter two steps refer to large efforts, involving the application of various tools throughout the ID/OS process

3.2.2 Institutional Sector Analysis (ISA) checklist

What is it?

The ISA checklist is a short list of questions to get an impression concerning the sector. It is a 'first level' of analysis tool: It asks for the headlines, not for the details. The IOM-checklist can be consulted for more detailed questions (although even that checklist is not exhaustive).

What can you do with it?

The performance of a sector is affected by its contextual institutional factors as well as by the way a sector itself is (internally) organised. To get a first comprehensive understanding of the performance of a sector both the external and internal aspects of a sector need to be examined. The ISA-checklist (or questionnaire) is rather straightforward to examine the various external and internal aspects of a sector. The ISA-checklist provides an overview of the main topics in institutional and organisational analysis.

Basic (sub-) question

- What strategies are most relevant to improve the performance of the Institutional Sector (macro and intermediate level)?

Results

- Where are bottlenecks in the context around or within the sector?
- Where should further research or action planning focus on?

How to use it?

The ISA-checklist can be used at various stages in the diagnostic process:
- At the start, to review with regard to which ISA-elements main bottlenecks for sector performance can be identified, and to which other ISA-elements these bottlenecks seem related
- During the analysis, to check whether the fact-finding and analysis are still balanced in terms of focus and comprehensiveness
- At the time of assessment, to order and interpret the collected information

Limitations and requirements

The checklist assists to get a comprehensive first impression only. The IOM checklist can be used to inspire more focussed in-depth analysis of a sector or organisation. As situations differ, some of the questions may be irrelevant given the specific circumstances. The ISA-checklist does not value the weight of the different elements and aspects. The checklist should support rather than replace common sense thinking.

The ISA-checklist

External aspects of a sector	Question relevant?		Question to adapt?	
	yes	*no*	*yes*	*no*
01. IMPACT: Do the products and services of the sector contribute, in a sustainable way, to the alleviation of poverty among the sector beneficiaries?				
02. USERS: Are relevant needs and demands of users sufficiently covered by the services / products delivered by the sector as a whole?				
03. SECTOR OBJECTIVE: Is the sector objective relevant and legitimate for the satisfaction of the needs of the users?				
04. OUTPUTS/RESULTS: Are services and products delivered by the various actors in the sector relevant, accessible and affordable to the users?				
05. INPUTS: Are inputs to the sector of sufficient quantity and quality to deliver adequate services/products?				
06. EXTERNAL RELATIONS/ACTORS: How adequate are working relations between the (key-) organisations in the sector?				
07. EXTERNAL FACTORS: How is the functioning of the sector influenced by the external institutional factors (political, economic, legal, social, ecological framework)?				
Internal aspects of a sector	**Question relevant?**		**Question to adapt?**	
	yes	*no*	*yes*	*no*
08. POLICY/STRATEGY: Is the sector policy / strategy comprehensive, transparent and made sufficiently operational in order to achieve the overall goals/mission of the sector?				
09. STRUCTURE: Is the division of work and the co-ordination mechanism in the sector adequate and contributing to delivery of good services?				
10. SYSTEMS: Are the procedures and practices along which co-operation between actors is organised (including financial management) in the sector effectively contributing to good, accountable performance of the sector?				
11. STAFF PERFORMANCE: Does the sector attract the appropriate staff and is their performance adequate considering the circumstances / working conditions in the sector?				
12. MANAGEMENT STYLE AND CAPACITY: Is the management style and performance of overlooking / co-ordinating bodies adequate for the performance of the sector?				
13. CULTURE: Are the prevailing norms and values that determine behaviour in the sector conducive for effective sector performance?				

www.mdf.nl

Steps for using the ISA-Checklist

0. **Formulate the Basic Question(s)**

1. **Relate the BQ to the ISA**:
   - On which elements should you focus (Is the BQ broad enough to be relevant and narrow enough to be manageable?)
   - Which criteria for judgement should be used?
   - To which (interrelated) elements do these criteria refer?

2. **Review the questions in the checklist:**
   - If question is not relevant to your Basic Question, then leave out this question
   - If question is relevant to your Basic Question, then consider if question needs to be adapted
   - If question does not need adaptation, then transfer to your own worksheet
   - If question does need adaptation, then rephrase question on own worksheet
   - If relevant questions are not on the ISA checklist, then formulate additional in-depth questions on your own worksheet

The next steps are big steps and may involve various tools, including the IOM-checklist (to select tools see further the introduction 1.3 or the overview of tools in 10.1).

3. **Collect the data / facts**

4. **Analyse the facts**

5. **Judge the facts** in view of the
   - BQ and in their
   - Balance with other elements (specially the internal elements can seldom be judged in isolation from the other elements)

S=Strength	Write positive internal judgements on green cards
W=Weakness	Write negative internal judgements on red cards
O=Opportunity	Write positive external judgements on yellow cards
T=Threat	Write negative external judgements on blue cards

   Note: Do not have lengthy debate about whether a (set of) facts is positive or negative. In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the fact into sub-facts that are positive and negative*
   - *Give the fact both a positive and a negative judgement, or no judgement at all*

6. **Develop strategies** and prioritise them by using other tools, and work out an operational Institutional Development intervention plan

External

Organisational Analysis
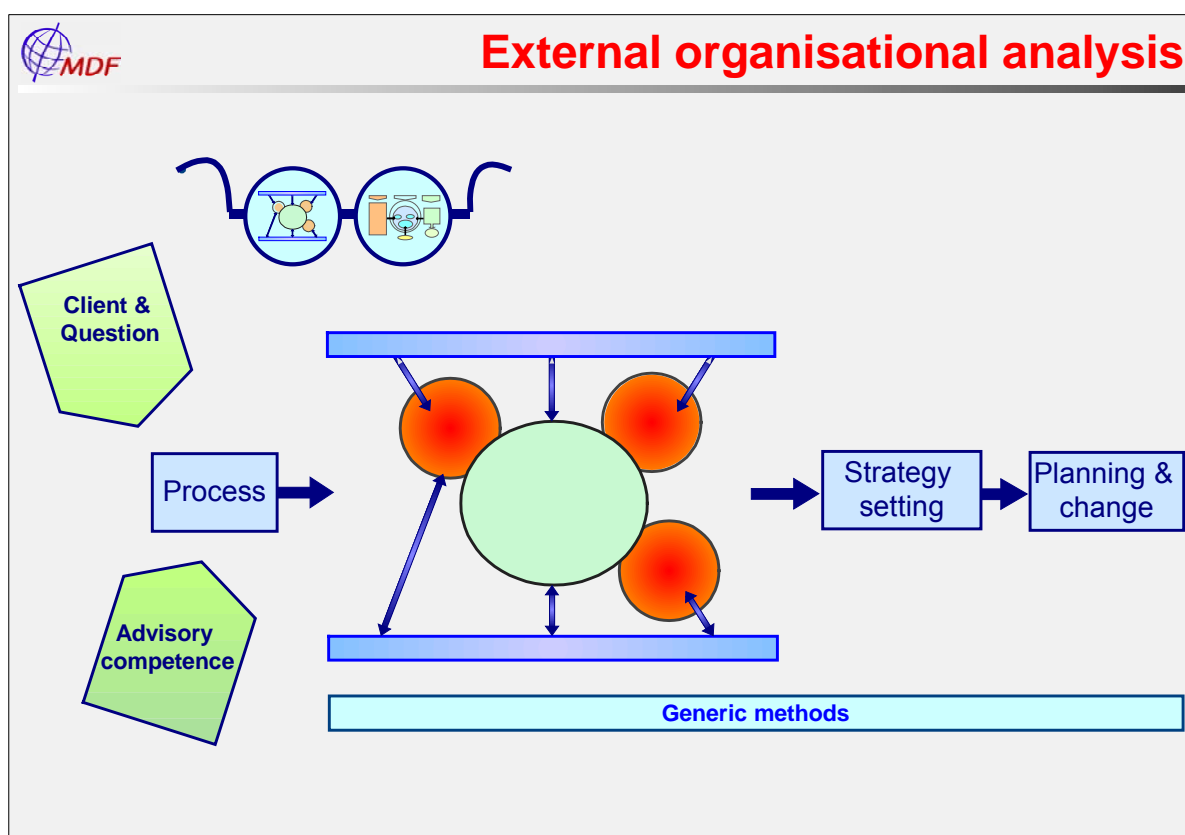
4 External organisational analysis

This Chapter looks at the three organisational elements that clearly link to both the internal organisation and its institutional context. These three elements deserve to be investigated, or at least glanced at first. They look at an organisation in its purpose and performance, rather than at its internal functioning (which is the object of the internal organisational analysis) or exclusively its outside context (which the institutional context analysis explores).

These three elements are output, mission and input. They are represented at the interface of external and internal, because the
- **Output** comes from inside but is 'sold' (offered) outside, the
- **Mission** is an internal ideal of what the organisation should achieve in the outside world, and the
- **Input** is what the organisation takes from the outside world

And this is the order in which we discuss them, because that is the order in which you may look at a potential partner with whom you consider further collaboration. We start at output, because the actual performance until date is what matters most. Only after that do we explore the mission or aspirations of the organisation. As these are often woolly and ambitious, we prefer evidence to ideals, but the mission is a good second area to explore. Thirdly we can look at the input, because this indicates how efficient (or wasteful) an organisation does what it does.

Before tools that focus on these three elements individually, we present the '**Quick Scan**', which glimpses at the interrelations between input, output and mission. The Quick Scan sometimes leads to overall conclusions (or even recommendations), but more importantly it provides insights of *where to focus further analysis*. The Quick Scan relates closely to the Basic Question, confirming or adjusting the direction of further investigation. Making a Quick Scan should prevent jumping headlong into detailed analysis, which may yield great volumes of nice-to-know data, but fails to get to the heart of the matter. The purpose of the Quick Scan is to enable a 'lazy analysis' that doesn't fuel baseless hopes and fears. After all, organisational analysis implies organisational harassment, keeping people off their work, leading to insecurity and resistance or else to expectations that cannot be met.

Note that the tools on the individual elements are not in the first place useful for diagnosis of the current state of affairs (as most other tools do). The '***Quality definition chart***', which investigates output, can best be used to directly improve products and services, rather than assess present performance. '***Envisioning***' is a method to develop original and attractive objectives and action plans, making the tool not only relevant to develop the overall mission of an organisation, but also for strategy and project development. The '***Evaluation grid***' finally evaluates *potential* inputs, thus facilitating decisions on future inputs and partnerships, rather than assessment of the current intake of means, staff and money.
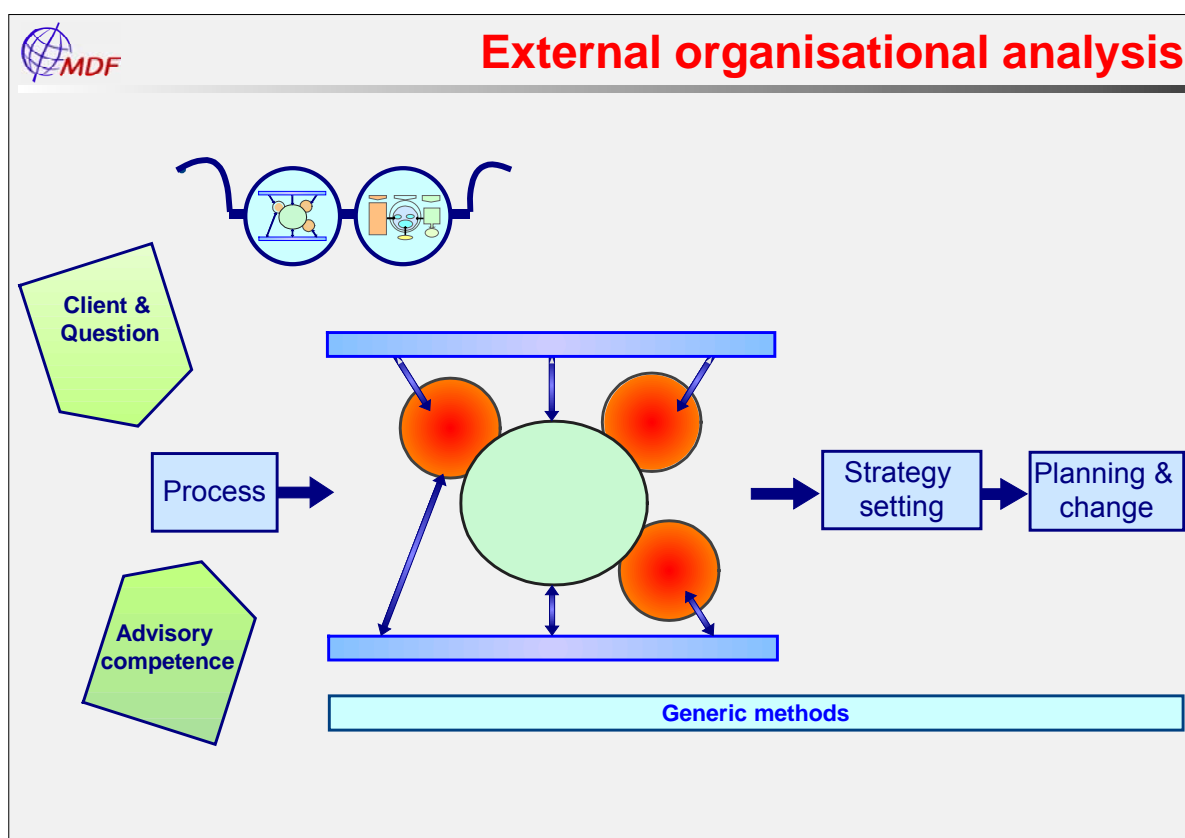
4.1   Quick Scan (QS)

What is it?

A Quick Scan is a way of getting a quick impression of the most relevant features of an organisation. With minimal 'harassment' (ID/OS diagnosis and planning is time consuming and creates uncertainty) it provides the basis to decide whether (and if so in which aspects) further inquiry is required, while (at least equally important!) it also indicates in which aspects further investigation is *not* required.

The Quick Scan is also known as External Organisation Analysis (EOA) because it looks at the IOM elements at the borderlines of the organisation, and its link with the environment: Mission, input, output, users and outcome. Information on the internal elements or institutional context is deliberately ignored at this point, because what counts is in the first place the performance of an organisation, rather than curiosity for the external challenges and the internal functioning. After fact-finding, the QS judges the relations between the information on the elements, using criteria such as suitability, efficiency and effectiveness.

The QS particularly relies on written information or direct observations, rather than meetings and interviews. Merely seeing the building, computers or car park of an organisation already gives a first impression on the magnitude of the organisation and its problems.
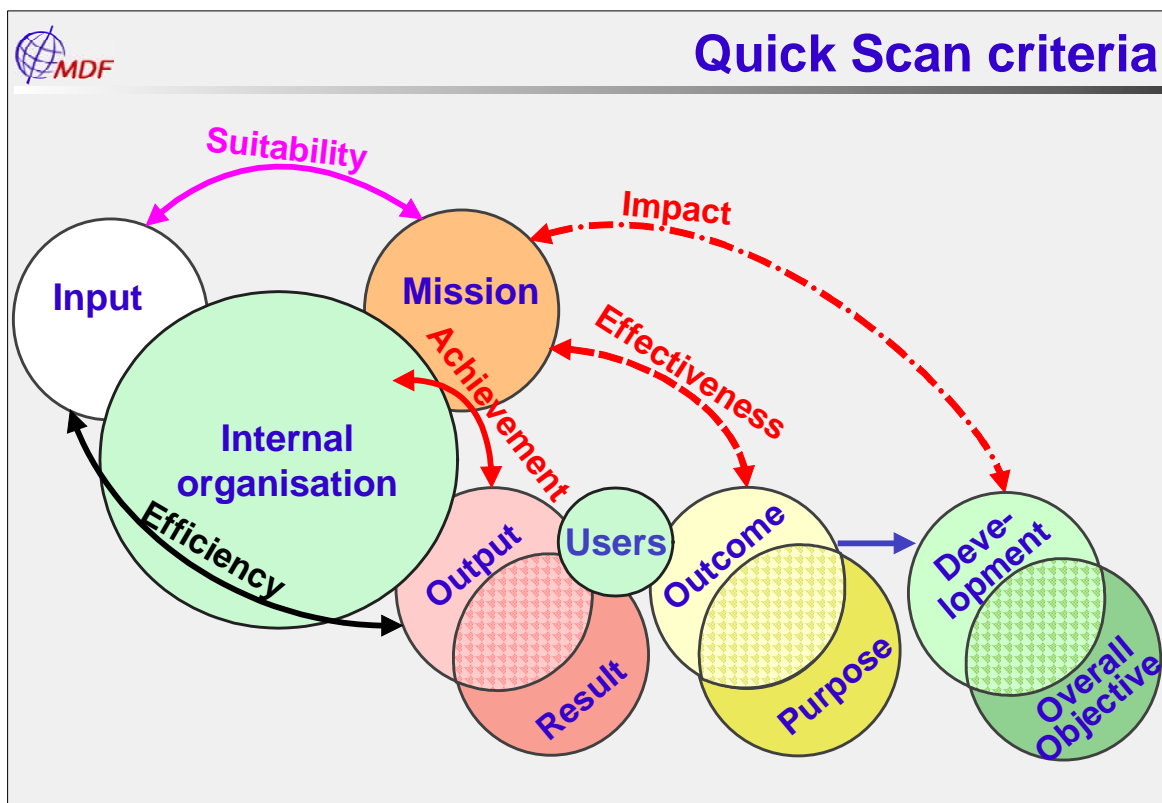
What can you do with it?

A client organisation may wish to start a change process with Quick Scan to get the content and spirit focussed on the right issues. Alternatively a consultant may propose to start with a Quick Scan, for the same purpose and to familiarise him- or herself with the organisation. Finally a donor may request and initiate a QS, to determine under which circumstances, and flanked by which change processes, funding of large (government) organisations is effective.

Sub-question

- (How) should the Basic Question be refined, to focus on the vital shortcomings/ opportunities of the organisation?

Results

- Priorities to select what and what *not* to diagnosis subsequently, and therefore limited expenditure and uncertainty for the organisation
- These priorities relate to external performance and are therefore more relevant and important than non planned improvements
- Arguments to further investigate elements of concern, and therefore an increased urgency and lessened resistance to change
- Refinement of the BQ

How to use it?

Process

A Quick Scan can be carried out by a small team of a consultant and his/her direct counterpart(s) in the organisation, using secondary data (published information), observations, and occasionally other rapid appraisal methods (such as short interviews). Depending on the size of the organisation, the scan may take a few hours to a week.

Groundwork

An initial BQ should be formulated, and the client should be willing to 'undergo' the scan.

Follow up

As a follow up of the Quick Scan the BQ should be revised (or confirmed) and the ID/OS diagnosis and change process further defined.

Requirements and limitations

Realise they are first impressions and hypothesis.
Watch out for term confusion:
- In this tool we use the word Quick Scan to indicate an analysis of the relation between mission, output and input of an organisation.
- The term also refers to a first analysis of all IOM elements, in order to choose the focus of subsequent in-depth analysis.
- In sector analysis the term Quick Scan is also applied for the sketch analysis of the performance of a full sector.

Example Quick Scan MDF

Problem owner

The ID/OS trainers at MDF

Sub-question

Are the ID/OS trainers at MDF suitable, effective and efficient in their ID/OS training?
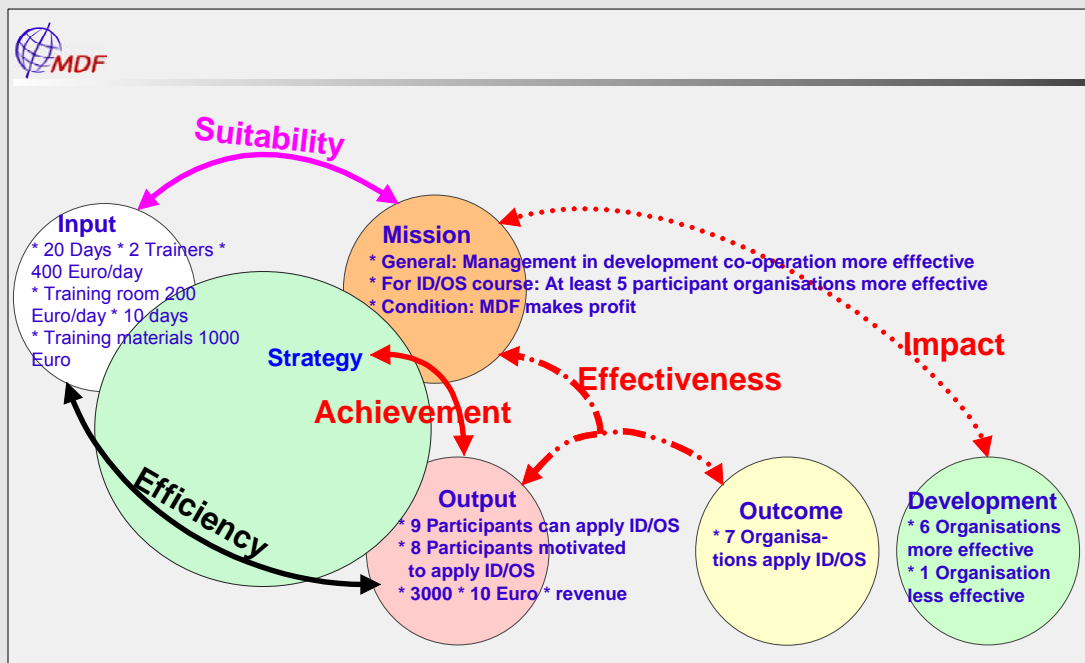
Conclusions

Suitability: MDF is fit for its mission. MDF employs two trainers with sufficient preparation, implementation and follow-up time (and allocates some other inputs) to give training to a group of 10-18 participants.

Efficiency: Revenues (30,000 Euro) exceed costs (19,000 Euro). Compared to other Dutch training suppliers the daily rates are low, but the preparation time high. Compared to training organisations in developing countries Dutch salaries and the trainer/participant rate are high. Effectiveness of the training should be assessed to see whether MDF proves competitive

Effectiveness: The mission of making at least 5 participant organisations more effective is reached. In fact 6 become more effective, but the performance of 1 organisation actually drops after an ID/OS exercise. At output level the transfer of skills is good (90%), and most participants also leave the training motivated (80%) to apply ID/OS. Many external factors influence whether that output leads to the desired outcome and impact, such as whether participants are allowed by their organisations to use their new competencies. MDF cannot be held responsible for these factors, but can anticipate them.

Achievement: every organisation has strategy definitions on what they need to produce in order to contribute to its mission. The achievement is measured by evaluating these strategies: the planned produce vis a vis the quality and quantity of the realised output.

Example Quick Scan NGO

Problem owner

NGO aiming to give mentally disables children a dignified live, by:

- Identifying where the mentally disabled children live
- Motivating parents and village leaders to send the children for training
- Giving children and their parents three months in-house training
- Giving follow-up to trained parents and children
- Raising public awareness and social acceptance of mentally disabled children
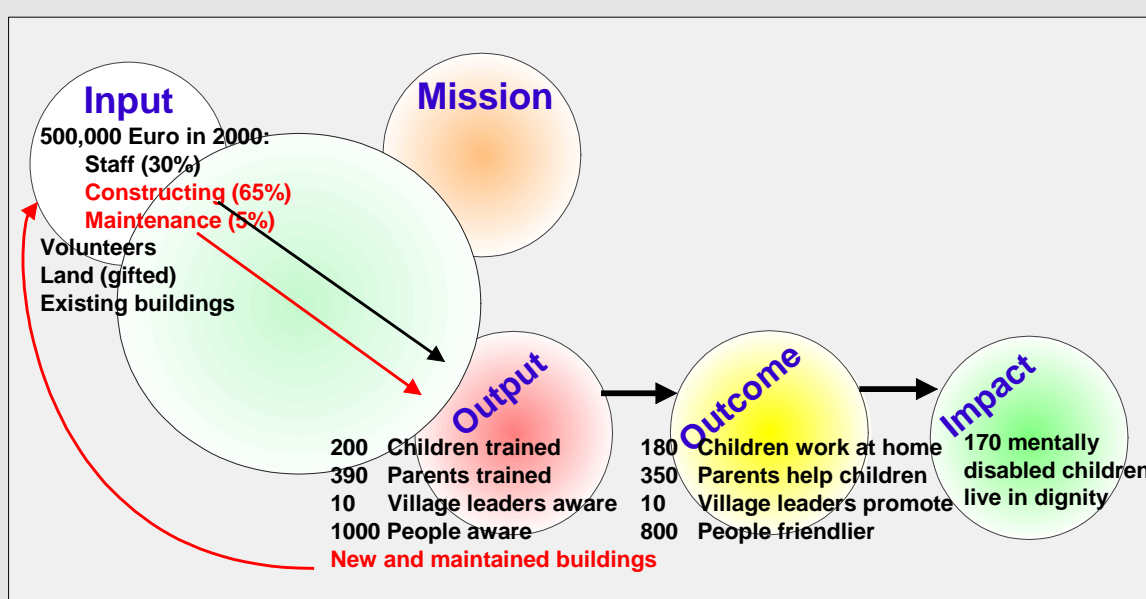
Comments

In the QS we often neglect outputs that are only produced as an intermediate step or a means to produce the output that really serves the mission of the organisation. This might however lead to wrong (financial) conclusions. In the above case the monetary cost per trained child (efficiency) is not 500,000 / 200 = 2500 Euro per child, but approximately 850 Euro per child (depending on depreciation of buildings etc.).

Example Quick Scan: Chain of Action

Preventive Health Care

Quick Scan Chain
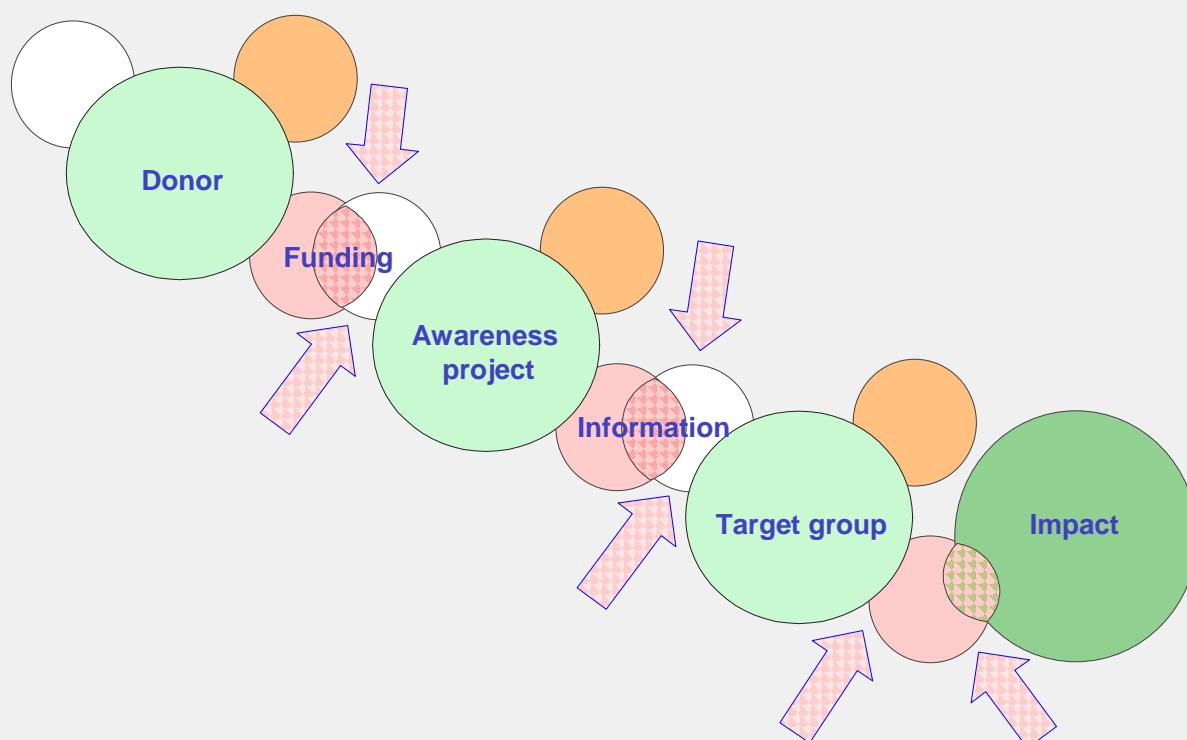
		Donor	Project	Target group
Input	Means	• Taxes • Staff	• Funding • Other inputs	• Information • Other inputs
Primary Process	Activities	• Assess projects	• Produce posters	• Change behaviour
Output	Results	• Project funding	• Target group informed	• Infection rate reduced • Other inputs
Outcome	Purpose	• Project produces posters	• Target group change behaviour	• Can work more • Can relax more
Impact (Mission)	Overall Objective	• Target group informed	• Infection rate reduced	• Happier

The project funding for the donor is an output that at project level is considered as input, etc.

Apart from this flow there are influences from other sources that have effect on the impact; the colored arrows indicate these.

Example Quick Scan criteria

Notions of Effectiveness

Effectiveness can be considered at different levels, but even within one level one can look at different aspects: What was realised as planned, what was realised though not planned, or what was planned but not realised. For what was planned we use the terms used in the logical framework approach: Results, purpose and overall objectives. In terms of the IOM these three levels relate to the strategy (annual plans contain results, strategic plans the purpose) and mission (which states the overall objective). The corresponding levels of actual achievements are named output, outcome and impact. Note that the organisation only contributes to the impact/overall objective, but that many external factors are at play as well.

The illustration below indicates the relations between the different aspects of effectiveness, and gives examples what is compared with what in the assessment of the effectiveness of an organisation or intervention.
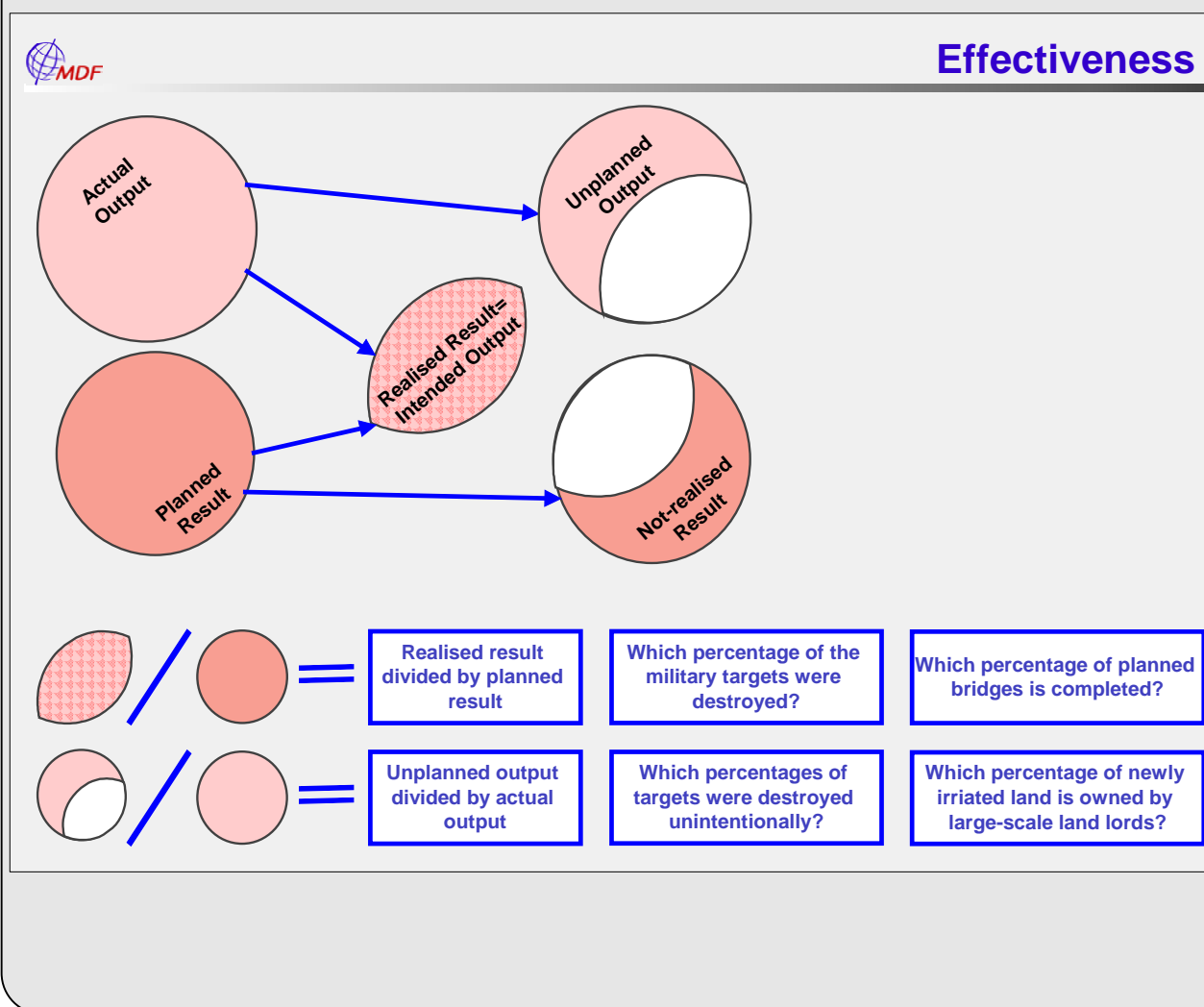
Steps in conducting a Quick Scan

0. **Define the problem owner** who wants to intervene (more effectively)

1. **Identify the facts**, by reading, observing and occasionally rapid appraisal methods:
   - What is the mission/vision of the organisation?
   - What are the outputs (products/services, in quantity and quality) of the organisation?
   - Who are the intended users/target groups of the organisation's outputs?
   - What are the intended outcomes (and impact)?
   - What are the inputs of the organisation in terms of:
     - Human resources
     - Material resources
     - Natural resources
     - Financial resources
   - The nature of the organisational context (e.g. 'turbulent' rather than content, causes and effects of turbulence)

2. **Make preliminary judgement** on the performance of the organisation, using criteria (see also chapter 2.1.2):
   - External effectiveness (by relating outcome and impact with the mission)
   - Efficiency (by relating inputs to outputs)
   - Suitability (by relating the mission to inputs and outputs)
   - Relevance (by viewing the development over time of users, outputs and mission)
   - Sustainability (among others by comparing revenues and costs, and outputs with demand/need)

3. **Prioritise areas** for further diagnosis and change, and indicate areas that will *not* be touched (unless this decision is revised by all stakeholders)

4. **Refine the Basic Question**, and decide on the subsequent ID/OS process and focal IOM elements

4.2.1   Quality definition chart

What is it?

The quality definition chart assists in defining quality of a product or service from the target group/customer perspective. It defines the customer requirements as well as the related indicators.

The quality definition chart provides a set of indicators for monitoring and improving the quality of a product or service. Once introduced, your monitoring or assessment system yields in information on bottlenecks.

What can you do with it?

Basic (sub-) questions

- What quality standards should the output meet, and how can this be monitored?

Results

- What are the major quality aspects?
- What are the major quality requirements for each of the aspects?
- What are the indicators?
- Where are major bottlenecks?

How to use it?

Process

A quality definition chart can be made on an individual basis or in a group (not more than 20 people) on a participatory basis. To make a quality definition chart takes around one hour. A quality improvement project in an organisation can be part or independent from a comprehensive strategic orientation effort.

After defining the quality aspects and indicators, but before setting quantified targets, the problems and solutions may be explored using other tools, such as a process flow chart, or a problem tree.

Groundwork

The Basic Question and problem owners should be identified, and it should be decided which staff, consultants and clients to involve in the quality improvement efforts.

Follow up

It can be followed by a process flow chart to identify the next steps in the process.

Requirements and limitations

To make an adequate chart, views of customers/client should be included. What staff of an organisation perceives as having sufficient quality, may not be the quality perceived by the client (client satisfaction). Measurable direct indicators of quality and perceived quality may be sometimes be difficult to find, but can be discussed with the organisation and its clients.

Practical references

MDF Syllabus 'Specifying Customer requirements' 2004
MDF Syllabus 'Analysing output performance of an organisation' 2004
Shigera Mizuno, Yogi Akao, QFD, The customer driven approach to Quality Planning and deployment (1994)

Example of Quality definition chart

Problem owner

MDF training and consultancy

Basic Question

What quality standards should MDF training meet, and how can this be monitored?

Quality aspects of a training programme

Quality aspects	Customer requirements	Indicator
		At least 3 reactions/week
	Clarity of information	At least 10 hits/week on web-site
Course Information	Adequacy of information	Maximum 50% of persons ask for additional information
		Pre-course materials sent at least 3 weeks before start of course
	Timeliness of information	Not more than 10 complaints/year
		Administrative personnel not approached for course content questions
	Clarity of procedure	Less than 50% of times trainers are approached for hotel bookings
Course registration	Reliability of course registration	Less than 5% of courses cancelled by MDF at three weeks notice
	Timeliness of information received	Registration confirmation within 1 week
		No more than 10 complaints/year
Course design	Relevance of concepts and tools	At least 50% of respondents reports to apply tools half year after training
Course implementation	Presentation/didactics	Participants evaluate course subjects at least 80% positive
	Sharing of experiences	Participants evaluate sharing of experiences at least 80% sufficient
	Good food & accommodation	At least 80% of participants evaluate food and accommodation as sufficient
Social environment	Entertainment	At least 80% of participants are satisfied about entertainment opportunities
	Good excursion/visit possibilities	At least 80% of participants satisfied about excursions and visits in long courses
	Requests for coaching	At least 10% of course participants buy 8 hours of coaching after a course
Follow up	Accessibility of assistance when problems arise	At least 80% of coachees have access to internet or telephone
	Timeliness of answers on questions	At least 80% of written coaching questions are responded to in two weeks
	Adequacy of answers on questions	At least 80% of coachees evaluate coaching as useful

Training (applies to the row groups above)

Steps in making a Quality definition chart

0.   **Define the problem owner** who wants to deliver a better service/product

1.   **Formulate the Basic Question**:
     - Make an inventory of the current main aspects of concern
     - Define the entity: The product/service
     - Define in what main respect (which criteria) quality has to improve

2.   **Explore the elements of performance**

Product/service	Elements of performance			
	Client/ target group	Quantity	Quality	Price
Product/service 1				
Product/service 2				

     - **Quality aspects**: Distinguish two to eight aspects that determine the satisfaction of the client. Reflect on the (critical) moments that the client has contact with the organisation, or the (critical) moments of use of the product by the customer
     - **Price**: This is crucial for non-profit organisations as well

3.   **Define Customer requirements** for each aspect (probably in sub-groups)

4.   **Define Indicators** and a monitoring system for all requirements (in sub-groups):
     - Brainstorm on what indicates whether the quality aspects are sufficient
     - Develop/select 'SMART' indicators:
       - Specific
       - Measurable
       - Achievable / Agreed upon
       - Realistic / Relevant
       - Time-bound (do this aspect in the last step)
     - Check if the monitoring plan is realistic (as easy as possibly, but as valid as necessary)

     5.   *Optional: Explore causes and solutions. Find out where priority bottlenecks are, and analyse them, with for example:*
          - *Problem tree (see OOPP). You may work with these pre-defined clusters: procedures, equipment, materials, information and people*
          - *Process flow chart*

6.   **Set targets**. Find out the (approximate) base-line values and quantify the target values of the indicators. To decide on these 'benchmark' values look at your past performance, or those of partners/competitors. Set the values and percentages over time at which (if they are *not* met) plans and problems will be notified to the management.

www.mdf.nl

4.3.1 Envisioning

What is it?

Envisioning is an inter-active tool to guide the visionary thinking of stakeholders of an organisation, or of actors with an interest in a certain subject. Envisioning is a way to prevent that reflection on the current problems hampers the discussion about the future. It helps to arrive at a common vision, mission, identity, values and profile, to identify problems that may jeopardise reaching the envisioned, and to prepare policy choices to prevent (or address) these problems. It helps to reassess whether we do *the right things* (in view of long-term trends and objectives), rather than that it limits the discussion to the operational question whether we do things *the right way*. Moreover, the activity of envisioning as well as the vision itself helps to inspire, bind, direct and challenge the stakeholders.

Starting from the need identification of the target group, the key-actors involved are identified. In addition the roles of the key-actor(s) are identified, and the products and services to achieve the required output. In addition the enabling conditions and inputs could be identified.

What can you do with it?

Basic (sub-) question

- What should be the <u>long-term</u> mission of the organisation or stakeholders (project), and what should they produce/do to contribute to achieving it?
- What should the organisation or project do in the <u>immediate</u> future to move closer to shape new initiatives, in response to new opportunities? (In stead of realising the entire dream it may help to realise some steps in order to improve the actual performance of the organisation)

Results

- How would you like the sector/organisation to address the felt needs of its target population in five or ten years?
- An image of how the organisation could function to address the felt needs of its target population?

The process of envisioning on the organisation produces a vision towards the role and function the organisation that it wants to fulfil in the future: what output it should deliver, what enabling conditions or inputs are required, and how to arrive at meeting these conditions.

The process of envisioning on a sector produces a shared vision of stakeholders in this sector towards the felt needs of the target population, and the services that various suppliers should deliver.

How to use it?

Process

Envisioning may be done with a group of 5-25 people and take 2 hours to one day. It is essential that the facilitator 'decontaminates' the three processes of dreaming, realism (action planning to realise dreams), and criticism (checking whether plans are safe and sound). Preventing contamination implies that during brainstorming (about both objectives and action plans) people do not yet comment on feasibility, because this stifles creative (right brain) thinking.

The participants of envisioning need to know or represent the target group from different angles, as well as the staff members of one organisation from different layers or different organisations. Envisioning can give a broad view on strategic options that might (without envisioning) might become too narrow and limited to what is already familiar.

Groundwork

A target group needs (problems and objectives) assessment and external organisation analysis should be conducted prior to (or included in the envisioning). Envisioning can be done at the start of a process, before the formulation of strategic options (that respond to the findings of institutional analysis), but can also be done outside of the strategic orientation context. Envisioning may proceed after formulating a Basic Question for the development of the organisation, but need not be part of a larger organisational development exercise.

Follow-up

If envisioning is done to position a new programme or organisation, the next step is action and operational planning. However, if envisioning is done early in a strategic orientation process, the strategic choices should still be left open until options are matched with organisational strengths and weaknesses (followed by action and operational planning). Operational planning may include assessment of support and resistance to change, and measures to manage the change implementation.

Requirements and limitations

A facilitator should guide the process from envisioning up to the strategic planning to ensure that all original ideas find their place in the process – it is essential that all stakeholders can see that their contributions are incorporated (or openly rejected).

The "envisioning" steps need an open mind of the participants. It is much fun, unless some participants treat the exercise or input of others as childish. The reality check may be done on consensus or otherwise by voting. The dreaming steps can be done by representatives of the stakeholders only, while during the reality check the actual executing agent (management of the organisation, co-ordinators of the planned programme) should also be represented, to assist in identifying the scope of work and the related budget.

Practical references

- MDF syllabus "Vision Development", 2004
- Interactieve beleidsvorming, Beukblad nr 1,maart 1998, De Beuk, Hippolytushoef
- Edelenbos, J en Monnikhof R. (1998) Spanning en interactie, een analyse van interactief beleid in locale demokratie. IPP.
- Internet search for 'Walt-Disney strategy', as Walt Disney applied the strict separation of dreaming, realism and criticism to develop film scripts.

Example of Envisioning: The Baobab

Problem owner

Learning Centre (LC) 'The Baobab'

Basic-questions

What would the LC 'The Baobab' look like five to ten years from now, and what should it undertake now as practical steps in that direction?

Envisioning LC 'The Baobab'
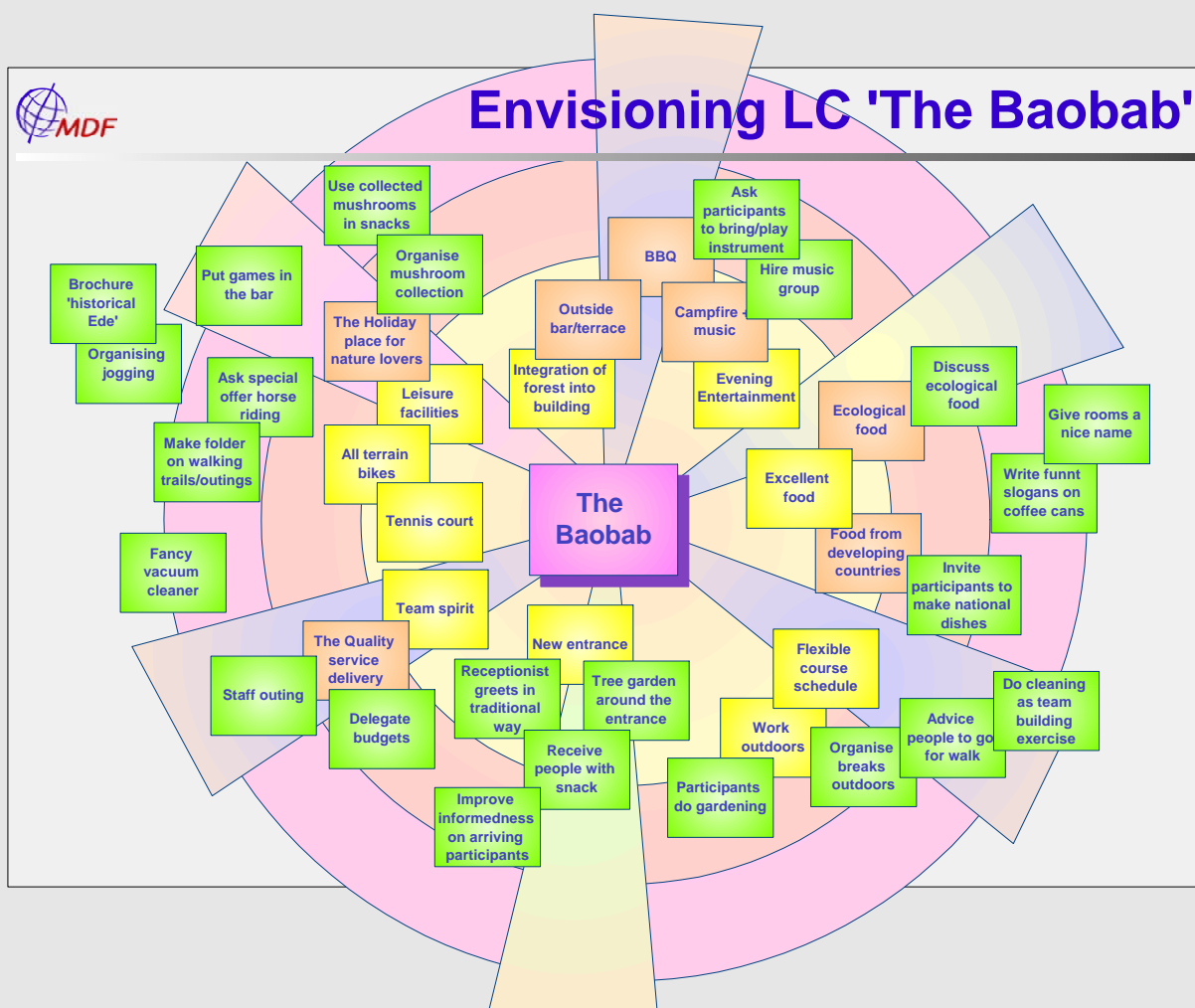
The Process

In a first round (yellow cards), the participants were asked to dream on the improvement of the Baobab. The cards were displayed and in a next round (green cards) the participants were again asked to dream away on the same question, with the first round of ideas in mind.

Conclusion

Seven out of the many suggested activities (orange cards) were taken up. Others are kept for inspiration and reflection in the future.

Example of Envisioning: INGO

Problem owner

Dutch INGO

Sub-questions

- What should be the situation of the target group (**overall objectives** of interventions) five years from now (<u>white</u>)?
- **Which organisations** should help realise the objectives of that situation (<u>yellow</u>)?
- What should be the **role, products and services** the INGO delivers (<u>green</u>)?
- Which **results** should the INGO achieve to contribute to the objectives (<u>grey</u>)?
- Which **activities** should the INGO undertake to realise the results (<u>white</u>)?

Example: (Part of) Envisioning exercise INGO – Tanzania
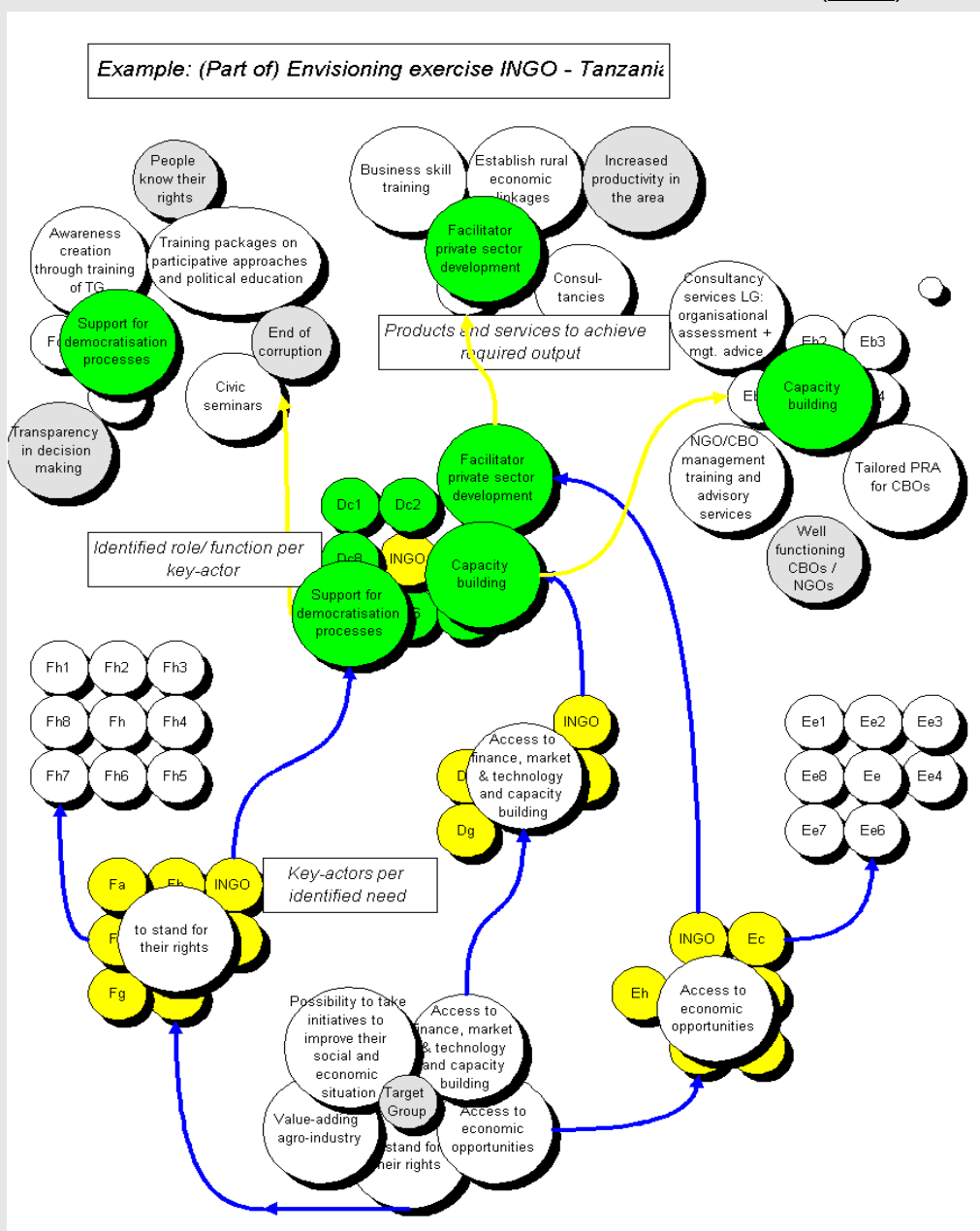
Steps to envision

1. **Define the entity** (subject, area, how many years ahead we will dream – normally five to ten years) and check understanding and agreement on the entity with the participants. Write the agreed entity in the middle of a white board or poster.

2. **Introduce the dream**. As facilitator ask people to relax and (speaking slowly) describes in colourful terms that in five to ten years from now the programme or organisation receives a price of excellence. Let the participants imagine what the speaker, who awards the price, says to explain why the project or organisation deserves the price. The speaker talks about (choose one of the two):
   - The characteristics of the excellent situation of the target group, or
   - The characteristics of the project or organisation that make it outstanding and successful in achieving its aims

3. **Dream individually**. Let the participants dream for five to ten minutes about the situation of the target group/clients or on the characteristics that produced the success of the project or organisation. Participants write their dreams in key words on yellow cards (one dream per card).
   To encourage that people dream beyond 'more of the same', you may specify that everything is allowed, except for dreams that are already pursued at present. You may also require participants to contribute no less than three dreams.

4. **Cluster and add**:
   - Collect and put the characteristics as sunrays around the entity, meanwhile clustering similar cards (check with participants whether subjects are truly similar)
   - Let participants in reaction put more ideas on orange cards (observing the characteristics identified by others may inspire further ideas)

5. **Realise dreams**: Once you have a rich collection of dreams, ask people what they could do towards the dream – let them write it on green cards which you put next to the dreams. Go cluster by cluster. Two options:
   - Develop an action plan: Let people write ideas of *actions* they could do *tomorrow* (or the very near future) as a first step towards the dreams
   - Develop an organisation mission or project overall objective: Let people write *products and services* needed to completely realise the dreams

6. **Criticise dreams** – or reality check. Once you have a collection of characteristics as well as practical plans, analyse which ones to adopt. Criteria can be cost-effectiveness, risk, any other criteria from your Basic Question (if you work with a BQ), or factors that affect the realisation of the dream

7. **Prioritise and choose** objectives and/or actions through voting. Give each participant a number of votes with the instruction to give ideas minimum 0 and maximum 3 votes:
   - If you develop an action plan: Give people 10 votes for possible short-term actions. Adopt the 10 most popular actions in the action plan
   - If you develop a mission or project objective: Give each person around 5 votes for characteristics of the project or organisation. Adopt the most popular 5 to form the overall objective or constitute the organisation mission

4.4.1   Evaluation grid

What is it?

Organisations acquire inputs to produce their products and services:
- Staff
- Buildings and installations
- Equipment, tools and materials
- Services (electricity, insurance, consultancy)
- Information
- Finance
- Natural resources (transformed or wasted during production)

To choose between different available inputs you always have to compare apples with pears, because inputs differ in many variables at the same time. Making an evaluation grid helps to compare the different inputs available in the market in a relevant and transparent manner, and evaluate the optimal price quality offer for your needs.

What can you do with it?

Basic (sub-) questions

- What is the value for me of the various inputs available on the market?
- Which input has the most attractive price quality ratio?

Results

- Objective and transparent arguments to compare inputs
- Clearer communication on preferences, as interests are arguments are made explicit
- Clarity on the relation between market value and value for an organisation

---

How to use it?

Process

Two (or sometimes more) colleagues can assess possible inputs together. First they agree on the aspects and criteria, and search for optional inputs (persons, offices, projects, etc.). They independently rate the identified options, and then compare their scores. If the differences are big they explore the underlying principles (probably they considered different sub-aspects), else the scores can be averaged. Scoring and comparing may take an hour.

Groundwork

Before acquiring and selecting a particular input, the organisation's requirement should be identified (e.g. competency profile for staff, criteria list for projects or office space) with in the back of ones mind a rough understanding on what is available in the market.

Follow up

Negotiation to acquire the input at a fair and profitable price.

Requirements and limitations

Apples and pears are not the same, even if you rate them. Some factors that determine the long-term value of an input cannot be objectively quantified, and decisions you can defend by hard facts and figures are not necessarily the best. To have a meaningful discussion, it is crucial to reach clarity and agreement on the criteria that you use to judge a fact. Differences on the appreciation of facts are often the consequence of thinking of different criteria.

Input assessment using (the principles of) the evaluation grid can be done for many inputs, such as staff, buildings, equipment, project proposals (open submission or in response to a tender procedure), and natural resources. However, for the evaluation of potential long-term partnerships (as donors and local authorities often look for) an assessment of input is not enough. In stead, such partners should be scanned in terms of all (external organisation) IOM elements.

Example Evaluation grid for Buying an office

Problem owner

International NGO that wants to establish an office in Islamabad

Basic question

What is for us the most attractive 6-room building (in terms of price quality ration) in the city centre to open our new office in Islamabad?

Sub-question

What is the relative value of the identified offices to our organisation?

Room requirement	6
Depreciation for five rooms	-2200
Appreciation for seventh room	2000
Desired transfer	March
Depreciation late transfer/month	-450
Appreciation early transfer/month	100

	King Avenue *(Reference house)*		Gandhi Square		Mandela Street		Black Elk Road		Dalai Lama lane	
	Fact	Value	Fact	Value	Fact	Value	Fact	Value	Fact	Value
Unchangables										
Reachibility - Public transport	**Fair**	**0**	Good	1000	Critical	-600	Fair		Excellent	2000
Reachibility - Car	**Good**	**0**	Good		Excellent	300	Good		Good	
Neighbourhood	**Good**	**0**	Fair	-2000	Too good	-100	Excellent	200	Fair	-1800
View / Surroundings	**Excellent**	**0**	Good	-800	Excellent	1100	Very good	850	Good	-700
Extra features					Big garden	1200				
Changeables										
Rooms	5	-2200	6	0	7	2000	6	0	6	0
Overdue maintenance	Minor	-500	Minor	-700	Minimal	-200	Major	-3500	Non	0
Extra features	Tea house	2000			Entrance	-800	Fire place	800		
Transfer date (offer)	March	0	May	-450	July	-1350	Februari	100	July	-1350
Relative appreciation (bare)		**-700**		**-2950**		**1550**		**-1550**		**-1850**
Negotiables										
Curtains		300		100		400		300		200
Furniture		800		0		600		400		900
Relative appreciation (optimal take-over)										
Sum		400		-2850		2550		-850		-750
Relative to Reference house		**0**		**-3250**		**2150**		**-1250**		**-1150**

The above shows how much the organisations value the offices, compared to the reference office. Suppose the advertisement prices were as below.

	King Avenue *(Reference house)*	Gandhi Square	Mandela Street	Black Elk Road	Dalai Lama lane
Relative to Reference house	0	-3250	2150	-1250	-1150
Relative to Budget	**8500**	5250	10650	7250	7350
Adverticed price	8800	9990	9800	7600	8850
Attractiveness adverticed price	**-300**	**-4740**	**850**	**-350**	**-1500**

Conclusions

The Mandela Street is by far the most interesting house to start bidding at. Its extra favourable features make it more than worth its price for the organisation.

Example Evaluation grid: New management team

Case

The Minister wishes to replace the top management of a prestigious key programme. She invites two possible management teams whom she briefs and then asks for a presentation of their approach, as if they were to do the job. She assesses together with an Adviser.

Score 0-10 per aspect	Team 1				Team 2			
	Assessment Minister		Assessment Adviser		Assessment Minister		Assessment Adviser	
Content	#	Reason	#	Reason	#	Reason	#	Reason
1. Comprehensive analysis (treating key IOM elements)	5		4	Problems not clearly diagnosed	8		9	They indicate that studies will overcome lack of data
2. Use of performance criteria (not side tracking)	5	Unexplored	4	No criteria used to select strategy	6	Timeliness, but not explicit	7	Implicitly they indicate time factor is priority issue
3. Avoiding premature conclusions (intake is not analysis)	3	Proposals creative but one-sided	2	The idea to develop eco-tourism is build on thin air	9	Good they push first for the feasibility study	8	
4. Proof of credentials/own capacity/trustworthiness	10	Ideas and own experience clearly shows	9	Indicate relevant professional achievements	3	Own capacity and enthusiasm not shown	5	Guess is OK, but not shown
5. Proposed actions concrete and fitting problem analysis	6	Eco-tourism idea shows initiative	4	Rich initiative, but inappropriate (at least premature)	9	Idea to conduct consultancy and workshop very practical	8	Only short-term, but includes plan to make rolling plan
6. Continuity of ongoing process (e.g. studies not hampering implementation)	4	Unclear	2	No mention was made; dubious appreciation of the importance	6		6	Importance seems to be acknowledged
Process								
7. Respect and appreciation for Ministerial management	9		7	Bit too polite	9		8	
8. Caring confrontation (objective rather than personal focus)	7	They did not confront at all	3	Avoid confrontation	6		4	Make little use of 'newcomer' opportunities
Presentation								
9. Clear introduction, structure and conclusion	5		8	Nice handout	7		7	Good visual aids
10. Convincing visual aids	6	Too many details and words	4	Model not explained	8		5	Boring
Total	**61**		**47**		**71**		**67**	

Conclusions

Differences in scores between the Minister and her Adviser are not significant. Both prefer team 2, so they choose team 2, but adopt some features from the team 1 proposal. Minister thanks both teams and has an informal drink with both teams to express appreciation and encourage good feelings among all.

© MDF copyright 2004

www.mdf.nl

Example Evaluation grid for Tender proposals

	Maximum	Initial assessment	Revised assessment (before interviews*)	Revised assessment after interviews*
Organisation and methodology				
Rationale	20			
Strategy	20			
Timetable of activities	10			
Total score for Organisation and methodology	**50**			
Key experts				
<Key expert 1> (Max 25 points)				
Qualifications and skills	5			
General professional experience	5			
Specific professional experience	15			
<Key expert 2> (Max 15 points)				
Qualifications and skills	2			
General professional experience	4			
Specific professional experience	9			
<Key expert 3> (Max 10 points)				
Qualifications and skills	2			
General professional experience	2			
Specific professional experience	6			
Total score for Key experts	**50**			
Overall total score	**100**			

* In the case that interviews are held

Strengths	
Weaknesses	

Evaluation performed by:

Name		Date	
Signature			

The contract is awarded to the proposal with the highest 'Value-for-Money' ratio (with quality scoring at least 80 and price below the maximum), using the formula:

4 * [Rating of Technical Proposal] / 1 * [Financial offer]

Example Evaluation grid for Project proposals

Project Quality Assessment

Project title	
Type of project	
Beneficiary State	
Authority submitting the request	
Registration number	
Sectoral classification	
Commitment proposed	
Assessed by	

Part A: Quality indicators scoring sheet

Quality indicators	scoring categories			
	fully	fairly	partly	no/?
Relevance				
1. Have the beneficiaries been clearly identified?				
2. Are the problems of the beneficiaries sufficiently described?				
3. Is the problem analysis comprehensive?				
4. Do the Overall Objectives explain why the project is important for society?				
5. Is the Project Purpose formulated as a benefit for the beneficiaries				
6. Has the need for the Results been clearly demonstrated?				
Feasibility				
7. Does the Project Purpose contribute to the Overall Objectives?				
8. Are the Results described as services to be delivered?				
9. Will the Project Purpose be achieved if the Results are delivered?				
10. Are the means sufficiently justified by quantified objectives?				
11. Have important external conditions been identified?				
12. Is the probability of realisation of the assumptions acceptable?				
13. Are the implementation agencies able to implement the project?				
Sustainability				
14. Can adequate policy support of competent authorities be expected?				
15. Is the technology used appropriate for local conditions?				
16. Will the ecological environment be preserved after the project?				
17. Will ownership of the project by the beneficiaries be adequate?				
18. Will women (and other groups) have adequate access to benefits and production factors?				
19. Are implementing agencies likely to be able to give follow-up to the project?				
20. Will financial and economic benefits compensate for running costs and investments?				

Part B: Organisational check

[This assessment looks into the track record (output) and other features (mainly external organisation IOM elements) of the implementing organisation].

Steps in using an Evaluation grid

0. **Define the organisation requirements** (staff profile, building needs, etc.): Minimal requirements, standard level and features of advantage

0. **Identify the options** – the available inputs (staff interviews, visit buildings, etc.)

1. **Define the aspects** that are relevant to assess this input. It may be useful to distinguish:
   - Unchangeable features (age, sex, surrounding area)
   - Changeable features (technical knowledge, wall paper)
   - Negotiables (starting date, take-over items, secondary labour conditions)

2. **Agree on the weight of aspects**, and the criteria for judgement
   - Decide whether to:
     - *Allot a fixed percentage* to the different aspects (e.g. 'cleanliness counts for 10%'). In this case: Agree on the pre-set percentages or maximum points
     - *Value aspects in the same unit* (e.g. 'this candidate scores lower in all other aspects, but has such excellent inter-personal skills, that I prefer him')
   - Define minimal requirements (e.g. 'at least three rooms') to consider an option
   - Specify the definition of the criteria (e.g. 'product life-span' in stead of 'quality', or 'timeliness of response' in stead of 'efficiency')

3. **Rate the options** as per the aspects/criteria (and aware of whether the aspects are unchangeable, changeable, or even negotiable).
   - Take one option as *reference option* which you rate at zero for the unchangeables
   - Rate the other options in comparison to the reference option (how much more/less do you value the alternative compared to the reference)
   - Value the changeables compared to a *standard* you set: How much would you have to invest to get the various options to the level of the standard?

4. **Compare ratings**. If the appreciation of different assessors differs substantially:
   - Break down the interests/criteria behind the judgements (step 2), and re-rate or
   - Take the average score

5. **Compare appreciation and offer** and find the most attractive match.
   - To establish the offer:
     - For buildings the offers are often advertised
     - For staff the candidates sometimes indicate their conditions, while the labour conditions policy also defines a range
   - To compare the appreciation you may introduce a tentative offer for your reference input. Your first offer for other inputs follows from that, and your appreciation of the features of these alternatives

6. **Decide which negotiations** to start.

Institutional

Context Analysis
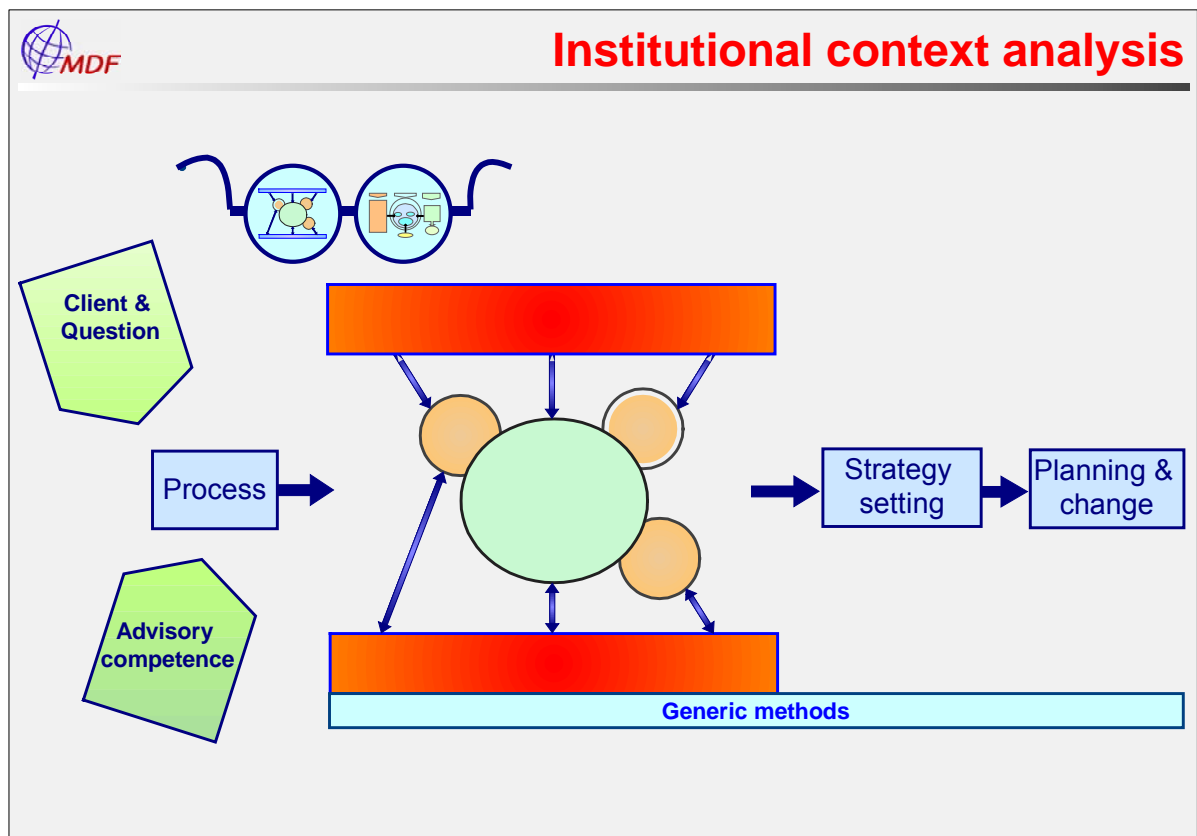
5   Institutional context analysis

This Chapter presents tools to analysis the institutional context around the organisation (or cluster of organisations) that is the central focus of the ID/OS diagnostic and change process. Focus on this context is a central feature of the IOM (as opposed to for example Mac Kinsey's 7-S model), and our approach to organisation development. In our method, organisations can only be understood and assessed in their functioning and fitting to their context. What is an appropriate management style in Ghana may not fit Brazil, and a production method that is efficient in Nepal may not be amply competitive in Ukraine.

We start with a Section on the **Factors** that determine the institutional context: The influences 'you cannot make a telephone call too' (whereas you can directly talk to the Actors that are analysed in the next Section). Thus the Factors stand for the intangible influences on the organisation, often coming from bigger distance and higher level than the influencing Actors. The most time proven tool to inventorise and appreciate Factors is the '***Environmental Scan***', which categorises a brainstorm of influence and as a consequence leads to further facts or to conclusions, which are often additional factors in themselves. The '***Problem area matrix***' relates problems to activities of the target group, thus leading to insight where they occur and impact, and where the institutional sector as a whole is as yet insufficiently enabling for the target group.

The **Actor** analysis follows the Factor analysis, although this is not a hard and fast rule, and in some cases this sequence may be reversed or the two aspects more intertwined. In this Section the first tool is the '***Institutiogramme***' which simply depicts which organisations play a role, and then analysis who is related to whom in what respect. A logical next step is often the '***Coverage matrix***' which provides and overview of who delivers which products and services, thus helping to identify shortcomings, but also areas for collaboration. And that is the subject for the third tool, the '***Collaboration chart***'. This chart investigates whether two organisations are fit to intensify collaboration, not only in terms of products, but also in mission, approach and for example clientele. The last tool for actors we named '***Interlinked organograms***', as it looks at how different hierarchical levels of different organisations connect to each other. This tool helps to identify who could address co-operation problems between organisations (or departments) in which way.

The Chapter closes with a tool to identify **Strategic Options** (SOP). This may need a note of clarification. Whereas strategy setting (if strategic development is the purpose of ID/OS) only happens after the complete diagnosis, the identification of options is recommended before internal organisation analysis. Of course the identification of SOP should be followed by a choice between them and in this sense the tool presented here cannot exist independently. Yet we present it at this point in the flow, so that the identification of possible strategies is at the outset not tainted and limited by feasibility considerations. For the development of options, the question is about *relevance* (what should be done) in terms of a good response to the institutional context and Basic Question. The question of *feasibility* (what can we do) in view of organisational capacity, should be taken later, else you may block out visionary and original opportunities too early.

All in all the issue of strategy appears at four different points in this toolbox, but always from a different angle:

- Envisioning (under 4.3 Mission) encourages *creative development* of mission, strategies, projects or programmes (and can well be combined with SOP)
- SOP deals with *developing relevant options* in response to the institutional context analysis
- Strategy assessment (under 6.1 Strategy) does not deal with the development of a new strategy, but concerns the *assessment of an existing strategy* in terms of completeness, practicality, logic and the steps in its development
- Strategic orientation (SOR, the core of Chapter 7) deals with the *prioritisation of SOP* and the identification of possible additional organisational strengthening activities
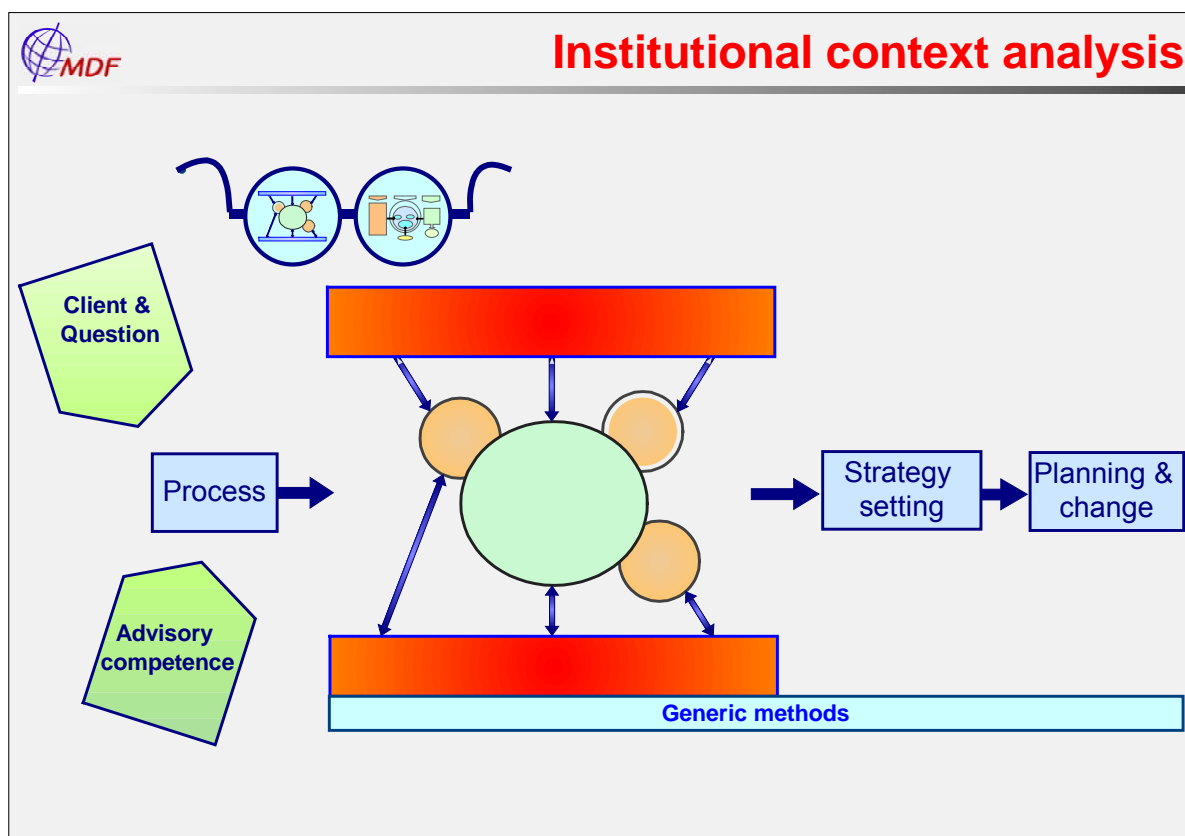
5.1.1 Environmental scan

What is it?

The environmental scan provides a systematic overview of the external factors that are important to the organisation (or sector) and indicates whether the organisation can influence them or not. In general the factors are classified in factors influencing the demand/need for services (and products), the supply of inputs to the project/organisation concerned, the competition and collaboration and general policy factors. The factors are also classified with respect to the positive (+) or negative (-) influence on the organisation and whether or not the factor can be influenced or just be appreciated (known and understood).

What can you do with it?

Making an environmental scan results in identifying the impact of relevant factors in the environment of an organisation or sector. Whereas people often complain as powerless victims about negative factors in their environment, the environmental scan helps you to take action or adapt yourself to your environment. Scanning promotes an active response to positive (opportunities) and compliant factors, and leads to insights how to live with the 'hard facts'. While the scan is a simple tool, it nevertheless helps to get a comprehensive view of the chief factors, helping to go beyond reacting to scattered observations.

Basic (sub-) questions

- Which (negative) factors are most opportune to try to influence? (ID intervention planning)
- Which factors are most crucial to adapt your behaviour to? (OS intervention planning and operational planning)
- What are opportunities and threats to the organisation/sector objectives? (preliminary step to strategy decisions)

Results

- What are the main factors that have an impact on the organisation (or sector) performance?
- Which factors can you influence?
- Is the impact of the factor positive or negative (given your objective and question)?

How to use it?

Process

An environmental scan can be made on an individual basis or in a group (not more than 20 people) on a participatory basis. Resource persons who have no direct interest in the outcome may be helpful in the fact-finding stage. Group sessions will take around one and a half hour.

Groundwork

To prepare for strategic orientation, the environmental scan should be preceded (or succeeded) by an institutiogramme and/or a coverage matrix.

Follow up

It is a good basis for identifying opportunities and threats to be used in a SWOT analyses and strategic orientation. It can also be used to check whether operational plans fit the contextual reality, and to design supportive ID/OS interventions.

Requirements and limitations

The environmental scan is a powerful common sense tool that prerequisites a lot of information on the factors as well as on the organisation itself to determine the impact of the factors. If input and output is not clearly defined and understood by all participants, this will cause confusion.

Practical references

- MDF Syllabus (2004) "Environmental scan"
- Youker, R, (1992) Managing the international project environment, International Journal Project Management vol. 10 nr 4.

Example: NGO Environmental scan: RICANTOR

Problem owner

RICANTOR management

Basic question

What support to micro- and small finance enterprises should RICANTOR offer to optimise the contribution of these organisations to economic growth of their target groups?

Sub-question

What are opportunities and threats to optimising the services of the SME support actors?

policy/regulations

Unfavourable Government Policies

appreciation

Organizations have own priorities

Donors favour Institutional Development

Collaboration takes much time

influence

Adequate training facilities

supply

Insufficiently developed methodologies

Factors influencing Capacity Building

No clear strategies in in Cap.Build..

Genuine Interest in Training

demand

RICANTOR Availability of Resource

Org's need to become more sustainable

organizations want to share resources

Lack info about other actors

Limited commitment to cooperate

existence of established network

competition/cooperation

Observations

There are strong positive factors on the input-side. There is a clear demand for developing institutional capacity, supported by the policy environment, but the strategies are insufficiently developed. Another negative factor is that collaboration and capacity building take time and the internal policies of the different organisations are not very conducive to co-operation.

Conclusions

Important for RICANTOR is to develop a clear approach to institutional capacity building, based on the needs of the different organisations, and using time-efficient methods. It is important to address the policy differences between the different organisations.

Comment

Check and be clear whether the factors are internal or external. The card 'RICANTOR's availability of resources' is a dubious one: It seems to be an internal fact, and should therefore be judged as strength (note it for the organisational analysis). However internal and external aspects are often closely linked, as an opportunity you may write: 'Donors willing to finance RICANTOR'.

www.mdf.nl

Sector Environmental scan: Education Sector

Problem owner

The Ministry of Education and the Cabinet

Basic question

What should the Ministry of Education do to optimise the contribution of education to the development of society?

Sub-question

What are relevant opportunities and threats in the education sector, and what are strength and weaknesses in the facts regarding the actors steered by the Ministry?
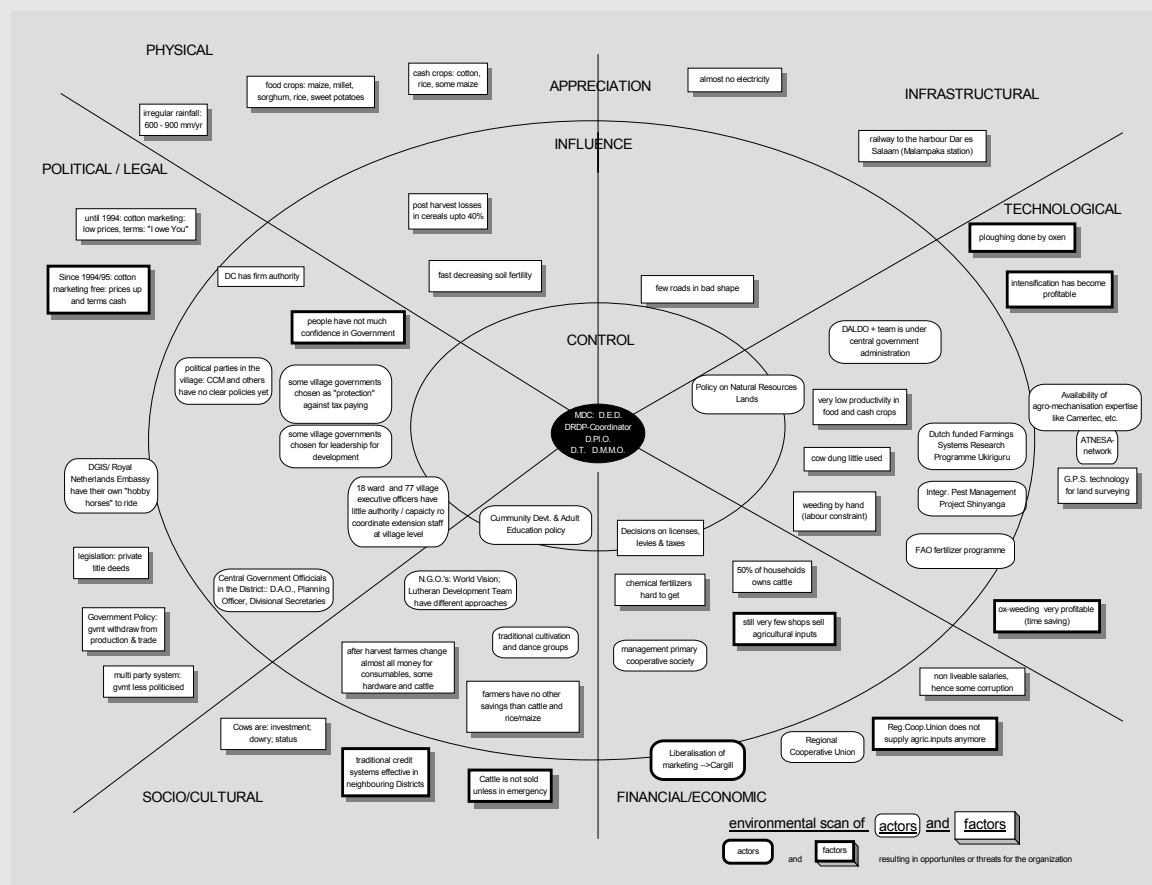
First conclusion

Complex environment, but a fair amount of opportunities and threats is under the sphere of influence

Steps in making an environmental scan

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by making the environmental scan. Suitable aims of scanning are:
   - To make plans to develop your environment (identify compliant factors, and plan ID interventions)
   - To make/adapt operational plans (identify threats and make responsive plans, possibly including OS interventions)
   - To prepare strategic choices (on which opportunities and threats to gear your actions to)

0. **Define the field of analysis**
   - Define the sector or (project-) organisation
   - Define the geographical area
   - Decide whether you depict the current, expected (when?) or desired situation:
     - Clearly distinguish desired from current and/or expected
     - Analyse the desired situation only after the current and/or forecasted situation

1. **List all external factors** influencing your field of analysis on white cards (to draw out information do this in a brainstorm session, where you do not discuss whether all points people put forward are correct and relevant. Sifting can come later). Think of:
   - Political
   - Physical
   - Infrastructure
   - Technological
   - Psycho-social
   - Socio-cultural
   - Economic

2. **Assess the impact** of the factor. Write positive factors (opportunities) on yellow and negative factors (threats) on blue cards (If you scan a sector programme, write strengths of the sector on green and weaknesses on red cards).

   Note if there is insufficient information about certain facts, this can be noted for further research. 'Being uninformed' is in itself also a weakness or threat

   Note: Do not have lengthy debate about whether a fact is an opportunity or a threat (a strength or a weakness). In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the facts that have both a positive and negative (this is why you judge in the first place: to be more clear about what effects you in what way)*
   - *Make duplicate cards: Judge the fact both positive (yellow or green) and negative (blue or red), or leave it neutral (white)*

3. **Assess your influence** over the factor, distinguish:
   - Appreciation: You (as problem owner) have no influence over this factor (you will place such factors far from the centre, outside the influence square or circle)
   - Influence: You have no control over the factor, but your can influence it (you will place such factors closer to the centre, inside the influence square or circle)
   - Control/command: The factor is internal and under your command, yielding strengths and weaknesses (rather than opportunities and threats):
     - If you scan the environment around a single organisation (or even a part of it) you make the control circle a blackbox and just write the organisation name on it. In other words: You discard internal factors
     - If you scan a sector or (local) government environment, you make the control circle larger. You place factors in it that relate to actors under the control/command of the problem owner, whom you represent with a final closed circle or box in the centre (e.g. Ministry or unit in a Ministry)

   Note: Check whether facts are truly external. If not:
   - *Remember them as strengths and weaknesses for the internal organisational analysis, and/or*
   - *Identify the related external factor (e.g. 'Good PR' is an internal strength, but 'Good image among donors' an external opportunity)*

   Note: You can make a second, complementary environmental scan of the same situation by assessing the influence factors have over you (rather than you over them). In that case you do not draw the 'influence square', put simply place factors with the largest impact on your performance nearest to the centre, and factors that influence you less correspondingly further away

4. **Categorise the factors** according to a relevant classification. Generally categorise into (note that the local government example uses an extended classification):
   - Policy/regulation (on top)
   - Supply/resource base/input (to the left)
   - Demand/output (to the right)
   - Competition/collaboration (below)

5. **Place factors** in the diagram
   - Factors that you can influence inside, others outside the square of influence
   - Each factor under its own category

6. **Optional: Complement** and complete your inventory by repeating steps 1-5, especially if certain categories contain very few (positive) factors. In this way you investigate whether you had a blind spot for this field, or whether in truth you face limited opportunities and threats in this area

7. **Analyse the scan**
   - Where are the major positive and negative factors?
   - Are demand and supply in balance (opportunities in supply are meaningless, unless matched with opportunities in demand)?
   - What should be done to influence relevant factors that can influenced?
   - Which are factors you want to strategize upon?

5.1.2   Problem area matrix

What is it?

A problem area matrix is a tool to determine where there are problems in the sector. It reveals where the sector does not provide what the target group needs. The problem area matrix first visualises what the target group should do in the desired future. Then (also in view of opportunities and threats in the environment of the target group) this tool establishes the type and level of support the target group needs. By comparing the required support to the actual support that the sector currently provides, this tool identifies bottlenecks in the organisational and institutional setting: Problem areas. Consequently, other tools can explore who can fill the gaps (e.g. coverage matrix) and possible ID/OS interventions to make the sector ready to give that support.

What can you do with it?

A problem area matrix can help you specify the problems of a target group, and therefore to set appropriate objectives for the sector, programme or project. In that case making the problem area matrix takes place prior to the selection of implementing actors. Alternatively the problem area matrix can be made after indicative programming (so that objectives are defined), and help to identify suitable implementers and ID/OS interventions to enhance a planned (or running) programme.

Basic (sub-) questions

- For which activities of the target group are there severe bottlenecks in terms of support from the institutional environment? (problem analysis as step to project/programme formulation and/or ID/OS intervention planning)
- Which products/services are most required? (project/programme/sector formulation or ID/OS intervention planning)
- Which products/services need to be improved together to resort impact? (project/programme formulation or strategic re-orientation)

Results

- What is the desired future situation and behaviour of the target group?
- What support (in terms of results rather than activities) does the target group require?
- The shortage of which support (products/services) obstructs the target group to succeed in which activities?
- What options does the sector have to respond to the (comprehensive) problem areas?

How to use it?

Groundwork

- Make a problem area matrix when you sense that the plans of an organisation or sector are too haphazard and/or too ambitious (an indication is when previous plans

where not fully realised, or when monitoring is weak and plans are hardly referred to during implementation).
- The wish to make a problem area matrix can arise when you realise that a coverage matrix gave you too little insight where exactly the bottlenecks in support to the target group lie.
- You can also choose for a problem area matrix to make the bridge from a problem analysis at target group level, to an ID/OS analysis of institutional (supply) capacity. Whereas OOPP directly focuses on problems, the problem area matrix creates a comprehensive overview of the desired situation of the target group, and the total required support (currently given or not). Thus it places problems in the comprehensive sector context.

Follow up

- If the sector actors jointly want to resolve the prioritised problems, then the next step is to distribute tasks (e.g. with a coverage matrix). Next the sector needs to plan and prepare ID/OS interventions, to succeed in the commitments
- If you want to resolve the prioritised problems by your own project/programme, the next step is operational planning.
- If you want to explore key problems in more details, you can apply problem analysis (OOPP) on a specific area.
- If you want to (re-)position your organisation, you need to complete the institutional analyses (e.g. with an environmental scan), and formulate strategic options. After internal analysis you can than match strategic options with your own strength and weaknesses

Requirements and limitations

A problem area matrix is in the first place a target group tool, but makes a clear link to the institutional analysis, as it points out where there are shortcomings in service delivery to the target group.

The matrix cannot produce information you did not enter. In this case it is not meaningful to add up vertical and horizontal totals. *All* bottlenecks should be removed, rather than that a good performance in one area compensates for a bad situation in another.

Practical references

MDF Syllabus "Networking and Network Analysis" (2004).

Example Problem area matrix: Potato project

Problem owner

Seed potato promotion project

Basic question

What should be done to achieve that 100 families can earn a good and reliable income from seed potato production?

Sub-question

Which services need to improve to remove the bottlenecks to the development of seed potato farming?

	Production of pre-basic seed potatoes	Production/ stocking of seed potatoes	Commerciali- sing seed potatoes	Production and trading potatoes
Commercial support				
Credit	x<u>x</u>	<u>xx</u>	<u>xx</u>	xxx
Inputs (e.g. fertilisers)	x	xx		xx
Non-commercial support				
Research	x	<u>xx</u>	<u>xx</u>	xxx
Quality Control	x	xx	x	
Training and Extension	x	xx	x<u>xx</u>	xx
Farmers Organisation	xxx	x	x<u>xx</u>	xx
Promotion & information	x	x	xxx	xx<u>x</u>
Provision of infrastructure & equipment	xx	x		
Promotion & use of equipment	xx	x	<u>x</u>	xxx

x   indicates which services are needed
<u>x</u>   indicates which services are currently less offered than they are needed

Conclusions: Core problems

- Credit for the production and commercialisation of potatoes for consumption
- Research, with focus on production and commercialisation of seed potatoes
- Extension in commercialising seed potatoes
- Organisation of farmers for the commercialisation of seed potatoes
- Promotion and information for the commercialisation of sees potatoes and the production and commercialisation of seed potatoes

Example problem area matrix: STD project

Problem owner

Stop STD Forum.

Basic question

What services should the sector and in particular 'Stop STD Forum' improve upon to decrease the incidence of STD's? Which supporting ID/OS interventions are required?

Problem area matrix (ultimate) target group

	Children at puberty age		Migration labourers and adolescents			Resident men		Women	
	Responsible sexual behaviour children and adolescents	Periodic specialist consultation and checking	Responsible sexual behaviour migration labourers abroad	Responsible sexual behaviour migration labourers back home	Immediate specialist consultation upon symptoms	Responsible behaviour of resident men	Immediate specialist consultation upon symptoms	Responsible sexual behaviour of women	Immediate specialist consultation upon symptoms (also children)
STD transmission awareness	XX		XX	X		XXX		XX	
Life skills awareness	XXX		XXX	XXX		XX		XXX	
Disease treatment awareness	XX		X	XXX		XX		XXX	
Provide treatment		XX			XX		XX		XX
Provide examination (PAP test)		XXX			X		X		X

Coverage matrix providers (to ultimate target group)

	School teachers	Vocational trainers	Community leaders	CHW	Midwives	Health clinic staff	Border health worker (new)	TeleDibra	Radio RNX
Life skills youth	**XX!**	!!				X		**!!**	
Periodic checking youth				X		**XX**			
STD awareness migrators	X	**!!**	!				**!!!**	**!**	!
Life skills migrators abroad			!						**!!**
Life skills migrators home			!					**!!**	!
STD awareness resident men			!!	!		X!		**!**	!
Life skills women					**!!!**				

X   Has experience
!   Has capacity
X or **!**   Chosen to (assist this actor to) perform this function

Problem area matrix providers (to target group)

	School teachers: Life-skills youth	Vocational trainers: Life skills migrators			Midwives: Life skills women	HCW: Periodic checking youth	BHW (new): STD aware migrators	TDibra: STD aware migrators + men	Radio RNX: Life skills migrators
STD transmission							XX	XX	X
Life skills	XX	XX			XX				XX
STD treatment									
ToT	XX	XX			XX				
Equipment						XXX			
Building renovation						XX			

'Stop STD Forum' will do life skills training (teachers, vocational trainers, midwives, radio), ToT (vocational trainers and midwives), and equipment
'Stop STD Forum' will co-ordinate with other partners for STD awareness of TeleDibra and the (new function of) border health workers

Steps in making a problem area matrix

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by making the problem area matrix. Aims for which a problem area matrix is suitable are:
   - To select the exact products/services a new project/programme/sector will offer (project/programme formulation)
   - To identify which services/products the relevant organisations should improve/add (ID/OS intervention planning)
   - To identify a comprehensive package of services/products (project/programme formulation or a step to strategic re-orientation)
   - To get an overview of the areas in which reported symptoms/problems occur

0. **Define the field of analysis**
   - Define the sector
   - Define the geographical area

1. **Identify target group activities** in the desired future
   - Identify the *sequential* activities the target group needs to undertake to obtain the desired result on a sustainable basis
   - Identify and add the *non-sequential* activities the target group needs to undertake to obtain the desired result on a sustainable basis

   Select maximum around ten activities (if you have more activities: Cluster them, or make more matrices). It is useful to distinguish between the ultimate target group and the problems of the providers to the ultimate target group (you make two matrices)

2. **Optional: Identify opportunities and threats** from the environment to the target group. These are factors (economic, cultural, political, social, environmental) that make it easier or more difficult for the target group to carry out the desired activities)

3. **Identify the support**
   - Identify the types of support (services or products) the target group *requires* (rather than what is *currently offered*) in order to carry out the activities (if you made a coverage matrix before, you may copy the services/products from that matrix)
   - Select maximum around twelve products/services

   As support mention the *result* that should be achieved, rather than the *activity* leading to that result. E.g. 'Draught resistant crops developed' rather than 'Establish research farm', because establishing a research farm is only one possible means (out of many options) to develop the desired crop

4. **Draw the matrix**. Put the target group activities as column headings (horizontally, because they are less in number), and the support services/products in the rows.

   If you identified opportunities and threats write them some distance above the target group activities, and indicate with arrows which activity (activities) they influence.

5. **Assess intensity of required support** (not the efforts!) per activity. Assess column by column with the question: "If the target group wants to do this activity, does it need this type of support?"

	This type of support is not needed for this activity
X	Limited need
XX	Substantial need
XXX	Major need

6. **Assess the problems**. Assess whether currently support is actually given as much as needed. If not, circle or <u>underline</u> the crosses of insufficient supply:
   - If you make the problem area matrix *before* project planning/programming, then assume that the support you may give is not provided (and mark the support as insufficient if *other* actors do not provide that service sufficiently)
   - If you make the problem area matrix *during* project/programme implementation, then also count on the support you give while judging the problem areas. (In this case you only mark support as insufficient if the support that *you and others* together supply is still not sufficient)

7. **Analyse the matrix**
   - Where are crucial problems?
   - The resolution of which problems will have a positive impact by itself, and which problems need to be addressed integrally to produce results?
   - Do *NOT* take total of columns or rows: In this particular matrix the totals do *NOT* provide reliable additional information!

8. **Draw conclusions**, in relation to your basic (sub-) question.

5.2.1   Institutiogramme

What is it?

An institutiogramme is a visualisation of the relations between actors active in a certain field of analysis (sector, geographical area, etc.). It helps to identify the relevant actors in the institutional environment, and depict their relations, leading to conclusions on good relations and forms of collaboration and co-ordination that require improvement or that need to be newly established.

What can you do with it?

Making an institutiogramme results in identifying the actors and their relationships in the field of analysis. Advantages of making an institutiogramme are that it helps to:
- Reduce the chance of forgetting/excluding actors who can (help) achieve the programme/project purpose
- Take advantage of possibilities and limitations of competition and co-operation
- Identify and use actors who have key network positions and skills
- Create a common understanding of the institutional setting

Making an institutiogramme therefore reduces the tendency to design and create parallel structures.

Basic (sub-) questions

- Which actors can best implement (parts of) the programme/project? (positioning of a project/programme)
- Which actor(s) can best co-ordinate/supervise the programme/project? (positioning)
- Which relations and co-ordinations are most opportune to improve, and how? (ID intervention planning)
- What are opportunities and threats to the project or organisation objectives? (step to organisation/project strategy decisions)
- What are strength, weaknesses, opportunities and threats to the sector (programme) objectives? (step to sector strategy decisions)

Results

- Who are the actors in the field of analysis?
- What are the relationships between the actors?

How to use it?

Process

An institutiogramme can be made on an individual basis (e.g. by an adviser, who afterwards verifies his/her understanding by asking feedback) or in a group (not more than 20 people) on a participatory basis. It is also a useful tool for presentation purposes, to show the position of an organisation in its environment or for discussing the relations between organisations in a network. Making an institutiogramme takes around one and a half hour.

Ground work

The use of tools should be preceded by the decision to engage in an (ID/OS) analysis and planning process, and the formulation of a basic question for that process. The basic question may have been refined based on a quick external organisation analysis. The process design and a stakeholder analysis should have determined the flow and the participants, if a participatory approach was chosen.
An institutiogramme can be the first tool of the (in-depth) analysis.

Follow up

Following the institutiogramme a coverage matrix, collaboration chart or environmental scan could be applied to complete the institutional analysis.

Requirements and limitations

Making an institutiogramme is one of the most useful things to do both to draw out facts and to provoke discussions on formal, informal, actual and desired situations. It is important to focus on what is relevant given the basic questions – if you are too inclusive the institutiogramme will become a bowl of spaghetti that does not give obvious insights.

Application of the institutiogramme requires good knowledge of the existing actors and their relations. The qualification of the relations (adequacy, intensity) may be subjective. The tool itself does not guarantee that all relevant actors and relations are depicted. It shows only the basic nature of relationship (hierarchy, service etc.); it is not very specific on the relations. Often more concrete instruments (e.g. coverage matrix or interlinked organograms) will have to provide additional information.

Finally, an institutiogramme (like coverage matrix and many others, but unlike an environmental scan) provides a snapshot. It does not show the development of relations over time (it can be worthwhile to depict a current and future situation next to each other and compare them).

Note: The institutiogramme has similarities with the Approximation Model (A5/B8) of the RAAKS analysis system.

Practical references

MDF Syllabus "Institutional setting" 2004.
Norman Uphoff: Local Institutional Development: an analytical sourcebook with cases (1986)
Wayne C. Baker: Networking Smart. How to develop relationships for personal and organisational success (1994)

Paul G.K. Engel et al: Facilitating Innovation for Development, a RAAKS Resource Book (1995)

Example Institutiogramme: CM

Problem owner

CM, an (international) NGO in Asia

Basic question

How can CM become an effective facilitator/consultant to and between government and INGO's on the one hand and NGO's and CBO's on the other hand, enhancing good and sustainable service delivery to the beneficiaries?

Sub-question

What changes (need to) take place in the role and relations of CM?
To answer we depict the current and desired future (CM has already made strategic choices of the future it anticipates, and how it wants to fit in that future. The question now is about the changes CM needs to undergo).
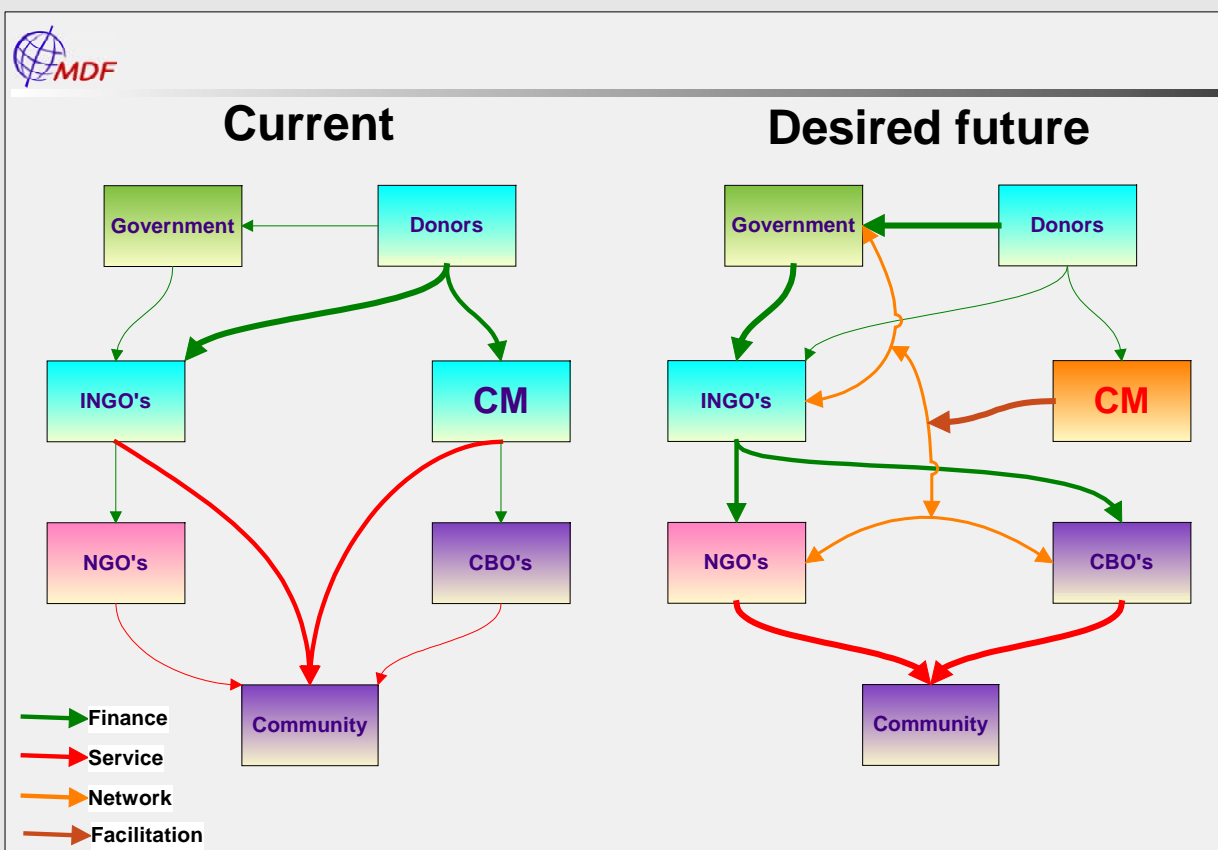
Assessment and further questions

- CM expects big changes in funding and implementation arrangements: A real challenge
- Will NGO's/CBO's be able to deliver the services so far delivered by INGO's and CM?
- Will the NGO's/CBO's desire the facilitation and consultancy services CM will offer?

Example Institutiogramme: RICALDO

Problem owner

RICALDO management

Basic question

What support to micro- and small finance enterprises should RICALDO offer to optimise the contribution of these organisations to economic growth of their target groups?

Sub-question

What are opportunities and threats in the relations between the actors in micro and small finance?
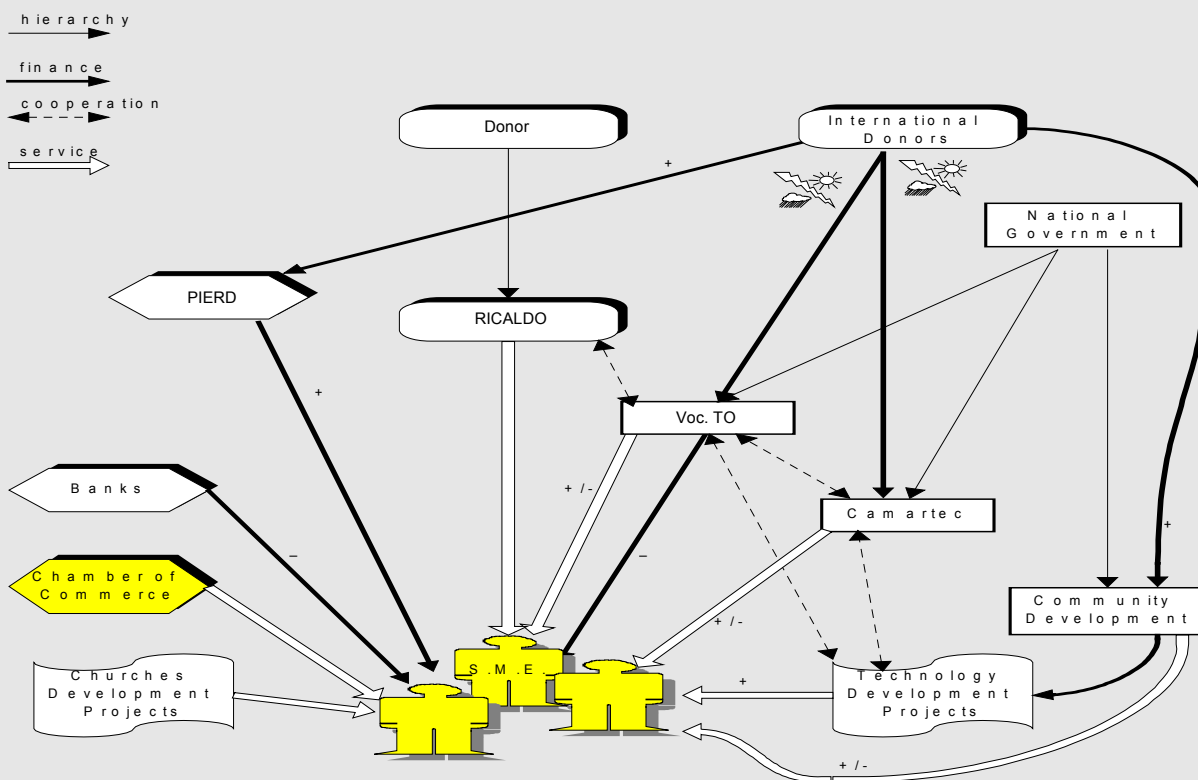
Observations

- International donors withdraw their support from parastatals.
- RICALDO has limited working relations with both government and private sector.
- Co-operation in technical services is better developed than in other sectors.
- There is limited co-ordination between government/parastatals on the one side and NGO/private sector on the other side.
- Services of parastatals and banks are not designed to fit the demand of the sector.

Conclusions

- Opportunities for RICALDO to establish more intensive relations with banks & PIERD
- Space for developing an association of SME entrepreneurs.
- Possibilities for improved co-ordination between various actors.

Steps in making an Institutiogramme

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by making the institutiogramme. Suitable aims of using an institutiogramme are:
   - To position a project or programme (choosing who implements what and/or who co-ordinates/supervises)
   - To develop key relationships (identifying bottlenecks and designing ID interventions)
   - To prepare strategic choices (on what to produce and how to serve your mission)

0. **Define the field of analysis**
   - Define the sector or service/product
   - Define the geographical area
   - Decide whether you depict the current, expected (when?) or desired situation:
     - Clearly distinguish desired from current and/or expected
     - Analyse the desired situation only after the current and/or forecasted situation
     - Comparing current and expected or desired situations can be of added value

1. **Define the orientation**. This may be:
   - Radian (only depicting relations between the central actor and the others), or
   - Network (depicting the relationships between all actors)

2. **Define the type of actors** to include
   - Define the level: clusters of organisations (e.g. 'NGO's'), individual organisations, units within organisations, and/or individuals within units
   - Define the type: public, private, target group

3. **Identify and position the actors** in a map (if you identify more than 20 actors, split into more institutiogrammes)

   Note: If you analyse a <u>sector</u> or programme implemented by several actors, place the actors that are under the control of the problem owner in the middle and draw a line around them. This helps you to distinguish relations under control and outside the control of the problem owner. Observe that this demarcation is narrower than the entire sector. Also note that this border may shift depending on which actors you contract for implementation. Before strategic orientation, verify that in- and outside are distinguished unambiguously

4. **Optional: Cluster and order** the actors as follows, to further a comprehensiveness:
   - (Potential) implementers in the centre
   - Suppliers to the left
   - Co-ordinators and supervisors above
   - Regulators and macro-actors on top of the co-ordinators
   - Stimulators (e.g. donors) below
   - Immediate/intermediate target groups or clients to the right
   - Ultimate target groups to the far right

5. **Define the type of relations** to look into (in relation to your question). Suggestions:
* Hierarchy
* Services/inputs
* Communication
* Co-operation
* Financial flow

6. **Draw arrows** to show the relations in the map, using
   * Different types/colours of lines for different types of relations
   * An arrow at one end (or both ends) of all lines
   * Including also (actual) informal relations (may be with a different line than formal relations)

7. **Show the intensity** of relations (frequency and importance, e.g. with line thickness)

8. **Judge the adequacy** of the relations (in view of your question), and show your judgement in the map. Also look at relations that **do not** exist, and add your judgement on cards below the map. In your judgement refer to the BQ and/or assess relations in terms of:
   * Timeliness
   * Quantity
   * Quality of service delivery

   Note: Try to distinguish judgement of the internal and external situation. If your relationship with another actor is good/bad,
   * *To what extend does it characterise the other (opportunity/threat), and*
   * *To what extend is this caused by you (strength/weaknesses – remember them for the internal analysis)*

   Note: Do not have lengthy debate about whether a relation is positive or negative. In case of uncertainty or disagreement:
   * *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   * *Split the relation into sub-relations that are positive and negative*
   * *Give the relation both a positive and a negative judgement, or no judgement at all*

   Note if there is insufficient information about certain facts, this can be noted for further research. 'Being uninformed' is in itself also a weakness or threat

9. **Analyse the institutiogramme**, resulting in observations and conclusions:
   * Who do you propose to give which (implementing or co-ordination) task?
   * Which (key) actor do you need to analyse further?
   * What ID interventions should be undertaken?
   * Where are (main) plusses (called opportunities – write them on yellow cards) and what are main negative relations (threats – write them on blue cards)?

   Note: If you analyse relations between actors who are both under the control of the problem owner within a sector or programme, then classify the relations as strengths and weaknesses. Call plusses strengths (write them on green cards) and minuses weaknesses (write them on red cards)

5.2.2   Interlinked organograms

What is it?

An organogram maps the official hierarchical relationships in an organisation. Interlinking organograms shows how the hierarchical systems of different organisations connect. For example in a client-provider relationship, the connecting organogram shows who are the official contract parties and who maintain the day-to-day contacts. Clarifying interlinked organograms with different stakeholders can help them get a common picture of the system. This insight can reduce tensions and conflicts. In particular interlinked organograms can unravel undue pressures: Tensions that appear between other people than where these tensions originate and can best be resolved.

What can you do with it?

The power of interlinking organograms is that it clarifies whom to address if informal solutions in co-ordination and co-operation do not work. It does not suggest that small irritations *should* be resolved at (higher) official lines and levels, but it gives insight *where* they *can* be referred to. Paradoxically realising and taking one's official place in the system can make one more relaxed and effective in informal (mutual adjustment) contacts.

Basic (sub-) questions

- How are the formal and informal relations at different levels between the actors (step to SWOT and strategic planning)?
- How can the tensions and conflicts be resolved between different parties and levels (resolution of institutional tensions)?
- Who should deal with whom in the implementation and control of this activity (design of ID interventions)?

Results

- What are the formal lines of implementation and control?
- What roles and attitudes suit the various positions?
- Are there conflicts of interest (same person having contradicting roles and stakes)?

How to use it?

Process

An individual expert may do the analysis, but a meeting/workshop is required to realise concrete improvements in conflictive or tense situations. Preferably representatives of all key actors should participate, and training/discussions should ideally continue until everybody sees opportunities for smooth and effective co-operation in future. It is not enough if the participants only understand what behaviour is not in line with the formal positions and relations (and therefore not 'allowed') – they need to understand the

Interlinked organograms
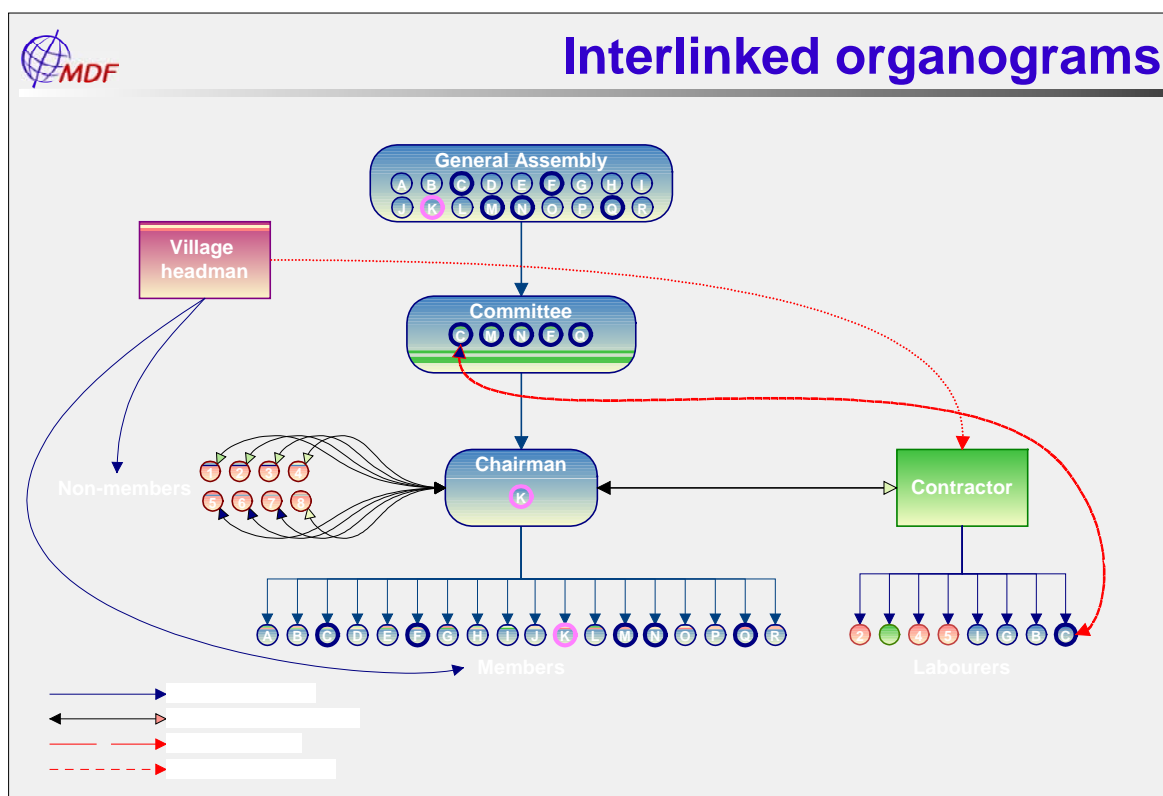
alternatives. Developing such alternatives is therefore the next step, and finally they can be tested through role playing the resolution of (imaginary) conflicts.

Groundwork

Interlinked organograms can be used as an analytical tool in a SWOT and strategic planning exercise. The tool can also be used to prevent or resolve conflicts. In case it is used to address existing tensions, these need to be detected and acknowledged beforehand (the causes and options to resolve tensions need not be understood beforehand - the tool may not be needed if they are!).

Follow up

Making interlinked organograms and discussing their implications leads to procedural agreements about who will turn to whom in different instances. Compliance to such discipline should be monitored – by all relevant parties…

If making interlinked organograms is part of a strategic planning exercise (in stead of an exercise leading by itself to interventions), the next step is internal organisational analysis.

Requirements and limitations

Interlinked organogram drawings can be referred to when discussing how to handle a conflict, or even to clarify the procedure of responding to a request or complaint. Be aware however that people may simultaneously perform different functions (wear different hats). Not all functions can be reflected in one picture, and it needs to be checked whether the picture applies to the issue at stake (see also Organogram variations, under Structure in the Chapter on Organisational analysis).

If the tool is used to resolve conflicts, the facilitator should guard that the analysis undermines (rather than provides a cover for) further power struggles. When addressing true conflicts, it is probably not opportune to end the tool with staging 'imaginary' conflicts.

Example of an association and its partners

Problem owner

Water Users Association (WUA)

Basic question

How should formal control be exercised?

Interlinked organograms
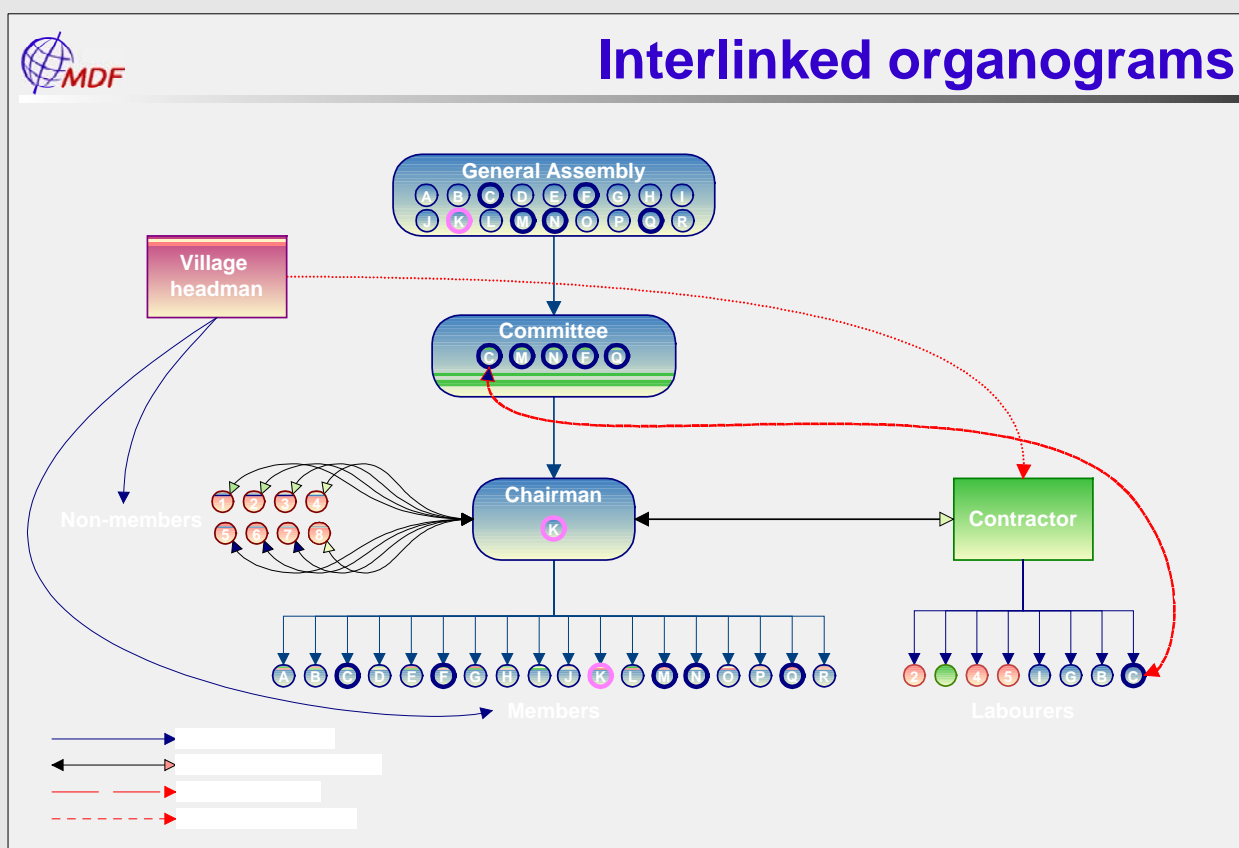
Conclusions

- Committee member C has a conflict of interest, as he is also labourer for the contractor
- The village headman undermines the WUA Chairman if he treats WUA issues (e.g. construction quality control) as *his* competence – even if it is for the better
- Committee members cannot enter into agreements with non-members – the picture shows that this is delegated to the Chairman
- The contractor should follow what the Chairman says, rather than the Committee, but the Committee can order the Chairman to say what they choose
- Formal control of the labourers is in the hands of the contractor, who is controlled by the WUA Chairman. The contractor cannot complain to the Chairman if he gets insufficient or too expensive labourers

Example conflict issues WUA

Test of understanding

The below questions relate to the hierarchical relations between various actors, in the above mention WUA example. Situations like these could be staged as a role-play to verify whether the participants master the roles and positions.

1. Your Chairman acts against your WUA statute. Can an individual member order (not just urge) the Council to take action against your Chairman?
2. A person who is not a member wants to be paid for letting the canal pass through his/her land. Can the WUA Chairman scold the person if the requested fee is unreasonable?
3. Your village Mayor is of the opinion that the water fee is too high. Can the Mayor fire your WUA Chairman?
4. You are a regular WUA member. Last year you helped the WUA Chairman after a bad harvest. This year you have difficulty to pay your water fees in time. Should the Chairman be lenient with you?
5. An absent landowner (living in the capital) does not cultivate his/her land. But he/she wants to become a member, so that his/her family has more votes in the Assembly. Should the WUA accept this person as a member?
6. Who in your scheme can fire the Water-master? Can the Chairman fire him/her?
7. The WUA Chairman has a lot of power. Did he/she steal this from the others?
8. A person (owning a small plot) wants to become a WUA member only on the condition that the annual fee be proportional to land size (rather than equal for all members). Can fellow villagers scold this person for his/her demand?
9. Who in your scheme can expel members who do not pay their water charges? Can the Council expel such members?
10. The discussion leader gives the word to a member. It becomes clear that the member has something important to say, but that his/her point is not related to the subject under discussion. Should your discussion leader interrupt the speaker?
11. You are an ordinary member. Your WUA Chairman interrupts you while you address the General Assembly. Should you obey his/her order to be silent, even if he/she does not give reasons why?
12. Your WUA does not approve construction quality of the canal, as delivered by the construction firm. The construction firm then complains that your village hindered construction, which was true. Should your Council and Chairman relax the quality demands to ease the tension?

Answers

1. No, official line is through Assembly and/or Committee
2. No, but they can (threaten with) a law-suit, as the law favours community rights
3. No the Mayor has no power over this independent organisation
4. He is not officially obliged and should not harm WUA interests
5. The WUA can decide
6. Depends on the rules set by the WUA (and reflected in the statutes)
7. No the power is *given* by the members
8. Maybe as a fellow villager, but not as WUA members. Before becoming a member villagers can negotiate on the basis of equality
9. Usually only the Assembly decides about expulsion
10. That would be appropriate, but as discussion leader it is his choice
11. If the Chairman is the discussion leader in the meeting you should (ultimately) obey him
12. As per commonly accepted ethics standards these subjects should be kept separate

© MDF copyright 2004

www.mdf.nl

Steps in making interlinked organograms

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by making interlinked organograms. Aims for which interlinked organograms are suitable are:
   - To determine strength, weaknesses, opportunities and threats of the internal and external linkages of the organisation (step to strategic planning)
   - To resolve tensions and conflicts between different parties and levels (resolution of institutional tensions)
   - To determine who should deal with whom in the implementation and control of an activity (design of institutional arrangements)

0. **Define the field of analysis**
   - Decide whether you depict the current, expected (when?) or desired situation:
     - Clearly distinguish desired from current and/or expected
     - Analyse the desired situation only after the current and/or forecasted situation

1. **Determine the issues** that need to be analysed and clarified, e.g.:
   - Who implements certain activities
   - Who controls whom on those activities
   - Who resolves conflicts between parties, and in which capacity (mediator or judge)

2. **Depict the hierarchy**
   - Determine the actors that interact with the case owner
   - Within each organisation draw the organogram

3. **Determine the level of linkage**, for various issues. Draw lines where the organograms interlink

4. **Draw conclusions** on the formal (final) way to address issues, and about the appropriate attitude and relations if informal resolutions are pursued

5. **Test understanding and agreement among stakeholders**.
   - Develop imaginary cases of conflict, in relation to your basic (sub-) question
   - Give persons a role and let them sort our by whom and how to address the issue
   - Resolve misunderstandings and disagreements about these cases

www.mdf.nl

5.2.3   Coverage matrix

What is it?

A coverage matrix is a tool that helps to determine which actors in the institutional setting are active in what way. Three different types of coverage matrixes each describe the match between two dimensions. A coverage matrix can compare:

- Which suppliers (actors) offer which products or services (this is the most common application)
- Which suppliers serve which clients
- Which target groups (or clients) use or desire which products.

A coverage matrix assists to identify duplication or gaps in the supply and demand of products. Thereby it helps to identify needs and opportunities for new interventions or for collaboration and co-ordination, as well as possible niches for strategic orientation of actors who supply services and products. It opens your mind to options in the sector.

What can you do with it?

Making a coverage matrix shows which duplications and gaps exist in supply compared to demand. It provides an overview of overlaps and gaps in serving the target group(s). It shows weak areas (gaps) and areas of duplication, thus indicating relevant areas for co-operation and co-ordination. It helps to focus activities.

Basic (sub-) questions

- Which target groups are least served and which products/services are most required? (needs assessment for project/programme formulation)
- Which actor(s) can best implement different parts of a programme/project? (positioning of a programme – a donor perspective)
- What should the organisation do to deserve the key role in implementing a programme/project? (programme positioning – a potential implementers perspective)
- The distribution of which tasks between actors should be changed, and which co-ordination mechanisms should be established? (ID intervention planning)
- What are opportunities and threats to the sector or organisation objectives? (preliminary step to strategy decisions)

Results

- Which actor serves which target group(s) with what services/products?
- Where are gaps (missing or scarce services/products, uncovered target groups)?
- What are areas of duplication (excess supply, favoured target groups)?
- Where should co-ordination and reorientation be stimulated?

How to use it?

Process

Can be made on an individual basis or in groups consisting of representatives of various organisations. It is useful to invite several stakeholders to contribute. Takes around 1 to 2 hours to fill, if information is available.

Groundwork

To make a coverage matrix the suppliers should have been identified, e.g. with the help of an institutiogramme. If the coverage matrix is used to identify best implementers for a programme, however, it is best _not_ to start with a complete institutiogramme. In that case an institutiogramme may narrow the identification of future options (if a project organisation used to do everything single-handedly and in isolation of others, this is not an argument to continue that way).

Another step to making a coverage matrix is to identify the target groups and products/services. This can be done unstructured, or in a more systematic way through an institutiogramme, a problem analysis (as included in OOPP), a quick external organisation analysis, and/or an environmental scan (although an environmental scan is more typically done *after* making a coverage matrix).

Follow up

- To analyse in more detail where bottlenecks lie (in products or services to target groups), you can proceed to make a problem area matrix
- To further assess the prospects for collaboration between two parties it is useful to make a collaboration chart (this can be between two implementers or also between an implementer and its potential long-term donor)
- To get a better picture on the general factors influencing involvement, and to complete the institutional picture, an environmental scan can help

Requirements and limitations

It is difficult to determine the quantity of involvement, and the assessment may therefore be rather subjective. The matrix does not consider the quality of services/products. It also does not show existing co-operation, but an institutiogramme may complement a coverage matrix in this respect.

Practical references

MDF Syllabus "Networking and Network Analysis" (2004)
Norman Uphoff: Local Institutional Development: an analytical sourcebook with cases (1986)
Wayne C. Baker: Networking Smart. How to develop relationships for personal and organisational success (1994)

Example NGO Coverage matrix: RICOLDA

Problem owner

RICOLDA management

Sub-question

What are opportunities and threats in the services that the existing actors in the SME sector currently offer?

	Chamber of Commerce	Community Development	SME Agency	Institute for Innovation	Technology Projects	Credit project	Banks	Church Dev. Organisations	Total (issue coverage)
Business Support									
Business Promotion		**XX**		**?**		**X**		**XX**	5
Manag. Training		**X**	**XX**	**?**	**X**			**X**	5
Technical Training			**XX**	**XX**	**XXX**			**X**	8
Savings & Credit			**X**	**?**		**XXX**	**X**	**X**	6
Info Services	**X**		**X**	**X**	**X**			**X**	5
Export Promotion	**X**		**X**	**?**					2
Institut. Developm									
Training of Trainers		**X**		**?**					1
Training materials		**X**	**X**	**?**					2
Training of credit off.				**?**		**X**			1
Research & Dev.			**X**	**X**	**X**	**X**			4
Total (involvement)	2	5	9	4	6	6	1	6	

Observations

- There are various organisations involved in information services
- There are various organisations involved in training and advise
- Limited attention is given to the organisation of the target group and ID
- There is limited attention of Banks to provide credit to SME's
- Too little is known about the scope of work of the Innovation Institute

Conclusions

- Opportunities for co-ordination with respect to information gathering and distribution
- Opportunities for developing a referral system in training + advise and credit
- RICOLDA could play an important role in institutional development
- RICOLDA should give more attention to building associations of SME's
- RICOLDA should further explore possibilities of co-operation with PIERD and Banks

Example coverage matrix: PSU

Problem owner

Programme Support Unit (PSU) of INGO

Basic Question

How can the PSU of INGO ensure more timely services to the programmes, maintaining accountability to the donors?

Some of the services that the PSU provides can hardly be delivered by others. The INGO has to take overall responsibility for reporting to its donors, and it seems logical to have a central administrative check on those reports. This makes making a coverage matrix impossible (you want to compare different suppliers). Yet in other area looking at others with experience or capacity may be opening ones mind to possibilities for:

- Out-sourcing
- Delegating
- Collaborating with others

	Check reports to donors	Buy cars	Buy computers	Maintain cars	Maintain computers	Buy office supplies	Buy medicines	Total (involvement)
PSU INGO	XXX	XX	XX	X	XX	XX	XX	14
Programme departments INGO	!!					!		3
Regional offices INGO	!!				x	!!	x	6
INGO Kenya	ooo	XXX	XXX	XOO	XX	ooo	ox	19
Government	o	o	XX	oo	x	o		8
NGO child care			XXX		XX		XXX	8
National referral hospital				o	o	o	XX	5
Health NGO local	oo		o				XX	5
IT business local			!!		XXX	x		6
INGO workshop 'Prado'		ooo		XOO				6
Total (issue coverage)	14	9	14	11	13	6	6	

! Has capacity
X Actually does this
? Unknown but worth investigating
o Does this for itself, but definitely not suitable to do it for the INGO

Conclusions

Some new strategic options can be identified, that will be weighed on relevance and feasibility later. Collaboration in purchase of medicines with other actors would justify building a store (at the premises of who-ever would lead), resulting in faster delivery at lower cost.

Example Coverage matrix (service-supplier): Maswa

Problem owner

Maswa District Council (steering District Rural Development Project DRDP)

Basic question

How can Maswa District Council enhance the farm income of the population of Maswa District (*more*) *effectively* and how can this be done in a (*more*) *sustainable* manner?

Sub-question

What are gaps and duplications in the current services to the target group?

	cotton market.	input supply	credit supply	devt. ox-weeders	farm research	row planting	training weeder
International/Parastatal							
Farming Syst. Res. Ukiriguru				xx	-	xx	x
Integr. Pest Management Shy					xx		
Fertiliser programme		xx			xxx		
Kamer work				x			
ASENTA				x	x		
Central/Regional							
Reg. ext. officer (T&V)					-	xxx	xxx
R.C. + D.C. + DAO + Div.Secr.s						xxx	-
District							
DALDO and his team		xx	xx	xxx	x	xxx	xxx
Ward and village exec. officers	x					xx	-
Agric. & livestock ext. staff						xxx	x
Other village extension staff							-
NGO		xx				x	x
Devt. Team (NGO)						x	x
Religious leaders (Distr.level)							
Local/village							
Primary coop. societies	xxx		x				
Village governments	xxx						
Sungusungu (traditional force)	xxx		x				
Trad. dance + cultiv. groups							
C.C.M.+other political parties	x						
youth & women's groups							
primary schools							
local church leaders							
Entrepreneurs							
Shin Reg. Coop. Union	xxx						
Crilcar	xxx	xxx			xxx	xx	x
M.E. Investment				xxx			
Input suppliers		xxx					
Shops with farm inputs		xxx		x			
Ox-cart makers	x						

© MDF copyright 2004

www.mdf.nl

Steps in making a coverage matrix

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by making one or more coverage matrices. Aims for which a coverage matrix is suitable are:
    - To select the target group and products/services a new project/programme will offer (project/programme formulation)
    - To analyse the network and select experienced, suitable actors to implement different parts of a project or programme (positioning)
    - To analyse the network and identify in which area's to strengthen the organisation or collaborate to become the most suitable implementer (competitive positioning)
    - To identify and formulate ID interventions in order that the actors jointly cover the needs of the target groups effectively (ID intervention planning)
    - To identify opportunities and threats to which you want to adjust your programme or organisation (prepare strategic decisions)

0. **Define the field of analysis**
    - Define the sector
    - Define the geographical area
    - Decide whether you assess the current (output), desired (mission) or potential (given the input) situation:
        - Clearly distinguish actual output (current situation) from mission and input (potential assessment)
        - First analyse the current *output*. Only if that does not give decisive information
        - Secondly analyse the *mission* (Does the mission make the actor a suitable supplier?) and if even this does not provide decisive information
        - Thirdly analyse the *input* (Does his input make the actor a potentially capable supplier?)

1. **Define the focus**. Choose what is most relevant between three options:
    - Actor-product matrix: Which suppliers (actors) offer which products or services (this is the most common application)
    - Actor-client matrix: Which suppliers serve which clients
    - Target group-product matrix: Which target groups (or clients) use (or desire) which products

2. **Define the sub-division**

For actors/ suppliers	- Identify actors (define the type of actors, e.g. from institutiogramme) - Select maximum around ten actors - Optional: Cluster them, give each cluster a heading, and order the clusters
For products/ services	- Identify products/services, based on: - Direct target group needs - Supply by one of the actors - Sector needs (target group needs, co-ordination/ supervision, and capacity development services) - Select ten to twelve products/services

© MDF copyright 2004

www.mdf.nl

	• Optional: Cluster them, give each cluster a heading, and order the clusters
For clients/ target groups	• Identify clients/target groups. Desegregate e.g. on religion, sex, income, age, ethnicity, etc… • Select maximum around ten target groups • Optional: Cluster target groups, give each cluster a heading, and order the clusters • Identify the importance of the target group

3. **Draw the matrix**. Generally put the higher number of sub-divisions into the rows, and the lower number into the columns

4. **Assess the involvement** per actor/product (if there are many actors/products then indicate the involvement per cluster). Choose the 'involvement' you look at:
   - Quality and quantity simultaneously (to see where the network has 'holes')
   - Priority the actors gives to the issue (to select partners to collaborate with)
   - Assess the involvement:
   -     No Involvement
   - X   Limited Involvement
   - XX   Substantial Involvement
   - XXX   Major Involvement
   - ?   Involvement not known

5. **Analyse the matrix**
   - Where are gaps and overlaps? [If certain *outputs* are not produced, make a matrix that judges the suitability of the *mission* of actors to start producing these outputs. If that matrix does not give sufficient information, make a matrix in which you judge the suitability of actors given their *inputs*]
   - Who can best deliver which service, or what should an organisation do to be competitive in all areas?
   - Where is co-ordination and collaboration most relevant?

6. **Draw conclusions**, in relation to your (sub-) question. Write opportunities and threats (judged from the point of view of your question) on yellow and blue cards respectively.

   Note if there is insufficient information about certain facts, this can be noted for further research. 'Being uninformed' is in itself also a weakness or threat

   Note: Do not have lengthy debate about whether a fact is an opportunity or a threat. In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the facts into smaller facts that are positive and negative*
   - *Judge the fact both positive (yellow) and negative (blue), or leave it neutral (white)*

5.2.4   Collaboration chart

What is it?

The collaboration chart identifies the binding and unbinding factors in the (potential) collaboration between two organisations or departments. The collaboration chart visualises relevance (usefulness) and feasibility (possibility) of collaboration by looking at similarity, compatibility and complementarily. It can be used in the analysis of the viability of present and potential partnerships.

What can you do with it?

Making a collaboration matrix helps to identify binding and unbinding factors in the relations between two (potential) partners. It glances at reasons for co-operation, and explores detects and assesses the suitability and viability of existing or proposed partnerships. It can also help to explore conditions and options to enhance success. The analysis also yields the identification of opportunities and threats in a partnership relation (that can be taken into account in strategic orientation).

Making a collaboration matrix is a logical step if new and intensive partnership is considered. The two parties may be a consortium of partners who consider writing jointly a tender proposal, or develop and produce a new product or service. However it can also be between an implementing organisation and a donor. Both the donor and its potential partner may wish to investigate whether a long-term partnership is attractive and viable.

Basic (sub-) questions

- Are these actors likely to collaborate well? (step to positioning a project/programme: Choosing implementing and co-ordinating actors for a project or programme)
- What can be done to enhance the success chance of the partnership? (ID/OS intervention planning)
- What are the opportunities and threats of this partnership? (step to strategy decision of an organisation or for a programme)

Results

- What are binding and unbinding factors between two organisations?
- Does (a certain way of) collaboration offer more benefits or more disadvantages?
- What are attractive areas and ways of collaborating?
- What can be done to enhance the viability of a partnership?

How to use it?

Process

It can be done by one partner or jointly by two partners together. In case of tension or sensitive issues between partners, the two matrices made by each party separately can be compared with the help of an external adviser. Group sessions will take around one and a half hour.

Groundwork

A collaboration matrix can be used as an isolated tool, in case you consider collaboration. More typically a collaboration chart follows a coverage matrix (or occasionally directly an institutiogramme), from which the need or potential of co-operation was identified.

Follow up

The collaboration matrix can be a step in a strategy development process. The next steps are then the environmental scan (although this can also be done before the collaboration chart) and the internal organisation (or sector) analysis. As stand-alone tool, the follow up after making a collaboration matrix is operational planning of the collaboration and possible organisational strengthening measures.

Requirements and limitations

The assessment of the strength of the binding and unbinding factors is subject to personal interpretation. This drawback can be evaded if both partners judge the collaboration, and jointly match their results. A clear limitation is that the chart is limited to two actors only, while it requires substantial information on the actors.

Whereas it helps to identify what supports and what deters good co-operation, it does not comprehensively inventorise the reasons to collaborate. (These reasons lay outside of the two organisations, while this tool focuses on similarities and difference between two actors).

Practical references

MDF Syllabus (2004) Networking and Network Analysis
Uphoff Norman (1986) Local Institutional Development: an analytical sourcebook with cases
Wayne C. Baker (1994) Networking Smart. How to develop relationships for personal and organisational success.

Example Collaboration matrix: RICALDO and PIERD

Problem owner

RICALDO management

Basic question

What support to micro- and small finance enterprises should RICALDO offer to optimise the contribution of these organisations to economic growth of their target groups?

Sub-question

Could RICALDO co-operate well with PIERD in credit delivery?

Aspect	Binding factors	Assessment[1] + -	Unbinding factors
Environment	The need for credit is massive and cannot be met by one organisation alone	<== ===>	Institutional survival strategy requires uniqueness and clear identity
Mission/ Objectives	Development of SME's is common objective to both parties.	<= ==>	Both parties want identification with clients to avoid confusion.
Outputs	There is a need for common entrepreneurship screening mechanism to ensure that the proper target group is supported	<=== ===>	Some feeling of competition
Inputs	Joint efforts in credit follow up will reduce the default risks	<=== ===>	Both parties work in different pilot areas
Organisation	Sharing information can improve the methodologies	<== =>	Both parties wish to avoid copying each others (experimental) methodologies, which are insufficiently tested

Observations

- The unbinding factors are stronger than the binding factors
- Strong unbinding factors are related to identity and uniqueness, but also working areas
- Strong binding factors are related to the common target group and reducing default risks

Conclusion

It appears to be difficult to co-operate in credit delivery. However, there seem to be opportunities joint efforts to reduce default risks and for information exchange.

---

[1] See the steps for an explanation of the symbols.

Steps in making a collaboration chart

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer through the collaboration chart. Suitable aims are:
   - To position a project/programme (choosing whether and if so how to engage two actors in the project/programme)
   - To develop partnerships (identifying bottlenecks and designing ID/OS interventions to make collaboration successful, e.g. between an organisation and a donor)
   - To prepare strategic choices (for one of two organisations, or for a –sector-programme that may involve the actors in question)

1. **Choose two actors** whose (potential) collaboration requires analysis

2. **Choose the (potential) area(s)** of collaboration. Think for example of:
   - Exchange of information in…
   - Joint/co-ordinated services of… to…
   - Services to each other
   - Policy influencing in…

3. **Identify binding and unbinding factors** for each type of collaboration (you may make and compare several charts, representing different degrees or areas of collaboration). For each option identify factors in the following organisational aspect:
   - Environment
   - Mission/objectives
   - Outputs
   - Inputs
   - Internal functioning and organisation (see IOM)

4. **Assess the strength** of the factors
   =>   Some importance
   ==>   Substantial importance
   ===>   Major importance

5. **Analyse the chart**
   - What are the major factors?
   - What is the balance of all factors?

6. **Draw conclusions**
   - (In which area) is there potential for collaboration?
   - What can be done about the major unbinding factors?
   - Write the conclusions on cards. Use yellow cards for positive (opportunities) and blue cards for negative (threats) factors and conclusions

   Note: Try to distinguish judgement of the internal and external situation. For whom are the facts binding/unbinding:
   - *To what extend does it characterise the other (opportunity/threat), and*

- *To what extend do you cause this (strength/weaknesses – remember them for the internal analysis). The collaboration between two actors who are both under the control of the problem owner, are strengths and weaknesses. In that case use green cards for positive and red cards for negative factors and conclusions*

Note: Do not have lengthy debate about whether a fact is an opportunity or a threat. In case of uncertainty or disagreement:
- *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
- *Split the facts into smaller facts that are positive and negative*
- *Judge the fact both positive (yellow) and negative (blue), or leave it neutral (white)*

5.3.1 Strategic Options (SOP)

What is it?

Strategic options are creative alternative action-oriented responses to the external situation that an organisation (or group of organisations) faces. Strategic options take advantage of facts and actors, trends, opportunities and threat of the outside world. Strategic options can be identified after an institutional assessment, keeping in mind the aspirations (basic question) of an organisation. Prioritisation of a (set of) strategic option(s) takes place only after matching the various options with the current capacity (strength and weaknesses) of the organisation, for which SOR (strategic orientation) is the foregone tool. The tool 'Strategic options' helps to identify and make a preliminary screening of alternative strategic options or perspectives.
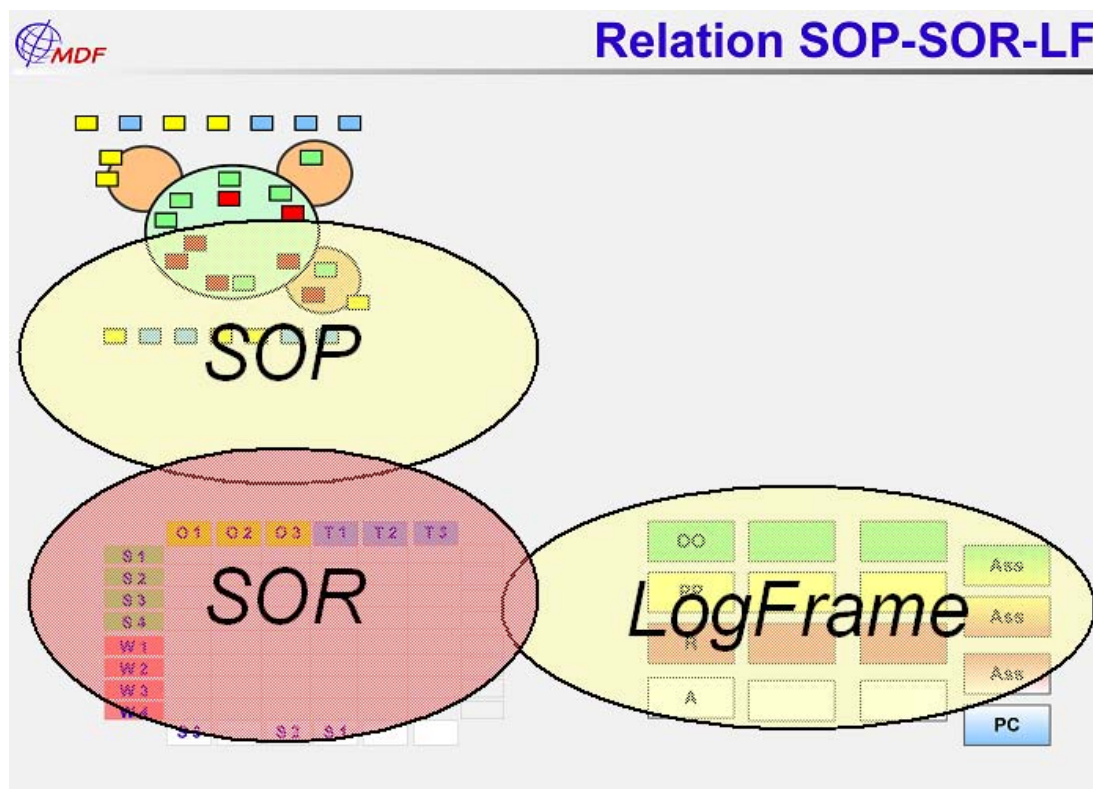
What can you do with it?

Basic (sub-) questions

- Which strategic options optimally fit the needs of the target group, the institutional options, and aspirations of the stakeholders? (strategy making)
- What supportive (ID/OS) interventions are required to succeed in that option? (ID/OS intervention planning)

> **Results**
>
> - What are the key opportunities and threats?
> - How can these O&T's be translated into strategic options?
> - Which strategic options fit the basic question well?

How to use it?

Process

The identification of strategic options is a creative process that can be done in small (sub-) groups of no more than eight persons; meanwhile taking care that hierarchy does not restrict people to actively contribute ideas.

Groundwork

The formulation of strategic options can take place after institutional analysis, and after (or in combination with) reaching clarity on the mission and aspirations of the organisation. Often the formulation of strategic options is done only after in-depth internal assessment of the organisation, but we recommend to identify options prior to organisational analysis, to prevent that the aspirations and strategic options are blurred and bogged down by a focus on immediate, internal problems.

Follow up

The foregone follow-up is making a selection of strategic options by matching external options with internal capacity (strength and weaknesses), by means of strategic orientation (SOR). As this step requires insight in the organisation's performance, the immediate next step may be detailed organisational analysis on selected IOM-elements.

Actually this tool cannot be seen separate from strategic orientation, as a method to derive strategies from a SWOT analysis. The reason why these tools are presented separately is that the options can be formulated even before the internal analysis. The advantage of doing so is that the picture of what you *want* will be less blurred by premature considerations about feasibility (what you *can*).

Requirements and limitations

Identification of strategic options would preferably be done plenary, but this is often hard to realise, because this is a creative step that requires substantial vision and analytical skills. Therefore it may be done in a small group. If so, the wider group of stakeholders participating in the ID/OS process, should get a chance to comment (else their commitment may be lost).

MDF also applies the so-called 'PODia' methodology in large workshops (with 20 participants or more) that cover ID/OS from BQ formulation until operational planning in approximately three days. In this method the formulation of strategic options is skipped, and the SOR matrix matches strengths and weaknesses with opportunities and threat, in stead of with strategic options (see for more details the SOR matrix tool). If time and participants allow it is better to formulate strategic options, because represent and active, integrated response to the external world.

Example SOP Health Department

Problem owner

District Health Department in Faraway Province

Basic question

How can the District Health Department ascertain effective, affordable and sustainable delivery of adequate health services to the rural population in the province?

Opportunities

1. District commissioner gives high priority
2. Budget grows 10% per year in coming 3 years
3. Health services of NGO's well appreciated
4. Political trend towards decentralisation

Threats

1. Rapid population growth
2. Growth of infectious diseases (typhoid, dysentery)
3. Bad reputation public health services
4. Fragmentation of donor efforts

SOP matrix

	Opportunities and threats	Strategic options	Relevance to BQ
A	O3, O4, T3	Make better use of private health services	XXX
B	T1, T2	Intensify preventive health services	XX
C	O2, T4	Intensify donor co-ordination	
D	O2, T3, O1	Improve functioning and image of public health services	XX
E	O4, T2, T4	Improve functioning of public health services specifically in preventing/curing infectious diseases, thus earning credibility and budget	X

Remarks

The first evaluation of strategic options is not the end of the process, because strategic orientation (SOR) should follow. Therefore you should not take decisions at this stage. You may realise for example that strategic option D is relevant, but probably least feasible. However you should postpone your judgement and conclusions until after the SOR.

Steps to develop strategic options (SOP)

0. **Formulate the (sub-) question** that you want to answer by developing strategic options

0. **Assess the external context**, in terms of opportunities and threats

1. **Prioritise and cluster** opportunities and threats
   - If you have more than 15 of each, prioritise (e.g. through voting)
   - Brainstorm which opportunities and threats can be related to each other

     Who should participate in the following step? It is often hard to take step 2 with a group of 15 or more people, although that is ideal. Alternatively a core team of 1-5 people can do step 2. However, a process facilitator should <u>not</u> do it alone in a break.

2. **Develop strategic options**. Formulate strategic options that:
   - Respond to one or more opportunities and/or threats
   - Are actions (or results) related to output, input, mission, vision and/or relations
   - Are straightforward (clearly relate to opportunities and/or threats), but
   - Are also creative (there may be more than the most obvious response. And you may consider new solutions that respond to new trends, opportunities, and threats)
   - You may develop several options relating to the same opportunity or threat
   - For each threat or opportunity try to formulate at least one strategic option

3. **Rate the options** in terms of <u>relevance</u> to (note that this is only a preliminary selection) in the SOP matrix
   - The criteria in your BQ, and/or
   - The mission and aspiration of the organisation
   Note: Rating should <u>not</u> be done using the criterion of <u>feasibility</u>, as matching external strategic options with internal possibilities happens only during SOR
   Rating can be done individually (give each person around 5 votes) or jointly. Each SO may be given 0-3 'votes'. Select the 3-6 most relevant options to be further considered during strategic orientation

4. **Follow-up**
   - Implement internal organisational analysis of critical elements
   - Strategic orientation (SOR), the final selection of a (set of) strategic options

Internal

Organisational Analysis
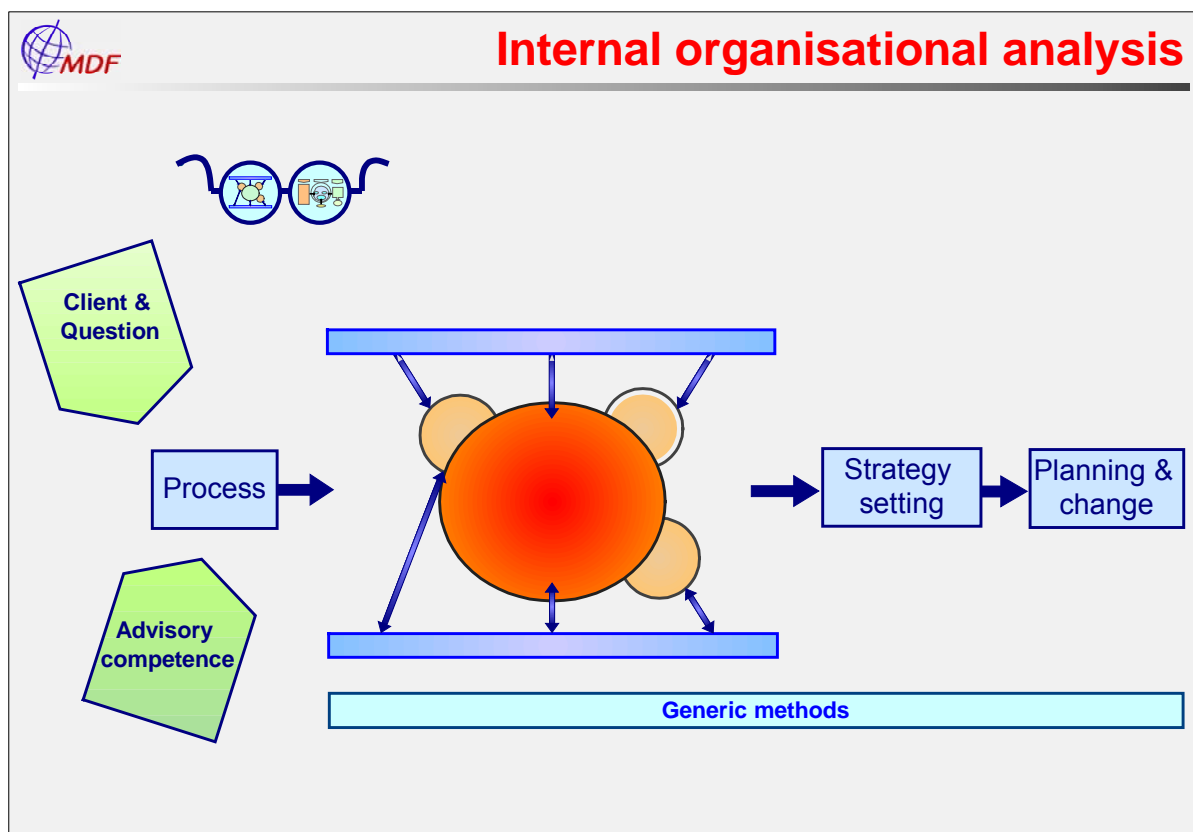
6   Internal organisational analysis

This is 'finally' the Chapter that deals with what comes first to mind to people, when we talk of 'organisational analysis'. As our reader we 'deprived' you very long of this issue, to make sure you approach it with a clear perspective of the larger picture. Finally we enter the 'black box' that describes *how* an organisation comes to the results it produces. Once you have a good external orientation (on external IOM elements as well as on the target group), your can explore the internal organisation in a purposeful way, zooming in to any detail that is particularly important to the Basic Question at hand.

We start this Chapter with a Section on **Strategy**, which determines how the organisation strives to achieve its mission. The ***Strategy assessment*** tool presents indications how to analyse an existing strategy (whereas SOP, SOR and envisioning relate to the development of new strategies). The Section on **Structure** looks at hierarchy (***Organogram***), but also at the balance in the organisation. It gives different organisational functions (***Mintzberg matrix***). An effective and popular tool to analyse organisational **Systems** is the ***Process flow chart***, which helps to visualise planned and actual procedures and events. The tool helps to communicate on what goes on, and consider alternatives, that improve particularly timeliness and efficiency of services.

Then we dive into the 'soft' elements, starting with the analysis of the **Management style**. ***Quinn*** and ***MacCoby*** each developed models with both a self-assessment questionnaire. The fact that these are self-assessment tools enhances the acceptance of the findings by the management, but may also need to be supplemented by caring confrontations by the consultant. Yet, the consultant should keep in mind that it is much more important to make the management part of the solution, than to sort out whether (and to what extend) the management is part of the problem.

The ***Management assessment model*** presents a way of thinking, as it views the management style in relation to the other facts in and around the organisation, rather than passing judgement on management style as such, or even judging merely in terms of liking by the staff. A participatory management style fits many service organisations, but in the fire brigade a directive management style is mandatory. As a consequence this tool is more relevant *after* strategy setting than before, as only then the choices are made between e.g. aggressive penetration into new markets or cutting jobs, which has implications for the management requirements.

The **Staff** performance Section offers four tools to review and revise staff issues. The ***Staff conditions algorithm*** proposes a sequence of questions to find the bottlenecks to optimal performance and motivation. ***Competency profiling*** touches on the vast issue of competency based management, and is therefore more of an appetiser than of a do-it-yourself instruction. The ***Core quadrants***, developed by Daniel Ofman working for the Dutch consultancy firm Kern Konsult, are particularly suited to guide self-exploration by staff. A consultant or coach can also use the method to confront staff in a way that raises least resistance, and opens doors to positive purposes (rather than concluding the analysis with statements of things that should not be done anymore). Alternatively Core Quadrants can also be used for management style or culture analysis.

Whereas the former three tools approach the staff as individuals, the tool on *Functional team roles* looks at the complementarily of temperaments and social functions in a group. The questionnaire is firstly a self-assessment tool that helps individuals appreciate rather than resent differences. If taken further it can also help a team realise in which direction and way it should develop.

The final Section of this Chapter deals with organisational **Culture**. It starts with a model and questionnaire on four *Archetypes* of organisational culture, as developed by Charles Handy. It deals with both the existing culture (as perceived by the people working in it) and their desired values and way of working. Therefore it has more relevance in judging the appropriateness (strength and weaknesses) of the culture, but still the limitation of looking at staff likes and dislikes rather than at functional requirements in view of the mission, clients and environment of the organisation. The *Checklist culture* offers the more comprehensive view of judging culture in relation to other IOM elements. Like the management assessment model it is in theory therefore a preferred approach, yet difficult to actually fill out. The *Self-assessment* tool, which is a method of looking at desired changes for which two possible questionnaires are provided, is again less demanding on the consultant. It helps persons in the organisation indicate areas and direction for change, and is useful to open a focussed debate (in case of opposing views) or action planning (where views converge).
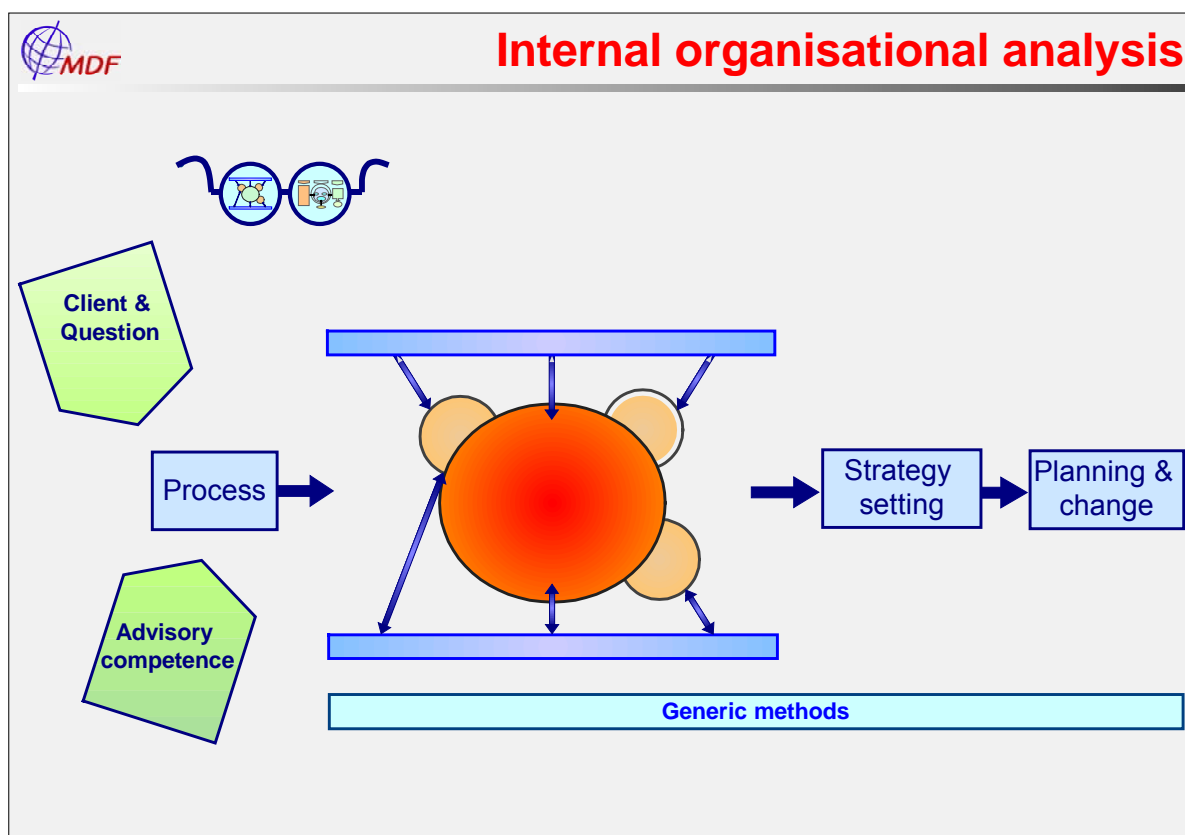
6.1.1   Strategy assessment

What is it?

The strategy assessment tool gives a framework and suggestions to analyse and judge the suitability of an organisation strategy. What you check in strategy assessment is not whether the right choices were made, but only whether clear arguments were used.
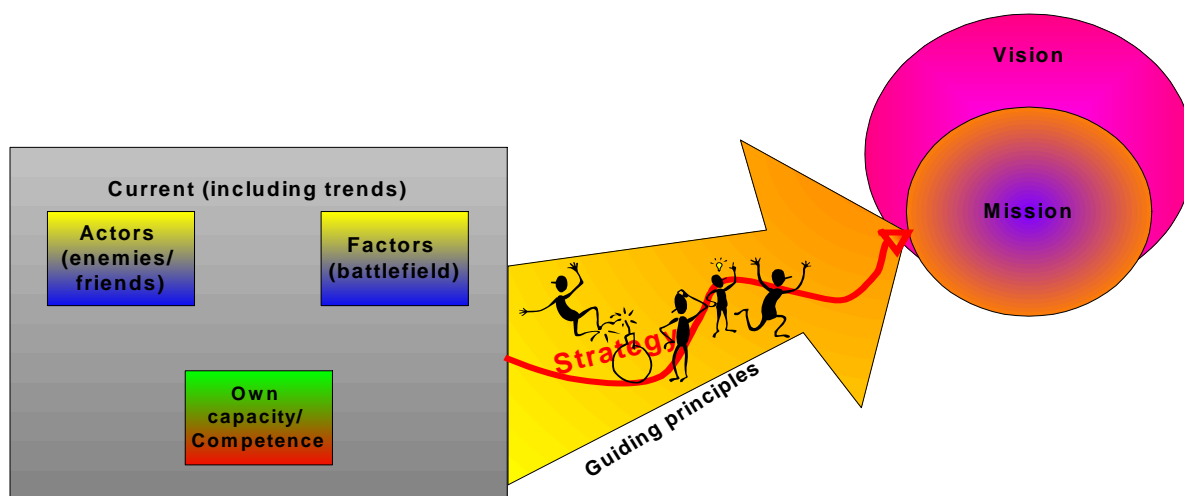
A good strategy should convincingly link the current situation (described in terms of the target group situation, the institutional context and the organisation's own capacity) with the mission. In determining the road ahead, the strategy should respect the guiding principles of the organisation. Moreover the strategy should be inspiring (symbolised by the jumping person), SMART (symbolised by the light), and organisation-wide shared, supported, practised and monitored (symbolised by the forward moving person).

What can you do with it?

Basic (sub-) questions

- How can the strategy be optimised?

Results

- Does the strategy acknowledge the current situation of target group, other stakeholders, factors and own capacities? (SunTsu: Know the enemy, the battlefield and yourself)
- Does the strategy clearly lead towards the vision and mission, meanwhile respecting the organisation's guiding principles?
- Is the strategy inspiring, clear, and actually known, practised and monitored?
- What are areas worth further analysis (specially if assessment was based on study of written data only)

How to use it?

Process

An external consultant or new manager may check the existing strategy of the organisation, starting with a study of documents. Subsequently one needs to check throughout the organisation whether the strategy is known, internalised, and implemented. The checking of the actual reputation of (and adherence to) the strategy can best be checked through random interviews (in team meetings employees may exaggerate their guidance by the strategy).

Follow up

Follow up depends on the bottlenecks:
- If the current situation is poorly assessed, start an ID/OS analysis
- If the mission and guiding principles are unclear, plan for envisioning
- If the strategy is unclear or does not clearly lead to the mission, conduct workshops to strengthen this link and to make the targets SMART
- If the strategy is uninspiring, plan a participatory trail to set challenging targets
- If the strategy paper is shelved, introduce regular performance monitoring
- If the actual strategy is excellent but poorly documented, do just that

Requirements and limitations

There are different interpretations of what is meant by strategy, with two 'extremes':
- In the narrow understanding strategy purely determines *how* the mission will be achieved (the image of the future is already fixed by envisioning or scenario exercise)
- In the wide reading strategy also includes *where* to go (as in SoR, in which case the *how* is considered operational planning).

Even in the wide interpretation, strategy assessment does not question and check the relevance of the mission itself (comparing it with the target group situation and wishes).

The assessment should not end with the study of planning documents, as the actual value of a strategy is determined by the extent to which it is practised.

Practical references

- General Sun Tzu – 'The art of Warfare', 700 BC, China. This book recommends knowing your enemy, battlefield and your own strengths and weaknesses.
- Henry Mintzberg – 'The Rise & Fall of Strategic Planning'. This book translates Sun Tzu military principles into knowing the market/clients, collaborators and competition, and your company competence.
- Mintzberg, et al - Strategy Safari (1998)
- M. Porter, 'Competitive Strategy', which states that without clear strategy an organisation is 'Stuck in the Middle'
- Collins, James C. and Jerry I. Porras, 'Organisation vision and visionary organisations', Harvard Business Review, (1992). They explain that for strategy be make a difference, it should not only have a high quality, but be inspiring, specific, and shared throughout the organisation
- Whittington, Richard. What is strategy and what does it matter?

Steps in strategy assessment

0. **Formulate the (sub-) question** (purpose) that you want to answer by strategy assessment. Strategy assessment is suitable to check the appropriateness and coherence of organisational plans and actions

0. **Choose level of analysis**:
- *Process assessment* only checks whether decisions were clearly based on comprehensive facts and studied considerations
- *Content assessment* evaluates whether the right choices were made

1. **Check the mission and guiding principles**. Guiding principles are values and organisation core competencies, such as 'strong team spirit', 'client-orientation', 'gender equality', or 'being the lead innovator'. Guiding principles bind the organisation, but also distinguish it from others, whereas the mission only binds

2. **Check the situation analysis**. Is the current situation analysis (including trends) clear in terms of:
- Facts, opportunities and threats in the <u>market and clients</u> (target group)
- Facts, opportunities and threats in the <u>institutional context</u> (collaborators, competitors, suppliers, regulations and environmental factors)
- Facts, strengths and weaknesses in the own <u>organisation</u>:
    - Performance (plans and realisation of quality and quantity)
    - Structure (division of responsibilities and authority, balance and co-ordination)
    - Systems (primary process, planning, monitoring, administrative procedures, HRM)
    - Management style
    - Staff competencies, performance, motivation, reward and support (development)
    - Organisation culture

3. **Assess the strategy logic**.
- Does the strategy stipulate a convincing path from current situation to the desired?
- Does it choose between alternative strategic options, based on criteria?
- Are the choices real choices, rather than compromises (stuck in the middle)?
- Is there a contingency plan ('Plan B', 'alternative scenario')?
- Does it respect organisation-guiding principles?

3.1 **Assess strategy appeal**
- Is the medium-term (1-10 years) image of the future clear and inspiring?
- Are targets big, daring & risky? Do they balance (and stretch) what you want (ambition) and what you can (ability)
- Are there transformation target ('From implementer to capacity builder')
- Does it follow a role model ('Gandhian action, Einstein precision') or slogan
- Does the description involve various sense channels and expressions:
    - Visual images ('bright', 'overview', 'clear-cut')
    - Auditory ('speaking', 'outspoken', 'unheard off')
    - Kinaesthetic ('Dynamic', 'moving', 'pragmatic')

3.2 **Assess risk assessment**:
- Are risks identified?
- Are alternative strategic options compared using criteria?

3.3 **Assess strategy clarity** and practicality. Is the strategy SMART:
- Specific (and gender specific)
- Measurable
- Achievable, agreed-upon
- Relevant, realistic
- Time-bound

3.4 **Assess strategy implementation and monitoring**
- Do the relevant employees know, support and implement the strategy?
- Was it formulated with sufficient participation?
- Were previous strategic and annual plans implemented and monitored?
- Is strategy implementation systematically monitored?
- Does the (rolling) strategic plan follow the mission?
- Does the (multi-) annual report and plan follow the strategic plan?
- Is there a clear link translation of objectives into plans (results), into activities, budgets, and monitoring indicators?
- Is the strategic plan itself being revised and adjusted over time?
- Do the plans and reviews include ID/OS interventions (so introduce changes)?
- Is the strategy lean and modest enough; recognising that threats and opportunities evolve faster and more irregular than one can foresee

6.2.1   Organogram

What is it?

An organogram is a powerful and quick way to get an impression of an organisation. It depicts the hierarchy and reporting lines and the formal functional divisions within the organisation. An organogram expresses its dominant ordering principles and priorities. The organogram can show the distribution of personnel over various tasks and units and the span of control of various managers, and points towards the need for collaboration (between separate units who however play a role in the same process). Variations on the basics of the organogram can also illustrate issues like the different heads that a person wears simultaneously in relation to a particular issue.

What can you do with it?

Basic (sub-) questions

- Which organisation structure is most suitable?
- What are strengths and weaknesses of the current organisation?
- How can a conflict be resolved?

Results

- What are the relations between different units and persons?
- What are the dominant ordering principles of the organisation and do they match with the context and strategy?
- Are responsibilities and authority (task and power) in balance?
- Does a person carry out several functions, and does this lead to confusion?
- Does the organisation function (in terms of decision-making and initiative) hierarchically or informally?

How to use it?

Process

A consultant or new employee can study the structure of an organisation by looking at the official organogram of the organisation. Interviews should supplement whether the formal organogram is also widely known and respected, or whether informal practices differ considerably (such informal practices run smoothly, until conflicts arise).

Groundwork

Organogram analysis can be the first internal organisation analysis tool or the second after assessing the organisation strategy.

Follow up

- To investigate whether the organisation is balanced in its attention for the primary process, strategic management, R&D, and middle management and support (overhead), make a Mintzberg matrix
- To (further) investigate co-ordination within the organisation study the content, participation and frequency of meetings and informal contacts
- To (further) investigate the leadership, apply one of the management style tools
- To re-engineer the organisation for efficiency and client-friendliness, (also) make a process flowchart

Requirements and limitations

Be aware of the possible difference between formal structure and informal practice, or even disagreement and confusion on the (interpretation of) the official organogram

An organogram does not (directly) show the balance between core processes, support and innovation, and the co-ordination mechanisms within the organisation.

Practical references

Structure in Fives: Designing Effective Organisations – Henry Mintzberg (1983/1993)
MDF Syllabus "Analysing Structures", "The ambiguous role of the Desk Officer"

Organogram: Different Organisation forms
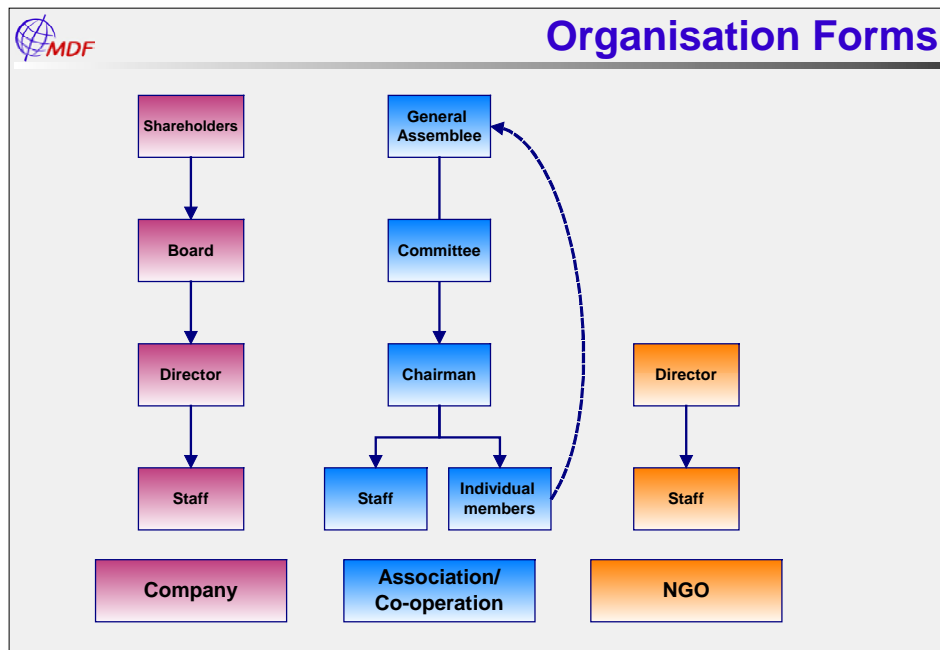
Legal forms

A Company (with or without shareholders) differs from an Association notably in the fact that profit is an important aim or condition. An Association produces benefits for its members, but these profits materialise outside the organisation. NGO's differ from Associations and CBO'

Group forms

Literature distinguishes teams (where all group members are answerable to each other) from working groups (where members are individually answerable to the leader). This is illustrated in the picture. Teams may well have a team leader, but the members take

mutual responsibility. Towards a manager or third person they would not report differently or blame each other for delay or poor quality ('It was not my responsibility and fault'). In stead they ensure tasks are realistically distributed, implemented and monitored. Note that teams are not always preferable over working groups (a working group may fit better if different disciplines are involved and persons work in different locations), although potentially only teams can have incremental performance results (the sum becoming more than the sum of parts).
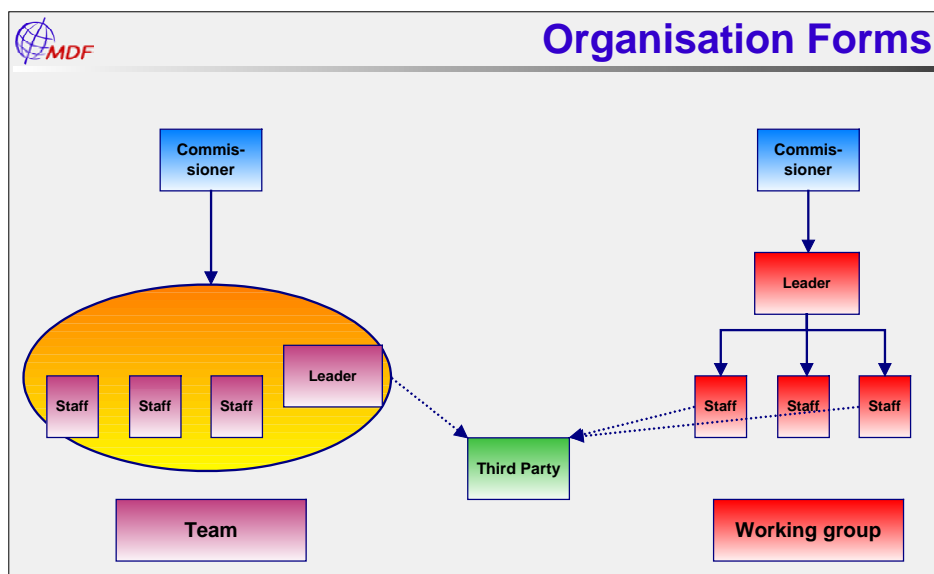
Organogram with (internal) project

Organogram with project
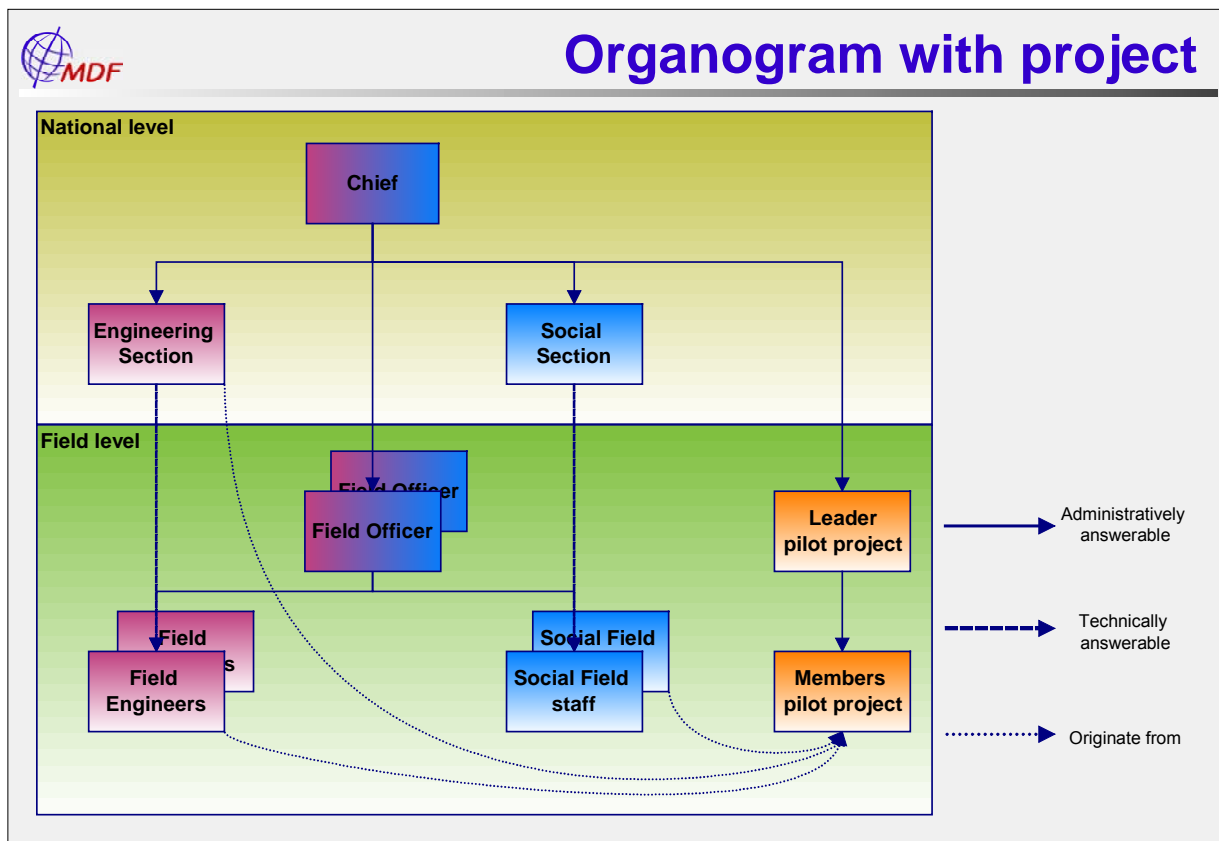
Remarks

- At field level there is more then one office, so there are various field officers and other field staff in the different offices.
- If Field Engineers and Social Field staff have a conflict and do not manage to resolve it informally, they should ask their Field Officer. Therefore:
  - If field staff complain at their own Section at the head quarters about field staff of the other discipline, the Section heads should refer them back to the Field Officer
  - If field staff go straight to the Chief, behind the back of the Field Officer, the Chief should also refer the case back to the Field Officer
- If the project leader has difficulty to get the project team members together and the members spend too much time on their regular work, he can try informal solutions with the members, or their managers. The final formal solution, however, is to ask the Chief to give clear directives on the priority of conflicting tasks and interests
- If this is an issue of debate, it should be decided who is in charge of what:
  - Does the pilot project team take responsibility (and co-ordinate) all activities (including regular activities) in the pilots, or
  - Do the respective Field Officers take responsibility for all activities in their area (to some of which the pilot project team makes a contribution)?

Example organogram BEP

Basic question

How can BEP, internal in its organisation and externally in its context, be optimised to succeed in its next five-year plan?

Sub-question

How can the structure of BEP be optimised towards innovation, quality control, sharing of experiences and the shift to becoming a resource centre (rather than implementer)?

Organogram
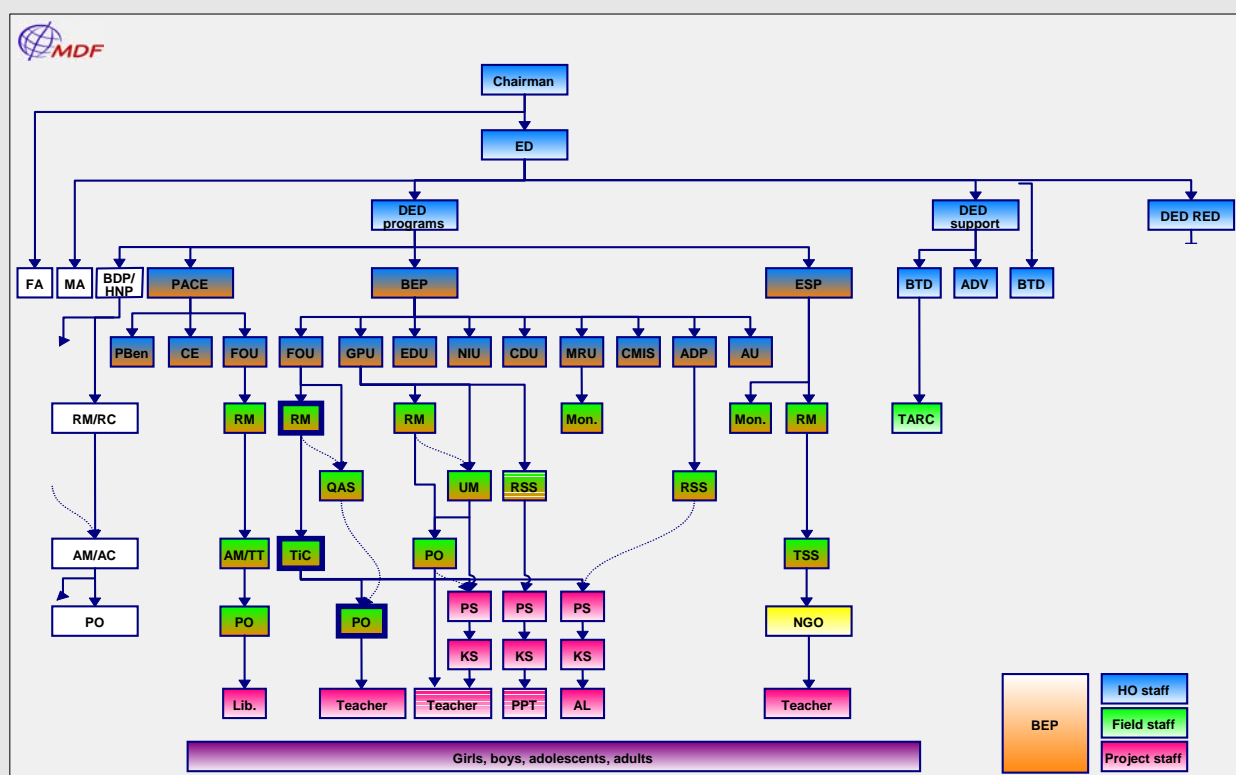
Conclusions/Recommendations

[These conclusions are based on the organogram and on additional interviews]

- There is high emphasis on quality control to keep up immaculate reputation of BEP
- There is very informal and good field-contact (vertical interaction), in spite of large organisation, but limited horizontal cross-fertilisation and team-work
- Units tend to create parallel structures at regional and area level. These offices should be integrated
- BEP has a larger number and variety of sub-components than ESP and PACE
- In view of the objective of becoming a resource and service centre Government Partnership and Advocacy are organisation-wide concerns. The current isolated Units for Government Partnership and Advocacy should be raised in level and their interaction with all other units should be strengthened.

© MDF copyright 2004

www.mdf.nl

Steps in analysing an organogram

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by analysing the structure. Aims for which an organogram analysis is suitable are:
    *   What can be the most suitable organisation
    *   Identify strengths and weaknesses of the current organisation
    *   Find the basis to resolve conflicts and tension (double lines of hierarchy)

1. **Determine formal structure** and draw the organogram. Options:
    *   Depict persons or functional groups (departments, units, sections, cells)
    *   Indicate which functions are performed by the same person
    *   Differentiate different forms of accountability (technical, managerial, financial)

2. **Evaluate grouping**:
    *   What are the dominant grouping principles e.g.:
        *   Service/product (check whether different units use similar approaches)
        *   Client (check whether similar units exchange experiences well)
        *   Geographical region (check whether regions exchange experiences well)
        *   Skill/discipline (check for inter-disciplinary co-ordination)
        *   Function (check for exchange between functional systems)
        *   Time (worksheets) (check that sequential teams hand-over well)
    *   Is the grouping in line with strategy, mission and guiding principles?

3. **Determine responsibility-power balance**. Check for:
    *   *Unity of command*: Does each functionary have exactly one boss?
    *   *Exception principle*: Are only unusual matters referred to a higher level?
    *   *Decentralisation/Delegation:* Are decisions made at the lowest possible level with sufficient competence and information? Check deconcentration versus devolution
    *   *Authority:* Do managers have the means and powers to achieve their objectives, but not more than that?
    *   *Conflicting interests:* Do managers simultaneously represent different interest (quality and quantity, staff and client). Are these interests incompatible?
    *   *Span of control/managerial responsibility:* Does the manager have the competence and time to lead the given number of sub-ordinates?
    *   *Scalar principle:* Does authority and responsibility flow in an unbroken line from top to bottom so that the top indirectly controls the bottom, without exceptions?
    *   *Differentiation:* Are tasks sufficiently differentiated between people and units, but
    *   *Integration:* Are efforts sufficiently unified and co-ordinated?

4. **Evaluate co-ordination**.
    *   What types of vertical and horizontal co-ordination are required?
    *   Which forms of co-ordination exist?
    *   What are strengths and weaknesses in co-ordination in terms of timeliness, quality and commitment?

© MDF copyright 2004

www.mdf.nl

5. **Evaluate conflict resolution** (or tensions) and informal reality:
   - Who influence (informally) and who are (formally) involved in decisions?
   - Do conflicts occur and how are they addressed?
   - What are strengths and weaknesses in decision-making in terms of timeliness, quality and commitment?

 ➢ If informal settlement (direct resolution by persons who are not hierarchically related to each other) does not succeed, follow the formal lines. In other words: Let superiors (and ultimately the manager that steers both branches in the organogram) take a decision
 ➢ If conflict resolution by the hierarchical structure still leaves tension, then address the fact that the parties resist the organisation structure
 ➢ In conflicts with external parties clarify who is legitimised to speaks on whose behalf (e.g. labour union, environmental activist), and see how these stakeholders relate

6. **Draw conclusions** (and/or recommendations), in relation to your basic (sub-) question. Write positive (from the point of view of your question) conclusions on green and negative conclusions on red cards (use green and red respectively, for activities that are fully under the control of the problem owner, in case of a sector analysis)

6.2.2   Mintzberg matrix

What is it?

Re-organisation often includes substantial changes in the organisational structure. The structure is apparently one of the most important components of the organisation's design and could be described in terms of the basic parts of an organisation as indicated below. An organogramme is only one of the ways we can depict the way people within the organisation co-ordinate their activities. The way people co-ordinate their activities determine the functioning of an organisation. One structure functions better than another one, i.e. being more effective and efficient.

The Mintzberg matrix examines the balance between five basic areas of activity of an organisation, in terms of the time people spend.

These basic parts are:

The Basic Parts of Organisations	Example; Secundary School
1. Operating Core Staff involved in activities of the primary process (the transformation of inputs into outputs).	With education being the primary process the educators form the operating core.
2. Strategic Apex Staff charged with ensuring that the organisation serves its Mission by formulating and controlling relevant strategies.	School Governing Body and Principal
3. Middle Line Management Staff involved in joining the Strategic Apex to the Operating Core by channelling information and by co-ordination of activities.	Head of Departments, Unit Co-ordinators
4. Support Staff Staff not directly involved in the primary process, but providing **operational support** to this process.	Secretariat, Accounts, Transport
5. Technostructure Staff involved in the **maintenance and development** of the efficiency and effectiveness of primary and support processes, including the development, standardisation, monitoring and evaluation of activities.	Financial Controller, Quality Assurance, Monitoring & Evaluation unit, Research, Methodology development. **Note**: technostructure activities do not have to be technocratic or technical.

What can you do with it?

As this analysis helps to recognise the practices of (the management of) the organisation, it provides a ground for strategic decisions on where to reduce and where to increase endeavours. The division into five basic parts can also provide a starting point for an analysis of (the adequacy of) co-ordination mechanism in the organisation (see further consultation matrix or process flow chart).

> **Basic (sub-) questions**
>
> • What should be done to make the organisation balanced in its attention for the five basic parts? (operational planning and OS intervention planning)

> - What are strengths and weaknesses in the balance between current efforts of the organisation? (step to strategic decision making)
> - Is the organisation sufficiently efficient to play a key role in a programme? (scanning of organisation capacity and suitability)
>
> **Results**
>
> - Does the organisation spend adequate attention (time) to all basic parts/functions?
> - Where are imbalances?

How to use it?

Process

The Mintzberg matrix can be used on an individual basis or in a group (no more than 20 people), in which it will take 1-2 hours to work out a rough estimate.

Ground work

Making a Mintzberg matrix in a participatory way as part of an analysis and change process requires that the management has communicated its views and promises on the possible consequences and steps to the employees. If the employees have no clue about the possible changes ahead, they are likely to respond with resistance.

Follow up

The division into basic parts can be the basis for analysing the co-ordination within an organisation. It can also be a step towards strategic orientation.

Requirements and limitations

It is hard to determine what the perfect picture of an organisation looks like. This depends very much on the development stage as well as on the type of organisation. All organisations should pay central attention to their core business (preferably above 50%), but for young pioneering organisations a strong emphasis on strategy and techno-structure is appropriate (together e.g. 33%), while for large established organisations a middle management and support structure of 25% can be acceptable. Organisations (like the IT business, tourism) who have to keep to the cutting edge need to invest heavily in strategy and development. Expensive and highly specialised professionals (e.g. surgeon) deserve an extensive support structure, while industries with a stable demand can afford to deliver standardised products, without much research and development (techno-structure).

The method relies on data about the time expenditure of all personnel. Estimates of time expenditures may be ambiguous; especially when the categorisation of time recording is ill understood, limiting the validity of comparisons. Yet when the 'dirtiness' of the figures is understood (e.g. not showing decimals in the outcomes if the input data are rough), they can lead to important and valid insights and conclusions. Also note that outsourcing of activities may influence the picture.

Practical references

- The Structuring of Organisations - Henry Mintzberg (1979)
- Structure in Fives: Designing Effective Organisations – Henry Mintzberg (1983/1993)
- MDF Syllabus "Analysing Structures" (2004)

Sector Mintzberg matrix: Secundary School

Problem owner

The Secundary School in a district

Basic question

What should the Secundary School do to optimise the education to the students?

Sub-question

What should be the basis for calculating the costs of education of the Secundary School?

- On basis of "time writing" every employee indicates how s/he spends his/her time, which will be clustered in reference to the basic functions within the organisation.

Activities	Principal	Deputy Principal	Head of Department	Teacher	Admin. Staff	Financial Staff	Watchmen	TOTAL (hrs/week)	Total Percentage
Number of staff	*1*	*1*	*4*	*23*	*2*	*1*	*3*		
Strategic Apex									*1*
• Contact with business community	2							2	
• Contact / meetings with Department	6		4					10	
Middle Management									*2*
• Co-ordination meetings	4		16					20	
• Coaching of educators			4					4	
• Conducting disciplinary action	4							4	
Core Operations									*49*
• Teaching	6	6	56	460				528	
• Preparation of classes	2	2	20	138				162	
Support Structure									*47*
• Surveillance	2	2	20	138			120	282	
• Typing					20			20	
• Registration of absenteeism		20			20			40	
• Report writing	10	10	20	46				86	
• Photocopying			20	138	40			198	
• Book keeping						20		20	
• Procurement	4					10		14	
Technostructure									*1*
• Curriculum Development									
• Internal Audit						10		10	
Total	*40*	*40*	*160*	*920*	*80*	*40*	*120*	*1400*	*100*

MDF

The Mintzberg Mushroom of the Secundary School

Strategic Apex

School Governing Body

Principal: *1 %*

Support Structure

Support Activities: *47 %*

Technostructure: Quality Assurance

1 %

Coordi-nation: *2 %*

Head of Departments

Middle Management

Teaching: *49 %*

Core Operations
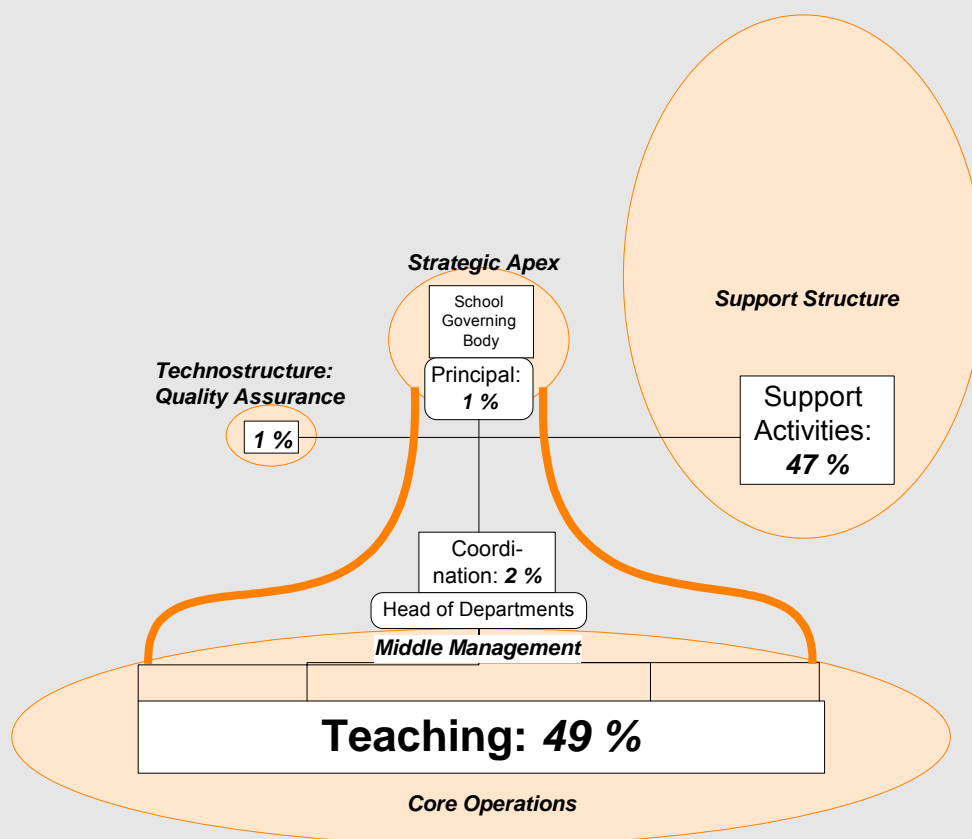
Conclusions:

- The Management spends too much time on admin work.
- The teachers spend about 35% of their time on non-core activities
- Little time is spent on management and/or co-ordination activities.
- Relatively little time is spent on the core function of the school: education
- Support structure has been overdeveloped; Teachers do too many admin activities
- Technostructure has been under-developed. Hardly anybody is involved in curriculum development or quality assurance

Mintzberg matrix: Toys® factory

Problem owner

Management team of Toys®, a factory producing quality wooden toys

Basic question

How can Toys® increase its market share by offering its high quality wooden toys at more competitive prices?

Sub-question

What should Toys® do to optimise the balance in time spend on different basic parts?

Function	Persons	Core		Middle		Strategic		Support		Techno		Total
DG	1	0	0	25	25	45	45	20	20	10	10	100
MD	2	5	10	50	100	25	50	5	10	15	30	200
PO	5	0	0	55	275	15	75	10	50	20	100	500
DH	4	10	40	45	180	20	80	20	80	5	20	400
Unit 1	8	79	632	5	40	5	40	2	16	9	72	800
Unit 2	8	82	656	5	40	5	40	2	16	6	48	800
Unit 3	8	79	632	5	40	5	40	2	16	9	72	800
Unit 4	8	81	648	5	40	5	40	2	16	7	56	800
Admin	10	0	0	10	100	6	60	80	800	4	40	1000
Total	54	336	2618	205	840	131	470	143	1024	85	448	5400
Percentage			**48**		**16**		**9**		**19**		**8**	**100**

Conclusions

- The operating core receives by far most attention. This is a strength
- Strategic apex and techno-structure receive very limited attention. To stay attuned to the market this could be increased, at the expense of support and middle management. In particular the creativity of the employees of the units may be tapped more
- The over-all picture is that of a highly balanced and market-oriented factory
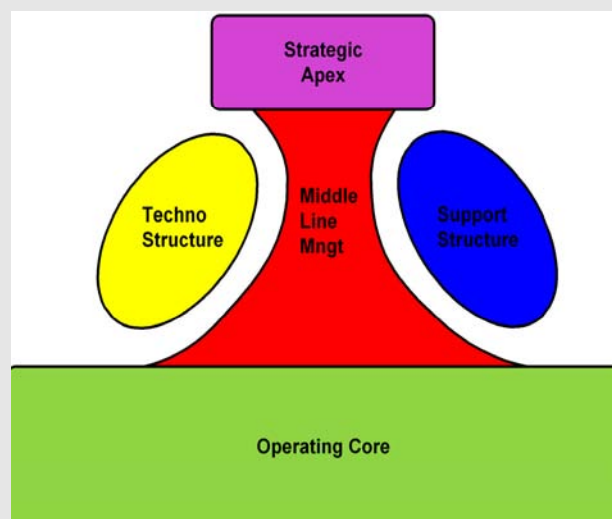
Steps in making a Mintzberg matrix

0. **Formulate the (sub-) question** that you want to answer by making the Mintzberg matrix. Suitable aims of making the matrix are:
   - To decide in which basic parts to reduce and in which areas to increase efforts (operational planning and strategic decision making)
   - To mobilise commitment throughout the organisation to focus on core activities -or another part you feel deserves more attention- (raising awareness on imbalances)
   - To prepare strategic choices, by identifying strengths and weaknesses (step to strategic decision making)

0. **Define the field of analysis**
- Decide whether you depict the current, expected (when?) or desired situation:
- Clearly distinguish desired from current and/or expected
   - Analyse the desired situation only after the current and/or forecasted situation

1. **List all positions/functions** and the related number of staff (formation places) in the first two columns

2. **List the activities** of the organisation

3. **Categorise the activities** into the basic parts:
   - Operating core means all activities leading directly to products and services to fulfil the mission of the organisation (this is the core business and reason of existence of the organisation)
   - Middle management means all supervision and co-ordination to stimulate and direct the performance of the operating core (this includes performance monitoring, supervision, internal quality control, information and planning meetings). The term 'middle' refers to the fact that it ensures that strategy decisions are implemented by the operating core
   - Strategic apex means all activities to (re-) define what the organisation delivers and how it produces that (given the target group needs, institutional environment, etc.). It is the translation of the mission into objectives and activities
   - Support-structure means operational support that enable the organisation to deliver it's products and services, but which do not belong to the operating core itself (e.g. financial administration, keeping contract records, making logistical arrangements, organising transport of employees)
   - Techno-structure means activities to maintain and develop the organisation's performance (organisational change, training of employees, installing better software, monitoring and evaluation, etc.) Techno-structure activities are not necessarily technocratic or technical

   > Note: The level and size of the organisation(s) you analyse determines under which basic parts activities fall. Examples (see also example of Sector Mintzberg matrix):
   > - 'Conducting training' is an operating core activity of an internal training department of a large firm. But for the organisation as a whole it is a techno-structure activity
   > - 'Proposing law' is an operating core activity of a Ministry, but a strategic apex activity of the sector

© MDF copyright 2004

www.mdf.nl

> - *'Supervising' is an operating core activity of a department head, but a middle management activity of that department as a whole*

4. **Identify the time spent** per function/position under the different basic parts:
   - Identify (through time writing or estimation) the % of time that the average functionary (of a particular position) spends on average under each basic part
   - Then multiply this % by the number of people (or formation places) that fulfil that type of function
   - Check that all activities under the five basic parts add up to the number people (or formation places)
   - Divide towards 100% in order to draw the mushroom

5. **Optional: Draw a Mintzberg Mushroom** according to the proportions given by the totalled results of the matrix (see example Toys® factory)

6. **Draw conclusions**, by comparing the actual results with the situation you desire (BQ):
   - Where does the organisation spend too much or too little time?
   - What OS interventions should be undertaken?
   - What are positive features (strengths – write them on green cards) and what are negative traits of the current situation (weaknesses – write them on red cards)?

   Note: Do not have lengthy debate about whether a fact is strength or a weakness. In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the facts that have both a positive and negative (this is why you judge in the first place: to be more clear about what effects you in what way)*
   - *Make duplicate cards: Judge the fact both positive (green) and negative (red), or leave it neutral (white)*

6.3.1   Process flow chart

What is it?

A process flow chart is an instrument that visualises and analyses the various systems and procedures (e.g. delivery of services, decision-making, funds allocation, accounting and monitoring) within an organisation.

What can you do with it?

The flow chart analysis helps to identify the bottlenecks in the different processes within the organisation. It identifies unnecessary involvement of people, loopholes in decision making or unnecessary delays in the process. It assists to make the organisation more efficient in its operations.

The process flow chart helps to design new processes for the primary process, support processes and supervisory processes, and helps to analyse the bottlenecks in existing procedures. It is very useful to help participants understand the interrelation of the work activities and to realise how the work of one person influences the others.

Basic (sub-) questions

- How should the process be redesigned to be more effective and/or efficient? (operational planning and ID/OS intervention planning)
- What are strengths and weaknesses in the core process(es) of the organisation? (step to strategic decision making)
- Is the organisation sufficiently effective to play a key role? (scanning organisation capacity and suitability for funding or involvement in a programme)

Results

- What are the major steps in what sequence?
- Who is responsible for an activity?
- What are the major decision moments?
- Are decisions communicated to all relevant persons?
- What are the major information moments (into the flow)?
- What are the delays and bottlenecks in the process?
- What are strengths and weaknesses of current practice?
- What are co-ordination bottlenecks?
- What should be done to improve the process?

How to use it?

Process

A process flow chart can be made on an individual basis or in a group (not more than 20 people) on a participatory basis. If made with a few key people it should be adjusted and/or endorsed by all actors in the process. Decision-making is to be prepared for the

management concerned to improve the process. It is also a useful tool for presentation purposes to show how processes actually take place (or should look like). Depending on complexity of the process it will take 1-2 hours per process.

Ground work

The choice of which process to analyse should be made in a clear and clever manner: Relevant to the (core) problem owner, and of interest to the other involved stakeholders. A process flow chart can very well be a starting point of an organisation analysis, but may also be chosen if other observations indicate confusion or problems in the way the organisation acts what it does.

Follow up

Depending on the problems identified it can be followed by other analysis tools e.g. using the Integrated Organisation Model to dig deeper into the problem or combining the problems with other related problems in a problem tree analysis or a SWOT.

Requirements and limitations

It is important not to mix up different processes or different levels of abstraction (activities and sub-activities) in one chart. Sometimes it is difficult to define the process to analyse. Certain activities are cyclic and do not have a clear beginning and end. If not used adequately it may turn simple activities into a complicated chart. In a participatory approach there is a danger that participants mix up the present (actual practice), planned (official way of working) and the desired situation. We recommend visualising only one at the time.

Practical references

- Instrument based on methods like Critical Path Method and Information Systems design.
- Staveren, J.M. van & D.B.W.M. van Dusseldorp (1980): Framework for Regional Planning in Developing Countries.
- Zevenbergen, W. (1984): Een raamwerk voor de inspectie van procesmatige aangepakte streek ontwikkeling.
- Brinkerhoff, Derick W. & Marcus D. Ingle (1989): Integrating Blueprint and Process: A structured flexibility approach to development management. Public Administration & Development, Vol. 9, no.5,
- SNV (1997): A process approach.

Example of Process flow chart Training evaluation

Problem owner

MDF Training & Consultancy

Basic Question

How should MDF standardise the evaluation of its regular course in order to ensure organisational learning and continuous improvement?

```
                    ┌─────────────────┐
                    │  Course given   │
                    └─────────────────┘
                            │
                          ( CD )

  ┌──────────────┐
  │ End evaluation│─────────┐
  │ report        │         │
  └──────────────┘          │
  ┌──────────────┐          │
  │ Financial end │─────────┘
  │ calculation   │
  │ (C2)          │
  └──────────────┘
                    ┌─────────────────┐
                    │ Discuss and     │
                    │ evaluate with   │
                    │ co-trainers and │
                    │ CC the events   │
                    │ of the course   │
                    └─────────────────┘
                            │
                    ┌─────────────────┐
                    │ Formulate       │
                    │ recommendations │
                    └─────────────────┘
                            │
                    ┌─────────────────┐
                    │ Prepare final   │
                    │ course Report   │
                    └─────────────────┘
                            │
                          ( CH )
                            │
               No  ◇ Agree on report? ◇
                            │ Yes
  ┌──────────────┐
  │ Final course │─────────┐
  │ report       │         │
  └──────────────┘         │
                          ( CC )
                            │
                    ┌─────────────────┐
                    │ Distribute final│
                    │ course Report to│
                    │ co-trainers +   │
                    │ CH + CD next    │
                    │ course          │
                    └─────────────────┘
                            │
                    ┌─────────────────┐
                    │ Debriefing      │
                    │ between CD and  │
                    │ CH on content,  │
                    │ financial result│
                    │ evaluations,    │
                    │ recommendations │
                    └─────────────────┘
```

CD = Course Director (Trainer organising one course)
CC = Course Co-ordinator (Logistics)
CH = Course Head (Trainer in charge of a particular type of course)

Final evaluation completed

Adapted trainers notes, OHS, enz.

If applicable, adapt trainers notes, OHS, enz.

Resp. trainer

© MDF copyright 2004

www.mdf.nl

Example of Process flow chart Credit approval: Primary Process

Basic question

How can the Business support project (which provides credit and training) approve credit requests faster?

V:= Volume
D:= Duration
T:= Time spent

Problems/bottlenecks Identified

Request for credit

Loan application

Busines Advisor

Intake
V: 100 clients
D: 2 weeks
T: 1 hr/client=100 hrs

Trainer

Business Management. Training
V:100 clients
D: 8 weeks
T: 5 trainingsX120hrs=600hrs

Some participants not motivated

Busines Advisor

Assistance Business Plan
V: 120 clients
D: 6 weeks
T: 2OhrsX100=2000hrs

Too much time spent on bus. plans

V:20 clients

Credit Comm

V:120 clients
D:8 weeks
T:400 hrs

Approved? — No — **To revise?** — No — **Loan Rejected**

Yes — V:30 clients

Clients wait Too long

V:50 clients

Many loans not approved

Yes
V: 70 clients

Information to client

Loan Approved

Conclusions

- It will be useful to improve the intake and to reject clients right after the intake (selection), so that no time is spent on clients that are not worth continuing with.
- It will be useful to select those clients for training that really need the training or to identify more different training paths, to focus on the real needs of the clients.
- It is useful to improve efficiency in making business plans.
- It is useful to see if for certain clients (small loans/clients with good repayment status) the procedure can be shortened (training, business plans, credit committees).

Example of Process flow chart

Problem owner

Planning and Development Department

Basic question

How can Planning and Development Department raise the Project proposals that receive funding from 35 to 80% in 2004?

Sub-question

What are bottlenecks to transparent, effective and efficient appraisal and improvement of project proposals?
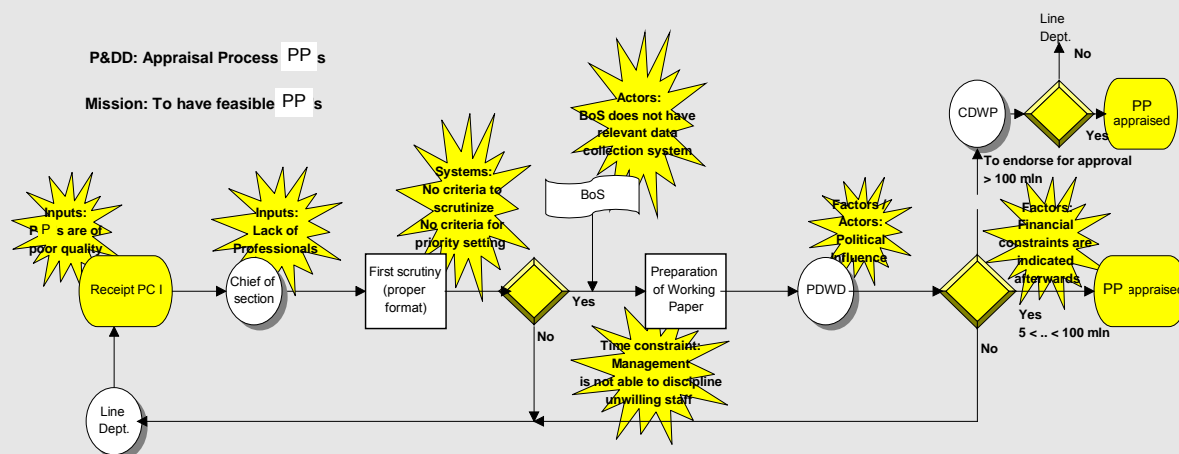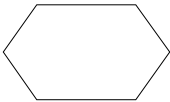
Observations: Problem analysis in reference to the (IOM) elements that hamper to fulfil the mission:

Inputs	• Project proposals (PP's), handed in by the line departments, are of poor quality (garbage in - garbage out) • There is insufficient professional staff within the Planning & Development Department to appraise PP's from technical point of view
Systems	• Standard criteria to scrutinise and to prioritise need to be developed (to stop the garbage at the doorstep)
Management	• Management causes time constraints, as it is unable to discipline unwilling staff and those who are willing are over-burdened.
Actors	• Bureau of Statistics (BoS) is not able to give clear framework of reference, as it does not have a relevant data collection system.
Factors	• Political lobby PDWP enforces Planning Dept. to accept poor PP's • Financial constraints are announced after PP's have been appraised.
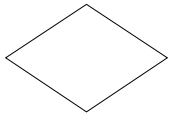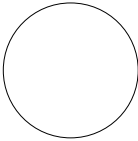
Steps in making a process flow chart

0. **Formulate the (sub-) question** that you want to answer by making a process flow chart. Aims for which a process flow chart is suitable are:
   - To decide how to optimise core processes (operational planning and strategic decision making)
   - To prepare strategic choices, identifying strengths and weaknesses (step to strategic decision making)
   - To judge organisation suitability and performance (to make funding and programme positioning decisions)

0. **Define the field of analysis**. Decide whether you depict:
   - Current practice (daily practice; the informal reality)
   - Current design (how it should happen according to 'the books')
   - Redesign (establishing the desired process)
     - Clearly distinguish current practice from current design and/or redesign
     - Analyse the redesign (and even current design) only after the current practice

1. **Choose the process**.
   - Which process are you going to analyse?
   - Unique or standard
   - Define the starting point
   - Specify the outcome/result of the process

2. **Describe the process** as indicated below, using the indicated symbolism:
   - State the start and end point (outcome/result)

   - Divide the process in 5-10 activities of the same level of analysis ("Giving a presentation" is of different level than "Conducting a course"). If you have more than 10 steps:
   - Cluster them or
   - Make more than one flow chart

   - Identify decision moments. Describe these decision moments in yes/no questions. Check that both the "Yes"-side and the "No"-side have a follow-up activity (arrow that leads somewhere), if that is reality.
     For example: Proposal approved?
   - Yes: Proceed + Send confirmation to client
   - No: File the proposal + Inform client with reasons

   - Identify the responsible person/unit for each activity (this may *not* be the same as the implementing person). All activities/ decision moments that follow the symbol are the responsibility of the person/unit indicated. Therefore, if the responsible person/unit stays the same, you need not repeat the in-charge

- <u>Identify the information</u> coming into the process and all information going out of the process. The arrows of the connecting lines indicate whether the information is going in or out
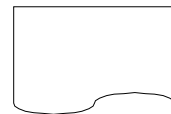
- <u>Connect the symbols</u> with arrows that indicate the flow of the process. Include loops to show that an earlier activity should be repeated

3. **Add key information** and write it next to the activities/decisions or arrows
   - <u>Volume</u>: The quantity of the product or service you process in a certain period of time. This indicates the magnitude of the subject
   - <u>Time/Cost</u>: The average or annual time/cost (expenditure) involved in each activity (write next to step). This indicates the organisation efficiency
   - <u>Duration</u>: The (average) time that passes between two steps (write next to arrow). This indicates the responsiveness to clients

4. **Identify possible bottlenecks**. Ask questions like:
   - Why does the activity/decision take place?
   - Why does the activity/decision take place at this point in the sequence?
   - Why does the activity/decision (or the time between them) take the time it takes?
   - (Why) is the activity/decision difficult to carry out?
   - Why is this person responsible for this activity/decision?
   - Who co-ordinates and supervises at different moments?
   - What is the effect of external (information, input, and means) dependencies?
   - What are the risks (what can go wrong) in the activity/decision?

5. **Assess options** for improvements. Check each option considering:
   - Can you leave out activities, decision points or information?
   - Can you combine/change activities, decision points or information?
   - Can you simplify activities, decision points or information?
   - Can you change the responsible person?

6. **Evaluate improvements**, considering whether the options result in:
   - Less <u>effort</u> (better methods, upgraded staff, better means and inputs) needed
   - Less <u>time</u> (better sequence or screening, less rejection) needed
   - Better <u>quality</u> service/product (better guidelines, control)
   - Less <u>resources</u> (optimising expenses and quality) needed
   - Better <u>working conditions</u> (more safety, fulfilment, less stress)

7. **Draw conclusions**, in relation to your (sub-) question. Write strengths and weaknesses (judged from the point of view of your question) on green and red cards respectively

6.4.1   Management assessment model

What is it?

The management assessment model helps to analyse whether the management style fits the situation and strategies of the organisation. The model uses two matrices (priority area and decision-making style) that assist in identifying bottlenecks and propose solutions in priority setting and decision-making style of the management. It reviews whether the management style suits the aspirations of the organisation (which is much wider than only the organisation culture and staff preferences). Management assessment can best be done after strategic orientation (or a similar course determining exercise), because the management style requirements are then clear.

What can you do with it?

Tools such as the Quinn roles and MacCoby styles analyse what is the style of the manager (or management team). The assessment model goes further, because it assesses whether that particular style matches with the challenges and choices of the organisation. The model helps to formulate change plans and directions in the management style.

Basic (sub-) questions

- How should the management style change to optimise organisation performance? (operational adjustments)
- What support actions are needed to help the managers change their management style to better fit the organisational requirements? (OS intervention planning)
- What are strengths and weaknesses of the management style? (step to strategic decision making)
- Is the management style suitable enough to justify funding or awarding this organisation main responsibilities in a proposed programme? (financing decision or positioning of a programme)

Results

- Which issues receive priority from the management?
- Which issues deserve priority from the management?
- What decision-making style does the management have?
- What decision-making style suits the organisation (in its choices and environment)?
- In what way should the current management style change to fit the organisation requirements?
- What should be done to optimise the management style?

Example Management assessment: District Health Department

Problem owner

District Health Department Province

Basic question

How can the District Health Department ascertain the effective, affordable and sustainable delivery of health services to the rural population in the province?

Sub-question

Given the choice for the below strategies, what change in terms of management style? Chosen strategies:

- Make better use of private health services
- Intensify preventive health services

Priority area matrix

	Required	Current	Conclusions	Priority
External				
Actors	XXX	X	Much more attention for other actors and their performance	XXX
Factors	XX	X	Some more attention for the context	X
Input	X	X		
Output	XX	XXX	Current function on output may be somewhat relaxed to have more attention for other actors	
Mission	X	X		
Internal				
Strategy	XX		Choice of modalities need to be evaluated more consciously	XX
Structure	XX	X	Structure needs to be adapted to working more with sub-contractors and partners	X
System	XX	XX	Shift attention from internal control to control of sub-contracted NGO's	
Staff development	X	XX	Attention on development of own staff may be relaxed: Currently this is disproportionate	
Culture				
Planning and control	XXX	X	Planning, specially of sub-contracting should receive major boost	XXX

Decision-making style matrix

	Required	Current	Conclusion	Priority
Allows participation	XX		The management should learn to involve partners in decision-making	X
Takes the lead	XXX	X	Management should initiate exploring more new avenues	XX
Takes risks			In terms of risk taking current somewhat conservative approach may be maintained	
Stimulates others	X	XX	The leadership style may emphasise coaching a little less in favour of focus on persistence in finding solutions	
Persistent in finding solutions	XX	X	The required change is not large, but crucial: To see to it that discussions culminate in practical agreements	XXX
Implements decisions	XXX	XX	Once decisions are made their implementation should be monitored, but the crucial step really to get to specific decisions	
Flexible reaction to changes	XX	X	Working with more external parties, the management should realise and accept it will more often have to adjust plans to changed realities	X
Uses intuition	XX	XX		

Conclusions/Plans

- Management team will dedicate the first weekly meeting of the month on review of external contacts. To this meeting changing partners will be invited
- For four months two managers each take by-weekly coaching to improve their focus and decision-making styles
- All meetings will produce timebound decisions that are displayed and monitored at the central bill-board

Example Management assessment Aquadef

Decision-making style	Required	Current style	Conclusions	Change priority
Staff initiative	0	0	Staff is sufficiently stimulated and followed if they contribute ideas. In fact staff initiative may be lowered, and then responsiveness could be increased	
Staff input	0	+	Management can rely more on itself for inventing and developing proposals	
Staff power	-	+	Management should become more decisive and clear in taking unpopular decisions	XXX
Innovation	0	+	Should reduce the number of innovative initiatives that are taken up	X
Risk taking	+	-	More risk taking required	XX
Perseverance	+	0	Really implement/try a new initiative before giving up	XX
Adaptation to environment				
Flexibility to staff				
Own commitment	+	+	Taking the consequences	
Staff commitment	+	+	In this process it is indeed crucial to ensure staff commitment	

Steps in management style assessment

0. **Formulate the (sub-) question** that you want to answer by applying the management assessment model. Aims for which the model is suitable are:
   - To decide how to adjust the management style to better match the organisation requirements (operational adjustment)
   - To decide what interventions (training, restructuring, etc.) to undertake to support the desired change in management style (OS intervention planning)
   - To prepare strategic choices, identifying strengths and weaknesses (step to strategic decision making)
   - To judge management suitability and performance (to make funding and programme positioning decisions)

Priority area matrix
1. **Choose priority categories** and place them in the first vertical column of the priority matrix. Priority categories can be:
   - The 8 Quinn roles
   - The 4 MacCoby styles
   - The 11 IOM elements (change 'staff' into 'staff development' and 'management style' into 'planning and control')
   - Itemised IOM elements. Depending on the priority areas of the organisation, split some of the elements into more detailed elements (e.g. actors into new clients, competitors, collaborators, actors you wish to influence, or change factors into political factors, (killer) assumptions, opportunities and threats, or change output into different products/services)

2. **Rate the required** management style (in terms of attention or time), given the challenges and choices of the organisation. Requirements can be found from strategic orientation, through consensus or through voting by selected stakeholders

---

*Note: If **strategic orientation** has been done, the required style can be found as below:*
- *Are the chosen strategies mainly focussed on opportunities or threats?*
  Quinn roles
  - *Dominant opportunity orientation demands an Innovator*
  - *Dominant threat orientation demands a Mediator*
  MacCoby styles
  - *Dominant opportunity orientation demands a Games person*
  - *Dominant threat orientation demands a Jungle-fighter*
- *Which IOM elements do the chosen strategies (or opportunities and threats) relate to?*
- *Which strengths and weaknesses are crucial to grab the chosen strategies?*
  Quinn roles
  - *Dominant focus on structure/systems requires Internal process orientation*
  - *Dominant focus on mission/strategy requires a Director*
  - *Dominant focus on output requires a Producer*
  - *Dominant focus on staff/culture requires Human relations orientation*
  MacCoby styles
  - *Dominant focus on output requires a Crafts person*
  - *Dominant focus on staff/culture requires a Company person*
- *Which IOM elements are involved in exploiting these strengths and overcoming the obstructing weaknesses*

---

3. **Rate the current** management style (in terms of attention or time spent) using:
- Self-assessment
- Stakeholder (clients, collaborators, staff) interviews or questionnaires
- Observations by independent adviser
- Debate on findings

   Note: It is important to clearly separate assessment of the current management style from the analysis of the required management style

4. **Optional: Rate priority** of actions. Rating can be done through voting:
   - Decide who votes: All or selected management team members
   - Give each voter 1 votes per row
   - Each voter can give zero (irrelevant) to three votes (very important) to each box

5. **Compare and propose** action when requirements do not match the current management style

Style matrix

6. **Choose management style categories**. Options:
   - The standard listed decision-making styles
   - 24 Skills belonging to the Quinn roles
   - Competencies identified earlier as core characteristics of the organisation
   - Required critical competencies identified in a brainstorm

   Note: Some competencies are inherently positive (e.g. strategic vision, engagement), while others come in pairs of opposites that need to be balanced (e.g. risk-taking versus stability, directive versus stimulating). While the relevance of the former can simply be rated (0-3 or 0-10), in the latter the two opposites may be put as the extreme scores.

7. **Rate the required** management style (in terms of attention or time), given the challenges and choices of the organisation. Requirements can be found from strategic orientation, through consensus or through voting by selected stakeholders

8. **Rate the current** management style (in terms of attention or time spent) using:
- Self-assessment
- Stakeholder (clients, collaborators, staff) interviews or questionnaires
- Observations by independent adviser
- Debate on findings

   Note: It is important to clearly separate assessment of the current management style from the analysis of the required management style

9. **Optional: Rate priority** of actions. Rating can be done through voting:
   - Decide who votes: All or selected management team members
   - Give each voter 1 votes per row
   - Each voter can give zero (irrelevant) to three votes (very important) to each box

10. **Compare and propose** action when requirements do not match the current management style

© MDF copyright 2004

www.mdf.nl

6.4.2 Questionnaire to Quinn's manager's roles

What is it?

Robert E. Quinn has refined his well-known description of the roles of the manager, now presenting a division into eight roles. The questionnaire below is a tool for self-assessment to recognise the dominant role you play as a manager. The model also provides relevant categories that an external assessor can use to analyse and describe a manager or management team. MacCoby presents another model about management roles. The questionnaire on MacCoby's styles is a similar self-assessment tool for managers, helping to diagnose the qualities of the manager in terms of a number of pre-defined dimensions.

What can you do with it?

Quinn's model (and in particular the questionnaire) helps to analyse the dominant and weak roles of a manager. It is therefore a step towards recognising whether that dominant management style fits the manager's particular organisation, given the challenges and choices of that organisation at that moment. An independent adviser can also apply the theory and model behind the questionnaire to diagnose (probably in consultation with other stakeholders) the roles of a particular manager (or management team).

The tool is similar to the MacCoby questionnaire. The table below indicates some (stereotyped) differences in emphasis and strength that may help you choose the tool that best suits a particular assignment.

Quinn roles	MacCoby styles
Roles: W*hat* does the manager focus on?	Styles: *How* does the manager do things?
What are functional biases of the manager?	What are dominant attitudes of the manager?
All levels of managers or teams	Individual top managers
Conceptual differentiation (leads to insights)	Playful, imaginative differentiation (causes enthusiasm)

Basic (sub-) questions

The below questions can be answered after comparing the assessment with the requirements of the organisation

- What should the manager focus on to better serve the organisation? (planning)
- What are strengths and weaknesses of the management style? (step to strategic decision making)
- Is the management style sufficiently adequate and reliable to award this organisation a key role in a programme? (scanning for organisation capacity and suitability)

Results

- Is the manager more inward or more outward looking?
- Is the manager biased towards flexible (inter-personal) or control issues?
- Do the results of the self-assessment surprise the manager or the independent adviser?
- What are the dominant role, secondary role and least developed role of the manager?

How to use it?

Process

The analysis and assessment of the management style can best be done by or under the guidance of an independent adviser. To make the picture less subjective, the adviser should supplement the self-assessment of the manager with observations and (possibly confidential) views from stakeholders (clients, other external contacts, and staff).

Groundwork

In an ID/OS analysis and planning process, the institutional analysis and the analysis of the 'hard parts' of the internal organisation (systems, structure and possibly strategy) normally precede the management style analysis. This yields a lot of information, and mentally prepares the stakeholders for discussing the more sensitive and tenuous 'soft issues' of the internal organisation. If an analysis process (with external facilitation or expert's assessment) directly zooms in at management style, the adviser should take care to be both sensitive and straightforward.

Follow up

A logical next step is to use the Management assessment model, to see whether the current management style matches the choices and challenges of the organisation of that moment. This management assessment, however, prerequisites a clear picture of where the organisation is and wants to go. If such a strategic vision does not yet exist, the judgement of the adequacy of the management style may be done more tentatively, resulting in recommendations to the management.

It is interesting to match the management style with the organisation culture. However, if organisation culture and management style clash, it does not necessarily mean that the management style should change. A good management style relates to both external (challenges and strategies) and internal (staff and organisation culture) aspects.

Requirements and limitations

The questionnaire is a self-assessment tool. To reach a more objective judgement and recommendations for changes in the management style (that are moreover embraced by the manager), an independent adviser requires considerable observation, and communication skills on top of this tool and concept.

Practical references

MDF Syllabus, Analysing Management Styles, 2004
MDF Syllabus, Skills of the Adviser, 2004
Robert E. Quinn et al, Becoming a Master Manager: A Competency Framework, Wiley, John & Sons, Incorporated, 2001 (this book deals with the above division into 8 roles)
Robert E. Quinn and Gretchen Spreitzer, A Company of Leaders: Five Disciplines for Unleashing the Power in Your Workforce. San Francisco: Jossey-Bass, 2001

Questionnaire Quinn management roles

The following sentences reflect a number of different management approaches. Indicate how often you would use the described approach by applying a score on the 1-7 scale.

Hardly	1	2	3	4	5	6	7	Always

Being a manager, how often would you….

	Score
1. Introduce new, inventive ideas	
2. Influence superiors in your organisation	
3. Clarify the importance of reaching the organisations goals	
4. Clarify the objectives of the organisation	
5. Search for innovation and potential improvements	
6. Emphasise the role of the organisation	
7. Have a tight grip on logistics	
8. Monitor what is going on in the organisation	
9. Search for mutually accepted solutions for open conflicts	
10. Listen to private problems of your staff	
11. Work on keeping the organisation well co-ordinated and organised	
12. Organise open discussions about conflicting opinions in your team	
13. Stimulate your organisation to reach the targets	
14. Discuss differences of opinion of staff members and actively try to solve them	
15. See to it that people stick to the rules	
16. Treat every employee in a sensitive and careful manner	
17. Experiment with new concepts and procedures	
18. Show attention and involvement when dealing with team members	
19. Try to improve the technical capacity of the project team	
20. Try to convince your superiors	
21. Encourage participation in decision-making in your team	
22. Compare minutes, reports etc. in order to detect contradictions	
23. Solve problems related to the time table in your department	
24. Help the department to achieve the expected results	
25. Solve problems in a creative and bright manner	
26. Anticipate problems and thus avoid a crisis	
27. Check your staff's work on mistakes and deficiencies	
28. Sell new ideas to your superiors in a convincing manner	
29. See to it that your department reaches the agreed targets in time	
30. Create an atmosphere for reaching consensus in your department	
31. Set priorities and future directions of your department	
32. Show concern for the well-being of your staff	
33. Keep the department consistently focussed on achieving the results	
34. Influence decisions that are taken on a higher level	
35. Regularly clarify the objectives of the department	
36. Create an atmosphere of order and co-ordination within your department	

Score sheet Quinn management roles

Facilitator		Mentor		Innovator		Broker	
9.		10.		1.		2.	
12.		16.		5.		20.	
14.		18.		17.		28.	
21.		32.		25.		34.	
30.							
Total:		Total:		Total:		Total:	
/5 =		/4 =		/4 =		/4 =	

Producer		Director		Co-ordinator		Controller	
3.		4.		7.		8.	
13.		6.		11.		15.	
19.		24.		23.		22.	
29.		31.		26.		27.	
33.		35.		36.			
Total:		Total:		Total:		Total:	
/5 =		/5 =		/5 =		/4 =	

Qualities and pitfalls Quinn management roles

Role	Core quality / Strength	Pitfall / Weakness
Facilitator	• Enhance teamwork • Solve conflicts • Trusted by staff	• Indecisive • Too much discussion
Mentor	• Personal coach • Supportive listener • Empower staff	• Lenient to under-performance • Lenient to side-tracking (hobbyism)
Innovator	• Recognises trends/markets • Courage	• Chaotic • Irresponsible • Out of touch with organisation
Broker	• PR – Company image • Political instinct • Favourable deals	• Opportunistic • Over ambitious • Soloist - Out of touch with staff
Producer	• Committed to targets • Takes responsibility • Motivate staff	• Fanatic • Pushy workaholic
Director	• Sets policies • Gives direction • Strong presence	• Rigid (direction) • Ignore people
Co-ordinator	• Reliable and trusted • Internal communication	• Rigid rules (structure) • Block change and progress
Controller	• Keeps track • Senses corruption	• Bureaucrat • Rules (systems) above performance

Example Quinn roles: District hospital

Problem owner

Management team of District hospital

Basic question

How can the District hospital timely and adequately serve the increased number of patients?

Sub question

How can the management of the hospital enhance timely and adequate service delivery by their respective staffs?

Manager	FA	MN	HR	IN	BR	OS	PR	DI	RG	CR	CN	IP
MD 1	5.5	4.6	5.1	3.8	4.1	4.0	4.1	3.2	3.7	6.0	6.2	6.1
MD 2	3.0	2.8	2.9	6.6	5.6	6.1	3.1	3.3	3.2	3.3	6.3	4.8
MD 3	3.8	6.6	5.2	3.5	5.4	4.5	4.0	2.2	3.1	6.6	3.0	4.8
MD 4	5.0	4.6	4.8	6.0	6.6	6.3	3.0	3.1	3.1	3.6	3.5	3.6
DG	2.8	3.0	2.9	5.0	6.6	5.8	5.6	4.6	5.1	4.2	5.0	4.6
Total	**4.0**	**4.3**	4.2	**5.0**	**5.7**	5.3	**4.0**	**3.3**	3.6	**4.7**	**4.8**	4.8
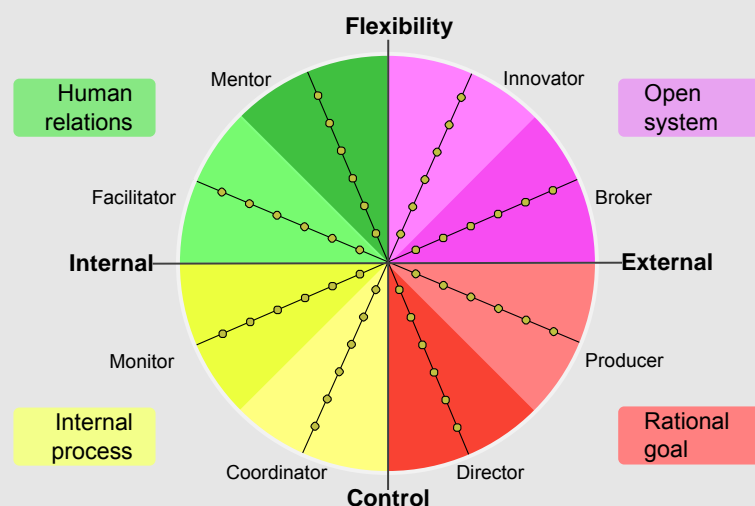
Conclusions

The below tentative conclusions have to be checked/verified in view of the choices and challenges of the units the different managers are responsible for!

- Managing Director 1 (MD 1) is too internal
- MD 4 is too flexible (qualitative), rather than control (implementing)

- Most Directors are weak in mentoring: They need to improve in these skills or ensure good coaching of their subordinates by personnel officers
- The Director General (GD) should rely on MD 1 for smooth co-operation within the management team
- MD 3 is too weak in directing output (her attention should shift from internal process to output).
- The team score low on rational goal and should be strengthened in this regard.

- ## Steps in analysing Quinn roles

0. **Formulate the (sub-) question** that you want to answer by using the Quinn management questionnaire. Aims for which analysing the Quinn roles is suitable are:
   - To raise awareness among managers
   - To decide what changes are needed in management style (step to OS intervention planning)
   - To judge the adequacy of the management (funding and implementation decisions)
   - To prepare strategic choices, by identifying strengths and weaknesses (after comparing the current situation with the organisation's management style requirements)

1. **Give self-assessment instruction**. Ask the manager(s) to:
   - Answer the questionnaire thinking of their current work
   - Fill out the score sheet (and possibly make a drawing)
   - Study the core qualities and pitfalls

2. **Debate the outcomes**, comparing the results with other impressions, observations and stakeholder information:
   - Is the manager more inward or more outward looking?
   - Is the manager biased towards flexible (inter-personal) or control (planable) issues?
   - Do the self-assessment results surprise the manager or the independent adviser?
   - What is the dominant, back-up and least developed role of the manager?

3. **Draw conclusions**, in relation to your (sub-) question. Write strengths and weaknesses on green and red cards respectively, if you can already judge before matching the results with the organisation's requirements

4. **Plan actions**, to meet the requirements:
   - Consider changes in responsibilities where requirements and current competence do not match
   - Else make concrete plans to improve and monitor competencies

   Note: Do not have lengthy debate about whether a fact is a strength or a weakness. In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the facts that have both a positive and negative (this is why you judge in the first place: to be more clear about what effects you in what way)*
   - *Make duplicate cards: Judge the fact both positive (green) and negative (red), or leave it neutral (white)*

6.4.3 Questionnaire to MacCoby's management styles

What is it?

MacCoby developed a typology of management styles, recognising four archetypal styles. The questionnaire below is a tool for self-assessment to recognise your dominant style as a manager. The model also provides relevant categories that an external assessor can use to analyse and describe a (top) manager. Quinn presents another model about management roles. The questionnaire on Quinn's roles is a similar self-assessment tool for managers, helping to diagnose the qualities of the manager in terms of a number of pre-defined dimensions.

What can you do with it?

MacCoby's model (and in particular the questionnaire) helps to analyse the dominant and secondary styles of a manager. It is therefore a step towards recognising whether that dominant management style fits the manager's particular organisation, given the challenges and choices of that organisation at that moment. An independent adviser can also apply the theory and model behind the questionnaire to diagnose (probably in consultation of other stakeholders) the style of a particular manager.

The tool is similar to the Quinn questionnaire. The table below indicates some (stereotyped) differences in emphasis and strength that may help you choose the tool that best suits a particular assignment.

Quinn roles	MacCoby styles
Roles: W*hat* does the manager focus on?	Styles: *How* does the manager do things?
What are functional biases of the manager?	What are dominant attitudes of the manager?
All level of managers or teams	Individual top managers
Conceptual differentiation (leads to insights)	Playful, imaginative differentiation (causes enthusiasm)

Basic (sub-) questions

The below questions can be answered after comparing the assessment with the requirements of the organisation

- What should the manager focus on to better serve the organisation? (planning)
- What are strengths and weaknesses of the management style? (step to strategic decision making)
- Is the management style sufficiently adequate and reliable to award this organisation a key role in a programme? (scanning for organisation capacity and suitability)

Results

- Is the manager more inward or more outward looking?
- Is the manager biased towards grabbing opportunities or resisting threats?
- Is the manager biased towards results and outputs or people?
- Do the self-assessment results surprise the manager or the independent adviser?

- What is the dominant and back-up style of the manager: Does (s)he have both internal and external styles?

How to use it?

Process

The analysis and assessment of the management style can best be done by or under the guidance of an independent adviser. To make the picture less subjective, the adviser should supplement the self-assessment of the manager with observations and (possibly confidential) views from stakeholders (clients, other external contacts, and staff).

Groundwork

In an ID/OS analysis and planning process, the institutional analysis and the analysis of the 'hard parts' of the internal organisation (systems, structure and possibly strategy) normally precede the management style analysis. This yields a lot of information, and mentally prepares the stakeholders for discussing the more sensitive and tenuous 'soft issues' of the internal organisation. If an analysis process (with external facilitation or expert's assessment) directly zooms in at management style, the adviser should take care to be both sensitive and straightforward.

Follow up

A logical next step is to use the Management assessment model, to see whether the current management style matches the choices and challenges of the organisation of that moment. This management assessment, however, prerequisites a clear picture of where the organisation is and wants to go. If such a strategic vision does not yet exist, the judgement of the adequacy of the management style may be done more tentatively, resulting in recommendations to the management.

It is interesting to match the management style with the organisation culture. However, if organisation culture and management style clash, it does not necessarily mean that the management style should change. A good management style relates to both external (challenges and strategies) and internal (staff and organisation culture) aspects.

Requirements and limitations

The questionnaire is a self-assessment tool. To reach a more objective judgement and recommendations for changes in the management style (that are moreover embraced by the manager), an independent adviser requires considerable observation, and communication skills on top of this tool and concept.

Note that the innovator and the games person, jungle fighter and negotiator, crafts person some (but less producer), company person and stimulator (but opposite in initiative)

Practical references

MDF Syllabus, Analysing Management Styles, 2004
MDF Syllabus, Skills of the Adviser, 2004

Questionnaire MacCoby management styles

Read the description of the 10 following situations carefully[1] as well as the four possible responses to each situation. Make your choice on what your most preferred response would be (in your current organisation). Score this response with the highest mark between 1 and 10. Than look for the second preferred response, and score this with the second highest mark between 1 and 10. Repeat this for third and fourth (least similar to your reaction as a manager).

You do not have to reward any of the four responses necessarily with a 10. A highest mark can also be 9, 8, 7 or even 4. It depends how close the response (a, b, c or d) is to what your own reaction would be.

1. **You have come to realise that another organisation is delivering similar output as your organisation and seems to attract some of your trusted clients, what is your immediate reaction?**
a. You immediately start a public relation effort to convince your clients that your organisation is the best
b. You call a meeting to share this development with your (senior) staff and to discuss what can be done
c. You put a lot of effort into thinking and discussing how to improve the output of your current activities, to become better than them
d. You seize the challenge to initiate new services (or products) that will outwit the opposition.

2. **An important client has approached you and tells you in confidence that (s)he is not very satisfied with the performance of some of your employees, what will you do?**
a. You call your employees and implement actions that will enhance their performance
b. You try to convince your client that this was incidental and it will never happen again
c. You ask your client to put forward his/her thoughts on what should be improved
d. You call a meeting with the entire team and present the problem to them and ask them to come with suggestions on how to deal with the situation

3. **You have been approached by a colleague organisation for a strategic alliance. Which is the most important consideration for you to pursue this opportunity?**
a. Do they deliver the same quality as us?
b. Will they gain more out of this than we?
c. Will their organisational culture match with ours
d. What will be the new opportunities of this alliance

---

[1] To a certain extend, each of the ten situations reflects a different element of the IOM

4. **You are the manager of a non-profit organisation with an important social paragraph in your mission. From outside as well as inside the organisation there is a lot of pressure to transform into a more profit oriented enterprise. What would be your inclination?**
   a. Try to convince your staff about the importance of the current mission and only give in if the internal pressure is very high
   b. Organise a workshop to define the new mission and vision of the organisation
   c. Set up a research group that will investigate to what extend this will affect the quality and impact of the work
   d. Find out for yourself what the best choice is and build external and internal alliances to, either remain with the current mission or change the mission in the direction you see fit.

5. **You receive signals that the technology used by your organisation is not the latest state of the art. Some of your staff even calls it outdated and some other organisations have already shifted to more modern technology. You know for a fact that this technology is far from reliable, although very fashionable. How do you deal with this pressure?**
   a. You call in an expert, who will have to give you a detailed report on all pro's and con's
   b. You decide to go for the new technology and challenge your staff to make best use of it
   c. You try to convince your staff to wait until the reliability of this technology is fully secure
   d. You tell your staff that you are not at all convinced and challenge them to convince you of the use of this technology

6. **Your organisation uses a well-devised system of time sheets. Rationally everyone is convinced that it is useful to fill in these time sheets and use the result for assessing productivity of the organisation. Still many people are reluctant to fill it in and do it haphazardly or too late. You are really fed up with this. How do you respond to this?**
   a. You issue a memo, introducing a sanction if the time sheets are not filled in time
   b. You call a meeting to, for the last time explain the value of the system, and at the same time try to make clear that it really has to be done, from now on.
   c. You ask one of your staff to improve (once more) the system in such a way that it requires least effort to fill in and at the same time insist that everyone should use it, by trying to prove the value of it.
   d. You invite all staff to come up with a suggestion for a better system to achieve the same insight in the productivity, (hoping that) if they do not come with proper suggestions, you will have them convinced to use the existing system.

7. **It happens often that staff member come to you with a problem, that should actually be addressed by their own department head and not by you as the head of the organisation. How do you deal with these requests?**
   a. You refer them back to their own department-head
   b. You call a meeting with the department head and the staff member to discuss the problem
   c. You deal with the problem and suggest that next time (s)he should go to the own department-head and try to find out why the staff member cam to you.
   d. You deal with the problem

8. **A number of your management team members express worries about the strategic directions of the organisation. They feel it is time to develop new strategies and explore new opportunities for the organisation. What is your response to them?**
a. You tell them not to worry and that you will figure out something
b. You ask them to come with some decent proposals, which will be evaluated thoroughly
c. You plan a separate meeting to discuss the issues at hand
d. You use your creativity to come up with some excellent opportunities that they would like very much

9. **In your organisation the various people enjoy a lot of freedom to fill in their own work schedule and perform their tasks. You are actually very satisfied with the result of the work but are somewhat anxious about the degree of control you have over them. What do you do with this anxiety?**
a. You try to convince your staff during a meeting that they should do their best to keep you informed on the progress of their work.
b. You tighten the control procedures and frequency of reporting
c. You do nothing obvious but make an (secret) effort to keep track of what your staff is doing
d. You do not mind as long as the results are good

10. **A hardworking and well-respected staff member comes to you and wishes to resign. He has no particular grudge with the organisation but feels it is time for a change. Actually you do not want to loose him/her. What is your reaction?**
a. You wish her/him good luck and let go
b. You try to convince the person, what (s)he will loose by leaving such a good organisation
c. You try to find out how you can motivate him/her to stay
d. You figure out a modality, by which you can keep the person working for you in the most valuable way and in the mean time also see how best to replace the person

Score list MacCoby management style

	Jungle Fighter		Company Person		Games Person		Crafts Person	
	Choice	**Score**	**Choice**	**Score**	**Choice**	**Score**	**Choice**	**Score**
1	A		B		D		C	
2	B		D		C		A	
3	B		C		D		A	
4	D		A		B		C	
5	D		C		B		A	
6	A		B		D		C	
7	A		B		D		C	
8	A		C		D		B	
9	C		A		D		B	
10	C		B		A		D	
Total Scores								

Core qualities / Pitfalls of the MacCoby management styles

		Core quality / Strength	Pitfall / Weakness
External	Jungle fighter	• Defends the organisation • Leads through threats • Provides safety	• Suspicion • Prefers to keep all in one hand
External	Games person	• Risk taking • Eye for opportunities • Innovative	• Forceful to staff • Underrates danger
Internal	Company person	• Father/mother figure to staff • Cherishes organisation culture • Resolves conflict	• Overwhelming • Taking away staff initiative
Internal	Crafts person	• Emphasises quality (output, work, process, etc.) • Looks for impact on quality	• Quality before people • Not responsive to market

Example MacCoby styles: NGO child labour

Problem owner

Management team of NGO fighting child labour

Basic question

How can the NGO strengthen its advocacy for stronger child labour laws and law enforcement?

		Junglefighter	Games	Crafts	Company
		External	External	Internal	Internal
		Threat	Opportunity	Output	People
ED	Self-assessment	7	8	5	6
	Expert view	7	9	6	5
	SOR requirement	5	8	5	6
DED 1	Self-assessment	6	6	8	8
	Expert view	5	6	8	9
	SOR requirement	4	9	5	6
DED 2	Self-assessment	6	8	8	5
	Expert view	6	9	7	6
	SOR requirement	7	7	5	9

ED = Executive Director   DED = Deputy Executive Director

Conclusions

- The ED is well suited for her challenges. According to the expert she might give a little touch-up on her relational (company) skills
- The SOR gave little priority to crafts (output), which is the focus of the DED's. They should realise that at present their focus is needed in other areas
- In all cases the expert assessment is not very different from the self-assessment by the managers. If it does differ it is more often that the expert rates them higher, than the managers do themselves
- In terms of management style it may be good to switch the responsibilities of the DED's: The current requirement for position one is to be games oriented (which DED 2 is), while the departments under DED require a company person (which DED 1 is)
- The expert assessment gives the impression that the DED's may be more capable than the ED. It may be checked whether there is friction on this point

Example MacCoby styles: RICANTOR

Problem owner

RICANTOR Credit Scheme

T.o.R. ID/OS consultant

- Propose how to optimise the capacity of RICANTOR to deliver its core services and verify its legitimacy in the sector
- Propose crucial adjustment to the managerial and leadership qualities

Sub-question

How can the match between the management style and strategy be optimised?

Questionnaire results

The higher the score the higher the preference for a certain style

	Junglefighter	Company person	Games person	Crafts person
1	33	73	74	70
2	77	93	83	78
3	64	73	82	81
4	58	65	69	76
5	69	89	83	91
Total	**301**	**393**	**391**	**396**

From the Consultancy Report

To assess the management style of RICANTOR we have used a questionnaire distinguishing 4 styles:

- The pro-active, aggressive style, defending the reputation of the organisation at all cost. This management style is most adequate for Advocacy organisations.
- The socialising patronising style, considering the human factor in the organisation. This management style is most adequate for networking organisations.
- The risk taking, opportunity oriented style, looking for new markets and products. This management style is most adequate for Capacity building organisations
- The quality and output oriented style, monitoring the client satisfaction and quality of the work. This management style is most adequate for Research organisations.

The management (ED and Sector chiefs) embraces the quality and the socialising style. They are less oriented toward risk taking although the differences are not big. But the pro-active aggressive style is definitely not theirs.

The above leads to the conclusion that the RICANTOR management style is most suitable for Networking and Research functions and to a lesser extend for Capacity Building organisations and not fit for Advocacy activities. The results of this questionnaire have also been used for our recommendations on public and private good delivery.

Steps in analysing MacCoby styles

0. **Formulate the (sub-) question** that you want to answer by making one or more coverage matrices. Aims for which analysing the MacCoby styles roles is suitable are:
   - To raise awareness among managers
   - To decide what changed are needed in management style (step to OS intervention planning)
   - To judge the adequacy of the management (funding and implementation decisions)
   - To prepare strategic choices, by identifying strengths and weaknesses (after comparing the current situation with the organisation's management style requirements)

1. **Give self-assessment instruction**. Ask the manager(s) to:
   - Answer the questionnaire thinking of their current work
   - Fill out the score sheet
   - Study the core qualities and pitfalls

2. **Debate the outcomes**, comparing the results with other impressions, observations and stakeholder information:
   - Is the manager more inward or more outward looking?
   - Is the manager biased towards threats or opportunities?
   - Is the manager oriented to output or to people?
   - Do the self-assessment results surprise the manager or the independent adviser?
   - What is the dominant and back-up style of the manager?

3. **Draw conclusions**, in relation to your (sub-) question. Write strengths and weaknesses on green and red cards respectively, if you can already judge before matching the results with the organisation's requirements. Guidelines:
   - A good manager has at least 1 dominant outward looking style and 1 dominant inward looking style (in other words the back-up should be different than the primary style)
   - The ability to shift styles is important for managers working in rapid changing environments or in frequently switching jobs. Small differences between the scores points at high adaptability

4. **Plan actions**, to meet the requirements:
   - Consider changes in responsibilities where requirements and current competence do not match
   - Else make concrete plans to improve and monitor competencies

   Note: Do not have lengthy debate about whether a fact is a strength or a weakness. In case of uncertainty or disagreement:
   - *Check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question*
   - *Split the facts that have both a positive and negative (this is why you judge in the first place: to be more clear about what effects you in what way)*
   - *Make duplicate cards: Judge the fact both positive (green) and negative (red), or leave it neutral (white)*

6.5.1   Staff performance conditions algorithm

What is it?

The algorithm is a simple set of questions to determine the bottleneck to high staff motivation and performance. The order in the questions prevents the pitfall of prematurely concluding that low performance is the result of uncommitted staff, and that strict penalties and/or salary increase would be the only options to boost staff motivation and performance.

What can you do with it?

Basic (sub-) questions

- What are the bottlenecks to high staff performance?

Results

- Are tasks clear?
- Is the person able?
- Does the organisation enable high performance?
- What motivates the various staff members?

How to use it?

Process

This is a manager's and coaching tool, although consultant can also use it to assess staff management and performance. When reviewing staff performance (and especially disappointing results) goes through the algorithm to determine the bottlenecks, through observations and staff interviews. Pay attention to formal and informal realities.

Groundwork

Staff performance and motivation may be checked as a management routine, or in response to disappointing business results, declining demand and reputation among clients, or an uncomfortably high staff turn-over (low retention).

Follow up

- As an organisation plan on removing (strategic) organisation weaknesses
- With individual staff members agree on actions, and monitor progress (through review meetings)

Requirements and limitations

The tool expresses a basic way of thinking. Whether the main issues are clearly identified depends on the analytical and coaching skills of the manager or consultant.

The algorithm applies to staff performance and to staff motivation (as a major component towards good performance).

Practical references

- MDF syllabus "Some notes on staff motivation" 2004
- Adams, Leonard Stacy, Elaine Hatfield, Leonard Berkowitz. "Advances in Experimental Social Psychology: Equity Theory- toward a General Theory of Social Interaction". Elsevier Science & Technology Books, ISBN 0120152096, 1976
- Herzberg, Frederick and Barbara B. Snyderman. "Motivation to work", Transaction Publishers, ISBN 156000634X, 1993
- Maslow, Abraham Harold and Gary Heil. "Maslow on Management". Wiley, John & Sons, Incorporated, ISBN 0471247804, 1998
- Vroom, Victor H. "Manage People, Not Personnel: Motivation and Performance Appraisal". Harvard Business School Publishing, ISBN 0875842283, 1990

The algorithm
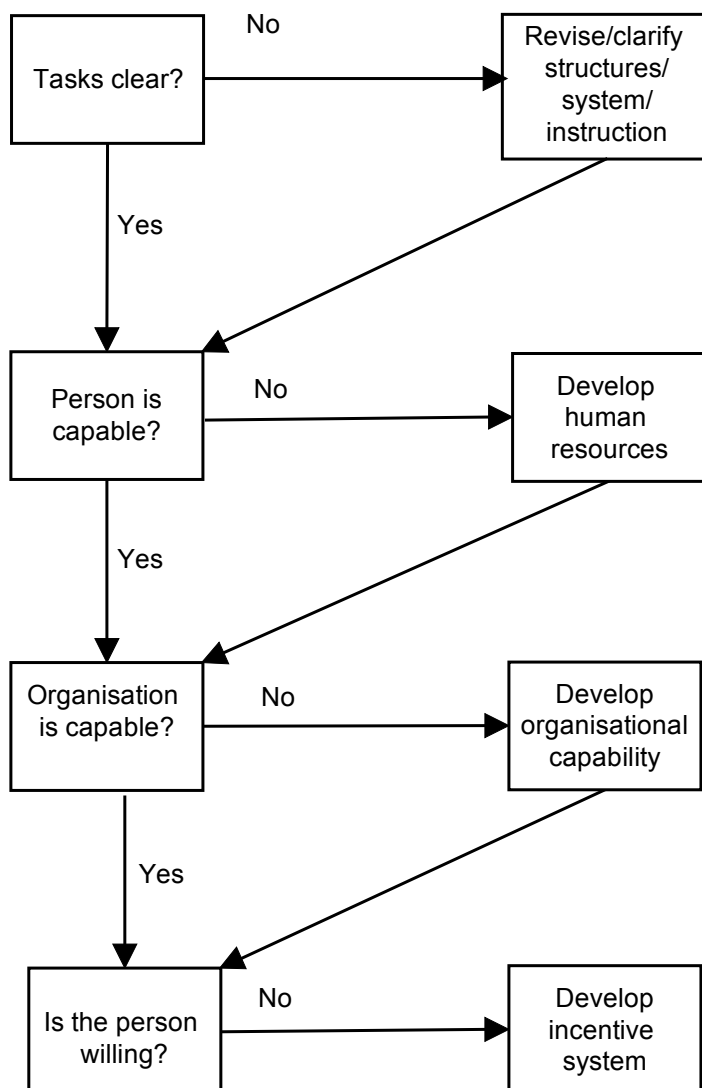
Example staff performance conditions algorithm

Problem owner

Logistical manager

(Assumed) problem

My cleaning lady is not motivated; she does not do the cleaning in a proper way

Consultant question (based on algorithm)

Are you clear on what you consider proper cleaning?

Reply

Well I thought this was obvious but now that you say, perhaps she thinks she does proper cleaning so I should tell her how often to clean the bathroom and to which elements she needs to pay extra attention?

Conclusions

- Once the task has been made clear, it may turn out that motivation is not a problem at all
- The same goes for the other levels, if the organisation does not take care of the conditions to execute the task in the right way, not providing you with necessary equipment or information, the person can be very motivated and still not able to perform the task well

Steps in staff performance assessment

0. **Formulate the (sub-) question** that you want to answer by using the algorithm.

1. **Assess task definition and instruction**. Look at:
   - Job descriptions
   - Instructions (verbal or written)
   - Procedures (formal or informal)

If not sufficient: Revise and clarify structures, systems and instructions.

2. **Assess (personal) capability** in relation to the task at hand
   - Knowledge
   - Skills
   - Time
   - Physical conditions/circumstances
   - Personal circumstances (social/psychological)

If not sufficient: Develop human resources (through training, coaching, peer review, etc.)

3. **Assess means** (organisational capability) in relation to the task at hand
   - Powers/responsibilities in relation to task
   - Equipment/tools/logistical support/finance
   - Co-operating staff

If not sufficient: Develop organisational capability

4. **Assess willingness** in relation to the task at hand
   Ask what motivates the person (the question in itself motivates!). As this varies from person to person, plan and monitor personalised targets and development plans. Then check:
   - Agreement with task contents
   - Expectations in relation to energy needed to fulfil the task
   - Expectations in relation to material rewards/sanctions (guard equitability!)
   - Expectations in relation to immaterial rewards/sanctions (atmosphere, team-work, praise, conflict management)
   - Expected personal growth (learning/challenges, coaching/feedback, career path, training opportunities, etc.)
   - Expected future job opportunities in relation to task at hand

If not sufficient: Develop the incentive system.

5. **Draw conclusions**, in relation to your (sub-) question. Write strength and weaknesses (judged from the point of view of your question) on green and red cards respectively

© MDF copyright 2004

www.mdf.nl

6.5.2   Competency profiling

What is it?

Competency profiling defines the profile of an organisation and its staff in so-called competencies, with indicators. Competency profiling is the basis of competency management, which is a HRM instrument that can assist organisations to realise their goals. Starting from organisation objectives (vision, strategy, and core values) competency profiling determines what the organisation and its employees have to be able to do. Whereas a functional HRM approach focuses on responsibilities, knowledge and skills of individuals in specific positions, a competency approach also considers behaviour, values and norms of staffs, and relates them to the entire organisation.

What can you do with it?

Developing competency profiles provides a new perspective of current and desired qualifications, and the way to develop. The exercise sharpens insight and agreement on what exactly you aim for, and therefore on what you need. If taken up seriously and broad, it increases the focus and teamwork in the organisation. We see two fields of application:

Organisation-wide
Competency management helps an organisation to use and develop staff abilities beyond what is required for a specific job-description. It is a dynamic approach to get the staff that best suits the organisation, and to get most out of them, beyond the context of an individual job-description. Competency management is therefore particularly suited for knowledge organisations (for whom human resources are the main capital), who moreover aspire to excel and become learning organisations.

Human Resource Management (staff development)
With competency profiling an organisation can build its human resource management system. Using competency profiles in monitoring staff can build a bridge to appraisal and training and development. Competency profiling can help to develop focused tailor-made training courses and staff development plans. This can be the last step of the above organisation-wide introduction of competency management, or can be an isolated staff development effort.

Basic (sub-) questions

- How can the organisation realise the planned strategic shift?
- How can the organisation improve quality of products and service delivery?
- How can the organisation best manage and develop its staff through different positions in the organisation, for optimal innovation and efficiency?
- How can training and staff development planning be designed to be most relevant?

Results

- What is excellent behaviour in the organisation?
- What are core (organisation) competencies, and what are not?
  Core competencies are defined as:
      Competencies required throughout the organisation, or as the

---

> Competencies of excellence that distinguish the organisation from others)
> - What are instrumental (main task related) competencies and what are intermediary competencies (behavioural abilities needed to make the instrumental work link smoothly to the others)?
> - What organisation culture is desired in terms of openness, respect and equality; What behaviour (concern for people, dignity, gender relations, team work, cost consciousness, feedback, etc.) is desired and discussed, inside and to clients?
> - How can horizontal (as opposed to only vertical) mobility in the organisation be enhanced?

How to use it?

Process

Competency profiling requires a project-team of (external and) internal members who dedicate a considerable share of their time on profiling over a one-year period. Top management has to be involved throughout the project, particularly in the beginning (objective setting and organisation competency profiling), and at actual introduction of competency-based HRM. Various lower staffs have to be involved in formulating profiles for their respective departments. It is important that a specialist with expertise on the subject is present or leads the exercise.

Groundwork

The top management should have a clear and widely supported purpose for which they want to introduce competency management. A revised mission and strategy (e.g. following SOR) can well be the starting point, though it should be checked whether competency management can (best) cart the change process.

Follow up

Once developed and introduced the functioning of competency management should be monitored for its actual, continued implementation, and results. In particular if the new vision, values and HRM approach imply a new organisation culture, care should be given that people do not revert to old routines, prematurely qualifying competency management as 'trendy but impractical'.

Comparing desired and current competencies can also be followed training needs assessment, staff development planning and coaching.

Requirements and limitations

The introduction of competency management should serve a clear and supported higher objective. Top-management should be committed to competency profiling, including the implication that they and lower staffs will have to dedicate considerable time to it, over a period of probably a year.

The use of competency profiling in appraisal and reward had not yet been proven effective. Organisations that experimented with this, found out that it needs a cultural shift in the organisation to think and act in (flexible) competencies.

Competency profiling and subsequently competency management is most suited for knowledge organisations (or departments).

Practical references

- MDF syllabus 'Competency Management' 2004
- Van der Cammen, Sylvia. Competence management at a State Audit Unit, MDF, 2002.
- Competentiemanagement, scenario voor implementatie. *Business in HRD*, 17, February 2003, pages 14-16.
- Guiver-Freeman, M. *Praktisch competentiemanagement*. Schoonhoven, 2001.
- Hondeghem, A., Vandermeulen, F*. Competency management in the Flemish and Dutch civil service. The International Journal of Public Sector Management*, 13, 4, 2000, 342-353.
- Van der Heijden, mr. drs. Th.J., Volz, drs. A.B., et al. *Competentiemanagement*. Samson/NVP, Alphen a/d Rijn1999.
- www.forc.nl
- www.personeelsnet.nl

Competency profiling: Common competencies

	Competency	Description	Measurable successful behaviour
1	Stimulating leadership	Is capable of leading people and motivate them to reach the set goals	
2	Communication	Is capable of bringing across information and ideas in an understandable language, verbal and written.	
3	Decisiveness	Is capable of taking decisions, even when not everything is clear or when there are certain risks.	
4	Integrity	Is capable of upholding commonly accepted social and ethical norms, related to the position.	
5	Convincing and negotiating	Is capable of convincing others and making them change their point of view, which makes certain plans, ideas or services realisable.	
6	Analytical	Is able to analyse a problem, situation or process and understands its causes.	
7	Commercial	Searches actively for possibilities to optimise financial and other investments.	
8	Ambitious	Aspires to realise promotion. Invests in developing him-/herself.	
9	Coaching	Is capable of helping others to enhance their capacity and use effectively their possibilities within and outside their position.	
10	Result-orientation	Is concentrated on realising goals and results, also when there is opposition.	- Formulates specific, measurable and time-bound objectives. - Judges him-/herself and colleagues by the extent to and how agreed goals have been realised. - Produces an acceptable amount of work in a good pace. - Takes responsibility for own behaviour with regard to the results.
11	Entrepreneurship	Recognises possibilities to do business and takes calculated risks thereto.	- Is alert to signals of the client and/or the market. - Knows (how) to attract potential clients. - Sees 'leads' (potential assignments) and undertakes actions hereupon. - Knows (how) to link desires of the client with the products and services of the organisation. - Is innovative (translates desires of clients into new services or products). - Creates possibilities, shows initiative and knows to estimate risks.
12	Resistant to stress	Is capable of performing effectively under pressure, at setbacks, disappointments or opposition.	
13	Drive	Is capable of sticking to a certain problem or opinion, until the problem is solved or the case or goal is realised.	
14	Creativity	Comes up with own solutions and invents new methods, also for others.	
15	Flexibility	Is capable of changing behaviour when problems or chances makes this necessary.	
16	Social consciousness	Has concrete knowledge about political-social developments and uses this knowledge effectively in own position.	
17	Developing vision	Is capable of showing the development of the working field and formulate goals according to them.	
18	Learning capability	Is capable of processing new information and apply this with success.	
19	Client-orientation	Is capable of identifying with the client and enjoys to satisfy the needs of the client.	- Knows who are the internal and external clients and takes their desires into account. - Reacts adequately on questions and complaints of clients. - Feels responsible for the level of satisfaction of clients. - Expresses a favourable opinion to clients about the organisation, even when not everything went smoothly.
20	Pro-activeness	Moves unasked on to acting before the situation forces to.	
21	Co-operation in teams	Contributes in co-operation with others actively to the realisation of the goals of the team.	- Gives feedback on (shared) results. - Appreciates initiatives to co-operation. - Appreciates the results achieved by the team. - Takes care of sharing relevant information. - Stimulates initiatives to improve mutual exchange of service. - Organises or stimulates (formal) communication in the team.

Example competency profiling: Management Audit Unit

Competence card top-level specialist						

	Insufficient	Sufficient	Good	Excellent	Example	Sources of information
Competence I **Attitude towards work**						• Audit strategy of the Audit Unit
Is interested in the audit and development strategy of the Audit Unit and attempts to relate his/her activities to the strategies.						• Development strategy of the Audit Unit
Is true to his/her word, sticks to the agreed objectives, deadlines and budget; informs the colleagues of his/her time schedule.						• Public Service Code of Ethics
Gets prepared for the meetings, get into the topics and makes substantial recommendations.						• Audit Unit Auditor's Code of Ethics
Is flexible and tries to solve the problems as they arise, if necessary asks for assistance.						
Shows considerate and constructive attitude towards the development changes taking place in the Audit Unit.						
Competence II **Planning and Management**						• Development strategy of the Audit Unit
Planning of work						• Performance-related agreements concluded by the Audit Unit
Helps the chief auditors and head of services to plan the resources (time, money, etc.) necessary for the activities which take place in his/her spheres of activity, assesses the risks and makes recommendations for the better implementation of tasks. Is capable of justifying the resource requirements arising of his/her work.						
As the head of the Audit Unit's development projects determines the project budget, time schedule, membership of the staff, task division. Informs the members of the work-group and the head of a respective service of all the essential circumstances related to the development project in time.						• Statutes of the services • Budget of the Audit Unit
Organisation of work						• Internal accounting procedures of the Audit Unit
Is the initiative in his/her sphere in the Audit Unit. Establishes the requirement for support services and organises his/her activities accordingly.						• Instructions applicable in the sphere
Can organise several activities at the same time while not affecting their quality in the wrong way. Is capable of efficient and effective organisation of work even over the most stressful and busy periods.						
Can learn from the mistakes made during the fulfilment of the main tasks and other work-related activities.						
Can provide his/her colleagues with guidance in the issues relating to the sphere.						
Development work						
Develops and upgrades his/her area of activity in the Audit Unit and suggests innovative ideas which can be implemented.						
Competence III **Professional skills**						• Audit strategy of the Audit Unit
Knowledge about the area						• Development strategy of the Audit Unit
Is well aware of his/her sphere of activity and its relations with the main business of the Audit Unit (see the job description) and the work done by the other services, knows the audit process well enough to do his/her work						• Language style manual of the Audit Unit
Knows how to find additional information about his/her area of activity, is actively involved in monitoring necessary to develop the support services						• Operation's procedure MAU
Is well aware of the working methods and related development both in Estonian and the other part of the world						

Knowledge about the surrounding environment						
Is well aware of the working of the public sector and development trends characteristics of public administration spheres						
Implementation of work (for tasks see the job descriptions)						
Performs his/her duties efficiently and economically.						
Provides the user of support services with information about the service, related opportunities and changes. Counsels the users of support services in a thorough and understandable way.						
Is an expert in his/her sphere, knows how to find the most suitable approach and apply the work methods most suitable for the Audit Unit. Knows how to justify the chosen methods to his/her colleagues.						
Makes well argued conclusions and explicit suggestions in work-related reports and other documents. The reports are prepared as requested, document and archived as necessary.						
Evaluation of performance						
Analyses his/her work, takes active part in the personal development potential conversations. Gives constructive feedback concerning the competencies that need further development.						
Competence IV **Teamwork**						
Provides his/her colleagues timely with the necessary information, including the success and failure experiences encountered in the process of provision of support services.						
As the manager of Audit Unit's development project is capable of providing the work-group with information concerning the project's compliance with the objective, scope, time schedule, budget and quality requirements and knows how the work relations within the group were implemented.						
Analyses the effect of the changes that have taken place in the external environment and within the organisation on the performance and co-operation of the team, considers the changing situation in his/her activities.						
Is attentive to the needs of his/her colleagues, encourages them to express their wishes and acknowledges their achievements.						
Informs the head of the service of his/her initiatives and recommendations for changes.						
Asks for the opinion of others and justifies his/her opinion.						
Is constructive when it comes to the settlement of contradictions and misunderstanding.						
Competence V **Communication**						• MAU's communication policies
Is capable of good verbal communication when discussing the work with others.						• Language style manual of the MAU
Is capable of good written communication when discussing the work with others.						• Auditor's glossary
Listens to the ideas of other people. Makes use of active listening skills, asks for specification and re-phrasing of statements.						• MAU's rules of visual identity
Competence VI **Development of the staff**						• Staff evaluation instructions of the Audit Unit
Knows how to provide the guidance to his/her colleagues learning some new skills						• Staff development instructions of the Audit Unit
Can specify his/her development objectives and helps his/her colleagues with similar processes. Observes the fulfilment of the personal development potential plan. Supports the development of colleagues						
Competence VII **Self-control**						
Controls his/her emotions and maintains his/her respect towards the others in all the situations. Will not disturb others with personal moods.						
Admits his/her weaknesses, takes measures to improve the weaknesses.						

Example competency profiling: International consultancy firm

Competency	Description	Indicators
Knowledge competencies (depends on ToR)		
Behavioural competencies		
Social skills		
Intercultural sensitivity	Showing an accommodating attitude to the customs and cultural backgrounds of people and organisations from other countries; displaying appropriate understanding and dealing effectively with differences.	• is accommodating and displays interest, understanding and respect for differences in thinking, attitude and behaviour deriving from another cultural background • makes it possible to discuss cultural differences in work situations or personal contacts in order to increase mutual respect and co-operate • modifies his/her own attitude and behaviour to suit the other cultural context • takes cultural differences into account and adapts his/her own working methods where necessary in professional activities • integrates in an acceptable manner elements of the other culture into his/her own behaviour and attitude in order to increase acceptance of his/her contribution
Gender awareness		
Ability to learn		
Ability to express oneself		
Tactful approach		
Organisational awareness	Understanding of how an organisation works; taking different interests, positions and processes into account when taking action, as well as the impact of one's own actions on others	• is aware of differences in points of view and interests within the organisation regarding relevant issues and aspects of the work • takes into account the possible consequences of his/her decisions and behaviour on relations within the organisation • involves the right people in finding out whether there is sufficient support for a proposal or approach • in formulating a plan of action takes account of sensitivities and acceptance within the organisation • knows the 'rules of the game' within the organisation and obeys them, or departs from them where necessary for sound reasons
Ability to transfer knowledge and provide guidance		
Pro-active approach		
Organisational skills		
Ability to coach and develop potential in others		
Ability to work systematically		
Practical approach		
Stability		
Ability to develop and express a vision		
Ability to analyse and conceptualise		
Ability to influence others		
Contextual awareness		
Ability to promote co-operation		
Empathy		
Entrepreneurial skills		

Steps in making competency profiles

0. **Formulate the goal** or (sub-) question (the change that should take place in performance). Check whether this change can (best) be realised through the introduction of competency management. Possible purposes to which competency profiling can assist:
   - To realise a planned strategic shift
   - To realise a planned improvement in quality of products and service delivery
   - To optimise staff management, development and mobility for innovation and efficiency
   - To design training in the most relevant manner

1. **Mobilise top-management commitment**, making sure managers have a realistic idea of the effort competency profiling demands.

2. **Appoint a working group**, to prepare profiles and communicate with the organisation. Possible composition:
   - One member of top management
   - One or two managers
   - One member of the employees' council
   - One or two internal or external experts

3. **Inventorise competencies**, and collect them into a dictionary. Key choices:
   - Number of competencies. We recommend to identify not more than 25 competencies for the whole organisation, which implies they are quite broad
   - Categorisation principal (such as disciplinary, time sequential, etc.)

4. **Make preliminary description** per competency, indicating what is excellent behaviour in the organisation. Example:

Two different organisations may describe 'Innovative' as:
• Shows energy in offering creative solutions that have a positive effect on her organisation
• Introduces new ideas and applies them; shows originality and fantasy in inventing new methods and approaches.

5. **Determine 1-3 core competencies**, which count for everyone in the organisation on each level. These core competencies are strongly related to the organisational strategy and are used to recruit, select, appraise, train and reward staff. Note that the core competencies could change over time (e.g. from 'innovation' to 'client-centred')

6. **Determine 2-5 cluster competencies** per cluster that count for clusters of positions. Determine potential career paths within the cluster

7. **Determine 3-10 position competencies** for each position

8. **Develop competency profiles,** consisting of:
   a. Title and content of the position
   b. Organisational context (mission, strategy, values)
   c. Planned results
   d. General requirements (desired education etc.)
   e. Required competencies. Each competency:
      • Name and type of the competency (see definition)

Definition type of competency

Instrumental competencies	Description of what a successful position holder must *know* and be *acquainted* with, and what she must *be able* to.
Intermediary competencies	Description of *how* the position holder must behave and *why*. Which intention does she need to have in order to reach the desired effect? Attitude, personal characteristics, values and norms and motives also fall under these competencies.

   • Description of the competency
   • Description of critical circumstances (optional)
   • Description of excellent behaviour under critical circumstances (optional)
   • Around five SMART indicators
   • Description of the minimum standard for the position

Processes to develop the profiles

Option 1:
1. Identify excellent occupants
2. With them describe 'the difference that makes the difference'
3. Describe competencies in active sentences (starting with verb), and distinguish which competencies all, some, or few occupants should implement
4. Test through interviews (particularly test what should apply to all, some, or few)
5. Make concept competency profiles
6. Receive feedback from a reference group
7. Consider joining profiles within the position-family, if they are very similar

Option 2:
1. Conduct interviews
2. Make observations
3. Use questionnaires

9. **Finalise the dictionary** of profile descriptions, and have it approved and sanctioned for introduction

10. **Follow-up**: Support and monitor introduction and application in:
    • Recruitment and selection
    • Performance management
    • Training and development
    • Reward management

6.5.3   Core quadrants

What is it?

Daniel Ofman's core quadrant model is a simple but very powerful tool to identify someone's core qualities, allergies, pitfalls and corresponding challenges. It brings good news twice:

1. First the model clarifies that there is a good intention and quality behind every pitfall. Acknowledging a pitfall therefore does not imply you have to fundamentally get rid of personal traits and characteristics. In fact, a pitfall is a core quality in disguise, and it is helpful to realise the core quality to positively build upon
2. Secondly the model shows in which adjacent area (challenge) you can *do more* in order to overcome a pitfall. Rather than trying to *do less* of something (which is a vague, uninspiring and therefore ineffective objective), the model helps identify what competencies and activities you can develop and increase
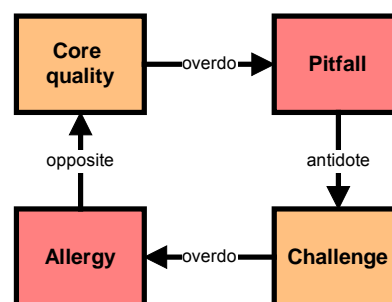
On top of that the model shows a 'mixed blessing': The people and behaviour that irritate you most (allergy), also indicate what you need to develop. So if you have frictions within your team, you have the right colleagues…

What can you do with it?

It can be used for self-assessment, or to discuss perceptions by another person (line manager, coach, peer, IDOS consultant) with the person concerned. It is very suitable to link professional and personal competencies, and provides a basis for focussed personal development action planning. And it can be useful in conflict situation between staff. It provides a non-threatening way to work on a more personal level than many managers are used to, and as such it can help managers and coaches to address professional issues more effectively.

The model can also be used to analyse the interaction between two individuals or groups, thus making it a tool to analyse management style or organisation culture, relevant when teams are not performing well, or if two organisations are to increase co-operation or plan to merge. In various game variations groups can also explore and communicate their personal performance and group interaction in a safe, pleasant and productive way, which at the same time strengthens the team.

Basic (sub-) questions

*   How can a person or team become more effective and satisfied
*   How can teams co-operate better or merge smoothly

Results

*   What are professional/personal pitfalls (of a person or group)

> - What are the underlying core qualities to preserve and capitalise on
> - What are good qualities of those others, who normally irritate you most (as individual or organisation)
> - What are areas for positive personal/organisation action planning
> - How can you address personal-professional issues in a non-threatening way

How to use it?

Groundwork

If touching on personal dimensions of staff performance is new in the organisation, the model and its purpose may be introduced plenary, before applying it in coaching, review meetings, assessment or team analysis.

Process

Often starting from pitfalls or qualities, allergies (qualities of persons you find difficult) and challenges are discovered, individually, in pairs or in groups. Often (starting from) self-assessment delivers most useful insights and outputs, because then the person or group concerned is committed to the outcome. However, the person who guides (e.g. a coach, trainer, IDOS consultant, or line-manager) can confirm or confront whether the self-assessment is consistent and strikes the vital points.

Follow up

It is good practice to immediately translate identified 'challenges' into very concrete and realistic (personal) actions. Follow-up outside the 'core quality session' then is to review whether the agreed actions are implemented and lead to the desired results.

Requirements and limitations

The person who guides or leads the exploration should insist and confront until truly fitting terms are found. When the correct descriptions are found, the assessed react with an *'Aha-erlebnis'* and enthusiasm to work with the outcome. You are not yet there if participants express that the quadrant is *'quite interesting'*, *'something like that'*, or something to *'look at later'*.

As mentioned under follow up, we also recommend to immediately include practical action planning. The planned actions can be modest, but should be very concrete, realistic and to the point.

Practical references

- Daniel D. <u>Ofman</u>. "Core Qualities, Gateway to Human Resources'. Scriptum / Kern Consult B.V. Bussum, ISBN 90 5594 240 5 (hardcover), 1993
- http://www.kernkonsult.nl (Dutch with English sections)
- MDF syllabus 'Synergie van cultuurverschillen' 2004
- Gerrickens, Peter. "Feedback game" and "Kwaliteiten. Een verfrissende kijk op eigenaardigheden"

Example core quadrant: Individual

The illustration to the right shows the core quadrant of a person who perceives herself as pushy (and she knows very well that others describe her in similar terms). She realises that her core quality behind this pitfall is that she is full of initiatives (very enterprising). Asked for behaviour and people that irritate her, she immediately says 'dullness', and it dawns on her that she nurtures the former two qualities because she dreads to be dull herself. Yet she also acknowledges that politeness and diplomacy are qualities behind what she perceives as dullness.

```
Enterprising --overdo--> Pushy
      |                     |
   opposite              antidote
      |                     |
    Dull   <--overdo--  Courteous
```
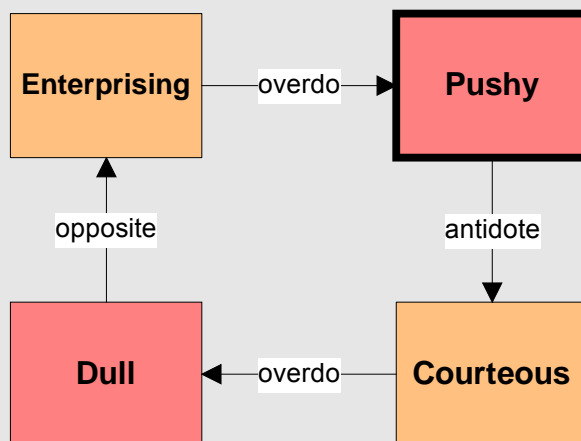
However, she does not look enthusiastic when proposed that she try to become more polite and diplomatic. After a long search for words she suddenly brightens up upon finding the term 'courteous'. Yes, she wishes to become more courteous, and realises that that will neutralise her 'pushiness', without curbing her enterprising qualities. She makes a practical plan on becoming more courteous, which includes that she will positively comment on two ideas of others in the weekly meeting. She will also ask early feedback (giving at least a week for response) from a particularly 'irritating' colleague, when she has new ideas on product development.

```
Decisive --overdo--> Pushy
    |                   |
 opposite            antidote
    |                   |
 Passive <--overdo-- Accomo-
                      dating
```
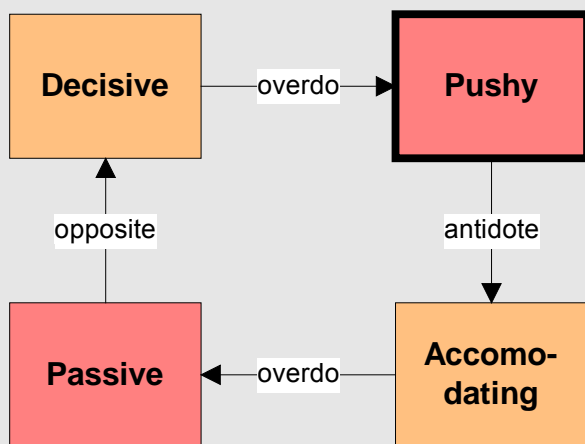
The illustration to the left also shows a core quadrant of a person who acknowledges being 'pushy' as one of his biggest obstacles. However, as he illustration shows he identifies different causes and therefore different solutions to his situation. He will nurture his core quality of decisiveness, but alongside become more accommodating.

To grow in this direction he will from now onwards allow his staff to debate the division of tasks among themselves, before taking (responsibility for) a decision.

He will also experiment with weighing personal arguments (such as bringing children to school) in dividing tasks, which he so far considered as too time consuming, contaminating professionalism, and a sign of favouritism.

Example core quadrant: Culture

The double quadrant below illustrates how people often interact. With his pitfall one person raises the allergy of the other, whereas the core quality behind the pitfall actually often comes quite close to the challenge of the person who is irritated.

The figure also pints to the fact that pitfalls and allergies are relative. The same behaviour of the Dutch person that his Sudanese friend experiences as indiscreet, may be considered merely clear and direct (or even still too round-about) by a Dutch or American colleague. And the behaviour that the Sudanese consider respectful may still be too straight for Japanese, whereas it is already too vague to Dutch.

**Double quadrants
Culture**
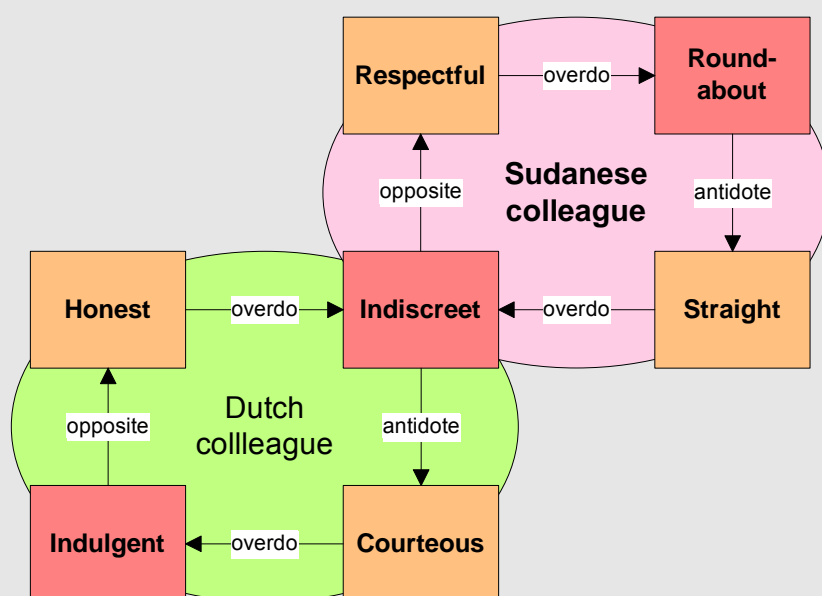
The picture can help reduce tension, in the first place just by realising what goes. The illustrations suggest that with a little extra tolerance and humour the encounter can be an enriching experience. The colleagues display complementary qualities, in which the challenge of one is rather close to the quality of the other. The respective challenges also indicate a way to ease the tension by stating a positive and attractive objective, rather than rejecting fundamental qualities and differences.

Example core quadrant: Teams

Management styles and team compositions that cause clashes may give birth to the best performing teams, provided the participants bear with each other.

The first figure to the right shows a management team of an innovator and a producer, the latter of which is often irritated by the former. Whereas the producer wants to get on with concrete ideas, this innovator loves to dream. If they team up, they may produce extra-ordinary results. If they endure their clashes together they have the capacity to materialise wild ideas.

**Double quadrants
Management roles (Quinn)**
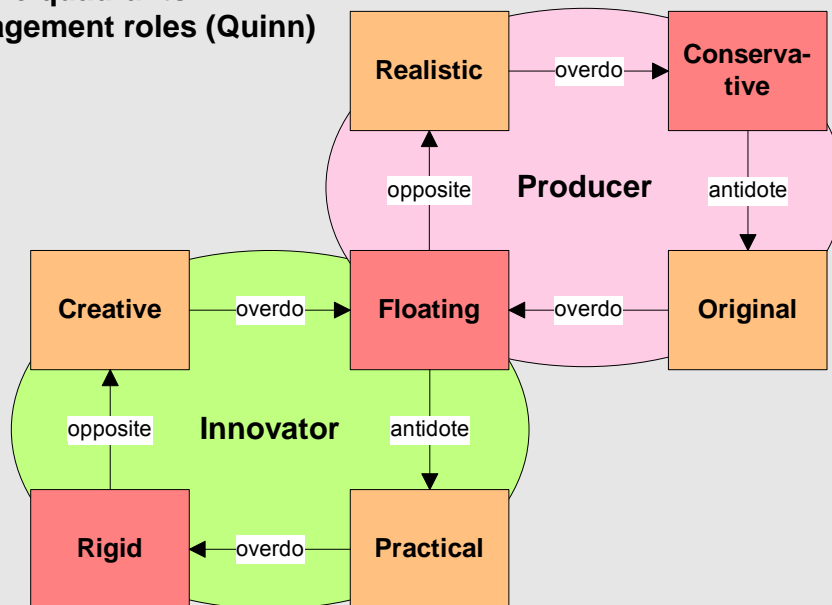
**Double quadrants
Functional team roles (Belbin)**
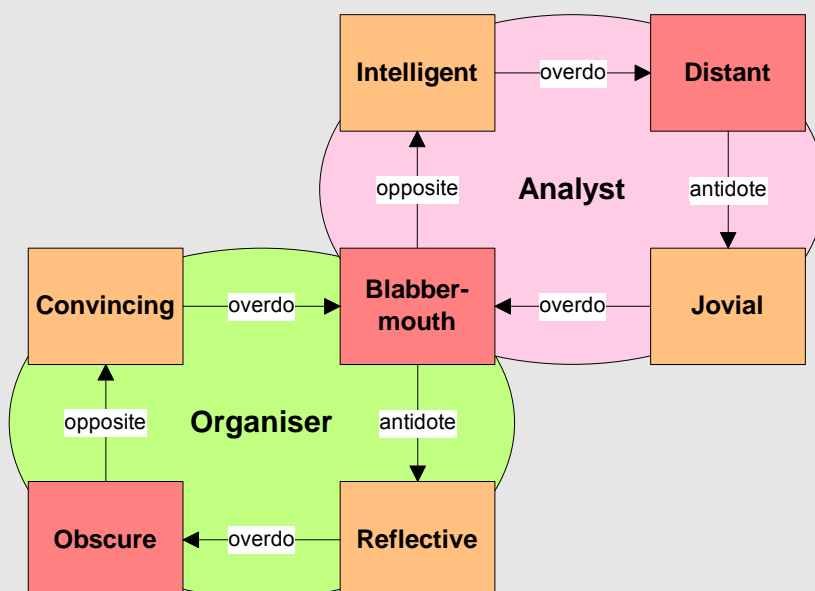
The other 'couple' depicted to the left could for example jointly run an NGO. The analyst would formulate the programmes (maybe with some input from an innovator), whereas the organiser would raise the funding and oversee the implementation.

Steps in working with Core quadrants

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** (or purpose) for which you want to use Core quadrants. Aims for working with core quadrants is suitable are:
    *   To help a person or team become more effective and satisfied
    *   To help make teams co-operate better or merge smoothly
    *   To address personal-professional issues in a non-threatening way
    *   To introduce a culture where personal aspects are touched upon productively

Note: There are different possible ways (including games) to introduce and develop core quadrants. The below steps start from pitfalls.

1. **Identify a key pitfall** of the person/group. Methods:
    *   Performance reviews
    *   Brainstorm
    *   Ask what is the gossip about the person/group
    *   The person/group has to view the pitfall as a problem (else *that* is the problem to address)

Qualities keep the middle between fundamental emotions and actions. Examples:

Fundamental emotion	Quality		Action/behaviour
	Core quality	Pitfall	
Love	Caring	Obtrusive	Talks for others
Afraid	Concerned	Distrust	Always double checks
Compassion	Committed	Meddlesome	Nervously asks many details

*   To change a fundamental emotion into a quality ask: *How is that expressed (effect)*?
*   To change action/behaviour into a quality ask: *Why; What does that express (cause)?*

2. **Realise core quality**, corresponding to the pitfall. The core quality is the positive intention and behaviour that underlies the pitfall. Tips:
    *   Check that the description exactly fits, and truly relates to the pitfall at stake (if there is a mismatch, change either the core quality or the pitfall)
    *   Check forward: Can doing too much of the core quality lead to the pitfall?
    *   The person/group concerned should show recognition and appreciation
    *   Encourage pride and satisfaction about these good qualities. The owner may discard core quality wondering: *Is that something special?* Well, yes it is!
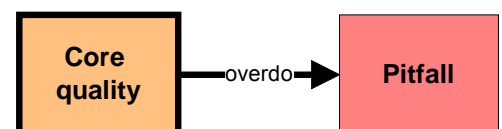
3. **Identify the allergy** that corresponds to the core quality. This is not necessarily the exact reverse (antonym) of the core quality, but at least an opposite extreme. Tips:
    *   While realising the value of the core quality, wonder what irritates
    *   Check that the core quality explains the aversion against the allergy
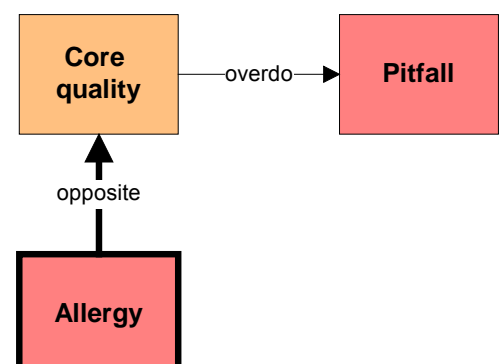
- Often the allergy is a former or denied quality of the person/group. The allergy is the pitfall of someone else

4. **Identify the challenge** that corresponds to the allergy. Tips:
   - The challenge is the core quality of someone else
   - It is essential that the person/group is clearly inspired to face the challenge. If not, search for a better description and quality. An unappealing challenge has no effect, but is also never correct

5. **Agree on an action plan**. The plans should be VEPP-C:
   - Verifiable and specific (not '*Try to be more polite*', but '*Open the door for others on Mondays*')
   - Ecological or fitting the context (not give assertiveness training where only diplomacy stands a chance, not teach persons to hate their parents if they depend on them)
   - Personal (not discuss what others should do, but the person/group concerned)
   - Positive, describing what you will do rather than not do (not '*Drink less*', but '*Play tennis on Thursday and visit AA coach weekly*'). To find positive objectives ask: '*Why do you want to not do xxx?*'
   - Contractual. Agree on reciprocal responsibilities (between coach and tutor) and sanctions if the contract is broken
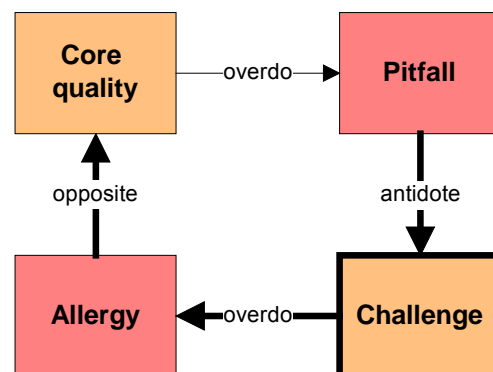
A modest but practical plan is far better than an over-ambitious one, because the latter will be dropped and enhance the view that nothing can be done about the pitfall.

6. **Identify strength and weaknesses** (if using core quadrants in a SWOT analysis). Write positive (from the point of view of your question) conclusions on green and negative conclusions on red cards

Note that this tool can be used for organisations as a whole as well.

6.5.4   Symmetry of functional team roles

What is it?

This self-perception inventory is inspired by the work of Meredith Belbin, as a simple means of assessing the balance and complementarily of functions and roles in a team.

Future/
Change

Innovator

Outward looking
Creative
Imaginative
Ideas
Inspires

Chaos

Distant/
Abstract

Analist

Logical
abilities
Abstract
Links facts
Explains
Policy-maker

Ivory tower

Content/
Pushing

Organiser

Initiates
Gets things rolling
Pushes
Talker
Straight-forward

Bulldozer

Leader
Connects

Helper

Listens
Mediates
Creates climate
Poses helpful questions
Attentive

Belly button

People/
Caring

Controller

Down to earth
Gets things done
Knows details
Brings in experience
Realistic

Obstruction

Past/
Sustain

Pragmatist

Keeps track/overview
Recalls
Closes agreements
Evaluates feasibility
Summarises

Adhocracy

Close/
Practical

What can you do with it?

Basic (sub-) questions

- What should I look at when composing a team?
- What should I do to balance and optimise a team?
- What should be done to overcome tensions in a team?

Results

- What are the dominant and underdeveloped roles of the team members?
- How is the role balance of the team?
- Does the role balance fit the organisation/project strategy and circumstances?
- What shall individuals and the leader agree to do individually and collectively?

How to use it?

Process

The questionnaire is a self-assessment tool, which is a starting point for discussing perceptions about the team within the team (and probably with the team commissioner and/or the consultant who guides the exercise). This requires safety and commitment to give and receive feedback: Respect, a good atmosphere and humour are essential. The exercise can also be done parallel as an assessment of the team members on each other. This would then require a feedback discussion to come to consensus within the team.

Follow up

The exercise should conclude with agreed individual and collective actions. These action agreements should be monitored by the individuals, the team and/or the line-managers of the team members (in the latter case the line-managers should be fully notified of the agreements).

Requirements and limitations

The exercise can become shallow if team members are not familiar with using feedback, or feel unsafe to disclose their insights. The exercise can become an indirect way of deepening divisions, if hidden but important conflicts are ignored.

Practical references

Belbin, Meredith R:

- "Team roles at work". Butterworth-Heinemann, ISBN 0750626755, 1996
- "Management Teams". Butterworth-Heinemann, ISBN 0750626763, 1996
- Katzenbach and Smith: The Wisdom of teams (1993)
- MDF syllabi "The Discipline of teams", "Characteristics of a well performing team", "Functional Team roles", "Dynamics of the team"

Questionnaire functional team roles

1. I gain satisfaction in a job because:

a) I enjoy analysing situations and weighing up all the possible choices.
b) I am interested in finding practical solutions to problems
c) I like to feel I am fostering good working relationships
d) I feel in my element where I can give a task my full attention
e) I like to find a field that stretches my imagination
f) I like to bring order, both to my own work and to whatever other team members are doing

2. My characteristic approach to group work is that:

a) I have a quiet interest in getting to know my colleagues
b) I think clearly and analytically and I can usually find a line of argument to refute unsound propositions
c) I think I have a talent for making things work when a plan has to be put into operation
d) I have a tendency to avoid the obvious and to come out with the unexpected
e) I bring a touch of perfectionism to any job my team undertakes
f) While I am interested in all views, I have no hesitation in making up my mind when a decision has to be made

3. When involved in a project with other people:

a) I have an aptitude for directing people without pressurising them
b) My general vigilance prevents careless mistakes and omissions
c) I am always ready to back a good suggestion in the common interest and to encourage other team members
d) I am keen to look for the latest in new ideas and developments
e) I believe my capacity for judgement can help to come to the right decision
f) I can be relied upon to see that all essential work is carried out

4. What believe I can contribute to a team:

a) I think I can quickly discuss new opportunities
b) I can work well with a very wide range of people
c) I can easily free my mind of details and regard the (total) situation objectively
d) I work efficiently and I can make others do the same
e) I am ready to face temporary unpopularity if it leads to worthwhile results in the end
f) Because of my experience I can usually sense what is realistic and likely to work

5.   If I have a possible shortcoming in team-work, it could be that:

a)   I am not at ease unless meetings are well structured and controlled and generally well conducted

b)   I have a tendency to talk too much once we get on to new ideas and when I feel involved in the discussion

c)   My critical outlook makes it difficult for me to join in readily and enthusiastically with colleagues

d)   I find it difficult to take the lead, perhaps because I am over-responsive to group atmosphere

e)   I am apt to get so caught up in ideas that occur to me that I lose track of what is happening

f)   My colleagues tend to see me as worrying unnecessarily over detail and the possibility that things may go wrong

6.   If I experience problems in the team:

a)   I am apt to show my impatience with those who are obstructing progress

b)   My desire to ensure that work gets done properly can hold up proceedings

c)   I tend to get bored rather easily and rely on one or two stimulating members to spark me off and get me involved

d)   I do not understand why the others will not make use of my results

e)   I get irritated by the chaotic way others are working

f)   I tend to look too much to the team members for support and trust; therefore I am often disappointed both in others and in myself

Score card functional team roles

1	2	3	4	5	6	Total	Team roles
E	D	D	A	E	A		**Innovator**
F	E	B	D	F	B		**Controller**
A	B	E	C	C	C		**Analyst**
B	C	F	F	A	D		**Pragmatist**
D	F	A	E	B	E		**Organiser**
C	A	C	B	D	F		**Helper**

Example scores functional team roles

Abebe

Baku

Cecile

Diederik

Edi

Innovator

Organiser

Analyst

Helper

Pragmatis

Controller

5 10 15 20 25 30

Team

Team analysis

Assuming that the self-perceptions are right, this is a rather innovative and analytical team. Controllers and pragmatists are lacking (unless the purpose of the team is to innovate, in which case the imbalance fits the circumstances). Diederik may be perceived by the others as too focussed on control and pragmatic solutions, while actually he is quite a balanced person and brings in much needed qualities. Baku might be a good leader, because he fits the others quite closely, with the exception that he does not dream as much as the innovators, and is quite an organiser, but is at the same time the only person with (slightly) more than average helper competence.

Steps in working with functional team roles

0. **Define the problem owner** who wants to intervene (more effectively)

0. **Formulate the (sub-) question** that you want to answer by discussing functional team roles. Aims for which such an exercise is suitable are:
    *   To decide about team composition (new members and/or leaving members)
    *   To agree on individual and collective actions to balance and optimise the team
    *   To overcome tensions

1. **Individually fill out the questionnaire** and determine which team role suits you best:
    *   Under each question **rank** the six responses in order of 'best fit'
    *   Award these answers the numbers **0 (least fit)** to **5 (best fit)**
    *   Fill out the Scoring card at the end of this questionnaire
    *   Your lowest score represents your most preferred style; the highest your least developed style (according to your self-assessment).
        *   15 is an average score
        *   Scores above 15 mean you are strong in that aspect (above 20 is outspoken)
        *   Scores below 15 mean you are weak in that aspect (below 10 is outspoken)

2. **Fill out the questionnaire one for each of your team members** to determine which team role fits best to your team member
    *   Follow the same procedure as under number 1.

3. **Discuss with the whole team on the results** and try to come to a **consensus** on the score per person. Note that people may take on one of their favourite roles while not showing the other due to the need or the lack of space for certain roles in the team. It is important that there is ample time for this step. Applying the rules of feedback is vital. A best way of dealing with this would be to discuss on one question for one person first using the opinion of all. This exercise requires a safe discussion environment where team members are used to giving each other feedback. If there are tension within the team, this is usually the step in which the tensions are noted and there should be a possibility to discuss them. If the team is not capable of solving the tension, they should seek a professional to assist them/ facilitate the talk.

4. **Analyse the results**, noting them on a flip-over:
    *   In small groups (up to 5) show all your scores in the collective graph (e.g. each person using a different colour
    *   In medium size groups (up to 10) show the highest and lowest score per member
    *   In large teams show only the most preferred role (realising that on average the opposite of the most preferred role, is the least developed role)
    *   Also picture the total group average

5. **Discuss the results**, in view of the purpose of the team and the circumstances (market situation etc.) around the team:
    *   Ask the other members of your group in which role they see you (Only do this if you did not do the full assessment of each other)

- Assess which team roles support each other and which roles oppose each other Show how these opposite roles need each other urgently through practical examples, if available from the practice of the team.
- Find out which roles need further development or more space in your team:
  - To reduce an over-emphasised role (score above 20), develop the opposite role or rather give more space to the person who plays this role so beautiful ideas become more practical and in those teams where the focus is on production that individual interests are also taken serious.
  - A leader need not counter-balance the team or even be balanced herself/himself: She or he should ensure that the team balances itself by:
  - Giving persons in under-developed roles more space, and persons representing dominant roles less time. This may sound easy but in many teams people have difficulty recognising that conflicts can be related to the different roles team members play.
  - Incite persons representing dominant roles to speak from their under-developed role (e.g. ask a controller 'Can you add a new idea?')

6. **Plan actions**, individually and collectively. Plans should be VEPP-C:
   - Verifiable and specific (not '*Try to be more polite*', but '*Open the door for others on Mondays*') Inviting this person with the less dominant role in the team to come with his/her idea
   - Ecological or fitting the context (not give assertiveness training where only diplomacy stands a chance, not teach persons to hate their bosses if they depend on them)
   - Personal (not discuss what others should do, but the person/group concerned)
   - Positive, describing what you will do rather than not do (not '*Drink less*', but '*Play tennis on Thursday and visit AA coach weekly*'). To find positive objectives ask: '*Why do you want to not do xxx?*'
   - Contractual. Agree on reciprocal responsibilities (e.g. between team member and team) and sanctions if the contract is broken

A modest but practical plan is far better than an over-ambitious one, because the latter will be dropped and enhance the view that nothing can be done about the pitfall.

7. **Monitor implementation** of the action plans by:
   - Monitoring of team actions by the team
   - Monitoring of individual actions by the team leader or the line-manager, who should then be fully informed of the purpose and actions

8. **Draw conclusions**, if the assessment is a step in strategic orientation, in relation to your basic (sub-) question. Write positive (from the point of view of your question) conclusions on green and negative conclusions on red cards

6.6.1 Questionnaire Archetypes

What is it?

The questionnaire to Handy's book 'The Gods of Management' helps to assess the dominant organisation culture, in terms of four archetypical traditions. The tool also helps to compare this perception of the actual organisation culture with the culture preferences of the persons working for the organisation.

What can you do with it?

Basic (sub-) questions

- What should be done to make the organisation culture fit the mission and personnel?

Results

- Does the actual organisation culture satisfy the employees?
- Does the actual organisation culture match with the official strategy and mission?
- What can be done to increase the match with the mission and/or employees?

How to use it?

Process

Filling out the questionnaire takes each person ½ hour. The results may be analysed, and decisions made in an organisation-wide workshop of 2 hours. A facilitator may assist in the interpretation and guide the reflection on the questionnaire results.

Groundwork

An organisational culture assessment may be done:
- In the context of a wider ID/OS analysis, after the institutional analysis and the internal organisation analysis of some 'harder' elements (this order is proposed to allow the development of trust that this sensitive exercise will be of benefit)
- If earlier ID/OS interventions and change processes fail, and culture may be a factor in that failure
- As an appetiser to addressing conflicts or tensions (building enthusiasm and trust that further efforts may succeed)

Follow up

Organisational culture diagnosis and the possible of other IOM elements should synthesise into a concrete action plan.

Requirements and limitations

The self-assessment is 'inward looking': It does not check whether the organisation fits the culture and market. Some conclusions and recommendations (e.g. 'be more co-operative') may not suit the market situation.

Practical references

- MDF Syllabus, "Organisational culture" 2004
- Handy, Charles: Gods of Management. The changing work of organisations. (London: Arrow Books, 1995)
- Robert E. Quinn and Kim S.S. Cameron, Organisational Culture: Based on the Competing Values Framework, Addison-Wesley, 1999

Questionnaire Handy's Gods of organisation culture

Instruction

To complete the questionnaire, proceed as follows:

- **Organisation assessment**. Think of the organisation you work for, the whole of it. What are its values, beliefs, and what forms of behaviour are typical? Compare the four statements under each of the nine questions. Under each question rank the four statements in order of 'best fit'. Award these answers the numbers **4 (least fit)** to **1 (best fit)**. Write these figures in the column 'Organisation' to the right of the questions.

- **Own preferred culture**. Go through the whole questionnaire again, this time for yourself, reflecting your own preferences and beliefs. Cover the right hand site column showing your rankings under 'Organisation' while you do this, so that your second ranking is truly independent. Award your answers the numbers **4 (least fit)** to **1 (best fit)**. Write these figures in the column 'Self' to the left of the questions

As in most questionnaires, you will want to qualify all your answers with the remark, "It all depends…" You will find it hard in some instances to find any great difference, in your own mind, between some of the statements. Do not let this deter you. The questionnaire results will not be precisely accurate, but they should provide useful indications. You will find that the best way to proceed when trying to rank each set of statements is to trust your first, almost intuitive reactions. Do not linger over them too long.

Questions

1: **A good boss:**

Self *Organisation*

(a) ——— Is strong, decisive and firm but fair. He or she is protective, generous and indulgent to loyal subordinates. ———

(b) ——— Is impersonal and correct, avoiding the exercise of authority for his or her own advantage. He or she demands from subordinates only that which is required by the formal system ———

(c) ——— Is egalitarian and influenceable in matters concerning the task. He or she uses his/her authority to obtain the resources needed to get on with the job. ———

(d) ——— Is concerned and responsive to the personal needs and values of others, and provides satisfying and growth stimulating work opportunities for subordinates. ———

2: A good subordinate:

Self   *Organisation*

(a) ——— Is hard-working loyal to the interests of his or her superior, ———
resourceful and trustworthy.

(b) ——— Is responsible and reliable, meeting the duties and responsibilities ———
of the job and avoiding actions which surprise or embarrass his or
her superior.

(c) ——— Is self-motivated to contribute his or her best to the task and is ———
open with ideas and suggestions. Is nevertheless willing to give
the lead to others when they show greater expertise or ability.

(d) ——— Is vitally interested in the development of his or her own ———
potentialities and is open to learning and receiving help. Also
respects the needs and values of others and is willing to give
help and contribute to their development.

3: A good member of the organisation gives first priority to:

Self   *Organisation*

(a) ——— The personal demands of the boss. ———

(b) ——— The duties, responsibilities and requirements of his her own role, ———
and the customary standards of personal behaviour.

(c) ——— The requirements of the task for skill, ability, energy and ———
material resources.

(d) ——— The personal needs of the individuals involved. ———

4: People who do well in the organisation:

Self   *Organisation*

(a) ——— Are politically aware, like taking risks and operating ———
on their own.

(b) ——— Are conscientious and responsible, with a strong sense of loyalty ———
to the organisation.

(c) ——— Are technically competent and effective, with a strong commitment ———
to getting the job done.

(d) ——— Are effective and competent in personal relation ships with a strong ———
commitment to the growth and development of individual talents.

5:   **The organisation treats the individual:**

Self   *Organisation*

(a) ——— As a trusted agent whose time and energy are at the disposal ———
of those who run the organisation.

(b) ——— As though his or her time and energy were available through a ———
contract, having rights and responsibilities on both sides.

(c) ——— As a co-worker who has committed his or her skills and abilities ———
to the common cause.

(d) ——— As an interesting and talented person in his or her own right. ———

6:   **People are controlled and influenced by:**

Self   *Organisation*

(a) ——— The personal exercise of rewards, punishments or charisma. ———

(b) ——— Impersonal exercise of economic and political power to enforce ———
procedures and standards of performance.

(c) ——— Communication and discussion of task requirements leading ———
to appropriate action motivated by personal commitment to goal
achievement.

(d) ——— Intrinsic interest and enjoyment in the activities to be done; ———
and /or concern and caring for the needs of the other people
involved.

7:   **It is legitimate for one person to control another's activities:**

Self   *Organisation*

(a) ——— If he or she has more power and influence in the organisation. ———

(b) ——— If his or her role prescribes that he or she is responsible for ———
directing the other.

(c) ——— If he or she has more knowledge relevant to the task at hand. ———

(d) ——— If he or she is accepted by those he or she controls. ———

8:   **The basis of task assignment is:**

Self   *Organisation*

(a) ——— The personal needs and judgement of those who run the place ———

(b) ——— The formal divisions of functions and responsibility in the system. ———

(c) ——— The resource and expertise requirements of the job to be done. ———

(d) ——— The personal wishes and needs for learning and growth of the ———
individual organisation members.

9: **Competition:**

Self *Organisation*

(a) ——— Is for personal power and advantages ———
(b) ——— Is for high-status position in the formal system. ———
(c) ——— Is for excellence of contribution to the task. ———
(d) ——— Is for attention to one's own personal needs ———

Scoring

Add up the scores for all the statements that are marked (a) under each question, then the scores for all the statements listed (b), and so on. Do this separately for your assessment of the Organisation (right hand side) and for your own preferred culture (left column).

You should now be able to complete the following table.

	All **(a)** statements	All **(b)** statements	All **(c)** statements	All **(d)** statements	Total
	Zeus 'Club' (Web)	Apollo 'Role' (Functional)	Athenian 'Task' (Matrix)	Dionysian 'Individualistic' (Star)	
Actual (perceived) organisation culture					90
Your **preferred** organisation culture					90

Interpretation

The higher the total score the more prevalent that culture is in the organisation or in your preference. The neutral score is 23. Scores below 18 indicate that that type of culture is outspoken (existing or desired), while scores above 28 show a cultural style that is not developed or preferred.

Example Handy's Gods: RICANTOR

Problem owner

RICANTOR

Consultancy T.o.R

- Propose how to optimise the capacity of RICANTOR to deliver its core services and verify its legitimacy in the sector
- Propose crucial adjustment to the managerial and leadership qualities

	Leader oriented		*Function oriented*		*Task oriented*		*Individual oriented*		Total
	Actual organisation	**Desired** (individual)	**Actual** organisation	**Desired** (individual)	**Actual** organisation	**Desired** (individual)	**Actual** organisation	**Desired** (individual)	
1	29	28	19	17	14	15	28	30	180
2	26	33	17	17	23	14	24	26	180
3	33	32	14	18	17	17	26	23	180
4	27	23	18	19	19	20	26	28	180
5	30	26	19	16	15	19	26	29	180
6	22	34	17	20	20	12	31	24	180
7	29	28	17	15	14	16	30	31	180
8	33	32	14	16	18	14	25	28	180
9	32	32	21	21	13	13	24	24	180
10	28	25	18	17	13	22	31	26	180
11	14	35	18	17	26	14	32	24	180
12	27	33	16	17	21	15	26	25	180
13	30	32	15	20	21	15	24	23	180
	360	**393**	**223**	**230**	**234**	**206**	**353**	**341**	**2340**
Difference between perceived org. culture and desired org. culture	**-33**		**-7**		**28**		**12**		

Conclusions

The result of the questionnaire is that on the average, most staff and management members are quite satisfied with the existing culture. When viewed as an overall assessment the tendency is that people want to move away more from the Leader oriented culture, which is the least desired one. The existing functional culture is well appreciated and people want to move to a more Task oriented culture with some more Individual responsibility. The most preferred culture is the Task oriented next to the functional culture.

To promote a more task oriented culture, several mechanism can be introduced, like the earlier mentioned event-evaluation by the team. Furthermore the various events can be entrusted to a team representing more than one section. Especially for the public good delivery this is quite possible to organise.

Example Handy's Gods: Unhappy man

Problem owner

An employee does not feel happy in the organisation, although his superior and colleagues are happy about his work.

Basic question

What are the causes for dissatisfaction and what should be done to satisfy this employee?

Results

	All (a) statements	All (b) statements	All (c) statements	All (d) statements	Total
	Zeus 'Club' (Web)	Apollo 'Role' (Functional)	Athenian 'Task' (Matrix)	Dionysian 'Individualistic' (Star)	
Actual (perceived) organisation culture	30	28	19	13	90
Your **preferred** organisation culture	17	16	28	29	90

Conclusions

This employee is understandably unhappy, as he would like the organisation culture to be the very opposite of how he actually experiences it. He would appreciate a strong leader and that all people would be position and function aware. He would like an organisation where people say 'I work for …', or 'I am in the rank of … and I manage … sub-ordinates'.
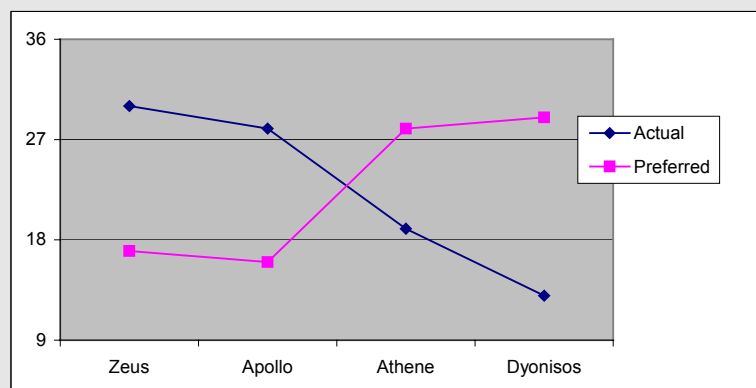
What he perceives in the organisation, however, is that people work very individualistic, and are much more task than function aware. They actually introduce themselves and address each other with 'Hi, I am working on …', or 'Didn't you work once on … and could you tell me a bit about it, because I may also work on that'.

Action plan

The gap seems rather big. If the person is to stay with the organisation, he should learn to appreciate the existing organisation culture. He may work closely with one of the seniors in the organisation and come, to familiarise with her style and values. Being close to a leader is something he likes anyway, and it provides an opportunity to see whether he can assimilate to the dominant organisation style.

Steps in using Handy's Gods

0. **Formulate the (sub-) question** that you want to answer by analysing the organisational culture. The Handy assessment may assist to make the organisation culture fit the mission and personnel. The sub-question also implies clarity on who wants to answer the BQ

1. **Assess the actual culture**. Ask a random selection of personnel to answer the questionnaire anonymously, but in relevant categories, such as:
   - Top management, middle management, operating core and support
   - Head quarters versus field office
   - Technical versus social functions
   - Men versus women
   - New-comers versus old-timers

2. **Assess the preferred culture**, as perceived by the same respondents. Ensure and emphasise that the organisational and self-assessment should be truly independently!

3. **Analyse frictions** and decide on actions:
   - In a participatory workshop with representatives of the various categories
   - In a sub-group on culture, if the assessment is part of a wider ID/OS diagnosis, culminating in strategic orientation
   - With management

6.6.2   Checklist organisational culture

What is it?

It is a checklist that uses the framework of the Integrated Organisation Model for defining the priorities that staff and management may have in a government or non-government organisation. It deliberately focuses on external behaviour, rather than internal values and relations, of the organisation to prevent a culture analysis that may be more profound, but detached from operational reality (a pitfall of sociological and anthropological studies). It can be the basis for deeper, but focussed investigations.

What can you do with it?

Basic (sub-) questions

- Which dimensions of organisational culture do not match the organisation strategy?

Results

- What are key cultural or attitudinal differences between government, non-government, and community-based or commercial approaches towards specific issues or towards specific activities or services in one sector?
- What is felt to be very important in the organisation?
- Which priorities strongly influence the performance of the organisation (+ or -)?
- What are major priorities that should be further investigated and probably changed?

How to use it?

Process

A cultural analysis can be made on an individual basis or in a group (not more than 20 people) on a participatory basis. It may be useful to ask different groups in the organisation to fill the checklist. Filling in a checklist on individual basis takes around 15 minutes. In a group setting it will take around one hour, including some discussion.

Follow up

The checklist helps identify elements with an organisational culture dimension that need further attention. Further investigation could involve making cultural core quadrants, or working with Handy's archetypes. Can be followed by more analysis of processes and structures.

Requirements and limitations

The assessment is rather subjective and depending on the group of people filling it. The checklist is not complete. Every organisation may have different aspects that are important/ relevant. The assessment only indicates (rather than investigates) tensions.

Practical references

- Syllabus "Culture in organisations";
- SAM Advanced Management Journal;
- Hofstede, Geert (1991): Culture and Organisations. Intercultural co-operation and its importance for survival: Software of the Mind;
- Handy, Charles (1995) Gods of Management, the changing work of organisations.

Checklist Organisational Culture

	Very important (receives major attention)	Important	Some importance	Little or no importance (almost no attention)
Outputs				
Quality of products & services				
Quantity of products & services				
Income from products & services				
Inputs				
Having qualified/motivated staff				
Having good infrastructure				
Having good financial resources				
Actors				
Relations with Customers				
Relations with Government				
Relations with Partners/ Competitors				
Relations with Financiers				
Relations with Suppliers (e.g. energy)				
Strategy				
Long term planning (3-5 years)				
Short term planning (up to 1 year)				
Follow up on planning				

Example checklist organisation culture: Aquadef

Basic question

What should Aquadef do to become a key actor in reaching the MDG's on water supply and sanitation?

Sub-question

What are current strengths and weaknesses in the organisational culture?

Questionnaire responses

	Very important (receives major attention)	Important	Some importance	Little or no importance (almost no attention)
Outputs				
Quality of products & services	4	3	3	
Quantity of products & services	7		2	1
Income from products & services	5		3	2
Inputs				
Having qualified/motivated staff		5	5	
Having good infrastructure		4	5	1
Having good financial resources		4	6	
Actors				
Relations with Customers	7	2	1	
Relations with Government		3	3	4
Relations with Partners/ Competitors	3		7	
Relations with Financiers	5			5
Relations with Suppliers (e.g. energy)		1	9	
Strategy				
Long term planning (3-5 years)	8	2		
Short term planning (up to 1 year)		7	3	
Follow up on planning	6	2	2	

Conclusions

- Quantity-orientation is perceived differently within the organisation, whereas this is a key to the BQ. Observations indicate insufficient efforts innovate and excel
- The importance of government relations is underestimated in light of the BQ
- Compared to observations the attention to long-term strategy is exaggerated, whereas the actual practice adequately fits with the situation

Steps in using the culture checklist

0. **Establish owner and BQ**: Establish who wants a culture analysis and for what purpose

1. **Establish the desired situation**, e.g. by having the management fill out the questionnaire and reach basic agreement

2. **Establish the actual situation**, through:
    *   Observation and assessment by a consultant
    *   Self-assessment by the management
    *   Anonymous self-assessment by (a random selection of) employees. Within the group of anonymous respondents decide whether to distinguish categories (e.g. gender, hierarchical level or discipline)

3. **Identify** contradictions, mismatches or tensions within or between:
    *   Questionnaire responses
    *   Observations
    *   Organisation guiding principles
    *   Institutional context, market niche and organisation strategy

4. **Reflect on major gaps** and tensions to address. In these area diagnose in a more comprehensive manner, looking at increasingly subtle levels of the current and desired situation:
    *   Symbols (look at building, dresses, words and gestures, pictures, formalities)
    *   Heroes (leaders, dead and alive reference persons, and anti-heroes)
    *   Rituals (what events are celebrated, do people take lunch together, how do meetings proceed?)
    *   Values and norms (the logic behind the above three levels of observable practices)

5. **Decide on further research** (areas and interventions)
    *   Realise that the deeper you go, the less chance of success
    *   Acceptance of the existing culture is the best starting point for change: Honouring the past lower resistance (see resistance to change tool)
    *   Possible tools: Handy's archetypes, Core quadrants, Questionnaires

6.6.3 Self-assessment questionnaires of organisation and group culture

What is it?

The (elaborate) organisation and the (brief) group culture questionnaires are simple tools to provoke reflection and discussion about the culture in an organisation or group. They can help teams to acknowledge their dynamics and rectify irritations at an early stage.

What can you do with it?

Results
• What are we satisfied about in our co-operation? • What are not all group members satisfied about? • What do we agree to do about that?

How to use it?

Process

Confidentiality should be guaranteed unless the respondents were told beforehand that answers would be public. Confidentiality generally only functions well with teams of 10 or more respondents. Else outspoken and deviating answers may give raise to suspicion, hurt feelings and gossip ('Who did that?'). If it is agreed that it will be public who gives which answer, it should also be agreed that perceptions (of the current situation) and views (of the desired situation) are respected. This can be enhanced by only allowing informative questions about each other's answers.

Groundwork

This type of exercise serves the team well if introduced 'mid-term': After the team has started performing (else the questionnaire may be premature and regarded as 'too psychological'), but before disappointments and irritations have developed into grudges, vendetta's or diverging fractions. The group culture questionnaire can be applied when trainers perceive a training group as academic, competitive or over-critical.

Follow up

The group members should be brave enough to refer to the agreements when persons infringe on them soon after the meeting that discussed the group culture. Else the exercise will become a theoretical exercise with retrospect. Teams and working groups that exist for a longer time can repeat the exercise regularly.

Requirements and limitations

They are common sense tools, taking advantage of the willingness of people to disclose their views and irritations for the improvement of the team.

Organisation culture questionnaire

Go through the questions one by one and fill them in. Beneath every question there are nine possibilities to answer, grouped in three categories, with variation in strength. Put a cross in the box that reflects the real situation at this moment in the 'Is' row. Then put a cross in the box that shows how you wish the situation to become in the 'Should' row. Then draw an arrow from 'Is' to 'Should', symbolising the development you would like to take place.

The filling in of the questionnaire is in itself a process of thinking about your organisation, your colleagues and yourself. Take your time for it. The more attention you pay, the more value the outcome has.

A.   How much confidence do you have in your direct colleagues?

	No confidence			Moderate confidence			Full confidence		
Is									
Should									

B.   How much confidence do you experience from your direct colleagues?

	No confidence			Moderate confidence			Full confidence		
Is									
Should									

C.   How free do you feel to discuss important work problems with your superior?

	Little tendency to discuss problems			Changing or moderate tendency to discuss problems			Fully free		
Is									
Should									

D.   How free do you feel to discuss important problems with your equal colleagues?

	Little tendency to discuss problems			Changing or moderate tendency to discuss problems			Fully free		
Is									
Should									

E.   How free do your subordinates feel to discuss important work problems with you?

	Little tendency to discuss problems			Changing or moderate tendency to discuss problems			Fully free		
Is									
Should									

F. **Are you able to use ideas and opinions of colleagues to solve your problems**

	I do not receive ideas or opinions of my colleagues			I receive sufficient opinions and ideas and I use them			I receive a lot of opinions and ideas and I use them as much as possible.		
Is									
Should									

G. **Are you able to use ideas and opinions of your subordinates to solve your problems?**

	I do not receive ideas or opinions of my colleagues			I receive sufficient opinions and ideas and I use them			I receive a lot of opinions and ideas and I use them as much as possible.		
Is									
Should									

H. **Do you stimulate the creation of teams?**

	I do not especially stimulate this			I stimulate this wherever necessary			I use this systematically as a co-ordination tool		
Is									
Should									

I. **Do you feel stimulated to form (and perform in) a team?**

	I do not feel this			I feel this is stimulated whenever necessary			I feel this is used systematically as a co-ordination tool		
Is									
Should									

J. **Do you use pressures and tension as a mean to gain results?**

	This hardly happens			This happens every now and then			This happens often		
Is									
Should									

K. **Do you feel that pressure and tension is used to push you to come to quick results?**

	This hardly happens			This happens every now and then			This happens often		
Is									
Should									

L. **How responsible do you feel for the organisation?**

	I leave it up to others (e.g. superiors)			On some points I feel responsible			I feel responsible for the organisation, and I put my energy into it.		
Is									
Should									

M. **How responsible do your colleagues feel for the organisation?**

	They leave it up to others (e.g. superiors)			On some points they feel responsible			They feel responsible for the organisation, and they put their energy into it.		
Is									
Should									

N. **How responsible do you feel for the performance, planning, development and control of your work?**

	Not very responsible			Moderately responsible			Very responsible		
Is									
Should									

O. **How responsible do your colleagues feel for the performance, planning, development and control of their work?**

	Not very responsible			Moderately responsible			Very responsible		
Is									
Should									

P. **How far are salary and promotion primary motivating forces in the organisation?**

	Very important drive, it turns out again and again how central it is.			Plays an important role sometimes.			This plays no role.		
Is									
Should									

Q. **How far is your opinion taken into account at decisions about your work?**

	Not or seldom			Asked for opinion but not considered seriously			Fully participating in this decision making.		
Is									
Should									

R.   Decisions on policy: how are they prepared and made?

	By management staff			By programme and management staff			By full staff.		
Is									
Should									

S.   Is systematically gathered information taken into account in decision-making?

	Not			Moderately			Very much		
Is									
Should									

T.   How are tasks-descriptions designed?

	By the management			By management and employees in agreement			Targets are defined and employees design their own tasks		
Is									
Should									

Group culture questionnaire

Instruction

Indicate with a [**Symbol**] (on a scale from rare to always) how often, according to your perception, the following phenomena **Actual**ly occur in the group. Indicate with a [**Symbol**] (on a scale from rare to always) how often, according to your perception, the following phenomena **Should** occur in the group. Give symbols per category (anonymous scoring) or per individual (non-anonymous scoring)

			Rare		Sometimes		Always	
			1	2	3	4	5	6
1.	Punctuality in time	**Actual**						
		Should						
2.	Learning from setbacks/problems	**Actual**						
		Should						
3.	Challenging the leadership	**Actual**						
		Should						
4.	Openly expressing one's feelings	**Actual**						
		Should						
5.	Receiving feedback from colleagues	**Actual**						
		Should						
6.	Celebrating outstanding performance	**Actual**						
		Should						
7.	Feeling free to ask any question	**Actual**						
		Should						
8.	Competitive behaviour	**Actual**						
		Should						
9.	Being creative in problem solving	**Actual**						
		Should						
10.	Active and equal contribution by all	**Actual**						
		Should						
11.	Showing respect to each other	**Actual**						
		Should						
12.	Side-tracking or too deep discussion	**Actual**						
		Should						
13.	Taking time to reflect and evaluate	**Actual**						
		Should						
14.	Sharing personal believes or values	**Actual**						
		Should						
15.	Having fun together	**Actual**						
		Should						

© MDF copyright 2004

www.mdf.nl

Example of group culture questionnaire

Situation

Participants and trainers are engaged in a four-week training course. How shall we create a conducive environment so that the learning in the remaining two weeks is pleasant and effective? It was decided to answer non-anonymous, although two persons expressed that they found that quite challenging.

		Rare		Sometimes			Always
		1	2	3	4	5	6
1.	Punctuality in time	E	GHIT	ACD	BF		
				A	BC	EGFHT	DI
2.	Learning from setbacks/problems	E	AHT	CDGI	BF		
				FGIH	ATEDC		B
3.	Challenging the leadership			G	ACD	FHT	E
		EHIDFGT	BA			C	
4.	Openly expressing one's feelings	AEH	DGI	T	CF	B	
		B		DC	AFT	HE	GI
5.	Receiving feedback from colleagues	E	BH	ACFGIT	D		
				BE	DAI	HFCT	G
6.	Celebrating outstanding performance	E		ADHIT	BCFG		
					EIA	DBCFTG	H
7.	Feeling free to ask any question			EH	DFI	ACG	BT
				I	ADT	HCEFG	B

A-I are course participants. Arrow shows average change of opinion ——————▶
T is the trainer. Arrow shows average change of opinion —·—·—·—▶

Conclusions (and some agreements)

- C is isolated in her perception that the leadership should be challenged more (which is one of the things the trainer definitely does not want). After some discussion she realises that disrespect for the trainer was a problem rather than a solution and she changes her opinion
- E is frustrated with the group, as illustrated by the many extreme assessments for the current situation. She commits to *gently* remind people when the agreements are broken that are made in the meeting
- On the whole the picture hints that the group shares its true opinion (not holding back critical views, although F is rather mediocre in her assessment of the existing situation), and wants some attainable changes
- The trainer fits the group, although
- All agree that punctuality in time should improve, and commit to it without becoming inflexible
- The most notable issue for change is the challenging of the leadership: participants and the trainer want this to reduce considerably

Steps in using culture self-assessment questionnaires

0. **Be clear on the purpose** and target group of the exercise

1. **Decide on categories** within the group whose answers you want to trace, such as:
    * Gender
    * Level or seniority
    * Function or discipline

2. **Decide whether to work anonymously** (within the categories) or not:
    * Is the team large enough for anonymity to work?
    * Is the atmosphere safe and respectful enough to work non-anonymous?
    * Agree in any case that the results are confidential to outsiders and that views will be respected

3. **Let individuals judge** the perceived ('actual') and desired ('should')

4. **Draw arrows**
    * Showing the average desired change per category (large arrows)
    * (If non-anonymous) showing the individual who wish a markedly different change direction than their category (small arrows)

5. **Optional: Prioritise five questions** for detailed study. Select those for which:
    * The spreading of scores within or between categories is large
    * The desired direction of change differs within or between categories

6. **Reflect on the collective outcome**
    * Where are the largest divergences in perceptions?
    * Where are the largest divergences in ideals?
    * Check what differing scores are based on (often it is on a different reading of the question)
    * Even if perceptions and ideals differ, is there an agreement on the desired direction?
    * Where is clear agreement on the need for change?

7. **Agree on procedures and actions**
    * Draw the average desired direction of change for the entire group and discuss who supports this, complies with it or wishes to convince others to change differently
    * Make the actions SMART and possibly post them on the wall
    * Make procedures clear, but human: The purpose is not to breed intolerance or get even with people through setting tough rules

8. **Follow up**: Refer back to the agreed!
    * With humour or straightforwardly confront people when they infringe on agreements
    * Encourage a culture of light-handed feedback

www.mdf.nl

Strategy setting

Client &
Question

Process

Advisory
competence

Strategy
setting

Planning &
change

Generic methods
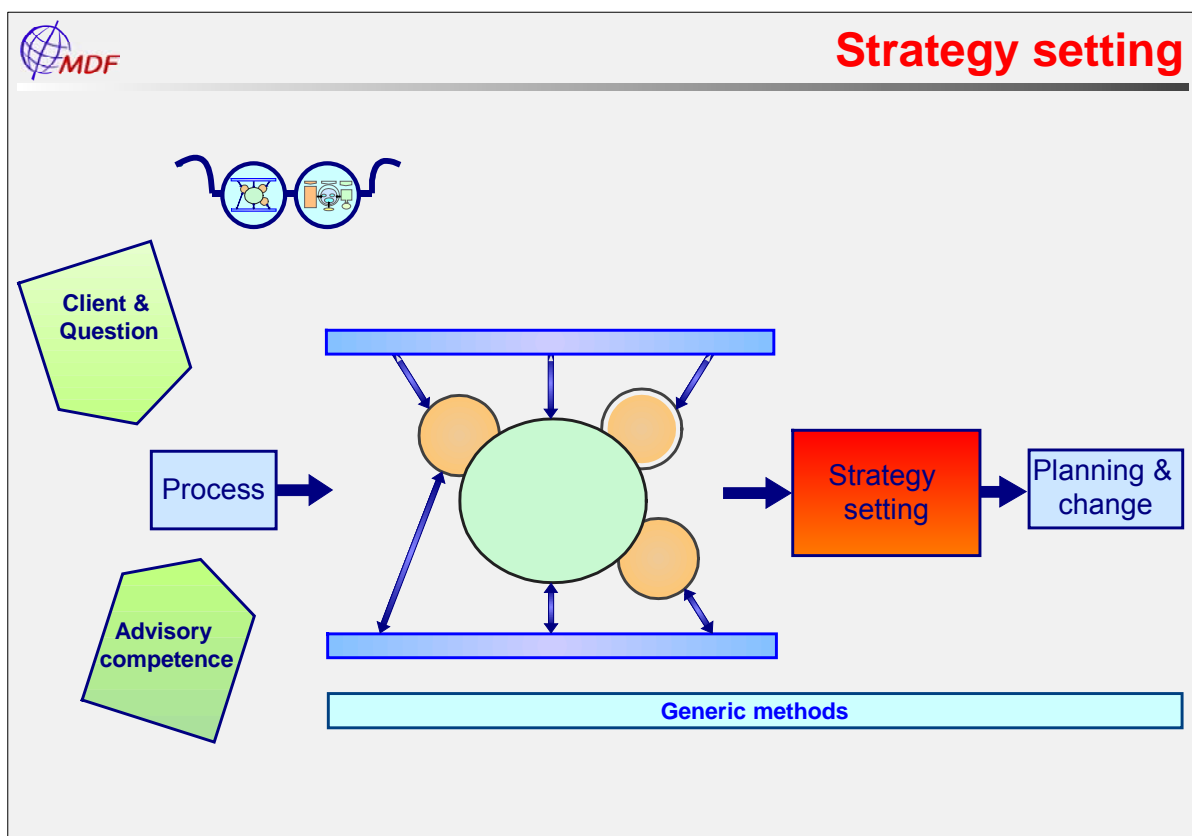
7   Strategy setting

This Chapter presents the epitome of strategy development, which is one of the most important purposes to engage in ID/OS analysis (see Introduction of the Tango or the ID/OS process design tool in 2.3). Strategy setting derives plans from the analysis and assessment that generated SWOT (Strength, Weaknesses, Opportunities and Threats). Whereas the link between *analysis* (SWOT) and *strategy decisions* is often arbitrary and hard to follow, the tools in this Chapter make a logical, purposeful and transparent link between these two. Yet this systematic approach does not negate the importance of creativity. This tool is known as Strategic Orientation (SOR).

We present two versions of the SOR. One that matches internal Strengths and Weaknesses (SW, What am I good and bad at?) with Strategic Options (SOP, What do I want in this world?) – briefly named ***SOR with SOP***. The other version matches SW directly with Opportunities and Threats (OT, What is favourable and unfavourable around me, in terms of my Basic Question?), and is known as ***SOR with OT***. The difference between the two is that SOR with OT chiefly looks into relevance of external trends, whereas SOR with SOP goes a step further into judging feasibility of tentative strategies. SOR with SOP is therefore the preferred approach, but the advantage of SOR with OT is that it is easier to realise with large and (educationally) heterogeneous groups.

To stamp out confusion of what strategy related tools can be found where in this toolbox, we repeat an overview of where and what. All in all the issue of strategy appears at four different points in this toolbox, but always from a different angle:

Envisioning (see 4.3 Mission) encourages *creative development* of mission, strategies, projects or programmes (and can well be combined with SOP)

SOP (under 5.3) deals with *developing relevant options* in response to the institutional context analysis

Strategy assessment (under 6.1 Strategy) does not deal with the development of a new strategy, but concerns the *assessment of an existing strategy* in terms of completeness, practicality, logic and the steps in its development

Strategic orientation (SOR, the core of this Chapter) deals with the *prioritisation of strategies* and the identification of possible additional organisational strengthening activities
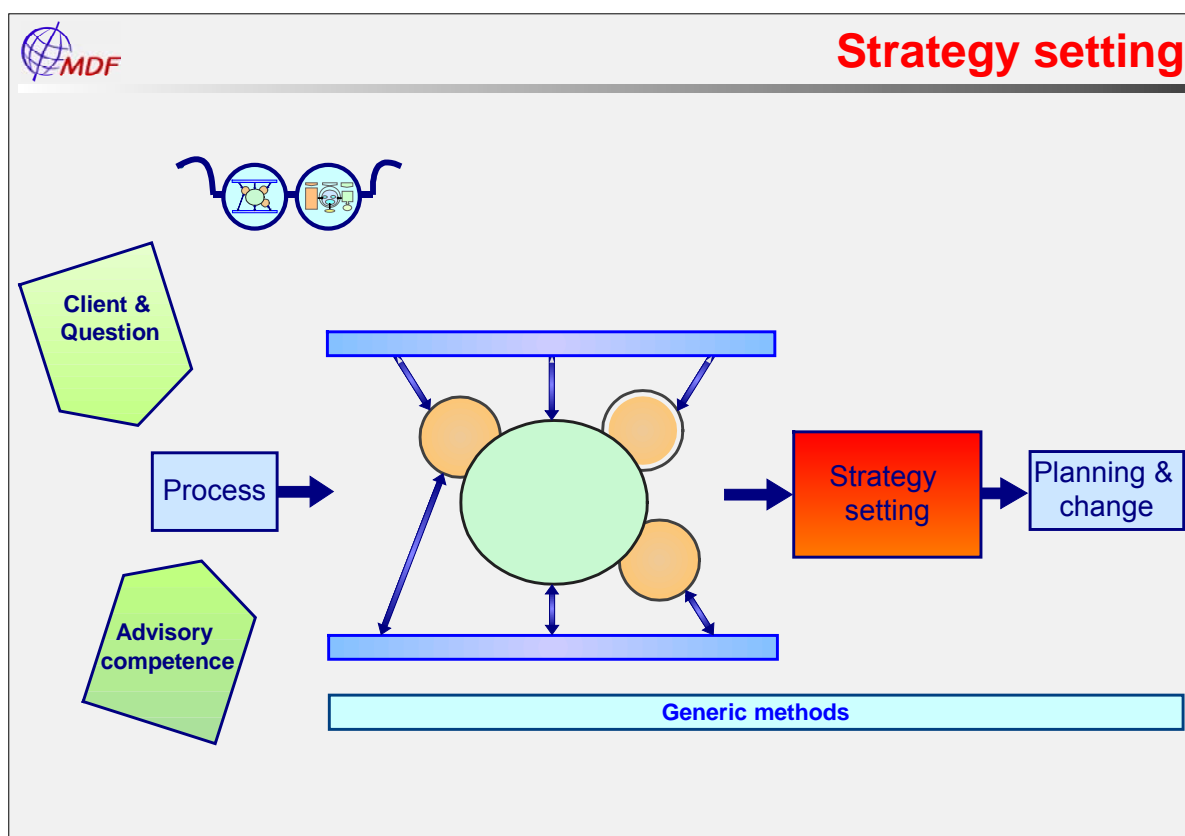
7.1.1   Strategic Orientation with SOP

What is it?

Strategic ORientation (SOR) is a method to prioritise ID/OS strategies. This version of SOR is based on Strategic OPtions (SOP, which in turn are based on external Opportunities and Threats) and internal Strengths and Weaknesses that were identified earlier. The next tool presents the SOR in a way that directly matches Strength and Weaknesses with Opportunities and Threats (rather than SOP's that respond to the latter two). The SOR matrix helps to identify which Strategic OPtions best match the internal strengths and weaknesses of an organisation or consortium of actors (e.g. in a sector programme). If done in a participatory manner involving relevant stakeholders, strategic orientation builds consensus about the priority strategies.

Strategic orientation often makes choices in what exactly to *deliver to the target groups* (operational interventions), and at the same time on *capacity support measures* (ID/OS interventions). The great strength of strategic orientation is that it clearly links diagnosis and assessment to strategic decisions and action planning while the connection between analysis and planning is often implicit and inimitable.

What can you do with it?

Participatory strategic orientation is a powerful, systematic way to arrive at relevant, focussed, well-informed and well-supported strategic choices. Making a SOR matrix and prioritising through voting is not a substitute for common sense and logical arguments, but a quick method to get a picture of the possibilities and preferences as perceived by the participants. An asset of prioritising through voting is that it gives all participants a silent and equal say, in a short time span. By contrast, in debates not always all participants have and take the chance to express their views and usually only few people change their opinions based on heated deliberations.

In a participatory SOR workshop all participants express their insights and opinions on the best strategy for an organisation or programme. SOR is relevant for actors who want to focus their services/products, with an eye at the outside world, but considering internal strengths and weaknesses[1].

---

[1] *For those who have heard the term PODia, and wonder how it relates to SOR: Participatory Organisation Diagnosis (PODia) is a workshop methodology, in which strategic orientation is a key element. A PODia workshop of typically three days identifies strengths, weaknesses, opportunities and threats, chooses best*

What can you do with it?

Basic (sub-) questions

- Which strategies optimally fit the basic question, the institutional options, and aspirations of the stakeholders? (Strategy development. This often involves the purpose and overall objective level, and less to the result and activity level) and/or
- What supportive (ID/OS) interventions are required to succeed in those strategies? (ID/OS intervention planning. This often translates primarily to result and activity level)

Results

- Which options have the most attractive relevance/feasibility ratio?
- Which options have the most attractive effort/effect ration?
- Which options best match the institutional and organisation capacity?
- Which strategies have optimal stakeholder support?
- Which strengths to use and which weaknesses to improve to realise the respective strategic options?
- Which strengths should be consolidated anyway, and which weaknesses should be fought anyway (as a pre-condition) to succeed in any strategy?

How to use it?

Process

Strategic Orientation is an exercise taking from half a day to two days and can be done with groups of upto 25 stakeholders (these participants can be internal and external to the organisation).

Ideally relevant managers are present during the analysis as equal participants, so that at the end of the workshop they can immediately give their preliminary feedback. The management may immediately approve or comment positively upon some proposals, whereas for others they may express their reservations or need for further reflection.

It any case, it should be clear to all participants that the workshop outcome is (usually) not a *decision* but a set of recommendations and *proposal*s to the management, who will decide later. On the other hand the management should commit to fully inform (and preferably invite feedback before taking a final decision) on the course of action they later choose. If the management gives such clarity, a SOR matrix is a participatory tool that simultaneously develops good plans and creates stakeholder commitment.

Groundwork

Prior to SOR there should be an assessment, endorsed by the stakeholders in the SOR workshop, of the Strengths, Weaknesses, Opportunities and Threats (SWOT) of the organisation(s) that is the subject of strategic planning. This SWOT may be derived from using tools focussing on the various IOM elements, often supplemented by a brainstorm on IOM elements that were not scrutinised in detail. Strategic options (see the tool Strategic Options in 5.3.1.) should have been derived from the Opportunities and Threats (although this step is skipped in the SOR-with-OT method).

---

strategies using SOR, and translates the strategies into operation plans, positioned in a LogFrame (see Chapter 9.1.1. with a detailed description of PODia).

Follow up

Strategic planning should be followed (preferably immediately, to keep momentum and truly translate new ideas into practical action) by operational planning. This should address issues like: Who will do what when at what cost; in co-ordination with whom and under whose guidance and support? The logical framework provides an appropriate format for this step.

Planning the change process can also include more detailed tools to assess and manage the consequences of the chosen strategy (e.g. an interest chart). After strategic orientation you may use selected ID/OS tools (such as management assessment model) for very focussed and specific planning. This should not be a repetition of the diagnostic process geared at *choose your strategic course* of action, but to specify the *supportive interventions* (such as training or culture change).

Requirements and limitations

The SOR depends heavily on the quality and clarity of the preceding SWOT analysis (the SWOT are usually written cryptically on flash cards, and the true meaning of these slogans should be clearly recalled). SOR requires understanding and committed participants. As mentioned under 'process' it is crucial that the participants get clarity beforehand on how the results will be interpreted (as 'suggestions' or as 'approved company policy'). Top management cannot sign blind to adopt any outcomes, but neither can disliked outcomes simply be ignored.

The interpretation of the outcomes (prioritising, possibly through voting) is crucial, and should not be done in a blind, mechanical way. The workshop requires a skilled facilitator who reminds the participants that people take decisions, not matrices. The SOR matrix focuses on feasibility, so you have to think back of relevance and assess which mix of strategies should be taken up simultaneously or sequentially. You should select enough strategic options to have impact, but few enough to manage. If one strategy scores a little lower than another, you cannot simply discard it. Other considerations are: Sequence and complementarily (building a house may be easier than laying the foundation, but the foundation should be first), and 'grip' (some options meet with few obstacles but also with few strengths, making their realisation out of reach of the organisation).

Practical references

- MDF syllabus 'Strategic Orientation' 12716.003
- MDF syllabus 'PODia – Participatory Organisation Diagnosis' 2921888.006
- Mintzberg, Henri (1994): The pitfalls of strategic planning
- Mintzberg, Henri (1994): The rise and fall of strategic planning, Harvard business review
- Horn, Lutz (1994): SWOT analysis and strategic planning, GFA consulting group
- Morato, E.A. (1994): Manual on strategic planning process

www.mdf.nl

Example SOR (with SOP): District Health Department

Problem owner

District Health Department

Basic question

How can the District Health Department ascertain effective, affordable and sustainable delivery of adequate health services to the rural population in the province?

Most relevant Strategic Options (SOP)

1. Make better use of private health services
2. Intensify preventive health services
3. Improve functioning and image of public health services

Strengths

1. Employees motivated
2. Division of responsibilities clear and logical
3. Transparent budgeting procedures
4. Dedicated and trustworthy management

Weaknesses

1. Operational strategies not available
2. Management inexperienced in policy setting
3. Weak monitoring systems
4. Civil servants prefer posting in capital

SOR matrix

	Strategic Options			
Strengths	1. Private services	2. Preventive health	3. Image public health	
1. Motivation	2	22	15	39
2. Responsibilities	18	28	8	54
3. Budgeting	19	26	16	61
4. Dedicated mgt.	8	9	11	28
Total Strengths	**47**	**85**	**50**	
1. No strategies	-6	-29	-23	-58
2. Policy inexperience	-6	-24	-18	-48
3. Weak monitoring	-14	-11	-27	-52
4. Aspiration for capital	+2	-7	-19	-24
Total Weaknesses	**-24**	**-71**	**-87**	
Balance	**23**	**6**	**-37**	

Interpretation

Reading vertically

- SOP 1 is the easiest, but SOP 2 is much more manageable (building more on one's strengths)
- SOP 3 is hard to achieve, so take up SOP 2 and SOP 1 in first year. Another case against SOP 3 is that it is not clearly focussed to the clients and the BQ: The aspect of image only indirectly helps the organisation serve its mission

Reading horizontally

- Typically motivation and dedicated management, often brought forward as key strengths of organisations, appear to be of relatively limited assistance in realising strategies (though they cannot be entirely neglected and actions may be needed to consolidate them). 'Budgeting' was initially given third priority, but now seems the most important asset of the organisation
- The weakness of civil servants preferring employment in the capital is confirmed to be of limited relevance (for realising the options), although in corridor discussions this was often posed as a key weakness. However, the low horizontal total in this case does not indicate that the strategies are completely indifferent to staff wishes. The relatively low total is among others the result of the strategic option of making better use of private health suppliers. To realise that option District health staff indeed needs to move to the capital, so that the 'weaknesses' of preferring the capital becomes a strength for this particular option. Yet to the third strategic options, staff preferences for the capital *is* a serious weakness.

Example SOR (with SOP): Potato sector

Basic question / Entity

How can the organisations involved in potato growing and marketing improve the profits, reliability and sustainability of services delivered to farmers?

SOR matrix

	Strategic Options			
	To merge companies	To improve debt collection	To protect infrastructure	To create awareness on policies and regulations
Strengths				
Sufficient production capacity	XX	XX		
Trained technical staff	XX	XX	XX	XX
Clear task division	XX	XXX	XX	XX
Motivated Staff	XX	XXX	XXX	XX
Total Strengths	**8**	**10**	**9**	**6**
Weaknesses Old infrastructure	XX	X	XX	
Low quality of middle mgt	XXX	XXX	XX	XX
Inadequate structure	XXX	X		X
Bad Public relations	XX	XXX	XX	XXX
Bad debt collection procedures		XXX		XXX
Total weaknesses	**10**	**11**	**6**	**9**
Difference S-W	**-2**	**-1**	**3**	**-3**

Reflection

The participants extensively discussed, interpreted and reflected on what the matrix tells. Various responses were considered, and two strategies were chosen. Short-term and medium-term effects were important considerations. The fact that the chosen strategies have marginally higher scores was a coincidence: All scores are so close to each other that the matrix alone does not 'dictate' a response. As always it is people, not matrices, who decide! The main benefit of the voting was to make considerations explicit and open for debate.

Plans

Strategy 1. To protect the infrastructure by:
- using motivated staff and;
- rehabilitating the old infrastructure;
- improving the quality of middle management, and
- improving the public relations.

Strategy 2. To improve the debt collection by:
- Using the clear task division and the motivated staff;
- while improving the quality of middle management;
- improving public relations;
- and improving the debt collection procedures.

Steps in SOR (with SOP)

0. **Formulate the (sub-) question** that you want to answer by Strategic Orientation. This entails a clear delineation of the problem owner, his/her entity (subject), and the overall objective. A clear entity implies demarcation of SW inside (under command/control) and OT outside (not under command, though you may influence it)

See tool 'Strategic options' (5.3.1)

0. **Identify the SWOT** from earlier ID/OS tools or an IOM/ISA based brainstorm

0. **Develop strategic options**. A core team of 1-5 people can best do this – a process facilitator should _not_ do it alone in a short break:
   - Formulate concrete options that address at least one opportunity or threat
   - Strategic options translate OT into actions (or results) related to output, input, mission and/or relations
   - Until there is at least one option relating to each opportunity and threat
   - Stimulate innovation and creativity. Do not only consider doing more of the same (consider new solutions that respond to new trends, opportunities, and threats)

0. **Prioritise 5-6 options** = Judge _relevance_ of the option in terms of the criteria in the BQ. Possible methods:
   - Joint judgement
   - Individual anonymous voting (each participant about 5 votes)
   - Individual personalised voting (each participant votes with a different colour)

1. **Clarify the status**. Top management should explain to the participating stakeholders whether the workshop outcomes are binding or not. A fair deal is that the manager:
   - Adopts all outcomes unless she/he states reservations *immediately after the workshop.* In the latter case she/he
   - Commits to a timeframe to present her/his draft decisions, and
   - Invites (and will respond to) reactions before taking final decisions, or
   - Invites participants to convene once more to develop further proposals

2. **Prioritise 4-5 SW** (each):
   - Cluster related strengths, and cluster related weaknesses
   - Prioritise the most important ones (e.g. by debate followed by anonymous voting)

3. **Make the matrix**
   - The selected strengths and weaknesses in order priority (votes) vertically
   - Pre-selected strategic options also in order of priority (votes) horizontally

4. **Match options with S&W's** = Judge _feasibility_ in SOR matrix. A match means:
   - This strength helps realising the strategic option
   - This weakness hinders realising the strategic option
   Matching is the essential step in strategy development, and methods must encourage that participants grasp the ranking of the many matches. To enhance such overview:
   - Give each participant an A-4 or A-3 size version of the matrix
   - Participants cross out (shade) boxes that are definitely not applicable (no match)
   - Give votes (e.g. stickers) to the participants. As number of votes give approximately 2/3 * # of boxes (S+W*SO*2/3)

© MDF copyright 2004

www.mdf.nl

- Participants tentatively distribute votes (maximum 3 per box)
- Allow some 'campaigning' time for participants to try convince each other
- Check whether everybody has understood the voting by letting some participants explain their votes. If may participants misunderstood, allow re-voting
- Participants decide their final votes and copy them unto a common score board

5. **Interpret and select 2-3 strategies**
   - Vertically add voted strengths and subtract votes for weaknesses
   - The vertical totals indicate relative ease (and therefore chance) to succeed
   - Generally choose the most reachable options (quick wins), but also consider:
     - Synergy and chronology between options
     - Impact and risk of options
     - Ease of capitalising on strengths and removing weaknesses
     - You may tentatively plan to take up a fourth strategy a year later

5. **Management reaction** (or after step 6, if this is done in on ongoing workshop)

6. **Operationalise strategies**
   - *Optional: Make a risk assessment and plan (see e.g. ' Interest chart')*
   - Describe the steps to realising the options
   - Use the relevant strengths and render weaknesses inoperative or harmless
   - Further use the tool 'SOR LogFrame'

7. **Follow-up**
   - Assign time-bound tasks to responsible persons:
     - Further investigation (e.g. interest chart)
     - More detailed operational planning
     - Implementation, monitoring and supervision
   - Agree on reporting to and further involvement of others

7.1.2 Strategic Orientation (SOR) with OT

What is it?

Strategic ORientation (SOR) is a method to prioritise ID/OS strategies. This version of SOR directly matches internal Strength and Weaknesses with External Opportunities and Threats (OT), rather than with Stratetgic OPtions (SOP) that respond to those OT. The SOR matrix helps to identify which strategic options best match the internal strengths and weaknesses of an organisation or consortium of actors (e.g. in a sector programme). If done in a participatory manner involving relevant stakeholders, strategic orientation builds consensus about the priority strategies.

Relation SOP-SOR-LF

Strategic orientation often makes choices in what exactly to *deliver to the target groups* (operational interventions), and at the same time on *capacity support measures* (ID/OS interventions). The great strength of strategic orientation is that it clearly links diagnosis and assessment to strategic decisions and action planning, while the connection between analysis and planning is often implicit and inimitable.

Particularities of this tool

This tool, SOR with OT (Opportunities and Threats), is the same as the forgoing tool of SOR with SOP (Strategic OPtions). For more details on the purpose, benefits, use and limitations, see the previous tool. The only difference between the two lies in whether or not Strategic Options (SOP) are formulated prior to matching the internal analysis with the findings of the context. In SOR with SOP such options are formulated, whereas in SOP with OT this step is omitted. As a consequence strategies derived from SOR with OT focus on the key Opportunities and Threats, whereas this need not be the case with SOR with SOP. The best respons to the environment does not necessarily address the Opportunity or Threat that an organisation can influence most. Therefore SOR with SOP is in principal preferrable over SOR directly with OT. Yet the big advantage of SOR with SOP, is that the difficult (and often untransparent) step of deriving SOP from OT is ommitted. This makes SOR with OT less prone to one-sided manipulation or domination by a few dominant or conceptually quick participants, which easily leads to desorientation and demotivation of others.

Example SOR (with OT): NGO Asiastan

Problem owner

Brotherhood, NGO in Asiastan, which is a country in turbulence. The mission of Brotherhood is to improve the health status of Asiastanis, especially women and children

Problem

The donor consortium funding Brotherhood considers growth and development of Brotherhood as desirable, but as currently not well directed. In response Brotherhood has agreed to run an externally facilitated PODia workshop.

Basic question

How can Brotherhood purposefully and meaningfully continue to contribute to development in the changing context of Afghanistan, and how can we measure this?

Future vision and strategy
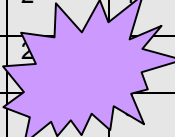
The workshop started with building a vision on what Brotherhood should be doing 25 years from now. Many old and new areas of intervention were determined, in the fields of education and capacity building, health, policy development and national participation, emergency response, and agriculture income generation

SWOT

Based on this vision and BQ, the following SWOT were identified (*in italics: Used in SOR*)

Strengths	Votes	Weaknesses	Votes
Transparency and honesty	25	Communication head-office vs. field	15
Good leadership and management	21	Gender sensitive policies (a/o. day-care)	14
Good working environment	20	Buildings for clinics and staff houses	12
Quality and quantity (coverage) of services	13	Staff remuneration	12
Co-ordination involvement	10	No consultation with regional mgmt.	11
Educational training services	10	No performance appraisal	11
Adaptability to changing contexts	10	No facilities in some remote areas	11
Qualified staff	8	Inadequately qualified staff in regions	10
Committed staff	8	No training of key staff out of the country	8
Sense of ownership	8	Technical department difficult to reach	7
Good rules and regulations	6	No emergency department	6
Staff remuneration	6	**Threats**	**Votes**
Sufficient budget	5	Poor co-ordination/ unclear policies	24
Objectivity (mgmt. by objectives)	4	Poor infrastructure (roads, transport)	16
Influence on national policy making	4	Poverty	15
Surveys	1	High staff turn-over/ high incentives	14
Opportunities	**Votes**	Lack of qualified staff in Afghanistan	13
Donor interest and potential resources	21	Low level of participation of community	10
Good policy changes of the government	18	Unreliable donor funding	10
Improved security	18	Lack of unified curriculum guidelines	9
Increased community participation	17	Poorly functioning training institutions	9
Co-operation between Govt. and NGO's	16	Poor other health related services	8
Increased education and training possibilities	13	Natural disasters	8
Increased access of females	12	Insufficient resources	7
Decreased impact of drought	7	Unreliable base-line data	6
More returnees (clients for IbnSina services)	3	Influence of powerful people on NGO's	5
Expertise of some repatriates	3	House prices	5
Increased availability of resources and materials	2	Poorly functioning referral system	4
Increased potential and interest in cost-recovery	2	Monetary problems	3

SOR matrix

Strengths	Opportunities — Donor interest and funding possibilities	Good policy changes in government	Improved security	Increased community participation	Co-operation with govt. and NGO's	Threats — Poor coord, policies and planning	Poor infrastructure	High staff turn-over/ incentives	Poverty	Lack of qualified staff	Tot
Honesty/ transparency	51	10	1	15	9	1	0	7	0	0	94
Good leadership and management	40	12	1	10	13	9	0	12	0	3	100
Good working environment	16	4	2	4	1	3	1	14	0	9	54
Service quality and quantity	27	10		14	6	4	0			2	81
Co-ordination involvement	16	7		8	16	10	2			2	63
Educational training involvem.	16	1	1	12	7	2	0	9	0	12	60
Adaptability to changing contexts	13	7	5	5	**372**	**129**	0	0	1	5	43
Weaknesses											
Communication head-office - field	6	4	2	2	**128**	**118**	0	5	0	3	30
Gender sensitive policies	26	10	2	9	0	4	1	5	3	3	63
Building for clinics and staff houses	2	1	1	1	0	0	3	2	1	3	14
Staff remuneration	8	2		2	4	1	0			10	48
No consultation of regional mgmt.	4	2		3	2	1	0			4	17
No performance appraisal	3	4	0	0	0	5	0	10	0	6	28
No facilities in remote areas	7	5	2	4	0	2	0	4	3	5	32
Inadequate staff in some regions	10	1	0	2	1	1	0	2	0	3	20
Totals	245	80	23	91	72	45	7	104	10	70	**747**

Conclusions

- Luckily participants observe mostly opportunities that can be used with strengths (372)
- A fair amount of threats can be dealt with building on strengths (129 = over 1/3rd of the previous quadrant), this quadrant stands for 'The tide is tough, but we can do it'
- The area where weaknesses are currently in the way of grabbing opportunities is equal in size (128). This represents 'Good weather, but we're in a bit of a mess'
- Scores in the disaster quadrant ('It's tough, and gets us in our weak spots') are luckily the smallest

ID/OS Plan (in LogFrame; activities not displayed)

O.O.	Improved health status of Asiastan, especially women and children					
P.P.	Improved capacity of Brotherhood to contribute to the development of Asiastan					
R.	Increased donor assistance	Improved community participation	Increased use of good policy changes of government	Improved co-ordination and policies among stakeholders	Qualified staff attained with and attracted to Brotherhood	Increased education and training for potential staff

Steps in SOR (with OT)

0. **Formulate the (sub-) question** to be answered by Strategic Orientation. This entails a clear delineation of the problem owner, his/her entity (subject), and the overall objective. A clear entity implies demarcation of SW inside (under command/control) and OT outside (not under command, though you may influence it)

0. **Identify the SWOT** from earlier ID/OS tools or an IOM/ISA based brainstorm

0. **Clarify the status**. Top management should explain to the participating stakeholders whether the workshop outcomes are binding are not. A fair deal is that the manager:
   - Adopts all outcomes unless she/he states reservations *immediately after the workshop.* In the latter case she/he
   - Commits to a timeframe to present her/his draft decisions, and
   - Invites (and will respond to) reactions before taking final decisions, or
   - Invites participants to convene once more to develop further proposals

1. **Prioritise four to five OT and four to five SW** (each):
   - Cluster related opportunities, threats, strengths, and weaknesses
   - Prioritise the most important ones. Possible methods:
     - Joint judgement
     - Individual anonymous voting (each participant about 5 votes)
     - Individual personalised voting (each participant votes with a different colour)

2. **Make the matrix**
   - The selected strengths and weaknesses in order priority (votes) vertically
   - The selected opportunities and threats in order of priority (votes) horizontally

3. **Match O&T's with S&W's** = Judge *relevance* in this version of the SOR matrix. A match means:
   - S-O: To what extend can this strength help to better use this opportunity?
   - S-T: To what extend can the organisation use this strength to fight this threat?
   - W-O: To what extend does this weakness hinder making use of this opportunity?
   - W-T: To what extend does this weakness make this threat more threatening?

   Matching is the essential step in strategy development, and methods must encourage that participants grasp the ranking of the many matches. To enhance such overview:
   - Give each participant an A-4 or A-3 size version of the matrix
   - Participants cross out (shade) boxes that are definitely not applicable (no match)
   - Give votes (e.g. stickers) to the participants. As number of votes give approximately 2/3 * # of boxes (S+W*O+T*2/3)
   - Participants tentatively distribute votes (maximum 3 per box)
   - Allow some 'campaigning' time for participants to try convince each other
   - Check whether everybody has understood the voting by letting some participants explain their votes. If may participants misunderstood, allow re-voting
   - Participants decide their final votes and copy them unto a common score board

4. **Interpret and select 2-3 strategies**
   - Vertically add all strengths and weaknesses (do not subtract, as in SOR with SOP. There you assessed feasibility, here only relevance)
   - The vertical totals indicate relative importance
   - Generally choose to strategise on the most important opportunities and threats, but also consider:
     - Select at least one opportunity oriented strategy and
     - Preferably also one threat oriented. Further consider
     - Synergy and chronology between strategies
     - Impact and risk of strategies
     - Ease of capitalising on strengths and removing weaknesses
     - You may tentatively plan to take up a fourth strategy a year later

5. **Management reaction** (or after step 6, if this is done in on ongoing workshop)

6. **Operationalise strategies**
   - *Optional: Make a risk assessment and plan (see e.g. ' Interest chart')*
   - Describe the steps to grab the opportunities and ward of the threats, answering:
     - S-O: How can this strength help to better use the opportunity?
     - S-T: How can this strength help to use this threat?
     - W-O: How can we remove this weakness to use the opportunity?
     - W-T: How can we remove this weakness to lessen this threat?
   - Use the relevant strengths and render weaknesses inoperative or harmless
   - Further use the tool 'SOR LogFrame'

7. **Follow-up**
   - Assign time-bound tasks to responsible persons:
     - Further investigation (e.g. interest chart)
     - More detailed operational planning
     - Implementation, monitoring and supervision
   - Agree on reporting to and further involvement of others

Planning and change
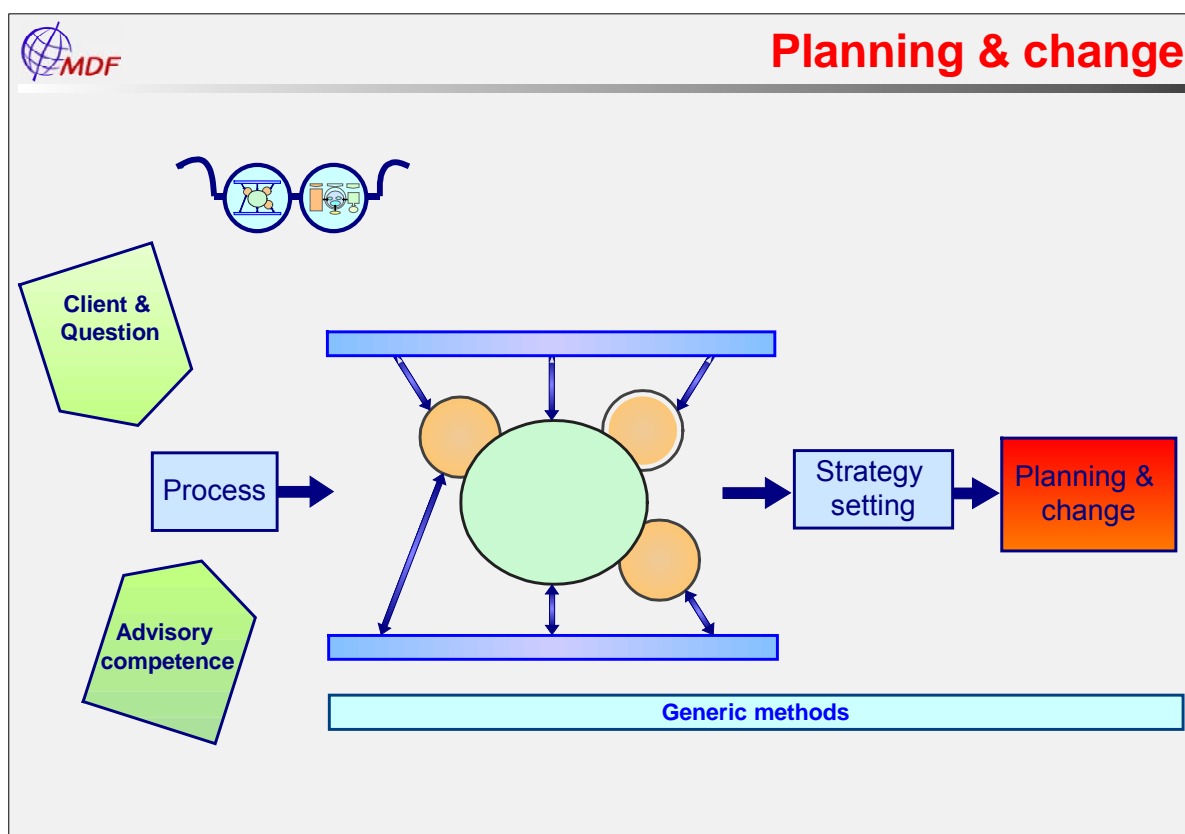
8 Planning and change

This is the last Chapter in the flow from start to end of an ID/OS diagnostic process. It deals with Operational Planning, after well-informed strategic decisions were made, and it deals with Change Management, when decisions are put into practice.

The Section on **Operational Planning** firstly presents the *Logical Framework*, which is most commonly used to plan and monitor Direct Assistance activities that directly serve the target group, but which is also well suited to document ID/OS interventions. In fact the outcomes of SOR can flow directly into the different levels of the planning matrix or LogFrame. After establishing what will be done, the *Participation matrix* determines who does what, and with whose involvement under whose supervision. The *Interest chart* checks (once again: This issue received attention from the start, with tools like the Organisational Learning Cycle) who is affected in which way by the change. Thus it helps to plan actions to use support and overcome resistance. By changing the strategy, and assigning revised tasks, the staff skills requirements may have changed, and the tool on *Training Needs Assessment* therefore analysis the performance gap, and how to address it.

The **Change Management** Section discusses the Organisational Change Cycle to identify the state of mind of the organisation. This is important for the change implementation planning to do the right intervention at the appropriate stage and to notify what might help and hinder on the way.
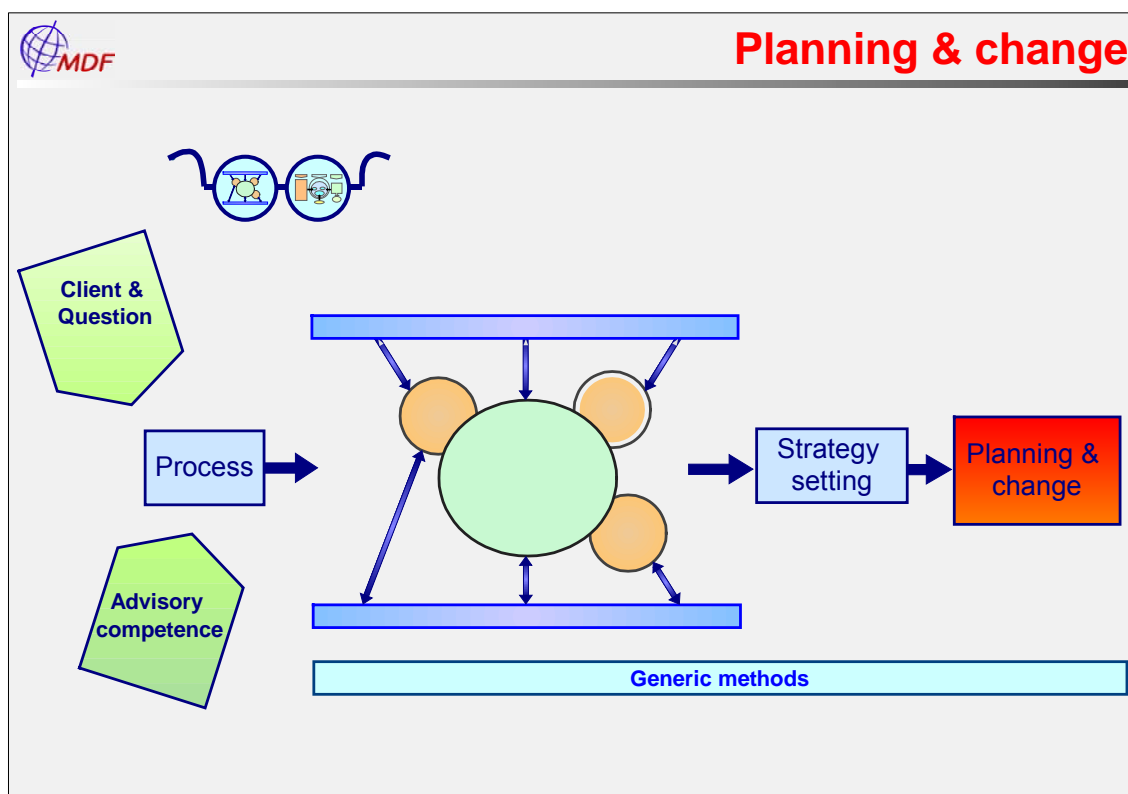
8.1.1 SOR LogFrame

What is it?

This tool describes the steps to develop a concrete and logical plan, based on a SOR matrix. The plan quite naturally fits into a specific planning method: The Logical Framework (or LogFrame).
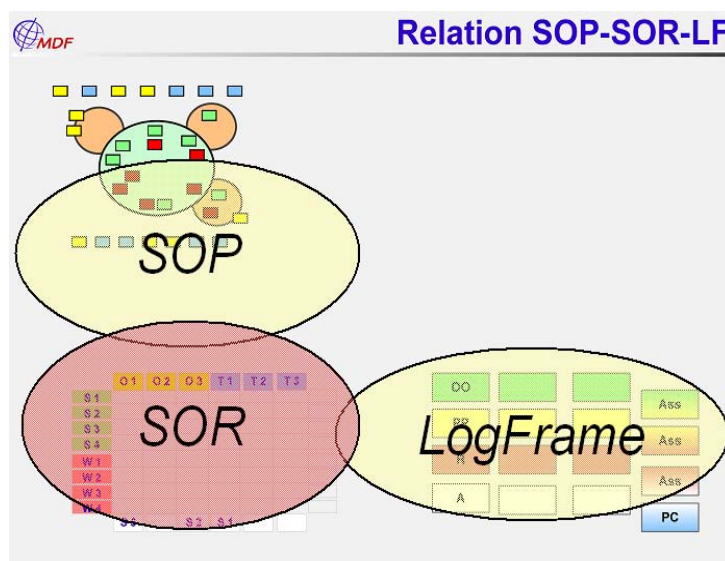
What can you do with it?

Results
• A concrete plan of action to operationalise new strategies and supportive ID/OS interventions   • The basis for time and man-power (task) planning

How to use it?

Process

The (draft) workplan should preferably be made with the same stakeholders who participated in the SOR, so that their commitment and expertise is integrated. It is important to allow enough time and energy to make a good plan. Often SOR is regarded as the height of the ID/OS diagnosis and planning process, and the last step of action planning is regularly rushed, which is detrimental to quality and commitment. It is recommended to leave at least a week between SOR and LogFrame, to internalise the SOR and gather new energy.

Follow up

After deciding what to do, it should be decided who does what and when. To plan who does what make a participation matrix (see under stakeholder analysis), to plan when to do what, you may make a systems flow chart, using principles of the critical path methods.

Requirements and limitations

In strategic planning workshops, analysing the SOR matrix is often the peak of the workshop. The LogFrame may be made in an indicative and rushed manner. Yet this determines and concretises future action, if the exercise is to make a difference. The facilitator should assess whether (or when) people have the time and energy to do operational planning in a creative and thorough way.

Example SOR to LogFrame: ISPA

Case owner

Institutional Strengthening of Private Agriculture (ISPA)

Basic Question

How can ISPA develop into a financially sustainable farmers' organisation while delivering substantial and relevant services to its members?

SOR matrix

Matching of prioritised strengths and weaknesses with strategic options with high effect yielded the below SOR matrix:

Strategic Orientation Matrix Strengths	Strategic options				
	Expand input supply centres	Expand potato sales & milk collection	Establish own milk processing unit	Increase member-ship promotion & activities	Improve contracts + follow up
1. Flexibility to start new (related) activities	++		+		
2. ISPA has good image	+	++	++	+	+
3. ISPA offers quality	+	+++			+
4. Quality related payment (milk, etc.)		+	++	+++	
5. Unique service package	++			++	
	6	6	5	6	2
Weaknesses 1. Scattered locations of centres	+	+	+		
2. Dependency on small number of processors					++
3. High operating costs.	+	+			
4. Weak planning & task division.	+	+	+	+	
5. Limited management capacity	++	+	+++	+	+
Total	**5**	**4**	**5**	**2**	**3**
Difference S-W	**1**	**2**	**0**	**4**	**-1**

+ = using this strength/ removing this weakness has **some** effect on this strategic option
++ = using this strength/ removing this weakness has **substantial** effect on this strategic options
+++ = using this strength/ removing this weakness has **a major effect** on this strategic option

Chosen strategies

Based on the SOR matrix, ISPA has chosen to adopt four strategic options, in the activities paying attention to maintain key strengths and overcome core bottlenecks.

Logical Framework for ISPA

	Intervention Logic		Indicators	Sources of verification	Assumptions
Overall Objective	Improved income agricultural producers		Difference between market price and ISPA price to Agr. Producers		
Project Purpose	To improve support to agricultural producers		Purchases from Agr. Prod.		
Intermediate Results	1. Input supply centres established	2. Potato marketing and milk collection expanded	3. Financial position strengthened	4. Membership of Agricultural Producers strengthened	
Indicators of results	No of centres established No of customers per centre Sales Gross result Net result Return on investment	No of centres established No of customers per centre Sales Gross result Net result Return on investment ROI)	Net result Net result econ. activities Liquidity ROI of economic activities Existence of relations with potential donors.	No of members. No of locations No of members per location Number of services used by members	
Source of verification					
Activities	1.1 To analyse fin. feasibility input supply centres	2.1. Establish new milk collection centres (5)	3.1 Organise the accounting system	4.1. Improve use of payment days for information and extension	
	1.2 To develop logistic system input supply centres	2.2. Identify more reliable partners	3.2 Improve regular financial analysis and planning and improve monitoring.	4.2 Improve information at input supply centres	**Pre-conditions**
	1.3. To develop administer. system input supply	2.3. Improve delivery and transport planning	3.3 Assess reduction of administration costs and review costs/hour	4.3 Improve extension and mobilisation capacity	
		2.4 Improve contracts and follow up on contracts	3.4 Identify and assess new economic activities	4.4 Re-define relations with other extension agencies	
			3.5. Identify financial sources for members services	4.5 Develop relation with cattle breeders organisation	

Steps in developing a LogFrame from a SOR matrix

1. **Define a project purpose**
   - Reformulate the basic question behind the SOR matrix into a project purpose.

2. **Formulate the overall objective(s)**
   - Identify what the project purpose contributes to: Usually this is close to the mission

3. **Define the results**
   - Define a result for each strategy (selected strategic option).
   - Organise the results in a logical sequence
   - Sustaining key strength or overcoming key weaknesses can sometimes be added as a result (if very important, this may even be a pre-condition)

4. **Define the activities**
   - Identify the relevant activities for each strategy. For a part, these activities follow from the strategy (maintaining strengths relevant for the strategy, fighting weaknesses related to the strategy)
   - Ensure creative and comprehensive activity identification: Doing a rushed or not backed up job here undermines all earlier efforts

5. **Develop indicators**
   - Define indicators for the project purpose and the various results.

6. **Identify the assumptions**
   - Identify from your SOR matrix those factors that are not included in your strategy, but that still might affect your results. Are there any important factors not included in your SOR matrix that could influence your plan (e.g. look at the environmental scan, and SWOT elements not taken prioritised into the SOR matrix)?
   - Is it necessary to include activities to address any of these factors in your plan?
   - What will be a pre-condition to your plan (e.g. removal of weaknesses that impede all strategies)?

7. **Check the logic**

8. **Decide who and when** (e.g. with participation matrix and flow chart)
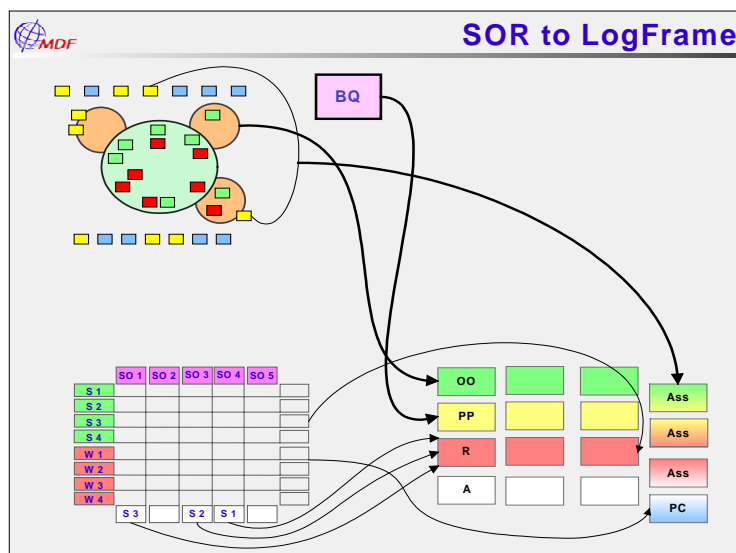
8.1.2   Participation matrix

What is it?

A participation matrix reports whom to involve in which way in a process, such as the ID/OS diagnostic and change implementation process.

What can you do with it?

The matrix can include external and/or internal actors, such as departments and individuals within an organisation (if parties are internally subdivided, 'supervision' can be added as type of involvement).

Results

- Who will do what, particularly in change implementation
- Who will be involved with information, advise or supervision

---

How to use it?

Groundwork

The activities and results have to be decided upon, and the stakeholders should have been identified. This tool then determines and reports the exact task division. A participation matrix may well follow after making a (SOR) LogFrame.

Process

Deciding on who does what in an institutional change process may take one or a few hours in a plenary meeting, but is more often communicated over through emails and telephone calls over a period of a few weeks.

Follow up

As probably indicated in the matrix, one or more actors will steer the whole process and check whether everybody does his or her part satisfactorily. If not agreed beforehand, the activities need to be planned in time.

Requirements and limitations

It is a common sense matrix, which leaves the assessment and decision of who can best do what to the users of the matrix.

Example participation matrix Central Statistical Office

Problem owner
Central Statistical Office

Basic question
How should the organisation introduce a computerised Management Information System?

Sub-question
Who should be involved in which topic and in what manner?

Conclusions/Plans

Activity	Chairman	Technical officer	Deputy (data collection)	Director (production)	Director (population)	Director (project)	Deputy (data processing)	Director (research)	Director (economy)	Director (training)	Director (computers)	Director (documentation)	Director (programme)	Director (finance)
1. Sufficient resources obtained		P												
1.1 Overall development plan presented	I					P								
1.1.1 Preparation of project proposal			R			R	D				P		P	
1.1.2 Discuss the proposal with other ministries			R			P					P		P	
1.1.3 Discuss the proposal with donors			P										P	
1.1.4 Co-ordinate with the Min. of Planning to have the final proposal			P		P	P								
1.2 Efficient co-ordination mechanism operational	I													
1.2.1 Put and execute co-ordination plan (meetings, etc.)			P				R				P			P
1.2.2 Appoint a co-ordinator			P				R				P			
1.2.3 Determine the job description			P			D	R				P		P	
1.2.4 Train the staff to achieve their duties			P		R	R	R				P		P	
2. Data collection improved.														
2.1 Recurrent data collection improved	I		D											
2.1.1 Statistical data are directly disseminated to the users that are concerned.			P											P
2.2 Data collection for surveys, census, etc. is improved.	I				P		P							
2.2.1 Training for data collectors			R	P					P	P				
2.2.2 Improving the financial incentive system			P										P	R
3. Data input from data providers improved	I		R											
3.1 Train & qualify skills of Stat. Units in statistics and computers			P			I					R			
3.2 Improve the quality of skills in CSO branches			R			R								
3.3 Clarify questionnaires, definitions and instructions			R			D								
3.4 Involve Stat. Units in field work			R											
3.5 Evaluate data from providers			R		P									
3.6 Seminar for data users.			P			I					R			P
Overall supervision	D	I	I	I										

Steps in making a participation matrix

0. **Verify** the ground:
    •   Activities and results, preferably time-bound
    •   Stakeholders who may play a role

1. **Draw the matrix** for the (diagnosis, change- or project implementation) process
    •   Columns for each stakeholder
    •   Rows for each activity of the process
    •   Also rows for overall supervision of components (results, purpose and overall objectives)

2. **Determine the tasks** and roles. Fill in the boxes:
    I   = Inform (gets informed)
    A   = Consult (gives advise)
    P   = Partnership (gives approval)
    D   = Control (takes decision)
    [R   = Supervision (is responsible over the delegated authority that decides. This is relevant if internal divisions of an organisation are in this matrix]

3. **Check the participation**
    •   Smooth away overlap or gaps
    •   Smooth away possible contradictions with existing task and power distribution

8.1.3 Interest chart

What is it?

The interest chart helps to identify and assess the effects of the change process on the interests of the different stakeholders. It provides a basis for the management to take decisions on how to manage those forces and interests. It is mostly used during the planning process, but can be used before other analyses take place.

What can you do with it?

Results

- Who is gaining from the change process and who is loosing?
- What should and can be done to address the interests of the participants who loose?
- How can I cushion or force (e.g. by mobilising the supporters) the change implementation?

How to use it?

Process

An interest chart can be made on an individual basis (by a consultant or manager), or in a group (not more than 20 people) on a participatory basis. It takes around one hour.

Groundwork

Assessing reactions implies that the desired change has been decided.

Follow up

Apart from the interest chart the learning cycle may be applied to look at the attitude of people in relation to the problem at hand, and the 'Resistance to change' tool.

Requirements and limitations

It is subject to individual interpretation. It indicates the type of reason/interest, but does not exactly specify the interest. It does not address emotional or process types of resistance (e.g. feelings, objections against the *process* or against *persons* supporting the change process. To raise such issues consult the 'Resistance to change' tool).

Practical references

MDF-instrument; part of ID/OS and ODAC training programme
Syllabus "Strategies for Organisational Change", more case-examples available at MDF

Example interest chart: MIS introduction

Change process

Introduction of a Management Information System

Level	Change function	Actor	Financial		Non-Financial		Power/ Influence	
			-	+	-	+	-	+
High	Change Concept	**Board**				==>		===>
		Project director				==>		==>
Me-dium	Change Organisation	**Department heads**	<==	==>	<==	==>	<=	==>
Low	Change Implementation	**Staff**	<=		<===		<=	
		Target group				===>		==>

Financial:	**Non-financial**	**Power/Influence**
Money	**recognition**	**hierarchical position**
Material	**honour/loss of face**	**status**
Equipment	**more/less work**	**position in network**
	more/less interesting work	**access to information**

Conclusions

- At top-management level the system appears to be favourable;
- For head of department level the introduction of the system is not seen without disadvantages;
- At staff level the introduction is seen to be very negative (more work, less possibilities to use project equipment (vehicles) for own purposes, etc.;
- The target group expects that their needs will be better addressed;
- If the introduction of the system is to succeed it has to be designed in such way that it will be more beneficial to staff.

Steps in making an interest chart

0. **Formulate the purpose** for which you want to make an interest chart. Aims for which an interest chart suits are:
    *   To assess who looses and gains, and in which respect
    *   To plan how to manage these interest

1. **Identify the basic issue** (planned change). Focus on concrete change actions of which the consequences will be felt by the stakeholders

2. **Identify the key actors** and define their levels of involvement in terms of policy making with respect to the issue, organisation and implementation. A key actor is an individual and not a representative of a functional group.

3. **Identify the consequences** of the change for each actor in three aspects:
    *   Financial consequences (money, material, equipment, labour conditions)
    *   Non-financial (recognition, workload, interesting work)
    *   Status (hierarchical position, power, position in network, access to information)

4. **Assess the strength/depth** of the perceived consequence

5. **Plan your management strategy**
    *   Analyse where the major resistance will be
    *   Analyse where the major support will be
    *   Brainstorm how you could cushion or confront the major negative consequences
    *   Decide on your course of action

8.1.4   Training Needs Assessment (TNA)

What is it?

Training Needs Assessment determines the purpose and learning objectives of tailor-made training in organisations. It forms the basis of focussed design and evaluation of training sessions. The diagram shows the steps that lead to finding training needs, which goes parallel to the analysis of the organisation like of the structures and systems (see chapter 6).
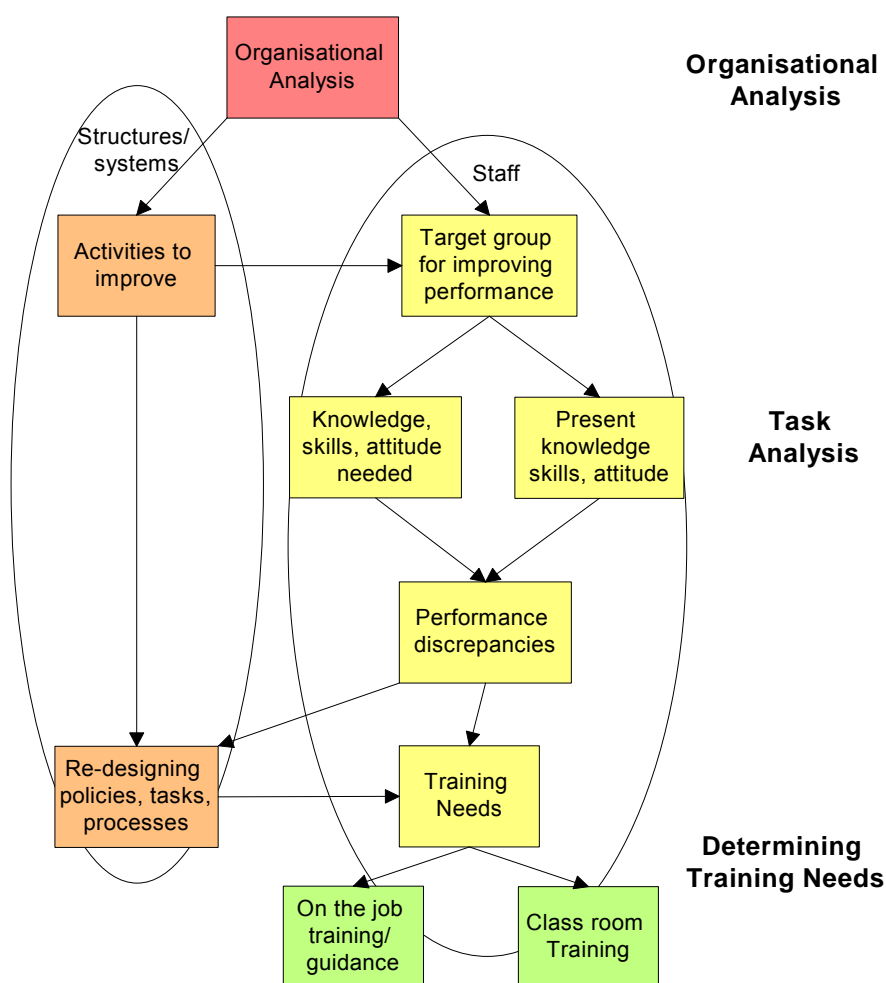
What can you do with it?

Basic (sub-) questions
• Where are capacity gaps and how can they be bridged?
• What should the organisation do to make optimal use of increased capacities (rather than that trained persons return to 'business as usual')

> **Results**
>
> - Which capacity gaps will we address through training, and which ones through coaching, or on-the job learning?
> - What is the organisational purpose of training?
> - How should the training session(s) be designed and evaluated?

How to use it?

Groundwork

As shown in the illustration Training Needs Assessment builds on organisation analysis (whether it is strategic orientation or another exercise leading to a clear profile of what should be done). In the context of this toolkit we can assume that the (prospective) trainer only needs to be fully informed of the analysis that has already taken place. In other cases the first crucial task of a trainer is to get the problem that is to be solved through training sharp. TNA also requires clear decisions on who will take up which tasks (as may be expressed in a participation matrix – see stakeholder analysis) and the capability of the staff members.

Process

It is important that those preparing the training have a complete and shared understanding of the training purpose and objectives. They should understand the organisations plans and requirements, vis-à-vis the current capacity of staff. Managers and the designers of tailor-made training also need to reach clarity on how trained personnel will use their new competencies. Good training design therefore implies that the trainers are informed of (if not consulted in) strategic management.

Follow up

The organisational follow up consists of providing the conditions to trainees to apply their newly gained competencies, and to monitor them. The follow up by the trainers can consist of study of the participant's evaluation and a presentation of his/her manager where concrete action plans are agreed. Both manager and trainer may contact the participants after the training for impact assessment.

Requirements and limitations

This tool discusses the identification of training needs, in support of organisational objectives. The same principles apply to tailoring training or coaching to serve personal development plans.

The tool limits itself to the identification of training needs, and does not discuss the design, implementation, monitoring, evaluation and follow up on training modules and courses.

> **Practical references**
>
> - Peterson, Robyn, Training Needs Assessment, 2nd ed., Kogan Page practical trainer series, Kogan Page Limited, London, 1998

Example TNA after SOR

The below poster shows how Training Needs can be identified in an organisation that has gone through a strategic orientation exercise.
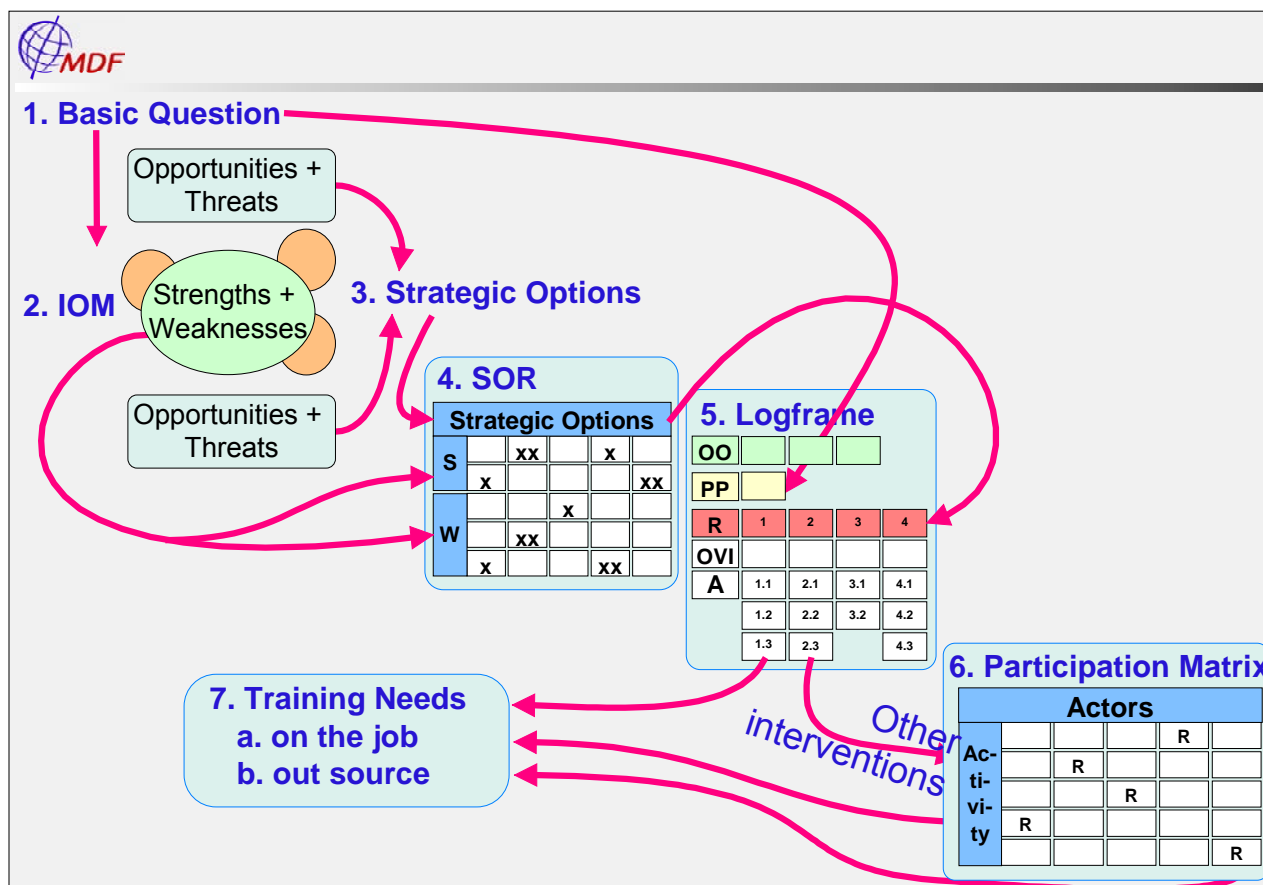
Strategic orientation is followed by distribution of tasks. Comparing the (future) tasks and (current) capacities leads to the identification of the capacity gap. This gap can be filled by development activities, of which training is one. The training design should consequently refer back to the capacity requirement and gap. The danger is that the trainer forgets this background and develops modules that are too general to hit bulls-eye. Another danger is that the trainer is guided by his/her own biases (e.g. an HRM trainer only diagnosing HRM bottlenecks). Finally the organisation should ensure that trained persons are really charged and supported to apply their (new) skills. Too often trained persons are restrained (in time, support, and monitoring) in putting new competencies into action. After training the trainee should meet with his/her superior, present what he/she learned, and agree on a concrete action plan: Research has proven that this is crucial to training impact.

Steps in Training Needs Assessment

Organisation Analysis

1. **Analyse the clients** behind the training request (see also the tool on client system):
   - Who initiated
   - Who supports (finances, sanctions, monitors, wishes to attend)
   - Who does not support

2. **Determine the major problems**:
   - Discrepancies between mission and strategy versus input and output
   - Relate problems to systems, structures, staff, management and culture

3. **Determine the basic parts** (see Mintzberg matrix) to improve. Are they in the:
   - Primary process ('operating core')
   - Support
   - Development ('techno-structure')
   - Co-ordination and middle management
   - Strategic competencies

4. **Agree on the target group** for improving performance:
   - Level: higher management, middle management, staff
   - Which departments
   - Which type of functions/disciplines

Task analysis: Identify performance discrepancies

1. **Determine task elements**:
   - What is the required task of the target group for training
   - What are the task elements (operational, managerial)

2. **Define the required level of performance** (in view of the organisation strategy)

3. **Determine present level of performance**

4. **Determine the performance discrepancies**

Determine Training Needs

1. **Determine and address non-competency gaps** that have
   - External (institutional) causes and
   - Internal (organisational) causes. For example ineffective or unclear strategies, tasks, processes, styles and culture (see staff conditions algorithm)

2. **Determine the competency gaps** (in knowledge, skills, attitude and values)
   - What knowledge, skills and attitudes are related to the performance discrepancies (the task elements to improve)
   - What are the relevant and significant differences with present level

3. **Decide how to bridge the gaps**:

Through non-training	**Through Training**
• Policy/strategy re-design	• On-the-job training/advise/supervision
• Task re-design	• Coaching/peer review/meetings
• Process re-design	• Formal (Class room) training

8.2.1   Organisational Change Process

What is it?

The organisational change cycle indicates the phases that organisations 'naturally' go through during change processes. This diagram visualises the organisational change process and distinguishes four subsequent phases. From the **motivation for change** where the awareness for change becomes apparent and willingness for change needs to be created. This is the basis for the organisation of the **transition**, which results in commitment to change. **Implementation of change** can only start when the organisation is able and has the capability for the change. The process is completed when **change is consolidated**.
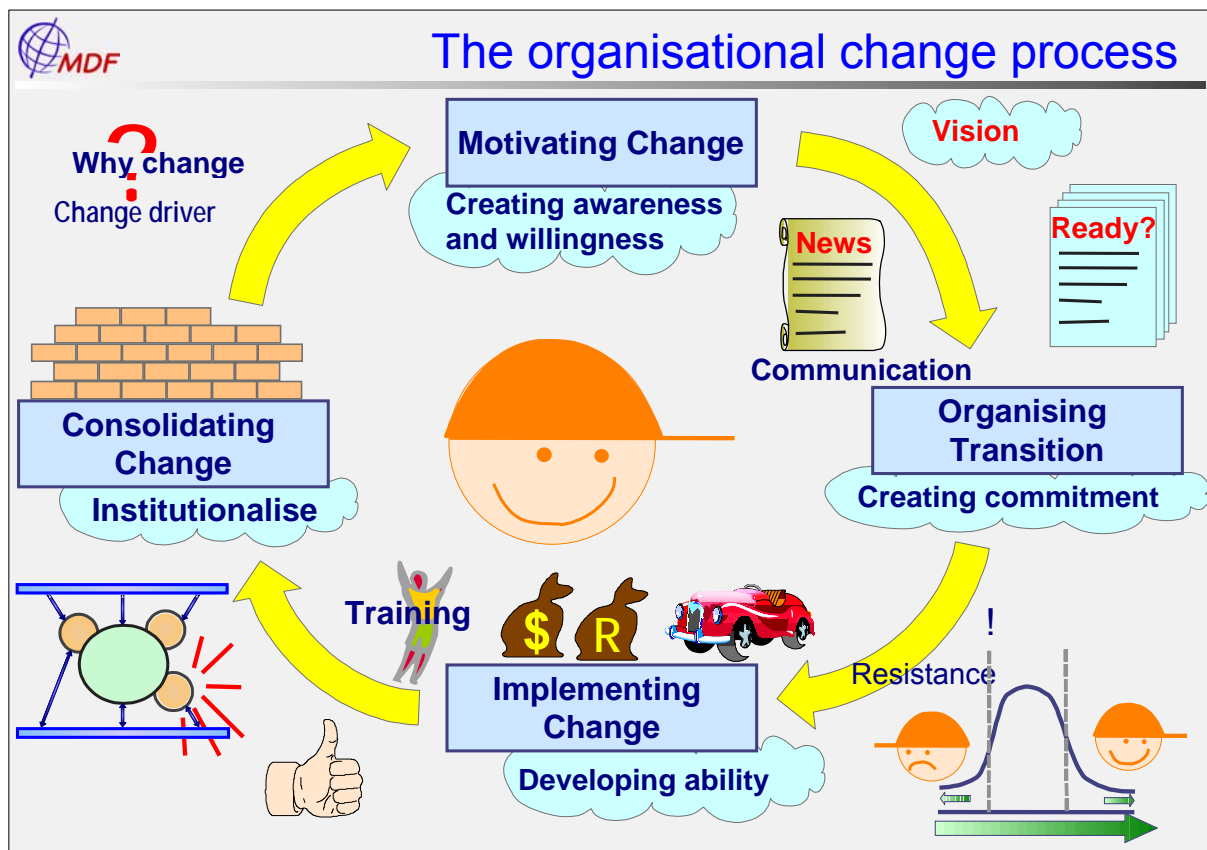
What can you do with it?

Change agents can use the change cycle to guide the process of change in an organisation and to realise the involvement and participation of all stakeholders.

© MDF copyright 2004

www.mdf.nl

Sub-question

This tool is particularly useful to involve and commit all stakeholders in the change process. Some stakeholders may participate from the beginning, where others show resistance further in the process. It shows that before the actual implementation of the change, communication, information and commitment is necessary to make the change a success.

Results

An optimal number of stakeholders is involved in the process towards implementation of the change, which makes the consolidation of the change more likely.

How to use it?

Process

Start with the first phase by informing all stakeholders about the intended change. Usually you have your change policy, logical framework or other document ready. Assess the readiness for change. When you are sure you informed everybody well enough, you can go to the second phase. Assess the resistance to change and address this resistance appropriately. Implement the change and consolidate it by monitoring and coaching. Present the tool (sheet or poster). Indicate where different discussions are located in the change process. Bring all participants to the same phase, e.g. often the first phase where some of the participants are still discussing.

Groundwork

All participants in a change process may look at this process differently, nevertheless, need to have a basic understanding of what the change entails and what is at stake. Mostly change follows diagnosis and analysis.

Follow up

Finding agreement on the change process and where one finds itself in this process is required prior to actually implementing and consolidating the change envisaged.

Requirements and limitations

A precondition is that the preparation (diagnosis and analysis) has been done well. It is not a tool to analyse the need for change, but more a tool to get all noses in the same direction, identify bottlenecks and agree on a change process together.

References
- The change cycle is derived from the Adult Learning Cycle of Kolb and Organisational Learning by a.o. Argyris and Schön
- Michael Beer; Nitin Nohria (2000), Breaking the Code of Change; Harvard Business School
- Rosabeth Moss Kanter (1983), The change masters - Corporate entrepreneurs at work; Routledge
- John P. Kotter, Dan S. Cohen (2002), Heart of Change: Real Life Stories of how People Change Their Organisations; Harvard Business School Press
- John P. Kotter (1996), Leading Change; Harvard Business School Press
- MDF Syllabus 'Managing Change Processes'
- MDF Syllabus 'Resistance to Change

Example Organisational Change Cycle

A bilaterally funded program wants to become a local independent organisation. Both the embassy, who thus far administered the program as well as the program-organisation wishing to become independent, do feel that this is the best way forward. However, partner organisations in the program, receiving donors' fund from this program are less convinced. Using the organisational change process tool participants discovered that some were already discussing required budgets, institutional form and functioning of the new entity, while others were yet thinking about the need to change and why this would be needed. Some discussed at the phase of creating willingness, while others discussed implementation. Having pointed this out, using the tool, all participants in the change process started again from "Motivating Change". This proved to be an effective tool to focus the discussion and take the necessary decisions before any change could have been successfully implemented.

Steps in the Organisational Change Cycle

0.   **Summarise** the various arguments heard in favour or opposing a certain change process. Write these on cards.

1.   **Present the tool** and explain the four different stages.

2.   **Place the different cards**, while agreeing together, on the tool (poster)

3.   Show the **different stages** at which different participants discuss and argue their point.

4.   Start bringing all **participants back to the earliest stage** on which all agree and build consensus from there.

5.   **Analyse resistance**, honour the past and use other tools to build consensus on the change required. And only than implement and consolidate the change. Take ample time for step one and two but implement the change quick and swift.

Generic methods
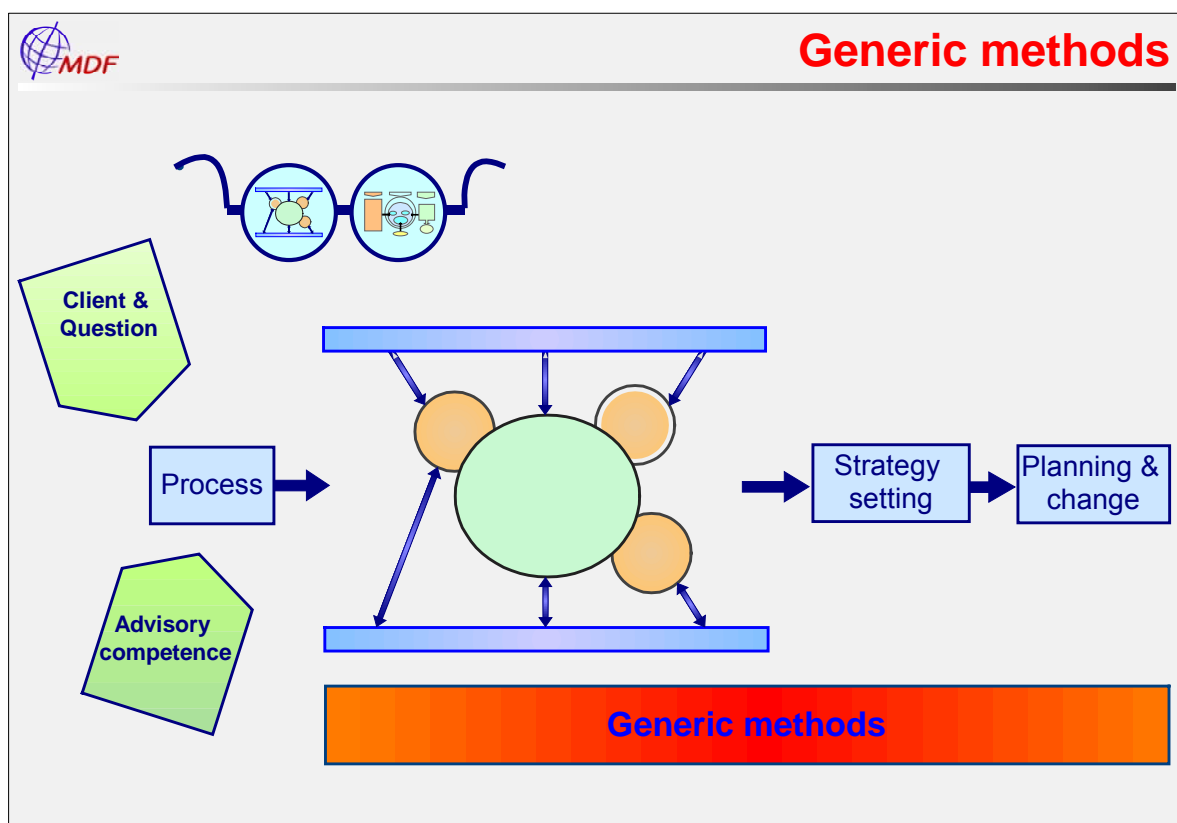
9   Generic methods

The Chapter Generic methods lists several methods to diagnose organisations, that cannot be listed under any single Section of the previous Chapters, because they cover a number of diagnostic steps and IOM elements all at once. Most of these methods are only indicated, as extensive literature is available on them. MDF has broad experience with (PODia and OOPP), and they are worked out in more detail.

We will categorise many approaches to ID/OS analysis (or related to ID/OS analysis) into five groupings, list a few methods under each grouping and share some facts and impressions or preliminary assessment on their use, strengths and weaknesses.

1.   Participatory Rural Development

This heading refers to a group of time proven and widely used tools in development co-operation, to analyse particularly the situation of rural farming communities. These include Rapid Rural Appraisal (*RRA*) and Participatory Rural Appraisal (*PRA*), both having their chief knowledge centre at the Institute of Development Studies (IDS), Sussex, United Kingdom with Robert Chambers as a leading author. RRA and particularly PRA are intensive, systematic learning experiences, carried out by communities and multi-disciplinary team at grass root level situation. A basic limitation is that it demands plenty of time.

A newer development is Rapid Appraisal of Agriculture Knowledge Systems (*RAAKS*), which expands its attention and tools to institutional and organisational aspects. RAAKS identifies how the networks between social actors function and where there are bottlenecks. The toolbox that launched RAAKS, developed by the Wageningen University and Research Centre (WUR) and the Royal Tropical Institute (KIT) both based in the Netherlands, contains many windows (to better understand the situation) and tools (each window has a number of tools). Some of these tools are very similar to several of the ID/OS analysis tools presented in this toolkit.

2.   Problem analysis

Objective Oriented Project Planning (*OOPP*) has steadily gained popularity for project and programme design and management in the development sector ever since the German organisation GTZ developed and adopted this method. The Logical Framework matrix in which the final plans can be presented has been promoted and required by many donors, including the European Union. But it is much more than a format to present plans, as it links a problem analysis (building a problem tree), to a selection of strategies, and only then elaborates a plan that includes several levels of objectives with monitoring indicators, assumptions, a time-planning and a transparent activity-based budget. It is both a planning and communication tool, although literacy among those who work with it is a clear advantage. This method is discussed in detail in chapter 9.2.1.

3. **Organisation Development** and Strategic Planning

Participatory Organisation Diagnosis (**PODia**) is a workshop methodology that follows the Strategy development flow presented in this manual. After establishing the Basic Question of the client(s), it identifies SWOT, strategic options and selects strategies through SOR, followed by operational planning. The 'traditional' PODia workshop covers this entire process in three days, but MDF also has positive experiences with splitting the process in two or three parts, with a few weeks or months in between, reducing the risk of rushing the planning stage. The SOR and PODia have been developed by MDF, but interestingly enough Mr. Morato in the Philippines has independently but in the mean time come to a similar approach of linking SWOT to planning. PODia is discussed in detail in chapter 9.1.1.

A recent approach developed in the USA is known as **Appreciative Enquiry**. Whereas a SWOT approach analysis both positive and negative aspects about organisations, in appreciative enquiry focuses purely on what an organisation is good at and what makes its employees enthusiastic and committed. It does so in view of the simple observation that negative insights hardly lead to inspiration and commitment, whereas positive ideals and enthusiasm do. At MDF we start to use this method with enthusiasm because of its emerging potential. It appears less suitable to resolve tense situations by itself, but may well be used to begin restore fragile relations that would deteriorate if problems were put first.

4. **Large-Scale Interventions**

There are at least ten methods that are referred to as Large Scale Interventions, as these approaches are capable of simultaneously engaging groups of over fifty persons in a meaningful and active way. This is a highly interesting and relevant claim, as 'traditional' participatory methods usually can cope with no more than twenty to twenty-five stakeholders. Below we will share our first impressions on two of them, which have been applied to business, public and civil society situations world-wide.

Open Space Technology (**OST**), on which the American Harrison Owen is a key authority, is developed in response to the observation that at conferences the most animated discussions take place during coffee breaks. Thus Open Space attempts to create 'one big coffee break', where participants at each moment discuss what interests them most, simply for as long as the subject and their debate partners fascinate them. The theme of the OST needs to deal with a key problem of the organisation or the sector. Based on the common theme of the workshop a wide representation of stakeholders is invited, who propose the agenda subjects at the start of the meeting (provided that these subjects relate to the overall theme). Practically this means that an Open Space workshop that normally lasts one or two days. The agenda is established as an ordering (and possibly clustering) of these topic, and each participant can at all times decide whether (and if so in which) of the then running parallel sessions he or she wants to participate. The participants in the discussion groups are the owners of the results. Conclusions lead to a plan of action dealing with the problem supported by all representes stakeholders.

Future Search, developed by Marvin Weisbord, refers to a two or three day workshop to create an action plan for an organisation or group of organisations. As in OST the selection of a broad representation of stakeholders is a key to success, because the consultant merely facilitates the exchange between the participants. Whereas the agenda (and the rotation of participants over these groups) in OST is set by the participants,

Future Search works with a standard agenda, and alternates the work between disciplinary team meetings, individual reflection, mixed team meetings and plenary sessions. The agenda issues relate to defining the:

- Past – What brought us here
- Present – Where are we now
- Present – What do we do
- Future – Where do we want to go (common ground)
- Realising the future – Come to concrete action plan for the first steps

To our impression both OST and Future Search are very effective methodologies to arouse enthusiasm and commitment, and to get a rich collection of relevant facts on the table. In other words: They are good at diverging, provoking data and views. Yet they do less to converge: Analysing this rich compilation and processing data into informed choices. What can well be done by the methods is to find common ground: Proposals for action that some stakeholders are passionate about, and others are not against. For many purposes this is as much as is needed. However, when a concerted strategy is aimed for, OST and Future Search alone may not suffice.

5. Team Development

Under this heading we mention a few (recent) methods that we regard as promising, but that are not closely related to each other in terms of the persons that developed and practice them (as was the case under the previous methods).

Team syntegrity is a workshop methodology for teams of around thirty persons. In terms of logistics (rather than principles) it is an ingenious timetable, which mixes the participants into groups of always changing composition. Like in OST the agenda issues (preferably grouped into twelve topics, of which always two sessions run parallel) are established by the participants. Yet the group composition is not based on own choice (as in OST), or function (as in Future Search), but on optimised rotation. Meetings take place in discussion groups of five persons discussing content; five coaches whom intermittently comment on the process; and five silent observers. As the term 'team' suggests, the rotation schedule leads to intensive interactions between all individuals, preventing or overcoming the formation of opposing clubs or sub-groups.

The recent Team Confrontation Method (**TKM**, the Dutch acronym) attempts to help teams grow stronger by integrating 'deviating voices' as a welcome strength. Often teams develop common norms and standards on how they work, that conceal differences and depreciate critical views on the functioning of the team. Through a series of meetings over a period of a few months, teams learn to recognise and appreciate contributions that go outside of the unconscious but limiting expectations of the team culture.

Last but not least we like to mention the work started by Bert Hellinger, known as **Organisation constellations** or *Systemic work*. This approach mostly works with *individuals* who wish to review their perception of (and find solutions to) a problematic professional situation. This approach is the opposite of the large-scale interventions in the sense that fractions that experience tensions amongst each other are helped *separately* to find and develop openings. A further difference is that it is not assumed that the stakeholders jointly see through their own blind spots and find the best solutions, if facilitated well. The facilitator in systemic constellations also tests the response of the client to changes the client himself would not have proposed.

In organisation constellations the way to help the problem owner review his case, is that the key players and issues are represented in a room by outsiders or objects. In other words: The problem owner places the players in a special pattern, e.g. the boss close in his back, his client out of sight to the right, and the staff near to him, but looking towards his boss. The facilitator of the session, or the representatives, propose changes (in position or by making statements) in this constellation and check whether this improves the situation for the representatives and the case owner.

From this sketchy description it may shine through that organisation constellations work at an intuitive level, beyond intellectual understanding alone. And that is both the strength and drawback of this method. Potentially it leads to insights that are more intimately founded in experiential reality than mere smart thinking. But if done unprofessionally, systemic work also has the chance of misleading people in an extra unsettling manner. Moreover, one should clearly check whether the client wants (and the question requires) to work on this level. At MDF we provisionally conclude that organisation constellations require an extended advisory process (not a one-off consultancy) and a feeling of safety and trust between client and consultant (apart from a thorough professional training on the side of the adviser).
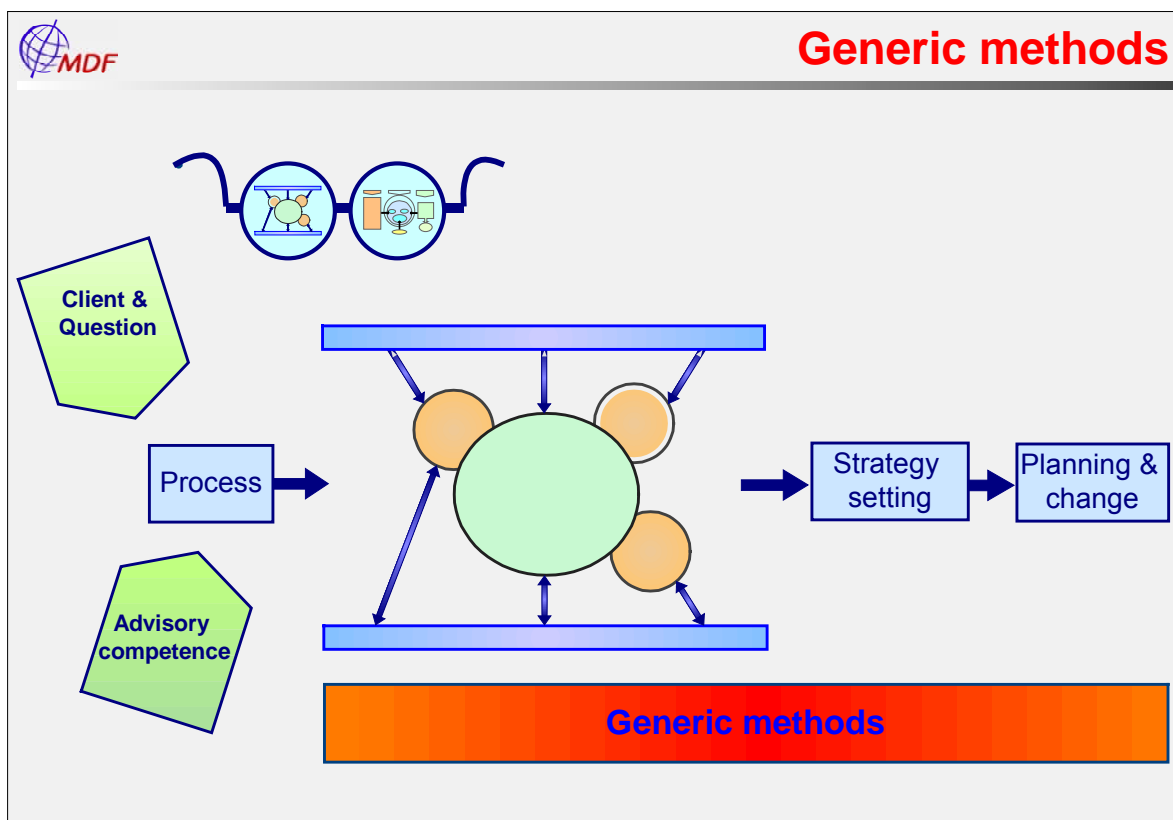
9.1.1　Participatory Organisation Diagnosis (PODia)

What is it?

In the organisational development life cycle, every organisation will come to a point that it is in need of a strategic re-orientation. Various symptoms can be acknowledged in this stage:

- The management of the organisation feels some of their services are not adequately geared towards their target group;
- Human resource policies seem to be ineffective resulting sometimes in high staff turn over;
- The context of the organisation is changing rapidly: new technologies come in, similar organisations (competitors) come up at high speed;
- Actors outside and within the organisation are oblivious of the main purpose or strategy of the organisation;

Likewise many more symptoms exists that indicate that a refocusing of the organisation's strategy is needed.

The PODia workshop enables the management of an organisation to use the experiences, knowledge and skills of a selected number of their staff to assist them in refocusing their organisational development strategy.

What can you do with it?

Basic (sub-) questions

- How can we improve our client satisfaction with respect to the use of our products
- How can we successfully forge alliances to be able to serve our beneficiaries better
- How can we expand our resource pool in order to address a large variety of needs with our clients

Results

- A broadly accepted number of strategic ideas that will help the management to find the route to the answer of the Basic Question
- Commitment throughout the organisation with finding the right answers to the Basic Question
- An organisation wide understanding of the strategic dilemmas underlying the Basic Question

---

How to use it?

Process

This three-day workshop involves **key staff of one particular organisation** or project with the possibility of including some collaborating stakeholders. The maximum number is 10 to 40. Participants of the workshop will do an in-depth analysis of their own organisation and determine the actual position they have in their institutional setting. After this analysis participants will diagnose the causes for successes and failures at present and subsequently formulate strategies for organisational improvements.

Groundwork

Prior to the workshop an interview with the management of the organisation is a prerequisite. A comprehensive report of the workshop is provided in the language used during the workshop.

Follow up

Basically the workshop allows for a strategy re-orientation towards better performance in the near future. The time span for the action plan resulting from the workshop is approximately 2 years.

The result of the workshop is a clearly defined path for organisational improvements and a division of tasks and time frame with respect to the implementation of the plan.

Requirements and limitations

For an extensive and lively description of PODia see the steps

Steps in PODia: the PODia Process or Scenario

Preparation

Together with the management, the Basic Question will very clearly have been identified before the workshop starts. Key staff will have been selected and invited to come to the workshop. Staff will have to be selected on the basis of knowledge of the present situation, analytical and diagnostic capacities, skills and knowledge on areas relevant to the organisation's Basic Question, support needed and managerial capacities and potential to re-orient the organisation and implement this.

Preferably the workshop venue is not in the office surroundings so as to avoid participants being distracted by their daily work. Participants will be made to understand the value and necessity of their presence throughout the whole workshop.

Make sure you will have sufficient cards and other standard workshop material available. None standard materials include large size paper to paste on the wall to make a large SOR matrix, A3 size SOR matrices to enable the participants individually to go through the exercise and a large number of sticker-dots.

Introduction

Make sure the participants understand the purpose of the workshop, and that they have had the chance to discuss on the Basic Question. Therefore, during the introduction, participants will have to be given the chance to fine-tune the Basic Question and if really necessary, change mildly.

During the introduction, the (current) Mission statement of the organisation will have to be presented. Obviously, the Basic Question will have to fit in the Mission statement or else the mission statement might need revising, if the management of the organisation insists in keeping the Basic Question intact. A revision of the mission can very well be incorporated in the workshop.

The participants will be given the chance to express their expectations of the workshop and their views on these expectations versus the Basic Question that has been discussed.

Finally, the participants will be explained that this is a workshop in which they will do all the work, as it should be while participatory developing a strategy for the organisation.

Analysis phase

To be able to analyse the organisation, two options are open to the facilitator depending on the type of Basic Question (does this BQ allow directly for identifying SWOT on the basis of IOM?) and on the capacities of the participants:

1-First identify **successes and failures** on the basis of the BQ (and if applicable the Mission). Individually, the participants will have to brainstorm and write down what they perceive to be successes and failures in the past year or two years. Remember that it will have to 'fit' in the BQ. Do not let participants get carried away and finally 'get even' on issues not related to the BQ.

Then, discuss in sub-groups on these successes and failures and, important, <u>agree</u> (more or less, understanding is more important than a 100 % agreement) on these successes and failures. Discuss all sides and question why these were considered successes and failures. Put the agreed successes and failures on different coloured cards (explain KISS [1] and KILL [2], stress that the successes and failures will have to 'fit' in the BQ, etc.).

In a plenary session the cards will be discussed and put up on a board. A t the same time a clustering process will take place. Make sure similar cards (successes and failures together) will form a cluster. Make sure the participants understand this process and agree with the clusters. Give the clusters a name if deemed necessary. This can be a time-consuming exercise if not facilitated well. As a facilitator you might want to speed up the process. If there are too many clusters, explain that for the next two years only a limited number of issues can be tackled. An additional exercise can than be to <u>prioritise</u> the successes and failures. With the help of a number of sticker dots (the number of sticker-dots for each participant is half the number of clusters), participants can prioritise which clusters of successes and failures they deem the most important with respect to the BQ (they can give nil, one, two or three sticker dots). Also if the facilitator feels that a (or some) cluster(s) are totally irrelevant, this prioritisation can be a way to steer the group, provided the 'assignment' for the prioritisation is adjusted accordingly.

On the basis of the (selected) clusters of successes and failures, explain to the participants that the <u>reasons</u> for these successes and failures are more important than the successes and failures as such. Basically, the question is being asked 'what were the causes', 'why', 'how come'. There are 'internal' and 'external' reasons. Carefully explain the difference and at the same time explain that they can be called Strengths, Weaknesses, Opportunities and Threats. If it is difficult to assess, ask the question 'Who', that will help to determine inside or outside the organisation.

Draw a matrix if need be:

	Internal the org.	External the org.
Positive (success)	Strength	Opportunity
Negative (failure)	Weakness	Threat

Now individually, find <u>reasons</u> for the main (prioritised) S and F's. Find <u>individually</u> as large a number of reasons for these failures, and keep in mind whether they are S, W, O, and/or T's and cluster them accordingly on your notepad.

2-If the BQ and the capacities of the participants allow so, directly explain IOM and let the participants formulate (first individually) S,W,O and T's on the basis of the Basic Question and thorough discussion. The problem with this direct exercise is that the IOM allows less easily for identifying Opportunities and Threats than Strengths and Weaknesses.

After individually formulating S,W,O and/ or T's (either first with the help of successes and failures or directly with the help of IOM), form sub-groups and let the participants choose whether they are part of the group that will discuss and analyse the S, the W, the O or the T's. These groups will discuss thoroughly on the BQ and will indeed analyse and assess features of the organisation. This exercise needs good and active facilitation in order for the participants to focus on the 'right' issues and not only coming up with cards like: 'no cars, not enough holidays, no/ poor executive bathrooms etc.'.

---

[1] Keep it short and simple.
[2] Keep it large and legible.

The four groups will write the results of their discussions (in KILL and KISS) on coloured cards: S= Green, W= Yellow, O= Blue and T= Red.

As with an OOPP workshop, the results of the various groups will have to be discussed in a plenary session to make sure the whole group agrees (or at least understands and supports) the mentioned cards. Therefore, the first question the facilitator asks in front of the group is whether the card is understood (no discussion at that point). Gradually the facilitator might allow the group to either agree or disagree and engage into a discussion. Additional cards can be formulated. After having discussed the card, they will have to be clustered directly when put up on the board. There might be quite a lot of cards and they need to be clustered to come to a reasonable number of S, W, O and T's. After having discussed first all the S cards and clustered them on boards, brainstorm on whether any important elements have been left out and finally jointly give the clusters a name that covers the mentioned Strengths of that cluster.

The 'names' of the clusters (basically the Strengths of the organisation with respect to the BQ) can now be put in neat rows. Depending on the number of Strengths, a prioritisation of these might be needed. The participants will be given a number of sticker-dots half the number of Strengths, and will be allowed to come forward to give either nil, one, two or three 'votes' to the Strengths that they deem most important for the BQ. Depending on the atmosphere, hierarchical relations and 'openness', the facilitator will decide whether the 'voting' is anonymous or plenary.

Only after having finished this exercise with the Strengths, the workshop can proceed in the same way with the W's, the O's and the T's. After that, the participants will have come up with the most important S, the most disturbing W, the greatest O and the biggest T.

The number of the W will usually be larger than the number of S, and the number of T's larger than the number of O's. In general, people tend to be more inward looking (because that is the part they usually know best) than outward. During the facilitation this will have to be born in mind and people stimulated to look outwards, and the various groups that will discuss on the S, W, O and T's will also have to be composed of people with that particular knowledge, position in the organisation or particular interest.

After all the S, W, O and T's are discussed and prioritised, you will have to end up with a number not exceeding 6 or 7 (preferably only 5) Strengths, Weaknesses, Opportunities and Threats each. Discuss with the participants again that these are according to them the most important ones with respect to the BQ, and therefore we might need to do something about it. But first we will have to see how these S, W, O and T's are related to each-other, mutually reinforcing, or strengthening. Only after a thorough diagnosis of the Strengths, Weaknesses, Opportunities and Threats.

The analysis phase (and probably the first day) herewith ends.

Diagnosis phase

In order for us to determine how the S, W, O and T's are related to each other (with respect to the BQ) the Strategic Orientation (SOR) Matrix will be used. As presented in Chapter 7 of this toolkit this can be done in two ways:

- SOR with Strategic Options (SOP) matches S, W with SOP that are developed in response to O, T (see Chapter 7.1.1)
- SOR with Opportunities and Threats matches S, W directly with O, T (see Chapter 7.1.2)

*For further instructions regarding the diagnosis phase see the tools **5.3 SOP** and **7.1.1 SOR with SOP** or **7.12 SOR with OT**. This should be carried out at least until the complete scoring into the joint matrix has been done, and analysed.*

Planning phase

*For this stage use the tool '**SOR to LogFrame**' in Chapter 8.1.1*

After operational planning into a LogFrame the second (long) day of the workshop can end, provided a thorough recap is done already to make sure the participants understand the process which led to the Strategic Frameworks. Tomorrow, the participants will be working on these plans to achieve the BQ.

After identification of the OO, PP and PR's of the entire strategic framework, the participants will be given the choice (on the basis of their knowledge, expertise and position in the organisation) on which strategic framework they want to work. Groups will be formed who will then start formulating activities for the framework, to achieve the results. The facilitator will have to stimulate the groups to first start brainstorming on as many activities they can think of, and write those on a notepad or flipchart. Otherwise, the participants run the risk of engaging in very lengthy discussions on the first activity they came up with, and then not being able to think of more. Only after the brainstorm the participants can engage in discussions on feasibility, relevance etc.

After the completion of the strategic frameworks, the participants have now a number of clear-cut plans in order to achieve their BQ. This exercise will need sufficient time, and some parameters drawn up on the basis of the BQ, to make sure the Activities formulated will be realistic and to the point.

After the finalisation of the Strategic Frameworks, one member of each group will present the plan in a 'carrousel' to the other groups. This means that of each group one presenter will stay behind, while the rest of the group moves to the next group where the presenter will present the plan to them. After this first presentation, the groups than move on to the next group, and so on, until all groups have had a presentation of each other's plans. Immediately after each presentation, the presenter will not have to defend the plan, but the visiting groups are allowed to formulate additional activities on differently coloured cards (so as to be able to recognise that these cards are suggestions of the other groups) and place these in the correct place in the Strategic Framework.

The 'original' task-forces of the plan will, after all the presentations are over, return to their Strategic Framework and discuss on the suggestions and comments made by the other groups. This way broadly discussed and (hopefully) supported plans will have been drawn up.

Additional exercises

If needed, the workshop can then continue with formulating concrete and detailed short-term action plans that will address the issues of: **Who does what and when, and who will be responsible?** This exercise can be given the following form:

1. Identify which activities (of each framework) need to be done in the first year, on the basis of urgency and feasibility, and mark these activities with a red marker
2. Identify a responsible person for this activity

3. Formulate sub-activities to be carried out the first year, and allocate each of these activities to the actual persons whom will need to conduct these activities (not the responsible one!)
4. Allocate an approximate time frame and duration (to make sure these persons will be relieved from other tasks during that period)

Another exercise can be to simply allocate the (group of) persons that need to actually work on each framework (not merely the responsible ones!). The danger with both exercises is that the participants will live up to the expectations of hierarchy and loyalty and simply identify The Boss as the person who should be doing everything. Needless to say that the facilitators instructions for this exercise might help.

Presentations, evaluation and closure

The group assignments will be ended with a short presentation of the strategic framework and the assignments regarding the action plans. Enough time will have to be spend on discussing the different plans, so as to make sure that these will be understood, acknowledged and supported by all participants. Since this has been done already in a carrousel, this exercise will hopefully not be everlasting. It is needed however. The facilitator can easily 'facilitate' that few discussions will emerge, but that participants feel 'heard' anyway.

After that, a wrap up speech of the facilitator in which the whole workshop process will be run by the participants again and in which the participants will be given a last chance to ask questions and clarifications.

One way of evaluating the workshop is to ask the following seven questions, to which the participants can place their sticker-dots in one of the four potential answers (columns):

Questions	Very good	Satisfactory	So-so	Bad
Outcome / Results of workshop				
Facilitation				
Methodology				
Process of workshop				
Own voice heard				
Hotel / Conference facilities				
Hope for the future				

Briefly discuss the results; thank the participants for their work and wishing them success. Give the opportunity to The Boss to close the workshop officially.

Reporting

The report of the workshop will be following the exact process of the workshop. Also the important elements of (plenary) discussions will have to be added. The report will end with facilitators' observations and recommendations and of course the 'good luck' statements.

9.2.1 Objective Oriented Project Planning (OOPP)

What is it?

Objective Oriented Project Planning (OOPP) is a participatory planning method that assists target group(s) and other stakeholders to identify and analyse their key problems and to prepare a concrete and realistic plan. In other words OOPP is an instrument for participatory needs assessment and subsequently for programme/project planning. A key strength is that it culminates in a logical, comprehensive and result-oriented plan, rather than to a shopping list of unfocussed wishes and activities.

To make use of the insights of stakeholders, and moreover to ensure their commitment to goals and plans, OOPP brings together representatives of all parties. By discussing the problems and possible solutions, the participants can come to a mutual understanding of each other's viewpoints. Once basic consensus is reached, these problems are organised into a logical sequence or cause-effect tree. The problems are then reformulated into objectives to be attained. On the basis of a number of criteria, objectives are selected which serve to focus the project.

In the planning phase that follows the Logical Framework (LogFrame or LF) is used to prepare a project plan. The LogFrame shows information about the objectives of different levels referred to as Overall Objective (OO), Project Purpose (PP) and Results (R). These objectives are described by means of Indicators, Assumptions, and Activities required reaching the different Results. Drafting time schedules, resource allocation and budgeting completes the planning session.

OO	Ind.	SoV	
PP	Ind.	SoV	Ass
R	Ind.	SoV	Ass
A	Means	Costs	Ass
			PC
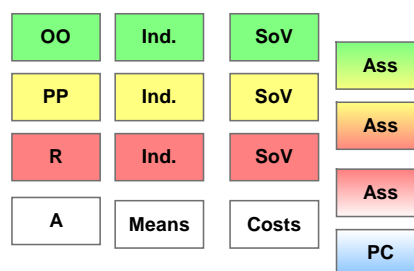
Logical Framework (LF)

Time scheduling and budgeting imply decisions about who is responsible for what (which activities and results). Yet often these crucial decisions are taken implicitly, particularly because the actor (e.g. NGO or local government) who facilitates the formulation of the project also wishes to implement it. ID/OS tools and interventions may assist both donors and implementers to assess who is best suited for which job, and to propose actions to develop or maintain competitive advantages of prospective project implementers.

What can you do with it?

Basic (sub-) questions

What should be done to resolve the problems? Two cases:
- The project plan aims directly at a target group (Direct Assistance project planning)
- The plan aims to empower an organisation in its context (ID/OS intervention planning, or capacity development). In this case the ultimate target group benefits only indirectly

---

> **Results**
>
> - Who are the stakeholders
> - What are their problems
> - What are the causal relations between the problems
> - What then, are the objectives
> - Which clusters of objectives belong together
> - What are the priorities clusters to address
> - What should be project objectives, activities, indicators, assumptions and budget
> ⇨ A project plan based on consensus on problems and priorities among participants

How to use it?

Process

The basis of the OOPP is an adequate problem analysis in which participants write their problems on cards. The cards are then displayed on a wall. Working with cards helps to achieve an active and equal involvement. A session moderator leads a group discussion to clarify the issues and interrelationships. The facilitator can work in two ways:

- Anonymous. This creates maximum safety and encourages people to overcome inhibitions based on hierarchy, culture or sensitivity of the topic
- Distinctive. In certain settings it is good if everybody knows who expresses which perception. When working in this way participants can also elaborate on what exactly they mean by their cryptic descriptions, and the facilitator can verify whether problems can be rephrased or clustered in a particular way, by asking the 'owner' about it. The moderator should take care that participants respect each others views

Pay attention to parties who are not represented in the workshop. Missing out actors can weaken the process, but you can also deliberately exclude otherwise dominant actors from (part of) the workshop. A full workshop may take one day to one week.

Groundwork

An initiator needs to get a target group and stakeholders together to analyse their problems and develop plans, which implies foreseeing funding and implementation opportunities.

Follow up

The OOPP should end with a more concrete operational planning process (concrete activities and time schedule). Often a budget still has to be worked out and specified.

The planning of project activities can be a starting point to assess the strength and weaknesses of the implementing organisation(s) and the opportunities and threats in their environment. The clearer you know what you want to do, the clearer you can see your strengths, weaknesses, opportunities and threats (see ID/OS process design, and in particular ID/OS flow after OOPP). This is why OOPP is categorised in this toolkit as preparation tool, although in many cases it can be done as a comprehensive, independent exercise.

Requirements and limitations

The problem and objective tree imply linear (rather than circular) reasoning. This does not do justice to the complexity of reality and is arguably a Western, reductionist (rather than universal) way of thinking. Generally OOPP is most suited for direct assistance (target group focussed) project planning, rather than for strategic orientation of organisations and institutions. In institutional/organisation focussed interventions, other ID/OS tools may be more appropriate, or at least used to compliment OOPP.

A problem or objective tree may give a scattered picture if in many branches highly similar causes underlie different symptoms, but if these causes are not explicitly linked. The focus on problems (rather than on opportunities) may imply a negative bias. Much of this limitation can be compensated if the 'dreaming up' of activities is taken explicitly as an important and creative process (and not as a quick, mechanical step).

The visualisation method and the intensive interaction between participants call for specific seating and room arrangement. This limits the optimal number of participants to 20 per group, which may create a bias in the problem identification. It may be possible sometimes to organise more workshops and integrate the findings during a plenary session.

The success of OOPP depends heavily on the moderator, who should be a strong and determined, but flexible, creative, objective and independent person. It can be difficult for illiterate people to participate (although there are success stories), as (written) visualisation is the core of the OOPP method. Other ways of gathering information may then be more applicable. Although OOPP tries to assure an anonymous presentation of viewpoints, discussion on problems may still be difficult. The method implies a consensus orientation, rather than an explicit negotiation on interests.

Generally top managers should be included in an OOPP workshop. Decision-makers who are insufficiently involved may at a later stage disagree with a plan developed by the participants. To satisfy both decision-makers and other stakeholders, it may be agreed that managers adopt workshop decisions unless they make their tentative objections known *within* the workshop. Furthermore the decision-makers then promise to consult all participants on counter-proposals they develop, before taking a final decision.

Practical references

- The Preparation of Projects, MDF, 2004;
- Manual Project Cycle Management, EC, 2001;
- PCM Training Course, handbook, EC, 2001
- The Logical Framework Approach (LFA), NORAD, 1996;
- Imagine a tree... and shape your future, Coopibo, 1996.

Example of OOPP: Borando

Problem owner

Rural population of Borando

Basic question

How can the food-security of farmers in Borando be increased in a sustainable manner?

Problem tree

```
                        ┌─────────────────┐
                        │ High incidence of│
                        │  malnutrition    │
                        └─────────────────┘
                                 ▲
                        ┌─────────────────┐
                        │  Food shortages  │
                        └─────────────────┘
                                 ▲
        ┌────────────────────────┼────────────────────────┐
┌─────────────────┐    ┌─────────────────┐       ┌─────────────────┐
│ Rice production in│   │ Food production  │       │ High immigration │
│   low lands      │   │   on hills       │       │     rates        │
│  decreasing      │   │  decreasing      │       └─────────────────┘
└─────────────────┘    └─────────────────┘
        ▲                       ▲                          ▲
   ┌────┴────┐          ┌───────────────┐         ┌─────────────────┐
┌──────────┐┌─────────┐ │ Soil fertility │        │ Ethnic clashes in│
│Irrigation││Irregular│ │ on hill slopes │        │  neighbouring    │
│water does││supply of│ │ is decreasing  │        │   districts      │
│not reach ││inputs   │ └───────────────┘         └─────────────────┘
│field in  ││for rice │         ▲
│desired   ││production│┌───────────────┐
│quantity  │└─────────┘│ Soil erosion on│
└──────────┘           │  hill slopes   │
   ▲                   └───────────────┘
┌────────┐┌──────────┐
│Canals  ││ Dikes are│
│are     ││ degraded │
│blocked ││          │
└────────┘└──────────┘
      ▲       ▲
   ┌──────────────┐
   │ Poor         │
   │ maintenance  │
   │ system for   │
   │ irrigation   │
   │ facilities   │
   └──────────────┘
```

Objective tree and clustering

```
                        ┌─────────────────┐
                        │ Incidence of     │
                        │ malnutrition     │
                        │  reduced         │
                        └─────────────────┘
                                 ▲
                        ┌─────────────────┐
                        │ Improved food    │
                        │   situation      │
                        └─────────────────┘
                                 ▲
   ┌──────────────────┬──────────┴──────────┬────────────────────┐
┌─────────────────┐        ┌─────────────────┐      ┌─────────────────┐
│ Rice production in│       │ Food production  │      │     Lower        │
│   low lands      │        │ on hills increased│     │ immigration rates│
│  increased       │        └─────────────────┘      └─────────────────┘
└─────────────────┘                 ▲                  *Immigration*
        ▲                  ┌─────────────────┐                ▲
┌────────────────┐┌──────┐ │ Soil fertility   │      ┌─────────────────┐
│ Sufficient     ││Regular│ │  increased       │      │ Less nr. ethnic │
│ irrigation     ││supply │ └─────────────────┘      │   clashes in    │
│ water reaches  ││of     │ *Soil Fertility*         │  neighbouring   │
│ the fields     ││inputs │         ▲                │   districts     │
└────────────────┘│for rice││ ┌─────────────────┐    └─────────────────┘
*Irrigation system*│prod.  │ │ Soil erosion of  │
        ▲         └────────┘ │ hill slopes      │
┌────────┐┌──────────┐*Agricultural inputs*│ reduced          │
│Canals  ││ Dikes are│       └─────────────────┘
│cleared ││ upgraded │
└────────┘└──────────┘
      ▲       ▲
   ┌──────────────┐
   │ Maintenance  │
   │ irrigation   │
   │ facilities   │
   │ improved     │
   └──────────────┘
```

Logical Framework

O O	Reduced incidence of malnutrition Food situation improved	**OVI** Average 500 kg. white rice consumed per year per household (800 in total); same (indexed) price; in lowlands of Bogo; from 2002-2007	**SoV** Survey by Ministry of Agriculture in 2006	**Assumptions**
P P	Increased rice production	**OVI** Average husked rice production in kg. Increased from 2.000 to 4.000 kg. Per ha.; 240 small farmers (owning <2 ha.) in 7 villages; from 2003-2007; in lowlands of Borando district Debbie	**SoV** Extension workers' reports	Agricultural production on hills improved or at least stabilised Fewer people immigrate from neighbouring districts
R	1. Fields sufficiently irrigated	2. More regular supply of inputs for rice production	3. Increased and applied knowledge on new agricultural practices	Enough labour to harvest the rice production
OVI	The quantity of irrigation water reaching the fields is in growing season 15.000 litres per ha. of 240 small farmers (owning <2 ha.) in 7 villages; from 2002-2003; the lowlands of Borando	Seed and fertiliser available 1 month before planting season; 480 bags of 140 kg. urea and 480 bags of 50 kg. seed; 240 small farmers (owning <2 ha.) in 7 villages; from 2002-2005; in lowlands of Borando	Average score of male and female farmers on test about the agricultural practices is 5 in 2002 and will be 9 in 2003	
SoV	Water samples at the irrigation source taken at random at different time intervals during growing season.	Annual survey at distribution points	Results tests done by extension workers and NGOs	
A	1.1 To organise local farmers associations 1.2 To clear blocked canals and stop the leaking 1.3 To heighten and strengthen dikes 1.4 To train farmers in management and maintenance	2.1 To organise purchase of inputs 2.2 To organise inputs distribution	3.1 To organise extension service 3.2 To train extentionists 3.3 To train farmers (male and female) in new agricultural practices	Access roads in good condition. Traders continue to supply inputs. Social relations permit farmers to organise themselves.
				Government is willing to support the project by making the extension workers of the Agricultural Department available

9.2.1 Steps in developing an Objective Oriented Project Plan

1. Preparation

1.   Determine and study the **subject (entity)** and target group. You may formulate a Basic Question to determine what is included and what is excluded

2.   Determine **relevant parties** and analyse their relation with the subject (stakeholder analysis). Choose which stakeholder you involve in project formulation

3.   Prepare for a project **formulation workshop** with chosen stakeholders, guided by a skilled and respected facilitator (who guards that workshop participants respect each other's perceptions and views). The workshop starts with a review of the entity

2. Analysis of problems and objectives

Problem analysis

A problem is a description of a real existing negative situation

4. **Formulate problems** from the point of view of the identified parties involved and check whether all relevant problems are included (write on yellow cards).
    - Avoid (change) *absent solutions* (lack of xxx, no yyy, insufficient zzz) into statements of the actual problem, by asking 'What is the problem with *'lack off'* xxx?' 'Absent solutions' present a single solution and block out alternative solutions. Moreover they do not indicate what really is the problem.
    - Specify *balloons* (or basket terms) into clear problems (e.g. change 'Bad governance' into 'Local government practices not transparent to citizens', or 'Poor communication' into 'Telephone services irregular in Northern Province')
    - Focus first on direct problems of the target group regarding the entity (e.g. 'Farmers use excessive pesticides'). ID/OS problems (problems that hinder the stakeholders to resolve the direct problems, e.g. 'Government extension services ineffective') may later be reviewed in a more systematic way

5.   Check that problems are **understood and/or agreed** upon

6.   Identify **causes and effects** and visualise them in a diagram (problem tree). Review and refine until the cause-effect relations are truly unambiguous (there may be perception differences, but arguments should be understandable)

7.   **Assess completeness** of analysis. If necessary add or rephrase problems (e.g. between the cause 'Busses in bad condition' and the effect 'Air pollution' you may add 'People use private transport' to make the logical link)

Objectives analysis

An objective is a description of an improved future situation

8   Transform all **problems into objectives** (positive reached situations) and write on green cards. Do not yet formulate solutions (transform 'Insufficient water for crop' into 'Sufficient water for crop' rather than into 'Irrigation system functional')

9   Stick the objective cards on top of the problem cards, and check the validity of the **means-end relations** in this diagram (objectives tree)

10.   **Assess completeness** of the analysis. If necessary add or rephrase objectives.

3. Strategy decision

Clustering and scoping

A strategy is a cluster of interconnected objectives leading to the achievement of the project purpose

11.   **Identify and label clusters** of related objectives (expertise, responsible party, etc.)

12.   **Prioritise** which clusters to include/exclude in the project/intervention. Agree on prioritisation criteria and rate clusters (strategies) against these criteria, such as:
- Capacity of tentatively foreseen project implementers
- Relevance and priority for the target group
- Sustainability (e.g. through institutional support) of the project outcome

13.   **Decide** on priority and determine which cluster(s) will be addressed by the project.

4. Project (or Programme) Design

Prepare the Intervention Logic

Prepare the structure of the Logical Framework (LF, also known as Project Planning Matrix) with removable cards on a sheet.

14.   **Identify the Project Purpose** from the objective tree and write it on a yellow card. The Project Purpose often corresponds to an objective in the objective tree that the selected clusters together lead to. The Project Purpose refers to the "positive situation" that has to be realised <u>at the end </u>of an Intervention.

> The **Project Purpose** is an objective that describes a clear benefit to the intended beneficiaries of the intervention (the supply of "services" to them is not a sufficient objective of an intervention). The <u>utilisation</u> of the provided services by the beneficiaries should be expressed in the Project Purpose.

15.   **Identify the Overall Objective(s)** from the objective tree. These are located above the identified project purpose and to which the project purpose contributes. Write on green cards.

An **Overall Objective** is an objective to which the intervention contributes. The intervention should *achieve* the Project Purpose, but only *contribute to* the Overall Objective(s). The Overall Objective(s) reflect the justification or relevance of an intervention.

*Objectives in the objectives tree that contribute to the Overall Objective(s) but that will not be addressed by the project should be placed as **external factors** in the upper box of the fourth column of the Logframe. These might later become assumptions.*

16. **Identify the Results** of the Intervention. In the objective tree, the Results are those objectives that lead to the Project Purpose and that are addressed within the intervention - they are the cluster headings that have been included in the project. Results are stated in terms of products or services to be produced or provided by "the project". Write them on red cards and place them beneath the Project Purpose and next to each other in the Logical Framework.

A **Result** is an objective referring to an output of the intervention that is to be realised in course or before the end of the Intervention.

*Objectives between Result and Purpose that will not be addressed by the project should be placed as **external factors** in the second box of the fourth column of the Logframe. These might later become assumptions.*

17. **Identify the Activities** that produce the Results.
    - **Copy** those objectives from the "objective tree" that directly lead to the Result (but formulate these as Activities).
    - **Add** activities at the same level that were not mentioned, like objectives in the objective tree, but that are possible/necessary activities in order to achieve the Results. Adding Activities is a creative process, in which you take advantage of opportunities and trends in the technical, organisational and institutional environment. You may use ID/OS tools to get a comprehensive picture of these factors (e.g. environmental scan, coverage matrix or institutiogramme)

    Place the activities under each corresponding Result in sequential order or in order of priority. Activities should preferably be stated in such a detail that resources (financial, personnel, material) could be allocated to them.

An **Activity** is an action to be executed in the course of a project in order to attain a corresponding Result.

*Objectives that will not be addressed should be placed as **external factors** in the third box of the fourth column of the Logframe. These might later become assumptions.*

Assess the external factors

18. **Identify external factors**:
    - **Copy** the external factors derived from the tree, write them on cards and put them on a sheet.
    - **Add** supplementary (not from the tree) external factors to the project, and write these also on cards and put them on the sheet. Additional identification may be done through a brainstorm, or by using other ID/OS tools. The assessment of external factors (and possibly the formulation of additional activities and results) may be repeated after assessing strengths and weaknesses of the organisations who are responsible to realise (parts of) the project results

---

An External factor is:
- An objective not being addressed (yet) by the intervention and/or
- A (positive) condition or (negative) risk factor that is beyond the control of the project

---

19. **Assess** the external factors using the Algorithm and **act accordingly** (as indicated in the algorithm):
    - **Exclude** unimportant external factors, or factors that will certainly work out supportive for the project
    - **Formulate activities** to address external factors that will almost surely have negative consequences
    - If the project cannot address or ignore external factors that will almost surely have negative consequences, **cancel the project** (because it is not feasible)
    - Include external factors (of which it is unsure whether they will happen and affect the project) as **Assumptions** in the fourth column of the LogFrame. Write these assumptions on cards in colours, corresponding to the appropriate level. Assumptions that need to be fulfilled before starting the intervention are called **Preconditions** (lowest box of column four).

An **Assumption** is an assessed external factor, important to be maintained in the description of the Intervention (and *to be monitored*). A **Precondition** is an assumption to be fulfilled <u>before</u> the take-off of an Intervention.

Assessment external factors

Place [external factor] at the lowest LogFrame level where it may impact

Is [external factor] important?

Yes | No
Exclude from LogFrame

Will [external factor] turn out positive?
* Condition will happen - e.g. 'Sufficient labourers available'
* Risk will not happen - e.g. 'Access roads degraded')

No | Probably
Place as assumption | Sure
Exclude from LogFrame!

Is it possible to redesign the project?

Yes
Redesign intervention | No
Killer assumption: Project technically not feasible

© MDF copyright 2004

www.mdf.nl

Formulate Indicators and Sources of Verification

20.   Formulate project purpose and intermediate results in measurable and operational terms (indicators).

The project purpose and the intermediate results should be measurable, sometimes an operational description is sufficient, and sometimes one or more indicators or proxy indicators need to be formulated.

An **Indicator** describes in verifiable terms:
- The quantity: How much (starter and target value)
- The quality: What
- The target group: Who
- The time/period: When
- The place: Where

---

21.   Check whether the indicator or the indicators describe the project purpose and the results accurately. If not, other indicators will have to be added or new ones found.

22.   Identify the sources of verification needed to obtain the information on the indicators/operational description. If no suitable sources of verification can be found then the indicators should be replaced by others.

23.   Check completeness of the logical framework. In the process of formulating indicators it is quite possible to discover that the results, purpose and overall objectives should be modified, or that the activities are not sufficient: Do this!

5. Action planning

24.   Scheduling

25.   Determine responsibilities (possibly analysing and comparing strengths and weaknesses of implementers, and planning ID/OS) and deadlines

26.   Resource allocation

27.   Budgeting of costs (directly related to LogFrame activities, and related to management activities), and review the intervention for cost-effectiveness.

MDF

Overview

ID/OS Toolkit
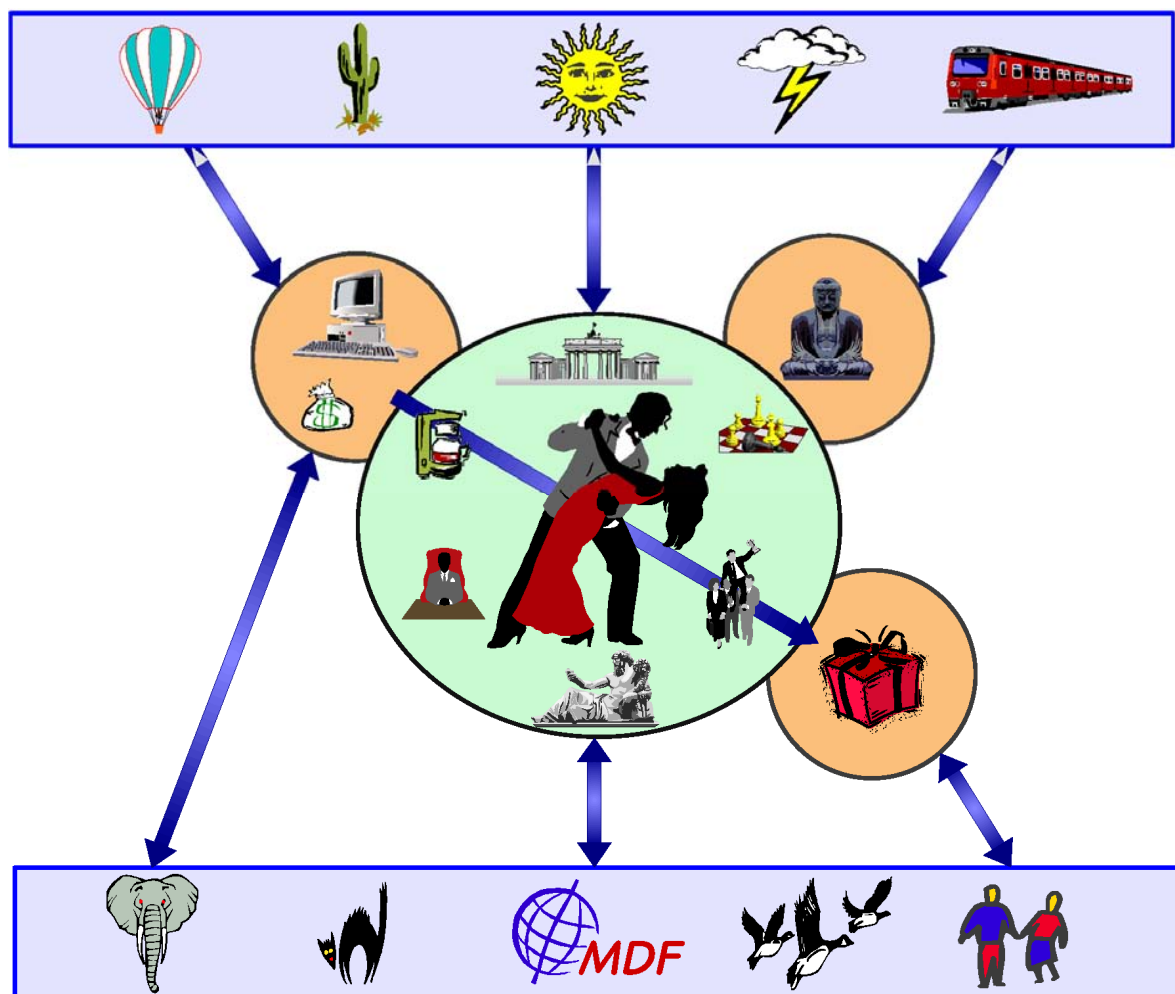
10.1 Tools overview

The table below gives an overview of all tools (in the first column), indicating for which processes they are designed, suitable or not relevant. The processes (in the remaining columns) are related to the advisory process, and the different purposes to engage in ID/OS diagnosis, planning and change management (see also the tool ID/OS process design). The number of crosses indicate how closely the tool fits a certain process.
Three crosses indicate that the tool was designed primarily for this purpose.
Two crosses mean that the tool is of much help for this process.
One cross points out that the tool can be of use for this purpose.
No crosses denote that this tool is not relevant for the above-mentioned ID/OS process.

	Preparation/ ID/OS process	Strategic orientation		Implementing agency strengthening	(Re-) positioning	Operational/ technical development	Learning organisation
		Diagnosis	Planning				
2 Approach							
2.1 Question							
BQ	XXX	X	X	X	XX	XX	XX
Criteria	X	XX		XX	XX	XX	XX
2.2 Client and Mindset							
Client system	XXX	XX		X	X		XX
Organisational learning cycle	XX					X	XXX
Stakeholder analysis	XXX			X			X
2.3 Process							
ID/OS process design	XXX			X			XX
2.4 Advisor							
Approach of the Adviser				X			X
Drama Triangle	XX						XX
3 Models							
3.1 Organisation							
IOM	XXX			X	X		XX
IOM checklist (2nd level)	XXX	XX		X			XX
IOM gender checklist	XXX	XX		XX	XX	XX	XX
3.2 Sector							
ISA	XX			XX	X		X
ISA checklist (1st level)	XX						X
4 External organisation							
4.1 Initial Impression							
Quick scan	XX	X		XXX			XX
4.2 Output							
Quality definition chart		X		X	XX	XXX	XX
4.3 Mission							
Envisioning		X		X	XXX		XX
4.4 Input							
Evaluation grid		X		X	X	XX	X
5 Institution							
5.1 Factors							
Environmental scan		XXX		XX			XX

	Preparation/ID/OS process	Strategic orientation		Implementing agency strengthening	(Re-) positioning	Operational/ technical development	Learning organisation
		Diagnosis	Planning				
Problem area matrix	XXX	XX		X	XX		X
5.2 Actors							
Institutiogramme		XXX		XX		X	XX
Coverage matrix		XXX		XXX	XXX		X
Collaboration matrix		XX		XXX	XXX		X
Interlinked organograms		XX			XXX	XXX	X
5.3 Identifying Options							
Strategic options		XXX		XXX	X		XX
6 Organisation							
6.1 Strategy							
Strategy assessment		XX			XXX	X	XX
6.2 Structure							
Organogram		XXX				XXX	X
Mintzberg matrix		XX		XX		XXX	X
6.3 Systems							
Process flow chart		X	X			XXX	XX
6.4 Management style							
Assessment model		X	XX			XX	XXX
Quinn roles		X	XX			XXX	XX
MacCoby styles		X	XX			XXX	XX
6.5 Staff							
Staff conditions algorithm		XXX		XX		XX	XX
Competency profiling			XX			XX	XXX
Core quadrants		X				XX	XXX
Functional team roles		XX	X	XX		XX	XX
6.6 Culture							
Archetypes		XX		X		XXX	XX
Checklist culture		XXX		X		XX	X
Self Assessment		X	X	X		XXX	XX
7 Strategy Setting							
7.1 Strategic orientation (SOR)							
SOR with SOP			XXX	XX	XX	XX	XX
SOR with OT			XXX	XX	XX	XX	XX
8 Planning and change							
8.1 Operational planning							
SOR to Logical Framework			XXX		X	X	X
Participation matrix			XXX	XX	X	XX	X
Interest chart			XXX	XX	X	XX	XX
Training Needs Assessment			XXX	XX	X	XX	XX
8.2 Change Management							
Organisational Change Cycle			XXX			X	X
9 Generic Methods							
9.1 Participatory Strategy Development							
PODia			X	XXX	X		XX
9.2 Participatory Program Planning							
OOPP	XXX						X

10.2 ID/OS Glossary

ID/OS Term	Key	Description
Actors	IOM component	The total of organisations, institutions, individuals and groups surrounding an organisation who are involved or influence in it's performance
Adviser	Concept	An expert attached to an organisation for a relative longer period with a specific assignment to advise the management on a series of complex issues. The adviser has no hierarchical position in the organisation
Basic Question (BQ)	Concept / tool	The question (purpose) that guides the ID/OS diagnostic process dealing with a crucial dilemma
Beneficiaries	Concept	The stakeholders intentionally or unintentionally affected by an intervention
Clients	Concept	The direct users of the output of an organisation Stakeholders affected and concerned by a consultancy
Collaboration Matrix	Tool / model	Allows to assess the possibilities for two organisations to co-operate on certain issues
Competency	Concept	Mastering of knowledge, skills and attitude related to a certain expertise and context. This results in a certain behaviour appropriate to the context
Consultancy	Concept	Description of the assignment of a consultant, consisting of a description of the task (terms of reference), a description of the methodology (implementation of the assignment) and a description of the results achieved (report)
Consultant	Concept	An expert attached to an organisation, invited to intervene on a specific issue for a dedicated period of time, very often based upon terms of reference, specifying the responsibilities and desired outputs of the consultant. The consultant has no hierarchical position in the organisation
Continuity	Criterion	The experience build up and potential of the organisation for functioning in the future
Co-operation	Relationship	The relationship that defines how two or more organisations provide input for a third
Coverage Matrix	Tool / model	Allows to analyse the competitiveness and or the collaborative environment in view of other actors providing similar services
Culture (of an organisation)	IOM component	The complex of norms values and accepted behaviour in an organisation, including the way how persons in the organisation relate to each other

ID/OS Term	Key	Description
Effectiveness	Criterion	The ability of the organisation to provide the right goods for their clients
Efficiency	Criterion	The ability of an organisation to produce goods with least loss of resources
End Users	Concept	Those who ultimately benefit from the use (by themselves or by other actors) of the output of an organisation
Environmental Scan	Tool / model	Allows to assess the positive or negative impact on a particular organisation
Factors	IOM component	Forces surrounding an organisation having negative or positive impact on it's performance
First level of analysis	Concept	Preliminary familiarisation with an organisation or sector, looking shallowly into all IOM elements (whereas QS only assesses external organisation)
Flexibility	Criterion	The ability to adapt to changing circumstances, without losing track of the mission
Hierarchy	Relationship	The relationship that defines how one organisation determines the mandate of the other
Impact	Concept	The major indirect or direct effect of a project or intervention (socio-economic)
Input	IOM component	All resources an organisation uses or needs to use for it's production
Institutiogramme	Tool / model	Allows to analyse the effectiveness and adequacy of certain relationships between organisations in a particular setting
Institution	Concept	Complexes of norms and behaviours that persist over time by serving collectively valued purposes
Institutional Development (ID)	Concept	The creation or reinforcement of a network of organisations to effectively generate, allocate and use human, material and financial resources to attain specific objectives on a sustainable basis.
Institutional Sector Analysis (ISA) Model	Tool / model	Provides an overview of elements in an institutional sector (such as 'the Health Sector')
Integrated Organisation Model (IOM)	Tool / model	Allows to describe and judge organisational performance related to it's institutional setting (context)
Legitimacy	Criterion	The acceptance of the organisation as a whole and its functioning by society at large
Logical Framework (LogFrame or LF)	Tool	A operational planning method particularly suited for project and ID/OS intervention planning
Management Style	IOM component	Priorities, preferences and orientation of management as well as their attitude towards decision-making in the organisation
Mission	IOM component	The reason for being of an organisation, described in a commonly accepted manner

ID/OS Term	Key	Description
Objective Oriented Project Planning (OOPP)	Tool	A method to design a project that accurately and comprehensively addresses needs of the beneficiaries (rather than a shopping list of unrelated requests)
Organisation	Concept	Complex of people and/or groups that, according to commonly agreed rules and procedures, strives to realise one or more pre-set objectives.
Organisational Strengthening (OS)	Concept	Measures to improve the performance of an organisation - *or in the context of a development intervention:* Measures to improve the organisation's capability to execute selected activities while striving to achieve the objectives of that intervention.
Outcome	Concept	The effect that the output (including by-products) of an organisation has on society and end users in particular
Output	IOM component	Products and services in their quality and quantity
Participatory Organisation Diagnosis (PODia)	Tool	A workshop methodology and workshop design for strategy development and action planning, involving strategic orientation which matches strengths and weaknesses against opportunities and threats
Performance	Concept	The value an organisation adds to society in material as well as immaterial terms
Primary client	Concept	The stakeholder who knows, who cares and who can (about the ID/OS process)
Primary process	Concept	The process of transforming input into output (products and services): The core business
Quick Scan (QS)	Tool	A way of familiarising with an organisation, by analysing output, mission and input using direct observation and secondary data (reports)
Second level of analysis	Concept	Detailed investigation with an organisation or sector, looking deeply into all IOM elements
Sector	Concept	A coherent set of activities on macro, meso and micro level, within a well defined institutional and budgetary framework, for which the government has formulated an explicit policy (e.g. Health sector).
Service delivery	Relationship	The relationship that defines how the output of one organisation is used by another
Staff (Performance/ Motivation)	IOM component	Those mechanisms in the organisation that encourage the staff and those intrinsic as well as material stimulants that staff react to
Strategic options	Concept / tool	Possible courses of action (of an organisation or sector) in response to the institutional assessment
Strategic orientation (SOR)	Tool	Method of developing strategies based on matching external strategic options (derived from opportunities and threats) with strengths and weaknesses

ID/OS Term	Key	Description
Strategy	IOM component	The managerial choice made to achieve the organisational mission
Structure	IOM component	The designed configuration stipulating responsibilities and how this functions in reality
Suitability	Criterion	The characteristics that determine whether an organisation in naturally fit to perform certain tasks
Systems	IOM component	Processes, procedures and rules that govern the production, support and monitoring processes
Target group	Concept	The stakeholders whose needs the organisation (or sector) intends to address
Training Needs Assessment (TNA)	Concept / tool	A way to identify capacity gaps that can be bridged through focussed training (rather than a shopping list of 'nice to know' issues)
Ultimate target group	Concept	The target group that is the final reference point of development co-operation: The poor
Vision	Concept	Describes the value system of the organisation defined in it's context

10.3 Literature list and links

General and IOM

Peter Blunt, Merrick L. Jones (1992), Managing Organisations in Africa
Walter Gruyter, 311012646X

Bill Crooks (2003), Capacity self-assessment (CASA) – Resourcing Organisations with Opportunities for Transformation and Sharing.
Tearfund, Teddington, UK, http://www.tilz.info/frameset.asp

Reidar Dale (2000), Organisations and development. Strategies, Structures and Processes; Sage Publications

European Centre for Development Policy and DSI/AU (2004), Institutional Development: Learning by Doing and Sharing (approaches and tools for supporting institutional development)

Paul G.H. Engel & Monique L. Salomon (1997), Facilitating innovation for development - A RAAKS resource box; Networking for innovation - A participatory actor-oriented methodology

Alan Fowler (2000), Civil Society, Ngdos and Social Development: Changing the Rules of the Game. BPR Publishers

Wendell L. French, Cecil H. Bell (1998), Organisation development; Simon & Schuster

Allan Kaplan (2002), Development Practitioners and Social Process
Pluto Press

Mandy Macdonald & Ellen Sprenger & Ireen Dubel (1997), Gender and organisational change - Bridging the gap between policy and practice. Royal Tropical Institute, Amsterdam

Takashi Osada (1991), The 5 S's; Asian Productivity Organisation

Institutional development

Joseph W. Eaton (1972), Institution Building and Development, From concepts to application; SAGE Publications

Norman Uphoff (1986), Local Institutional Development: An Analytical Sourcebook with cases. Kumarian Press, Incorporated

Nico Vink (1999), The challenge of institutional change, A practical guide for development consultants; Royal Tropical Institute, Amsterdam

Actors

Wayne E. Bakker (1994), Networking Smart; How to build relationships for personal and organisational success; Mc Graw Hill

Harvey Mackay (1999), Dig Your Well before You're Thirsty: The Only Networking Book You'll Ever Need. Doubleday & Company, Incorporated

Naoki Suzuki (1998), Inside NGOs - Learning to manage conflicts between headquarters and field offices. IT Publications

Factors

World Bank / David Dollar (1999), Assessing Aid: What Works, What Doesn't, and Why; Oxford University Press

Henk Becker (1997), Social Impact Assessment; UCL Press Limited, London UK

Jan Nederveen Pieterse (2001), Development Theory, Deconstructions/ reconstructions; Sage Publications, London

Amartya Sen (2000), Development as Freedom; Random House Children's Books

Output

Canada International Development Agency, CIDA (1997), Guide to gender sensitive indicators; Ministry of Public Works and Government Services

R.L. Gray, D.L. Owen, A. Adams (1996), Accounting and accountability: Social and environmental auditing in a changing world; Prentice Hall Professional Technical Reference

Gary Hamel, C.K. Prahalad (1996), Competing for the Future; Harvard Business School Publishing

Tomozo Kobata (1995), Managing by Fact; The results oriented approach to quality; Asian Productivity Organisation

Shigeru Mizuno, Yoji Akao (1994), QFD: The Customer-Driven Approach to Quality Planning and Deployment; Productivity Press Inc.

Strategy/Mission

James C. Collins, Jerry I. Porras (2002), Built to Last: Successful Habits of Visionary Companies; HarperCollins Publishers

Danida (2003), The Management of Schools Training Programme, Vision and Mission – Workbook

Lutz Horn, Frank Niemann, Christoph Kaut, Angelika Kemmler (1994), SWOT analysis and Strategic Planning, a manual; GFA Consulting Group

Henry <u>Mintzberg</u>, Joseph Lampel, Bruce Ahlstrand (1998), Strategy Safari: A Guided Tour through the Wilds of Strategic Management; Simon & Schuster

Henry <u>Mintzberg</u> (1993), The Rise and Fall of Strategic Planning: Reconceiving Roles for Planning, Plans, Planners; Simon & Schuster

Eduardo A. <u>Morato</u> Jr (1993), Strategic Intervention for Development Managers; Asian Institute of Management

Gareth <u>Morgan</u> (1998), Images of Organisation - the Executive Edition; Berrett-Koehler Publishers, Inc.

Michael E. <u>Porter</u> (1998), Competitive Strategy: Techniques for Analyzing Industries and Competitors; Simon & Schuster Adult Publishing Group

Gill <u>Ringland</u> (1998), Scenario Planning: Managing for the Future; Wiley, John & Sons, Incorporated

Noel M. <u>Tichy</u>, Stratford Sherman (2001), Control Your Destiny or Someone Else Will; HarperInformation

Noel M. <u>Tichy</u> (1983), Managing Strategic Change. Technical, Political and Cultural Dynamics; Wiley Interscience

Structure

Josph L. <u>Massie</u> (1979), Essentials of management; University of Kentucky

Henry <u>Mintzberg</u> (1992), Structure in Fives: Designing Effective Organisations; Pearson Education

Henry <u>Mintzberg</u> (1979), The Structuring of Organisations

Systems/Input

T.M.A. <u>Bemelmans</u> (Editor) (1984), Beyond Productivity: Information Systems Development for Organisational Effectiveness; Elsevier Science

Melissie Clemmons <u>Rumizen</u> (2001), The Complete Idiot's Guide to Knowledge Management; Alpha Books

<u>UNDP</u> Management Development Programme, Systematic Improvement of Public Sector Management: Process Consultation

Staff performance

Peter <u>Gerrickens</u> (1999), The Feedback Games Manual; Gower Publishing Limited

Takeshi <u>Kawase</u> (2001), Human-Centered Problem Solving; Asian Productivity Organisation

Daniel D. Ofman (1993), Core Qualities, Gateway to Human Resources; Scriptum / Kern Consult B.V. Bussum
ISBN 90 5594 240 5 (hardcover); http://www.kernkonsult.nl

Hubert Rampersad (2003), Total Performance Scorecard: Redefining Management to Achieve Performance with Integrity; Science and Technology Books

Stephen P. Robbins (1986), Organisational behaviour: Concepts, controversies and applications; Prentice-Hall International

Management style

Edward de Bono (1999), Six Thinking Hats; Little, Brown & Company

Edward de Bono (1972), Lateral Thinking for Management; Penguin Books

Charles Farkas, Philippe de Backer & Allen Sheppard (1998), Maximum Leadership: Five Strategies for Success from the World's Leading CEOs; Penguin Putnam, Inc

Henry Gómez, Carlos Davila, Valerie Hammond (1995), Management innovation in the developing world; Interman

Milan Kubr, John Wallace (1983), Successes and Failures in Meeting the Management Challenge - Strategies and their implementation; The World Bank

Robert E. Quinn; Sue R.Faerman; Michael P.Thompson; Michael R.McGrath (2003), Becoming a master manager; John Wiley & Sons, Inc.

Organisation culture

Nancy J. Adler, U. McGill (1986), International Dimensions of Organisational Behaviour; South-Western

L.(de la Rive) Box et al (1993), Culture and Communication, The forgotten dimension in development cooperation; Royal Tropical Institute

Lilian H. Chaney, Jeanette S. Martin (1999), Intercultural Business Communication; Pearson Education

Clifford Geertz (1973), The Interpretation of Cultures; Basic Books, Inc., Publishers

Charles Handy (1995), Gods of management - The changing work of organisations; Arrow Business Books

Geert H. Hofstede (2001), Culture's Consequences: Comparing Values, Behaviours, Institutions and Organisations across Nations; SAGE Publications

Fons Trompenaars (2003), Managing People Across Cultures; Wiley, John & Sons, Incorporated

Change

Michael Beer; Nitin Nohria (2000), Breaking the Code of Change; Harvard Business School

Rosabeth Moss Kanter (1983), The change masters - Corporate entrepreneurs at work; Routledge

John P. Kotter, Dan S. Cohen (2002), Heart of Change: Real Life Stories of how People Change Their Organisations; Harvard Business School Press

John P. Kotter (1996), Leading Change; Harvard Business School Press

L. Maarse, W. Wentholt, A. Chibudu (1998), Making change strategies work - Gender sensitive, client oriented livestock extension in Coast Province, Kenya; Royal Tropical Institute, Amsterdam

Willem F.G. Mastenbroek (1993), Conflict Management and Organisation Development; John Wiley & Sons

Ian Smillie & John Hailey (2000), Managing for Change; Earthscan

Organisational learning

Chris Argyris en Donald A. Schon (1996), Organisational Learning II; Addison-Wesley Publishing Company

Bruce Britton (1998), The Learning NGO; Intrac

Peter M. Senge (1994), The Fifth Discipline. The Art and Practice of the Learning Organisation; Currency Doubleday

Takashi Tajima (2002), Capitalising on Knowledge Workers; Asian Productivity Organisation

Advisory practice

Chris Argyris (2000), Flawed Advice and the management trap; Oxford University Press

Robert Rogers Blake, Jane S. Mouton, Consultation: A Comprehensive Approach to Individual and Organisation Development; Addison-Wesley

Peter Block (1999), Flawless consulting: A Guide to Getting Your Experience Used Wiley, John & Sons, Inc.

Peter Cockman, Bille Evans and Peter Reynolds (1999), Consulting for Real People, a Client-Centred Approach for Change Agents and Leaders; Mc Graw-Hill

Michael I. Harrison, Arie Shirom (1998), Organisational Diagnosis and Assessment; Sage Publications, Inc.

Rick James (1998), Demystifying Organisation Development. Practical Capacity-Building Experiences of African NGOs; Intrac

Milan Kubr (1996), Management Consulting - A guide to the profession; ILO Geneva

Edgar H. Schein (1999), Process Consulting Revisited: Building the Helping Relationship; Addison-Wesley

Edgar H. Schein (1987), Process consultation. Lessons for Managers and Consultants; Addison-Wesley

ID/OS web-links

Models

- EFQM, the European Foundation for Quality Management has developed the EFQM Excellence Model (abbreviated and known as 'INK' in the Netherlands). Like the IOM or MacKinsey's 7 S model it is an overview model, focussing in this case at Quality (and as such presented in MDF" Quality Management course). See www.efqm.org/model_awards/model/excellence_model.htm
- MDF's IOM model almost literally include McKinsey's well known 7S model, which is presented in brief at www.buildingbrands.com/didyouknow/14_7s_mckinsey_model.shtml
- Daniel Ofman, working for Kern Konsult, developed the 'Core Quality' model. Information about publications and activities of Kern Konsult, concentrated in the Netherlands and Denmark, can be obtained from www.kernkonsult.nl

Tool(kit)s

- 'Promoting Institutional and Organisational Development. A Sourcebook of Tools and Techniques' published by DFID can be downloaded from the Internet. These Guidelines contain approximately 20 tools. The Guidelines do not provide step-by-step instructions, but a short impression of the various tools. See www.dfid.gov.uk/Pubs/files/inst_org_sourcebook
- Holger Nauheimer publishes a well-developed 'Change management toolbook' on the internet, geared at development co-operation. See www.change-management-toolbook.com
- KIT (Royal Tropical Institute) in Amsterdam (NL) and Stoas in Wageningen (NL), published a toolbox for RAAKS: Rapid Appraisal of Agricultural Knowledge Systems. As the title indicates it focuses on the agricultural sector and combines analysis at target group level with institutional analysis. For more information, see www.kit.nl/specials/html/untitled1.asp
- SNV Netherlands development organisation publishes tools on Local Governance at its web-site and on CD's, developed in collaboration with MDF. See www.snv.nl
- Tearfund International Learning Zone contains a resource book on 'Capacity self-assessment'. It contains a well-described workshop methodology for facilitators to help organisations motivate and develop themselves. See www.tilz.info
- USAID developed DOSA (Discussion-Oriented Organizational Self-Assessment) as a tool to measure and build organisational capacity: lessons from the field. See www.eldis.org/static/DOC8273.htm

- Eldis (see above), 'the gateway to development information', (sponsored by Scandinavian donors and IDS, Sussex, see below under 'Surfing'), also published the MAPA-PROJECT: a practical guide to integrated project planning and evaluation. See www.eldis.org/static/DOC10671.htm
- Sky Mark publishes around 20 'Management Resources, including graphical software, at www.skymark.com/resources/tools/flowchart.asp
- Kurt Lewin's force field analysis is a simple tool, close to MDF's Interest chart, and widely spread since its publication in 1951. Accel-team publishes the technique (and others) on their web-site at www.accel-team.com/techniques/force_field_analysis.html
- Participation Toolkit. This interactive website, the Toolkit, helps to promote citizen participation in local governance. It gives ideas and concepts for civil society, local authorities, civil servants, policymakers and development organisations. This toolkit is developed by 13 Dutch NGO's. It gives cases from over 60 countries that describe tools for involving citizens in urban and rural planning, democratisation and development processes. It analyses factors for success and failure and gives links to related sites. See www.toolkitparticipation.nl
- DFID Sourcebook (2003); Conducting INstitutional and Organisational Appraisal and Development: guidelines for DFID and Conducting Institutional Appraisal and Development Soucebook. The most recent version is also available on the internet: www.dfid.gov.uk/Pubs/files/inst_org_soucebook.pdf

Surfing

- The Institute of Development Studies (IDS), Sussex, is a leading centre for research and teaching on (participatory) international development. It employs Robert Chambers, a key figure in PRA (Participatory Rural Appraisal). Wesite www.ids.ac.uk/ids
- The European Center for *Development* Policy Management (ECDPM) links and supports institutions in the third word, lobbies for favourable donor policies towards development, and maintains the web-sites www.ecdpm.org and www.capacity.org. The web-site contains the article 'Mainstreaming Institutional Development: Why is it important and how can it be done?' by J. Bossuyt 2001
- www.bn.com brings you to the web-site of Barnes and Noble, like Amazon.com a publishing house where you can order books online, but (more importantly) where you can search for books by title and/or authors (see ID/OS literature list!), and/or keywords. The site also shows links (by showing which other books buyers ordered)

www.google.com is a useful and simple searching machine on any topic

10.4   About MDF

Mission and Approach

The Management for Development Foundation (MDF) was established in 1984 with the aim to contribute to improved management of organisations responsible for policy formulation, funding or implementation of development interventions. MDF-Training & Consultancy is a worldwide operating management training and consultancy bureau.

MDF delivers training and consultancy services. Our training services include standard training courses, tailor-made courses, facilitation and workshops. With regard to consultancy services MDF is active in most phases of the project cycle: identification, implementation, monitoring and evaluation of development interventions.

MDF aims to blend modern management theory and tools with practical experience in development programmes and projects worldwide. Our approach in training as well as in consultancy is of a practical nature, rich in visual elements and characterised by participation.

We deliver our services to clients belonging to a wide variety of organisations. These include donors, governments, non-government organisations and consulting firms, all involved in development interventions.

MDF trainers/consultants are specialists in their own particular fields and have practical experience in planning, implementing and evaluating of development projects. The staff is involved both in training and consultancy activities to ensure that they maintain a close link with day-to-day practice in the field. We believe that this way of working enriches the training courses and keeps MDF staff always at the forefront of development ideas and ensures their knowledge of best practices. MDF staffs are professional people with initiative. They create good and sincere working relations with the participants in the courses and clients in the field.

Products and services

However broad the scopes of development, MDF's focus remains on aspects related to management. The MDF products and services are aimed to strengthen organisations, projects and programmes, as well as individuals. When offering our services we look from these three perspectives and their interrelations.

MDF is organised in two clusters covering the two core parts of our activities. The Project Cycle & Operational Management (PCOM) cluster covers project management issues, portfolio management, monitoring and evaluation. The Human and Institutional Development (HID) cluster covers organisational analysis, capacity building, institutional development[1], human resources development and facilitation. The evident overlap is tackled by pursuing an intense co-operation between the two clusters and their staff-members. Within a cluster MDF staff always is active in at least two different subjects to

---

[1] In the section 'Facilitating Institutional Development and Organisational Strengthening' we describe MDF's products and services in these three areas (organisational analysis, capacity building and institutional development) in more detail.

avoid over-specialisation and to promote the learning element within the MDF organisation.
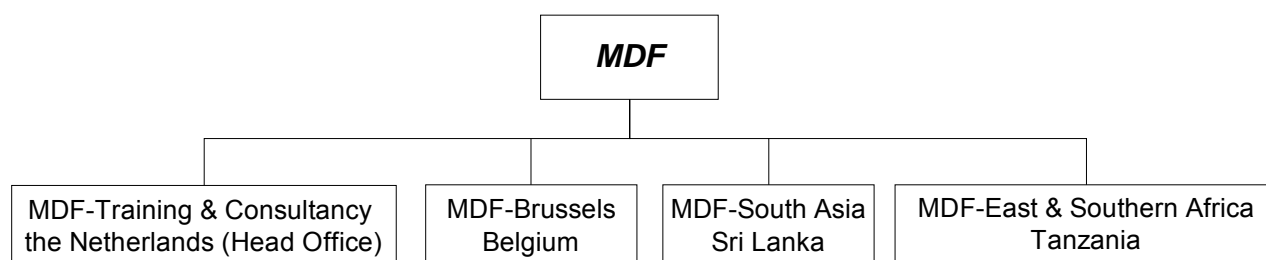
Areas of expertise in the field of management include planning, finance, monitoring, evaluation, and human resources. Other areas of expertise comprise analysis and strengthening of institutional settings and organisations. MDF also provides a course in training techniques for trainers and staff who are occasionally involved in training activities. Intercultural communication is an important element in all our courses.

MDF Group

The MDF Head Office is located in Ede, the Netherlands, and comprises MDF-Training & Consultancy, which implements all regular courses, tailor-made courses and consultancy assignments, and the MDF Foundation. Since early 2001, the role of the Foundation is restricted to research and product development, the results of which are applied and utilised by MDF-Training & Consultancy.

In addition, the Group comprises three branch offices: MDF-South Asia, situated in Colombo, Sri Lanka; MDF-Brussels in Belgium and MDF-East & Southern Africa in Arusha, Tanzania.

In total MDF employs 52 permanent staff members and in addition calls upon experts from its satellite network or its pool of freelance experts.

```
                            ┌─────────┐
                            │   MDF   │
                            └────┬────┘
        ┌────────────────┬───────┴───────┬──────────────────────┐
┌───────────────┐ ┌─────────────┐ ┌──────────────┐ ┌────────────────────────┐
│ MDF-Training &│ │ MDF-Brussels│ │MDF-South Asia│ │MDF-East & Southern Africa│
│ Consultancy   │ │   Belgium   │ │  Sri Lanka   │ │        Tanzania         │
│the Netherlands│ │             │ │              │ │                         │
│ (Head Office) │ │             │ │              │ │                         │
└───────────────┘ └─────────────┘ └──────────────┘ └────────────────────────┘
```

Consultancy services

MDF is engaged in the implementation of both long-term projects and short missions. The long-term projects usually involve organisational strengthening, management information (systems) and training. The short-term missions reflect the scope of MDF's expertise in general: training, facilitation and consultancy in formulation, monitoring and evaluation of development organisations and interventions. MDF has executed consultancies for almost all major international funding agencies, many bilateral donor agencies and for a considerable number of international and national NGO's.

If you are interested in our consultancy services, please contact the MDF Head Office for further information or a consultancy brochure, or consult our website.

MDF on the internet:

www.mdf.nl

The MDF website contains extensive information on all training courses and consultancy services. On this website we intend to open the Baobab Terrace, a forum for discussion and a vehicle for presenting ideas and techniques about management of development projects and programmes, for project managers, team leaders, desk officers and others active in development co-operation.

www.mdf.nl

Facilitating Institutional Development and Organisational Strengthening (ID/OS)

In this section we describe MDF's products and services related to ID/OS in more detail (information on other courses is available in our training brochure and web-site). Understanding an organisation starts with understanding the context in which it operates. When we strive to achieve the objectives of the development interventions, the performance of participating organisations is a crucial issue. This performance does not only depend on the internal strengths and weaknesses of the individual organisation. The ability to collaborate, the potential for networking, the social, economic and cultural setting highly influence the possibilities for organisations to enhance their performance and effectively contribute to the development within a particular sector.

In this complex environment of a wide variety of organisations with different objectives, priorities, strategies and approaches, development managers and advisers have the responsibility to optimise efforts and resources towards sustainable development. This requires a systematic approach in which MDF offers analytical tools to better understand organisations and their institutional setting. It also requires an eloquent understanding of organisational development processes and how the manager or adviser can guide these processes. And last but not least it requires particular skills to enable us to facilitate different groups and individual towards a mutual beneficial personal and organisational growth.

MDF has developed a three tier learning approach to acquire tools, processes and skills for managers and advisers working in these complex settings. The first course **"Institutional Development and Organisational Strengthening" (ID/OS)** will assist you to get a grip on a comprehensive set of tools to analyse organisations internally and externally as well as understand the influences of the institutional context on the performance of organisations. The ID/OS also provides strategy-oriented tools to transform this analysis into institutional and organisational development processes.

To further understand the intriguing dynamics of organisational development, the second course **"Organisation Development for Advisers and Consultants" (ODAC)** focuses you on the OD process itself. What does it take to unfreeze organisations and prepare them for change, how do organisations learn or unlearn for that matter and how can the ID/OS tools be applied in this learning process.

Working on organisational change means working with people. Working with people means applying inter personal skills. The third course **"Advisory Skills Course" (ASC)** helps you to understand which skills are appropriate to use in these organisational change processes. It also helps you to discover the skills you can apply best in your own working situation.

These three courses focus particularly on advisers, who try to understand the complexity of development interventions and are able to assist others to strategically choose the right direction.

International Advisory Trail

From 2004 onwards MDF offer the **International Advisory Trail** for advisers who wish to reach the level of excellence in guiding their client organisations through change

processes. The trail starts with an assessment of the current competency level of the candidate that forms the basis for the design of an individual learning trail.
If this assessment indicates one or more competencies still need to be developed further, the candidate and MDF define an individual learning trail, which typically consist of blended learning methods.

The trail includes at least:
- An assignment or aspect of the work of the candidate, backed by coaching by MDF (or professionals known to MDF) in the working environment of the candidate;
- Fifteen days of MDF training courses (or modules within such courses), that MDF offers worldwide (attended before or during the trail).

The trail can comprise for example:
- Individual distance learning with MDF or another training organisation;
- Inter-vision and exchange in peer;
- One or more training courses delivered by other training providers;
- Assistance by the candidate in an assignment MDF carries out for a client.

Once the missing competencies have been acquired and tested, the candidate obtains MDF's accredited certificate of the international adviser.

For more up to date information, please consult our web site or contact us directly.

Details on the courses

ID/OS

We define Institutional Development (ID) as the creation and/or reinforcement of a network of organisations, including their interrelations, in order to attain certain development objectives on a sustainable basis. Organisational Strengthening (OS) is aimed at improving the performance of individual organisations in view of overall development objectives. As such, the combination ID/OS provides a crucial and challenging approach to optimise the role of organisations in the development process.

Participants
Advisers, consultants and managers involved in enhancing institutional and organisational performance of development organisations.

Course objective
You will acquire a comprehensive toolkit to analyse organisations and the context in which they operate. You will assess the performance of organisations and learn how to decide on strategic priorities for institutional development and organisational strengthening.

Course contents
The MDF ID/OS concept provides a participatory approach to improve the functioning of development oriented organisations. Starting point is that preparation and implementation of development activities should take into consideration the needs of the target group, the capacity of existing organisations to meet these needs, and the importance of complementary organisations working together to deliver a complete package of products and services.

Institutional analysis
You will be introduced to the framework of ID/OS and the concept of sustainability. Applying various instruments, you will analyse the institutional setting, the relations between actors and the possibilities for co-ordination and collaboration to develop a network. You will make an assessment of the factors influencing the development intervention and identify most crucial opportunities and threats.

Organisation analysis
You will be shown how to make an assessment of organisations and their capacities to implement (development) activities. Using various tools, you will analyse internal organisational components like structure, systems, staff performance, management styles and culture, in terms of weaknesses and strengths. Based upon a sound institutional and organisational analysis. You will develop strategic options for improvement.

The ID/OS intervention
You will be trained how to formulate an ID/OS intervention plan involving different organisations, how to organise such a change process and how to analyse the different interests, dealing with resistance of various actors in the institutional setting.

Training method
Besides plenary and group exercises, an important component of the course is the individual assignment in which you will analyse a concrete ID/OS problem related to your own work under guidance of an MDF trainer. The trainers team strives to compose working groups within the course that can relate to each other's work whilst doing real-life assignments. The course also includes study visits to relevant organisations and presentations by external lecturers.

ID/OS Course Outline

	Week 1	Week 2
Monday	Framework of ID/OS Basic Question	Organisational analysis Staff, style and culture
Tuesday	**External quick scan** Integrated Organisation Model	Strategy and planning: Strategic Orientation Logical Framework
Wednesday	**Institutional analysis**: factors Scanning of major factors	Advisory process and skills Real-life case: Introduction
Thursday	Institutional analysis: actors Collaboration and coverage	**Real-life case:** Interviews Processing and presentations
Friday	**Organisational analysis** Structures and systems Process description	Individual assignment: Personal action plan Evaluation

ODAC

We define Organisation Development as a learning process directed towards improved performance and sustainability of the organisation as a whole. This growth process often requires assistance of an internal or external professional expert. Such an expert we call an adviser or consultant.

Advisers and consultants involved in organisational development processes need adequate know-how about concepts and tools for organisation diagnosis as well as skills to facilitate these processes. They should be able to make an analysis of all different organisational aspects, to design new organisational structures and processes and to guide the process of learning and change within the organisation.

Participants
Internal and external advisers and consultants assisting organisations (projects, local government institutions, NGO's, ministries) in their change processes. Participants should have basic knowledge of tools for analysis of organisations and their context (e.g. provided by the ID/OS course).

Course objective
In this ten-day course you will learn how to design and guide an organisational learning process, from the intake up to the implementation of change. You will understand and improve your own role and style as an adviser / consultant.

Course contents
Tools and approaches for organisation analysis and development
Concepts for organisational analysis and learning as well as change processes will be translated into practical approaches and instruments. You will use a number of tools; the ones you know and have applied yourself as well as those developed by MDF, to make a diagnosis of a client-organisation in a specific context.

Advisory process
The different steps in an advisory process will be explored, from intake to implementation, including matters like how to determine who are involved in the different stages of the process, how to avoid major pitfalls, or how to deal with interests and resistance from different stakeholders. You will learn how to assist a client in formulating the 'basic question' and how to do a participatory fact-finding exercise and prepare a diagnosis.

Advisory roles and styles
After an exploration of the possible roles of an adviser, you will practise these roles in different settings. You will reflect on your preferred style of advising and various case exercises will help you to focus on your ability to choose different roles for different circumstances. In addition you will practise some skills in real-life cases with intakes and interviews.

Training method
MDF values a real-life approach in this type of training programmes. Therefore, you will be asked to present cases from your own working experience for group discussions and applications. Substantial attention is also given to the application of ODAC tools and concepts in a real-life case situation, where you will visit a relevant Dutch organisation as advisers / consultants. The course also includes presentations by external lecturers and study visits to relevant organisations.

ODAC Course outline

	Week 1	Week 2
	Approaches and tools	**Advisory process**
Monday	Identifying learning challenges OD concepts and process Role and styles of an adviser	Real-life case exercise Intake Process preparation
Tuesday	Assessing the client system Tools for context analysis	Real-life case Fact finding and diagnosis
Wednesday	Internal analysis of organisations Options for strategic change	Real-life case Strategic orientation and advising the client
	Change	Individual assignments
Thursday	Learning organisations Change drivers and Challengers	Fact-finding and analysis Defining objectives Designing change processes
Friday	Change in practice Examples from real-life	Presentations of findings Learning points

ASC

Being successful as an adviser depends to a large extent on the skills of the adviser, of course in combination with the technical expertise. A successful adviser is able to establish a relationship with her/his clients. Credibility is a key issue here. The adviser can manage the expectations and make them match from both sides. (S)he is able to go through all different stages of the advisory process while using the right skills at the right time.

Skills that are needed in this process are: Making rapport, empathic listening, presenting, questioning, facilitating, observing, confronting and envisioning. The adviser is challenged by resistance and knows how to turn it into positive energy. Advising to a great extent is depending on interpersonal communication skills. Although the expertise of an adviser may be excellent, if the adviser is not able to detect what is going on in the client system and interact in an effective way, the change may never take place.

More and more professionals in development organisations fulfil the role of process consultant rather than bringing in technical expertise. You recognise yourself in this role? You are a professional who masters tools, has experience in change processes and you want to fine-tune your consultancy skills? Then this course offers you good opportunities.

Participants
Internal and external advisers with experience and know-how of various approaches and instruments in change processes. Participants preferably have attended already the ID/OS or ODAC course or are familiar with the tools and approaches used in these courses.

Course objective
This five-day course aims to make you aware of your own advisory style and role and to improve your personal advisory skills.

Course contents
Using the steps in an advisory process as a guide you will learn how to improve on your own role and style. You will learn how to use various skills in the different stages of the advisory process:
- Creating awareness during intake and fact-finding;
- Facilitating analysis by parties involved;
- Creating commitment during diagnosing and strategy making;
- Negotiating and influencing during implementation of changes;
- Learning people and organisations how to learn.

On the last day of the course you will, in a concrete case setting practice what you have learned. The evening sessions will be used for reflection and discussion about personal experiences as an adviser.

ASC Course outline

	Topics
Monday	Advisory processes and your role and style **Intake phase** Levels of communication / Management of expectations
Tuesday	**Fact-finding and analysis** Questioning Facilitating discussions / Do's and don'ts in facilitation
Wednesday	**Diagnosing phase** Confronting / Feed-back / Envisioning
Thursday	**Implementation phase** Negotiation / Decision-making / Mediation
Friday	**Helping organisations to learn** Interactive presentations / Counselling / Action planning

www.mdf.nl

Quick Steps

ID/OS Toolkit
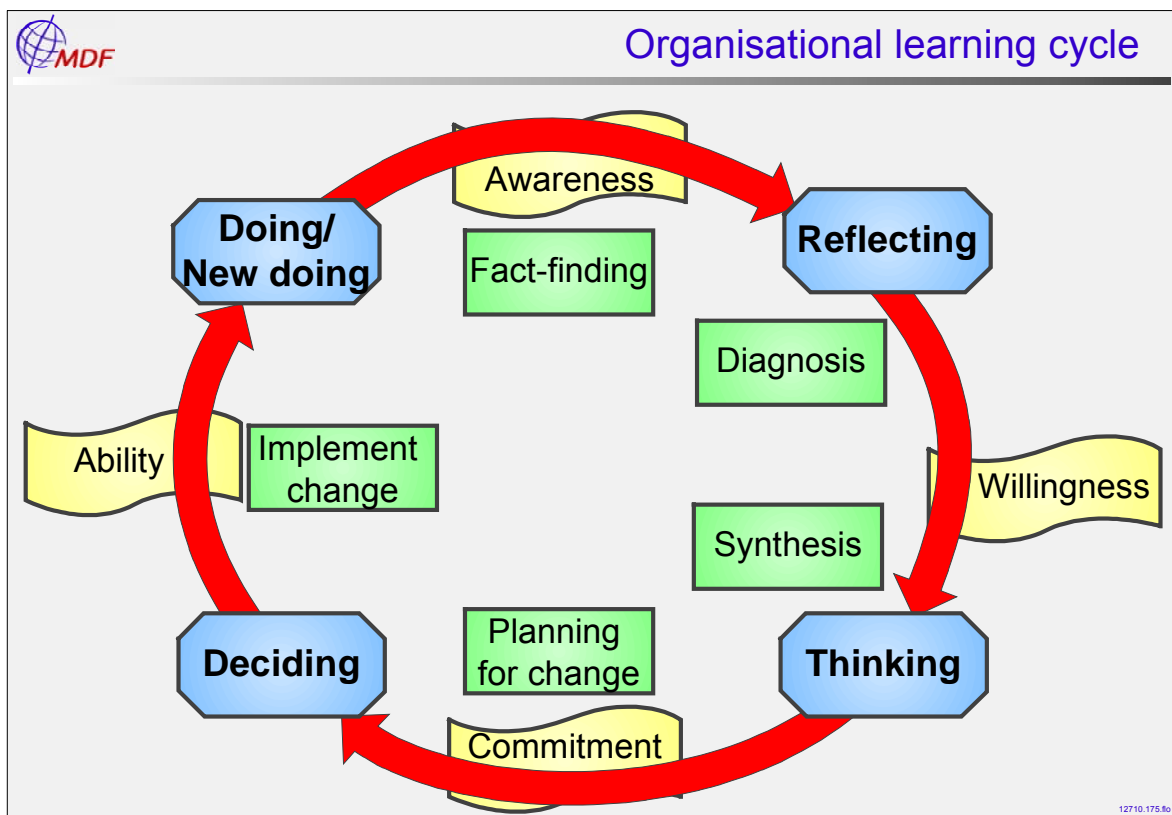
11.1　The Quick Step: Tool steps summaries

BQ

1. **Identify problem owner = Distinguish Organisational and Institutional**.

   Also identify other major actors, issues and elements

2. **Explore the problem**

3. **Verify the nature** of the question:
   - DA question
   - ID/OS (strategic) question
   - OS (internal) question
   - Risk analysis question

4. **Focus the criteria** for judgement (see Criteria):
   - Narrow and specific
   - Broad and general
   - An ID/OS question has at least one external and possibly one or more internal criteria.

5. **Adjust any time**, but then involve all concerned in formulation!
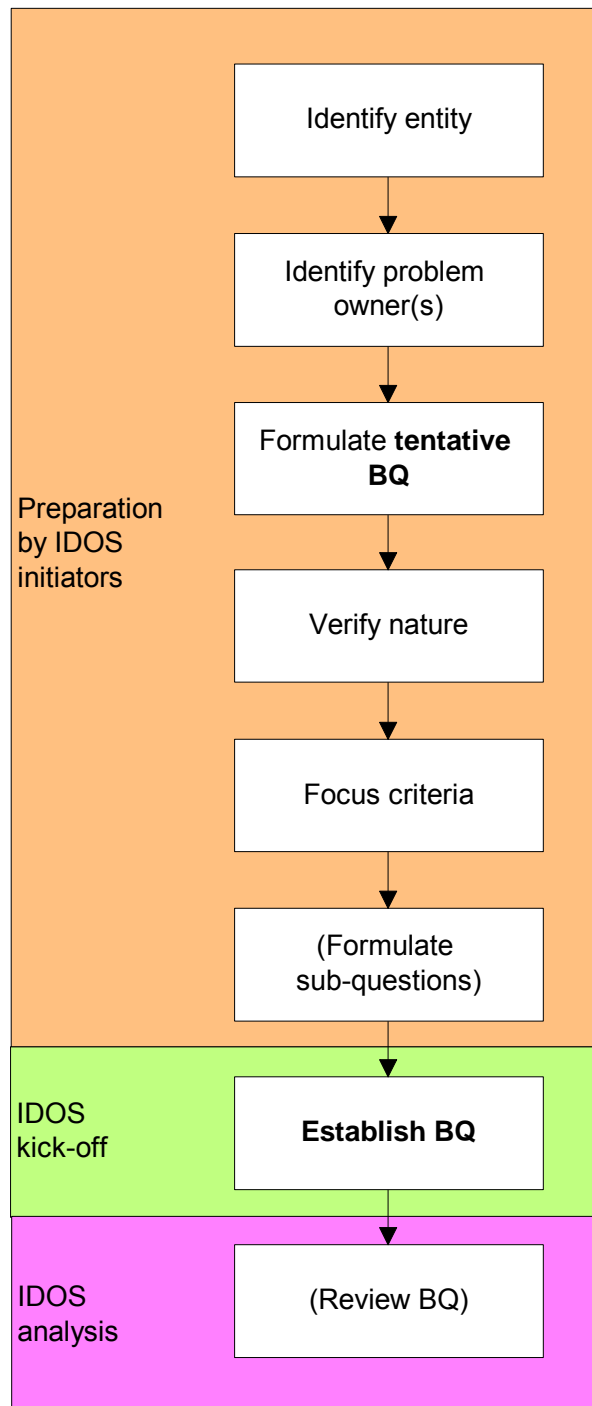
Preparation by IDOS initiators

- Identify entity
- Identify problem owner(s)
- Formulate **tentative BQ**
- Verify nature
- Focus criteria
- (Formulate sub-questions)

IDOS kick-off

- **Establish BQ**

IDOS analysis

- (Review BQ)

© MDF copyright 2004

www.mdf.nl

Key criteria for judgement

1   External

1.1	Legitimacy	Is the mission (and style) of the organisation in balance with the factors?
1.2	Effectiveness	To what extend does the organisation realise its plans?
	Result effectiveness (achievement)	To what extend does the organisation (only) produce/deliver the intended output?
	Purpose effectiveness	To what extend does the organisation (only) produce/deliver the intended outcome?
	Development effectiveness (impact)	To what extend does the organisation (only) produce/deliver the intended impact?
1.3	Suitability	Is the organisation fit to produce/deliver its assigned (or considered) task?

2   Internal

2.1	Efficiency	What is the balance between the input and the output of this organisation?
	Cost-effectiveness of purpose (outcome)	What is the balance between the input and the outcome of this organisation?
	Cost-effectiveness of mission (impact)	What is the balance between the input and the impact of this organisation?
2.2	Flexibility	**Can the organisation cope with the unexpected?**
2.3	Timeliness	**Is the time span in which the organisation responds/ delivers short enough?**

3   Future oriented

3.1	Continuity	Is the organisation able to continue (also after funding ends)?
3.2	Viability	Will the planned organisation flourish in its external context (stakeholders)?

X   General criteria

X.1	Performance	What and how well does this organisation produce/deliver?
X.2	Capacity	What and how well is this organisation able to produce/deliver?

Client system

Contact clients

They approach the advisor/consultant (or agency) initially

Intermediate clients

They participate in various meetings on fact finding, assignment planning, review alternatives, etc.

Sponsoring clients

They provide (financial resources) to make the assignment possible. Often sponsors also negotiate and engage in the contract with the contract client (thus performing the role of contact and/or intermediate client)

Contract clients

They play a key role in the consultant selection procedure and/or in negotiating his/her contract. They guard the contract from the side of the client and judge whether the outputs meet the contract

Primary clients

WHO KNOWS, WHO CARES, WHO CAN. They own the problem for which they *need* and *want* help. If they do not want the help the contract client arranges, they are still actors, but not clients!

Ultimate clients

The welfare and interests of this target group will ultimately be affected by the assignment (usually poor/disadvantaged, but possibly a donor agency)

Organisational Learning Cycle

1. At what stage is the problem owner and are other stakeholders in the cycle?

2. If the bottleneck to progress are in the yellow steps, take a process facilitation role
   - Have they realised the problem (awareness, feedback)
   - Are they thinking of alternatives (willingness to change)
   - Have they decided already (commitment to change)
   - Are they able to implement?

Organisational learning cycle
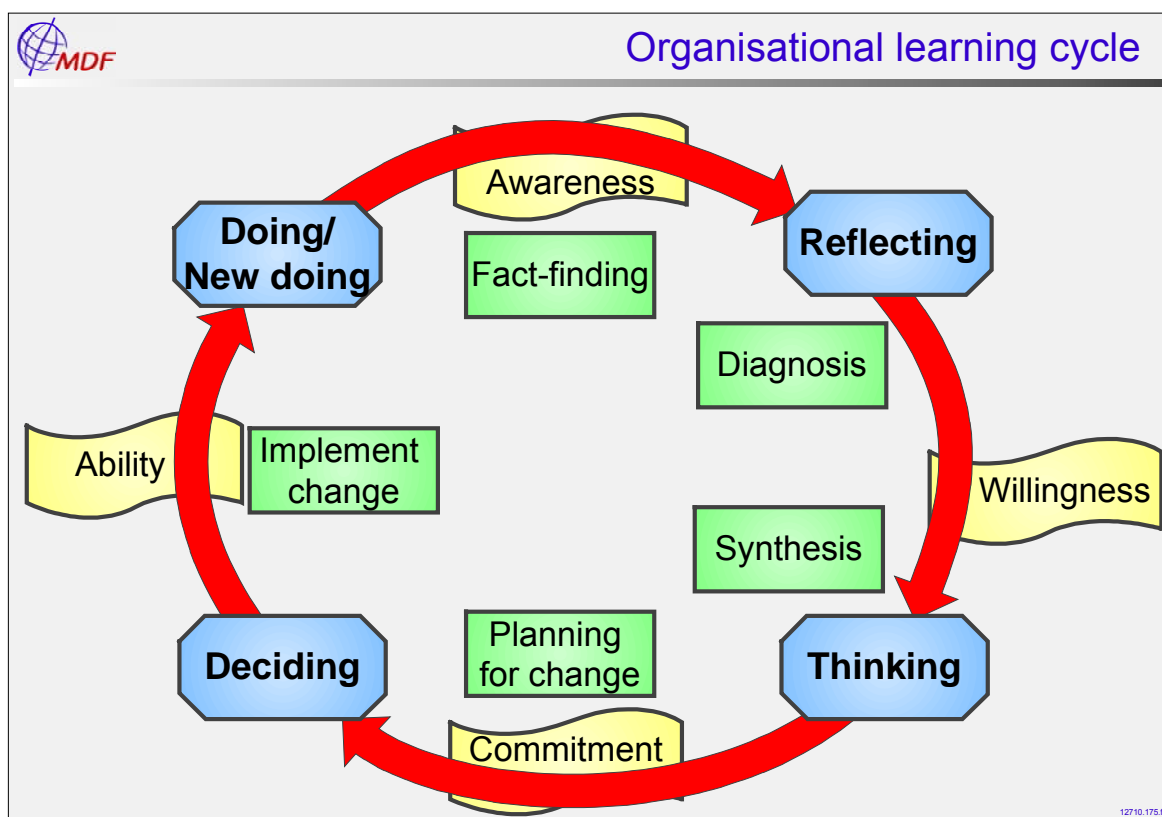
Stakeholder analysis

1. **Identify the stakeholders**

2. **Identify interests**

Interest table

Stakeholder	Interests	Benefit from (planned) change (+, ±, -)

3. **Develop a benefit-influence matrix**

Benefit-influence matrix

	Low influence (A)	High influence (B)
Benefit (1)		
Neutral (2)		
Damage (3)		

4. **Draw conclusions**

5. **Develop a stakeholder participation matrix** (for the diagnosis process)

	Stakeholder 1	Stakeholder 2	Stakeholder 3, etc
Intake workshop			
Mission workshop			
Institutional analysis			
Strat. options workshop			
Organisational analysis			
SOR workshop			
Operational planning			
Change implementation			

```
I   = Inform (gets informed)
A   = Consult (gives advise)
P   = Partnership (gives approval)
D   = Control (takes decision)
[R  = Supervision, if internal divisions of an organisation are in this matrix]
```

6. **Check the participation**

© MDF copyright 2004

www.mdf.nl

Drama Triangle

A   **Work with yourself**
- Analyse your own *script*:

B   **Work with the relation.**
- Analyse underlying dynamics in the *pastime* or *Game*.

    Bate + *Weak spot* = Response -> *Switch* -> Confusion -> *Pay-off*

0. The origin of the *bate*: Recognise the *discounting* and *drivers* behind the *bate*. Look for verbal and non-verbal signals that indicate the position.

1. Recognise the *bate* (or 'invitation').

2. Deal with the *confusion*.

3. Refuse the negative *pay-off*.

IOM

Integrated Organisation Model

Factors: economic, technical, political, socio-cultural influences

Input

Mission

Structure

Systems   Strategy

Organisation

Management
Style   Staff

Output

Culture

Actors: suppliers, financiers, competitors, partners, target groups

ISA

© MDF copyright 2004

www.mdf.nl
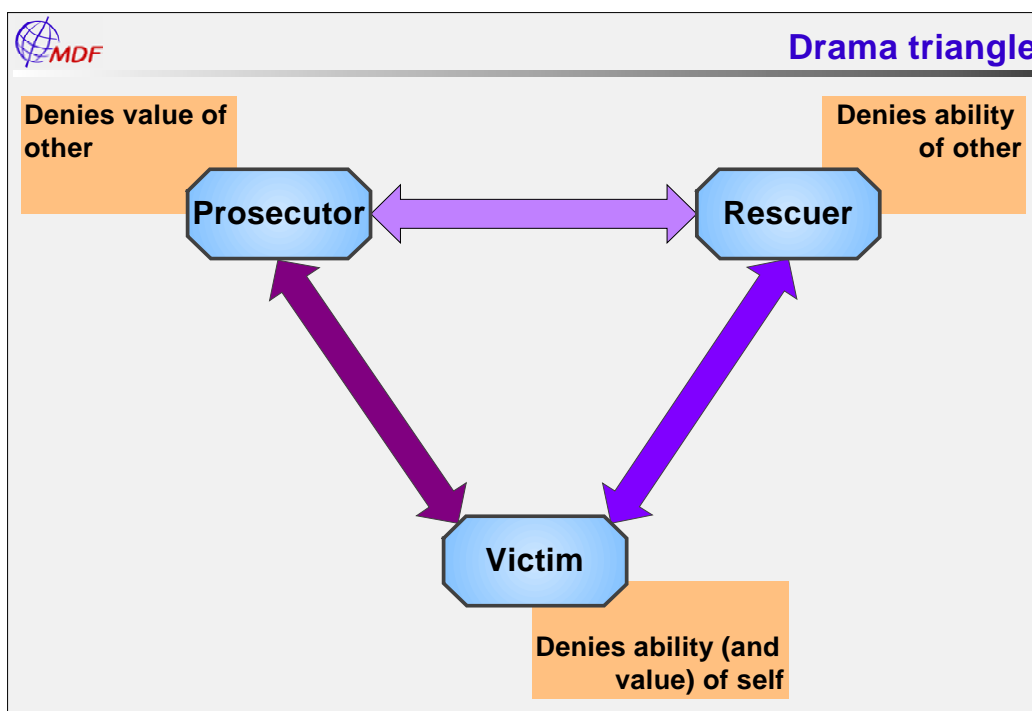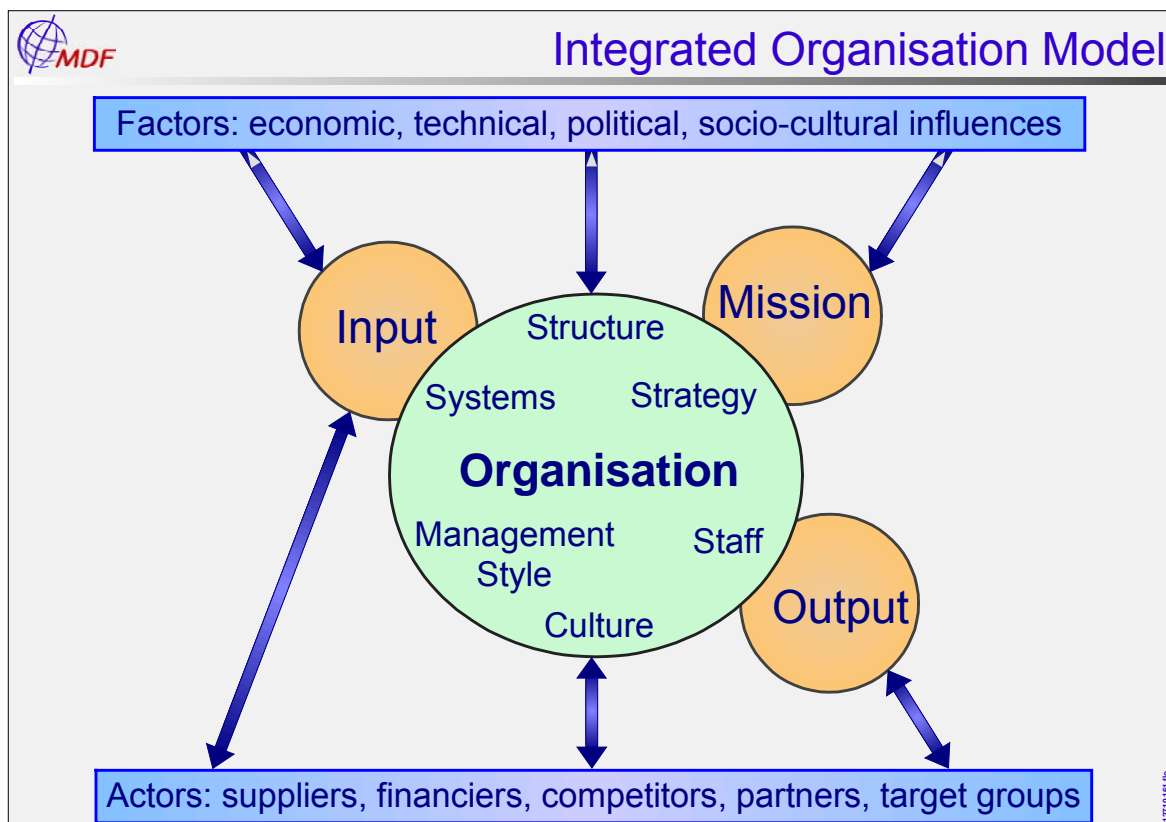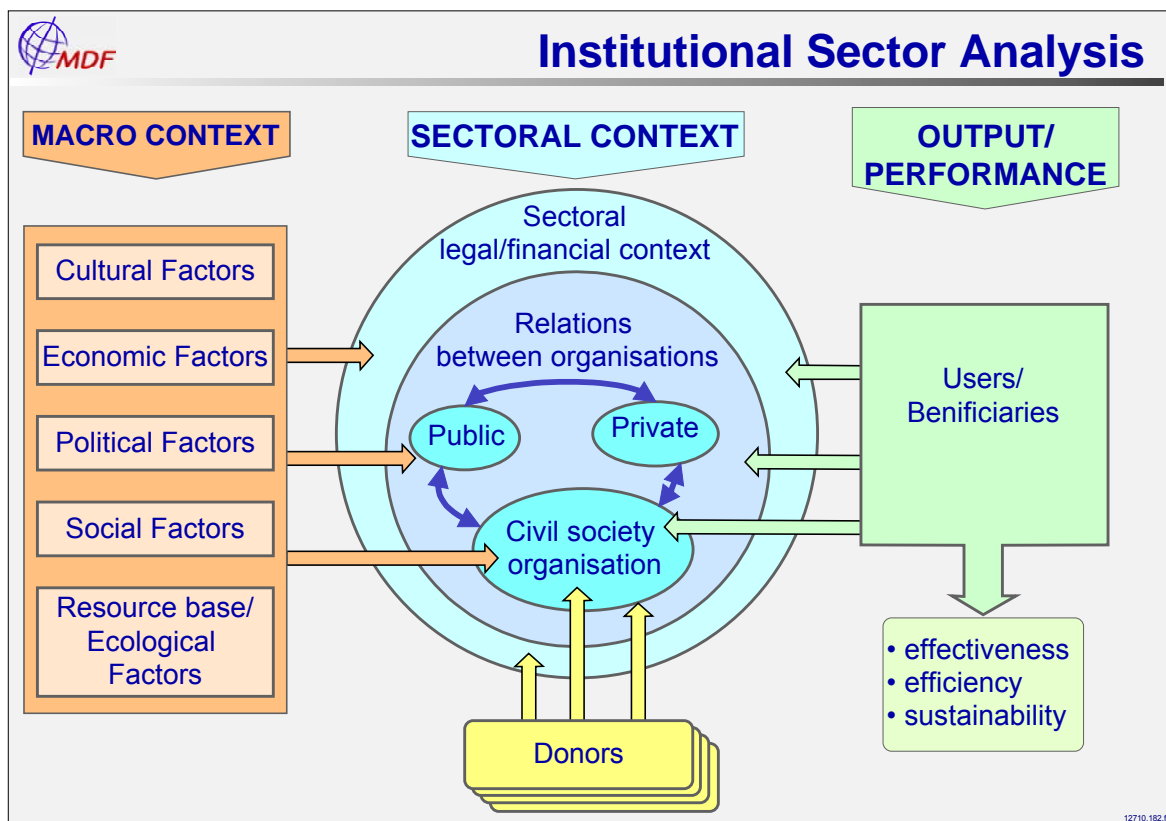
Quick scan

1. **Identify the facts**

2. **Make preliminary judgement**

3. **Prioritise areas**
   - For further diagnosis and change
   - Indicate areas that will *not* be dealt with
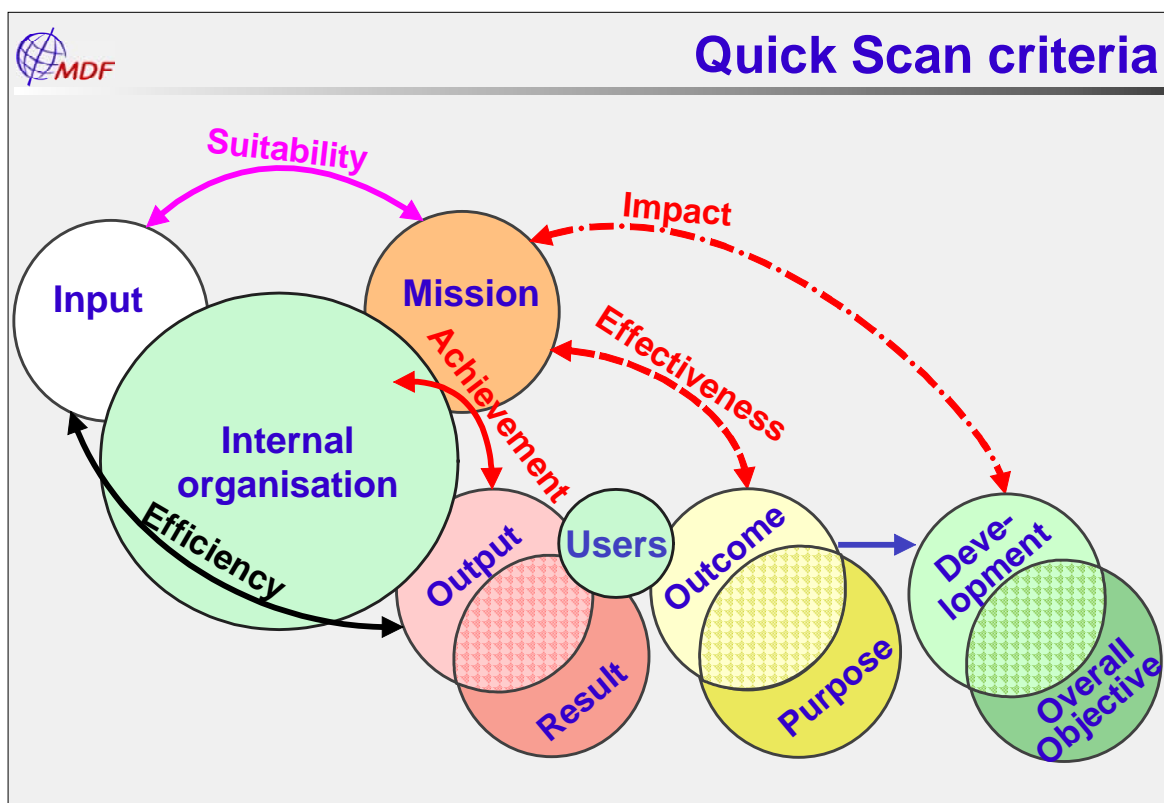
Quality definition chart

1. **Explore the elements of performance**

Product/ service	Elements of performance			
	Client/ target group	Quantity	Quality	Price
Product/ service 1				
Product/ service 2				

2. **Define Customer requirements**

3. **Define Indicators**

4. **Set targets**

Envisioning

1. **Introduce the dream**

2. **Dream individually**

3. **Cluster and add** more and more wild ideas

4. **Realise dreams** what should be done

5. **Criticise dreams** – or reality check

6. **Prioritise and choose** objectives and/or actions
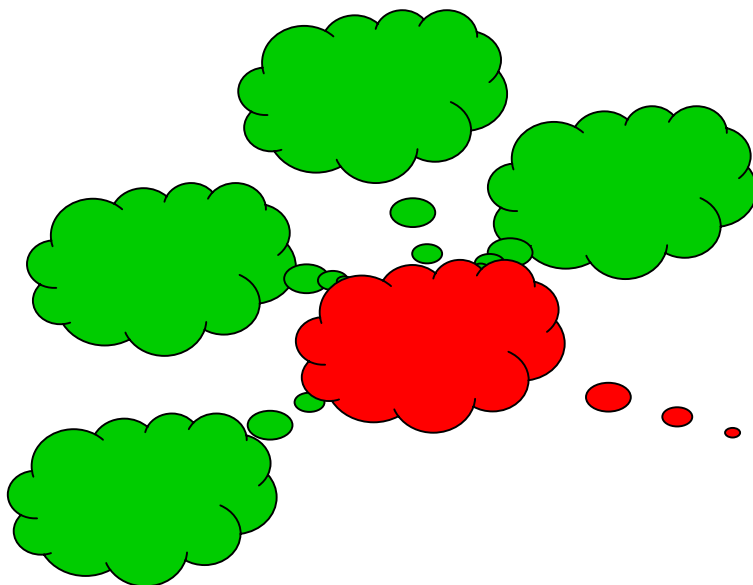
Evaluation grid

1. **Define the organisation requirements**

2. **Identify the options** – the available inputs

3. **Define the aspects** that are relevant to assess

4. **Agree on the weight of aspects**, and the criteria for judgement

5. **Rate the options**

6. **Compare ratings**. If big difference:
   - Break down the interests/criteria behind the judgements
   - Take the average score

7. **Decide on negotiation**

Example of an Evaluation Grid

| Score 0-10 per aspect	Team 1				Team 2			
	Assessment Minister		Assessment Adviser		Assessment Minister		Assessment Adviser	
Content	**#**	**Reason**	**#**	**Reason**	**#**	**Reason**	**#**	**Reason**
1. Comprehensive analysis (treating key IOM elements)	5		4	Problems not clearly diagnosed	8		9	They indicate that studies will overcome lack of data
2. Use of performance criteria (not side tracking)	5	Unexplored	4	No criteria used to select strategy	6	Timeliness, but not explicit	7	Implicitly they indicate time factor is priority issue
3. Proof of credentials/own capacity/trustworthiness	10	Ideas and own experience clearly shows	9	Indicate relevant professional achievements	3	Own capacity and enthusiasm not shown	5	Guess is OK, but not shown
4. Proposed actions concrete and fitting problem analysis	6	Eco-tourism idea shows initiative	4	Rich initiative, but inappropriate (at least premature)	9	Idea to conduct consultancy and workshop very practical	8	Only short-term, but includes plan to make rolling plan
Process								
5. Respect and appreciation for Ministerial management	9		7	Bit too polite	9		8	
6. Caring confrontation (objective rather than personal focus)	7	They did not confront at all	3	Avoid confrontation	6		4	Make little use of 'newcomer' opportunities
Presentation								
7. Clear introduction, structure and conclusion	5		8	Nice handout	7		7	Good visual aids
8. Convincing visual aids	6	Too many details and words	4	Model not explained	8		5	Boring
Total	53		43		56		53	

© MDF copyright 2004

www.mdf.nl

Environmental scan

1. **List all external factors**

2. **Assess your power** over the factor: Appreciation, influence or control

3. **Assess the impact** of the factors

4. **Place the factors** in the four areas

5. **Analyse the scan**
- Where are the major positive and negative factors? Check whether they are truly external
- Are demand and supply in balance?
- What should be done to influence relevant influencible factors?
- Which are factors you want to strategise upon?
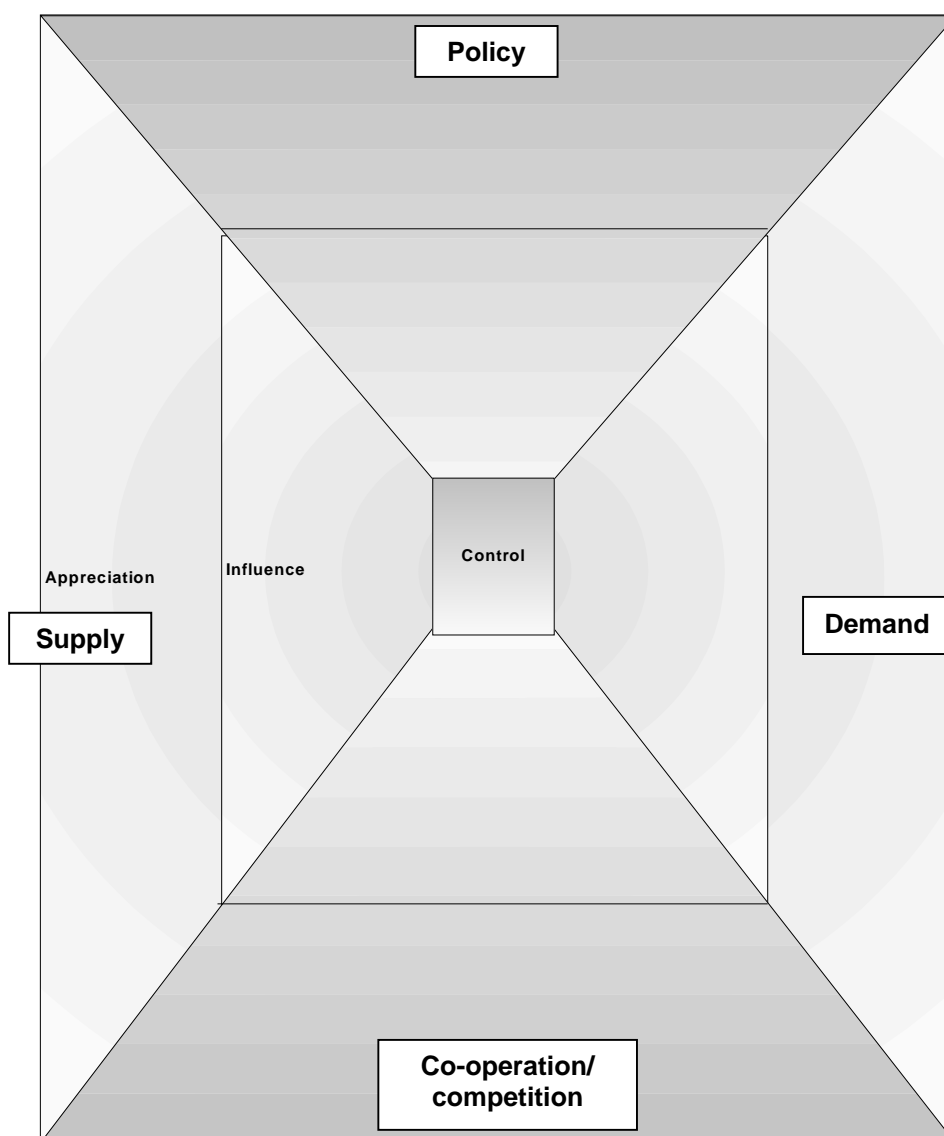
Problem area matrix

1. **Identify the activities** (sequential and non-sequential) of the target group in the desired future

2. **Optional: Identify opportunities and threats** and link to target group activities

3. **Identify the support** the target group *requires* (at result rather than at activity level)

4. **Assess the intensity of support needed** (also in view of the factors)

> This type of support is not needed for this activity
> X   Limited need
> XX   Substantial need
> XXX   Major need

5. **Assess the problems**. Underline support that is currently not sufficiently provided

6. **Analyse the matrix**
   - Where are crucial problems?
   - Which problems are (in)dependent?
   - Do *NOT* take total of columns or rows

Example of a problem area matrix

	Production of pre-basic seed potatoes	Production/ stocking of seed potatoes	Commerciali-sing seed potatoes	Production and trading potatoes
Commercial support				
Credit	**x<u>x</u>**	**x<u>x</u>**	**x<u>x</u>**	**xxx**
Inputs (e.g. fertilisers)	**x**	**xx**		**xx**
Non-commercial support				
Research	**x**	**<u>xx</u>**	**x<u>x</u>**	**xxx**
Quality Control	**x**	**xx**	**x**	
Training and Extension	**x**	**xx**	**x<u>xx</u>**	**xx**
Farmers Organisation	**xxx**	**x**	**x<u>xx</u>**	**xx**
Promotion & information	**x**	**x**	**xxx**	**xx<u>x</u>**
Provision of infrastructure & equipment	**xx**	**x**		
Promotion & use of equipment	**xx**	**x**	**<u>x</u>**	**xxx**

Institutiogramme

1. **Define the actors** to include

2. **Position the actors** in a map

3. **Define the type of relations**:
   - Hierarchy, Services/inputs, Communication, Co-operation, Financial flow

4. **Draw arrows** to show the relations
   - Different types/colours for different relations
   - An arrow at one end (or both ends)
   - Actual and/or formal?

5. **Show the intensity** of relations with line thickness

6. **Judge the adequacy** of the relations:
   - Clearly distinguish *internal* and *external* aspects of your relationships
   - Also look at relations that *do not* exist, and write conclusions on cards under the institutiogramme
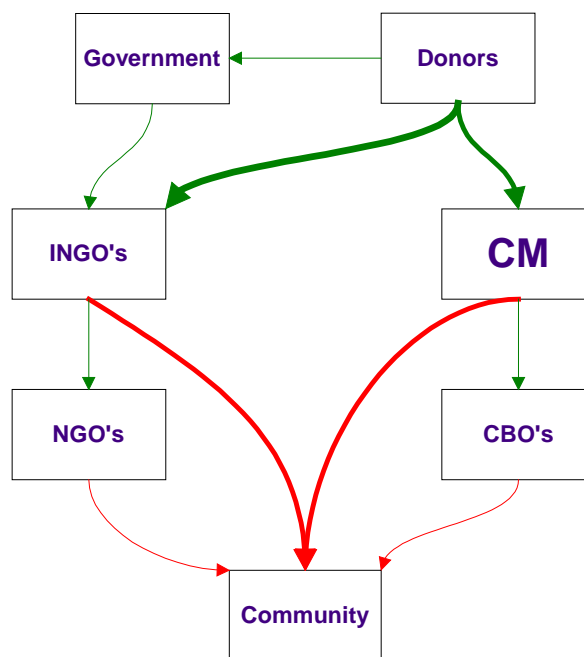
Coverage matrix

1. **Choose type**:
   - Actors/suppliers - Products/services - Clients/target groups

2. **Define the sub-division.** Identify actors/products/services/target groups

3. **Assess the involvement** per actor/product
   - \-   No Involvement
   - X   Limited Involvement
   - XX   Substantial Involvement
   - XXX Major Involvement
   - ?   Involvement not known

4. **Analyse the matrix**. Where are:
   - Gaps and overlaps
   - Who can best deliver which service
   - Where is co-ordination needed
   - Recommend further research if no judgement is possible. 'Being uninformed' is in itself also a weakness or threat

Example of a coverage matrix

	Check reports to donors	Buy cars	Buy computers	Maintain cars	Maintain computers	Buy office supplies	Buy medicines	Total (involvement)
PSU INGO	XXX	XX	XX	X	XX	XX	XX	14
Programme departments INGO	!!						!	3
Regional offices INGO	!!				x	!!	x	6
INGO Kenya	OOO	XXX	XXX	XOO	XX	OOO	OX	19
Government	O	O	XX	OO	X	O		8
UNICEF local			XXX		XX		XXX	8
National referral hospital				O	O	O	XX	5
Health NGO local	OO		O				XX	5
IT business local			!!		XXX	x		6
INGO workshop 'Prado'		OOO		XOO				6
Total (issue coverage)	14	9	14	11	13	6	6	

Interlinked organograms

1. **Depict the hierarchy**
   - Determine the actors that interact
   - Within each organisation draw the organogram

2. **Determine the level of linkage**

3. **Draw conclusions** on the formal (final) way to address issues, and about the appropriate attitude and relations if informal resolutions are pursued

4. **Test understanding and agreement among stakeholders**.
   - Develop imaginary cases of conflict
   - Give persons a role
   - Resolve misunderstandings and disagreements

Example of an Interlinked Organogram
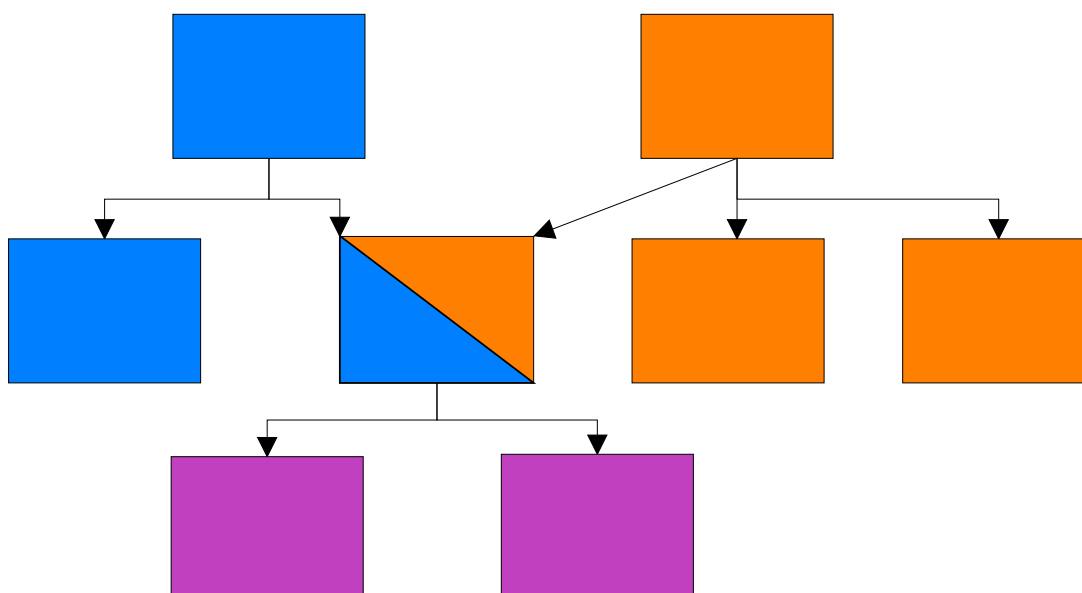
Collaboration chart

0. **Choose two actors** for whom you want to visualise the relevance and feasibility of their (potential) collaboration

1. **Choose the (potential) area(s)** of collaboration

Collaboration chart

Aspect	Binding factors	Assessment + -	Unbinding factors
Environment			
Mission/ Objectives			
Outputs			
Inputs			
Organisation			

2. **Identify binding and unbinding factors** (complementarily, compatibility, similarity)

3. **Assess the strength** of the factors
   => Some importance
   ==> Substantial importance
   ===> Major importance

4. **Analyse the chart**
   • The major factors, the balance of all factors?
   • Check whether binding or unbinding factors come from characteristics of the other party (opportunities and threats), or yourself (strengths and weaknesses). If both parties are internal to the BQ all fact are strengths and weaknesses

Strategic options

0. **Assess the external context**, in terms of opportunities and threats

1. **Prioritise and cluster** opportunities and threats

Clustering and relevance rating matrix

	Opportunities and threats	Strategic options	Relevance to BQ
1			
2			
3			
4			

2. **Develop strategic options**

3. **Rate the options** in terms of _relevance_ (not _feasibility_)

Strategy assessment

1. **GOAL: Check the mission and guiding principles**

2. **NOW: Check the situation analysis**

3. **ROAD: Assess the strategy logic**

3.1 **Assess strategy appeal**

3.2 **Assess risks**

3.3 **Assess strategy practicality** (SMART)

3.4 **Assess strategy implementation** and monitoring

Organogram

1. **Determine formal structure** and draw the organogram

2. **Evaluate grouping**

3. **Determine responsibility-power balance**:
   - Unity of command
   - Exception principle
   - Decentralisation/Delegation
   - Authority
   - Conflicting interests
   - Span of control/managerial responsibility
   - Scalar principle
   - Differentiation, but
   - Integration

4. **Evaluate co-ordination** in terms of
   - Vertical and horizontal co-ordination
   - Required and actual
   - Timeliness, quality and commitment

5. **Evaluate conflict resolution** and informal reality:

Mintzberg matrix
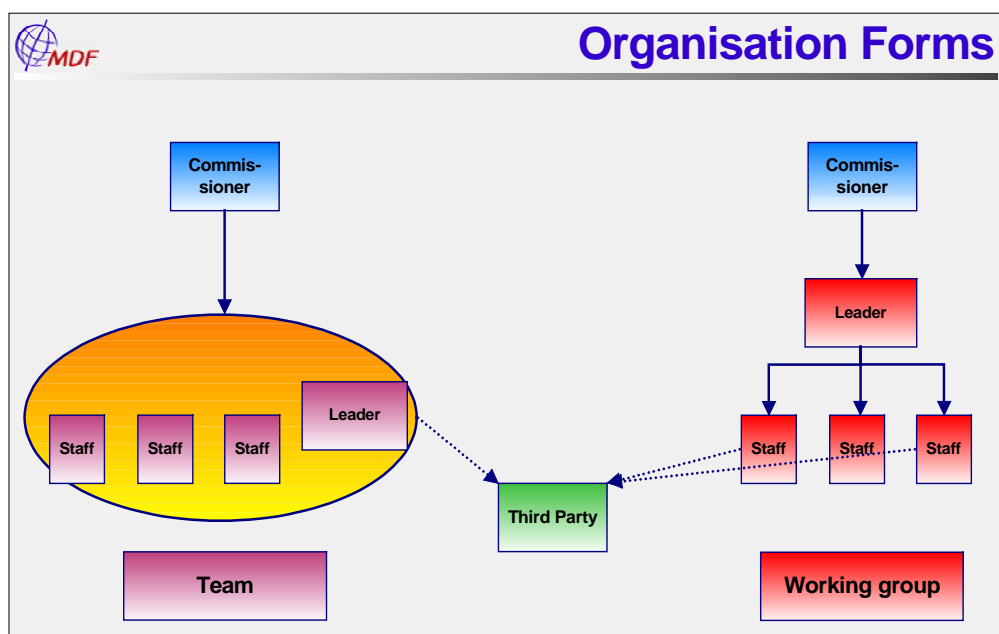
1. **List all positions/functions** and the related number of staff (formation places)

2. **List the activities** of the organisation

3. **Categorise the activities** into the basic parts

4. **Identify the time expenditure** per function/position

Function	Persons	Core	Middle	Strategic	Support	Techno	Total
Total							
Percentage							

5. **Draw a Mintzberg Mushroom**

6. **Optional: Assess co-ordination**

7. **Draw conclusions**
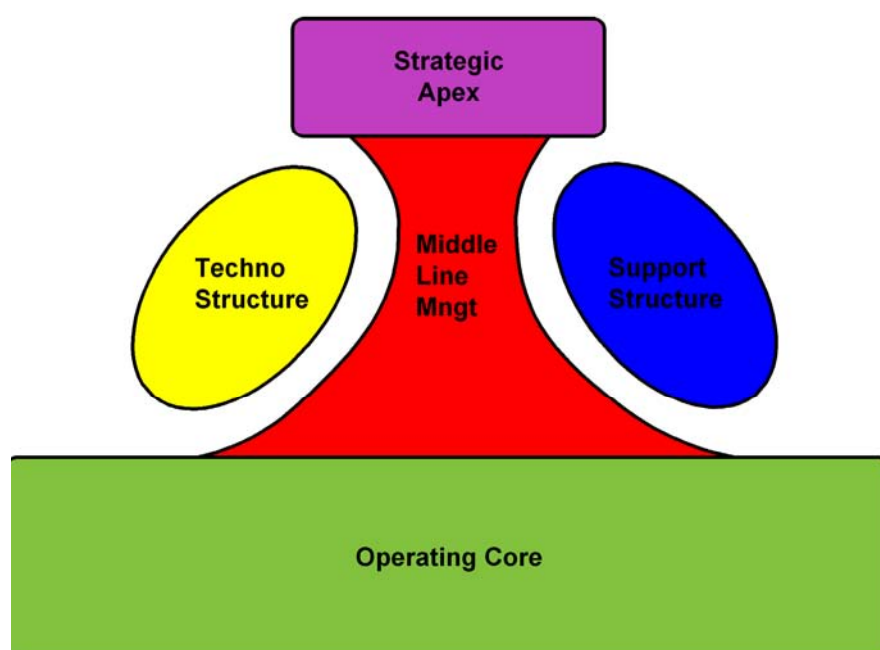
Process flow chart

1. **Choose the process**.

2. **Describe the process**

   • <u>State the start and end</u> point (outcome/result)

   • <u>Divide the process</u> in 5-10 activities

   • <u>Identify decision moments</u>, in yes/no questions

   • <u>Identify the responsible</u> person/unit for each activity

   • <u>Identify the information</u> coming into or going out of the process

   • <u>Connect the symbols</u> with lines with arrows
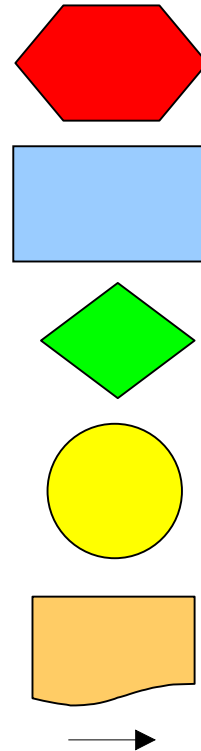
3. **Add key information**
   • Volume
   • Time/Cost
   • Duration

4. **Identify possible bottlenecks**:
   • Why does the activity/decision take place?
   • Why does the activity/decision take place at this point in the sequence?
   • Why is this person responsible for this activity/decision?
   • What are the risks (what can go wrong)?

5. **Assess options** for improvements: Leave out, combine/change, simplify, change the responsibility

6. **Evaluate improvements**, in effort, time, quality, resources, working conditions

www.mdf.nl

Management style assessment

Priority area matrix

1. **Choose priority categories**:
   - The 11 IOM elements
   - The 8 Quinn roles

	Required	Current	Conclusions	Priority
External				
Actors				
Factors				
Input				
Output				
Mission				
Internal				
Strategy				
Structure				
System				
Staff development				
Culture				
Planning/control				

2. **Rate the required** management style

3. **Rate the current** management style

4. **Compare and propose** action

Style matrix

Decision style	Required	Current style	Conclusions	Change priority
Staff initiative				
Staff input				
Staff power				
Innovation				
Risk taking				
Perseverance				
Adaptation				
Flexibility to staff				
Own commitment				
Staff commitment				

1. **Choose management style categories**:
   - The listed decision-making styles
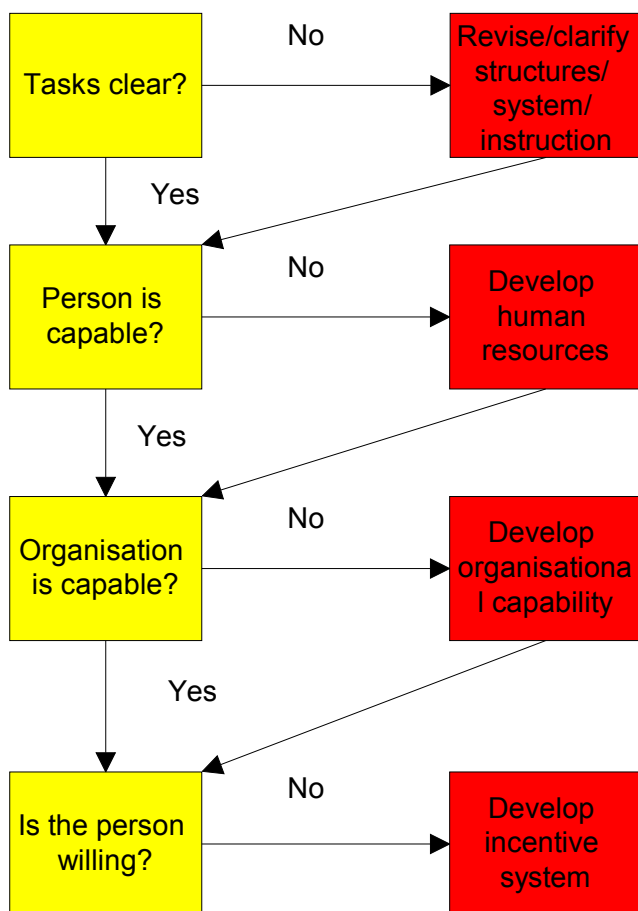   - 24 Skills belonging to the Quinn roles
   - Required critical competencies

2. **Rate the required** management style

3. **Rate the current** management style

4. **Compare and propose** action

Staff conditions algorithm

Flowchart:

- **Tasks clear?** (yellow) — No → **Revise/clarify structures/ system/ instruction** (red); Yes ↓
- **Person is capable?** (yellow) — No → **Develop human resources** (red); Yes ↓
- **Organisation is capable?** (yellow) — No → **Develop organisational capability** (red); Yes ↓
- **Is the person willing?** (yellow) — No → **Develop incentive system** (red)

Competency profiling

1. **Formulate the goal**

2. **Mobilise top-management commitment**

3. **Appoint a working group**, to prepare profiles and communicate

4. **Inventorise competencies**, maximum 25

5. **Make preliminary description** per competency

6. **Determine 1-3 core competencies**, which count for everyone in the organisation

7. **Determine 2-5 cluster competencies** per cluster that count for clusters of positions. Determine potential career paths within the cluster

8. **Determine 3-10 position competencies** for each position

9. **Develop competency profiles,** consisting of:
   - Title and content
   - Organisational context (mission, strategy, values)
   - Planned results
   - Required competencies. For each competency: a description of the competency, the critical circumstances, excellent behaviour under critical circumstances and around five SMART indicators

10. **Finalise the dictionary** of profile descriptions, and have it approved

11. **Follow-up**:
   - Recruitment and selection
   - Performance management
   - Training and development
   - Reward management

Core quadrants

1. **Formulate the** purpose for which you want to use Core quadrants

2. **Identify a key pitfall** of the person/group

Qualities keep the middle between fundamental emotions and actions

Fundamental emotion	Quality		Action/behaviour
	Core quality	Pitfall	
Love	Caring	Obtrusive	Talks for others
Afraid	Concerned	Distrust	Always double checks
Compassion	Committed	Meddlesome	Nervously asks many details

- To change a fundamental emotion into a quality ask: *How is that expressed (effect)*?
- To change action/behaviour into a quality ask: *Why; What does that express (cause)?*

3. **Realise core quality**, corresponding to the pitfall. Check that the description exactly fits
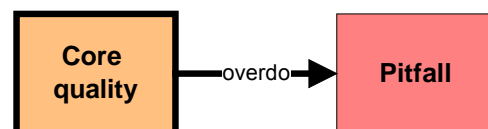
4. **Identify the allergy**
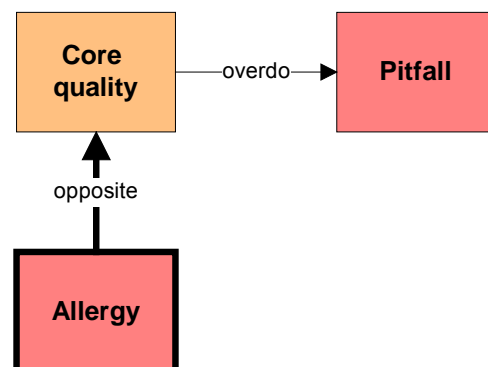
5. **Identify the challenge**
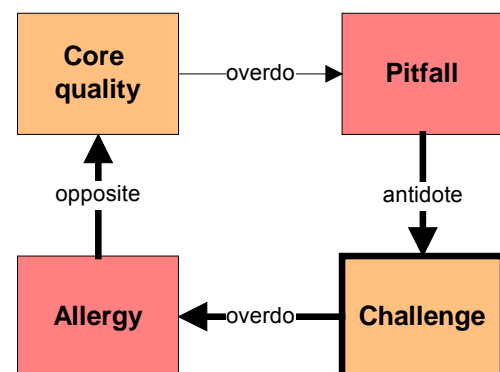
6. **Agree on an action plan**. The plans should be VEPP-C:
   - Verifiable and specific
   - Ecological or fitting the context
   - Personal
   - Positive
   - Contractual

7. **Identify strength and weaknesses** (if using core quadrants in a SWOT analysis)

© MDF copyright 2004

www.mdf.nl

Organisation culture Checklist

0. **Establish owner and BQ**: Establish who wants a culture analysis and for what purpose

1. **Establish the desired situation**,

2. **Establish the actual situation**,

3. **Identify** contradictions, mismatches or tensions within or between:

4. **Reflect on major gaps** and tensions to address.

5. **Decide on further research** (areas and interventions)

	Very important (receives major attention)	**Important**	**Some** importance	**Little** or no importance (almost no attention)
Outputs				
Quality of products & services				
Quantity of products & services				
Income from products & services				
Inputs				
Having qualified/motivated staff				
Having good infrastructure				
Having good financial resources				
Actors				
Relations with Customers				
Relations with Government				
Relations with Partners/ Competitors				
Relations with Financiers				
Relations with Suppliers (e.g. energy)				
Strategy				
Long term planning (3-5 years)				
Short term planning (up to 1 year)				
Follow up on planning				

Self-assessment questionnaires

1. **Decide on categories** within the group whose answers you want to trace

2. **Decide whether to work anonymously**

3. **Let individuals judge** the perceived ('actual') and desired ('should')

Group culture questionnaire, some examples

			Rare		Sometimes		Always	
			1	2	3	4	5	6
1.	Punctuality in time	Actual						
		Should						
2.	Learning from setbacks/problems	Actual						
		Should						
3.	Challenging the leadership	Actual						
		Should						
		Actual						
		Should						
		Actual						
		Should						
		Should						
11.	Showing respect to each other	Actual						
		Should						
12.	Side-tracking or too deep discussion	Actual						
		Should						
13.	Taking time to reflect and evaluate	Actual						
		Should						
14.	Sharing personal believes or values	Actual						
		Should						
15.	Having fun together	Actual						
		Should						

4. **Draw arrows** showing the average desired change

5. **Reflect on the collective outcome**
   - Largest divergences in perceptions?
   - Largest divergences in ideals?
   - Agreement on the need for change?

6. **Agree on procedures and actions**

SOR

1. **Clarify the status** of the workshop

2. **Prioritise 4-5 SW**

3. **Match options with S&W's** = Judge _feasibility_

4. **Enhance meaningful voting**

5. **Interpret and select 2-3 strategies**

6. **Management reaction** (or after step 6, if this is done in on ongoing workshop)

7. **Operationalise strategies**

Relation SOP-SOR-LF
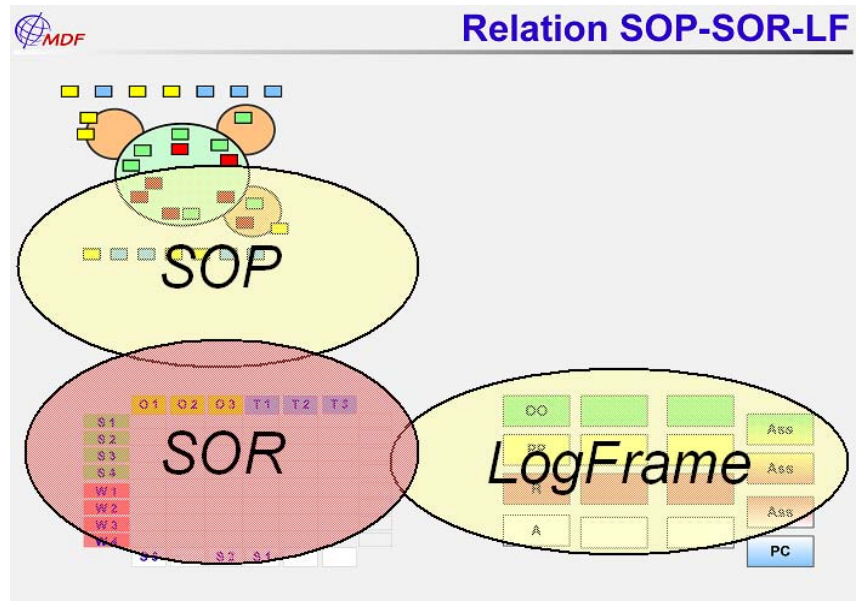
SOR matrix

		Strategic options					Total
Strengths							
Total S							
Weaknesses							
Total W							
Total (S-W)							

SOR LogFrame

0. **Don't rush this step**

1. **Define a project purpose** from BQ

2. **Formulate the overall objective(s)** from mission

3. **Define the results**

4. **Define the activities**

5. **Develop indicators**

6. **Identify the assumptions**

7. **Check the logic**

8. **Decide who and when**

www.mdf.nl
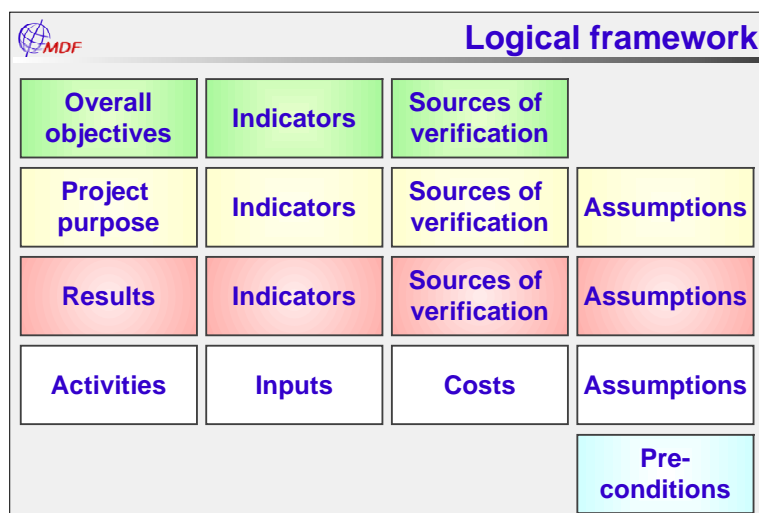
Participation matrix

1. **Verify** the ground:
   - Activities and results, preferably time-bound
   - Stakeholders who may play a role

2. **Draw the matrix**

3. **Determine the tasks** and roles
   - I = Inform (gets informed)
   - A = Consult (gives advise)
   - P = Partnership (gives approval)
   - D = Control (takes decision)
   - [R = Supervision]

4. **Check the participation**

Example of a participation matrix

Activity / Actor	Chairman	Technical officer	Deputy (data collection)	Director (production)	Director (population)	Director (project)	Deputy (data processing)	Director (research)	Director (economy)	Director (training)	Director (computers)	Director (documentation)	Director (programme)	Director (finance)
1. Sufficient resources obtained		P												
1.1 Overall development plan presented						P								
1.1.1 Preparation of project proposal			R			R	D				P		P	
1.1.2 Discuss the proposal with other ministries			R			P					P		P	
1.1.3 Discuss the proposal with donors			P										P	
1.1.4 Co-ordinate with the Min. of Planning to have the final proposal			P		P	P								
1.2 Efficient co-ordination mechanism operational														
1.2.1 Put and execute co-ordination plan (meetings, etc.)			P				R				P			P
1.2.2 Appoint a co-ordinator			P				R				P			
1.2.3 Determine the job description			P			D	R				P		P	
1.2.4 Train the staff to achieve their duties			P		R	R	R				P		P	
2. Data collection improved.														
2.1 Recurrent data collection improved			D											
2.1.1 Statistical data are directly disseminated to the users that are concerned.			P											P
2.2 Data collection for surveys, census, etc. is improved.				P			P							
2.2.1 Training for data collectors			R	P			P	P						
2.2.2 Improving the financial incentive system			P										P	R
3. Data input from data providers improved			R											
3.1 Train & qualify skills of Stat. Units in statistics and computers			P				I				R			
3.2 Improve the quality of skills in CSO branches			R				R							
3.3 Clarify questionnaires, definitions and instructions			R				D							
3.4 Involve Stat. Units in field work			R											
3.5 Evaluate data from providers			R		P									
3.6 Seminar for data users.			P				I					R		P
Overall supervision	D	I	I	I										

Interest chart

1. **Identify the key actors** and define their levels of involvement

2. **Identify the consequences**

3. **Assess the strength** of the factors

   =>   Some importance
   ==>   Substantial importance
   ===>   Major importance

The **chart**

Level	Change function	Actor	Financial		Non-Financial		Power/ Influence	
			-	+	-	+	-	+
High	Change Concept							
Me-dium	Change Organisation							
Low	Change Implementation							

4. **Plan your management strategy**
   - Where will resistance be
   - Where will support be
   - Consider cushioning or confronting
   - Decide

Training Needs Assessment

Organisation Analysis

0. **Analyse the clients** behind the training request

0. **Determine the major problems**

0. **Agree on the target group**

Task analysis: Identify performance discrepancies

1. **Determine tasks**

2. **Define the required level of performance**

3. **Determine present level of performance**

4. **Determine the performance discrepancies**
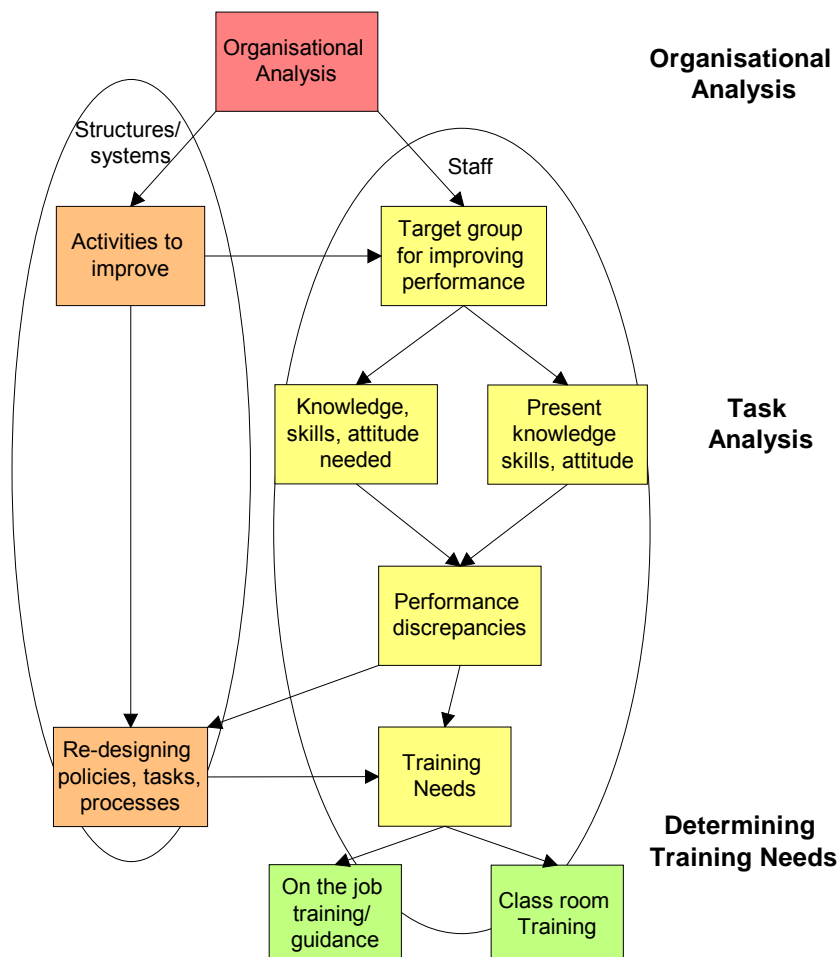
Determine Training Needs

1. **Determine the competency gaps** (in knowledge, skills, attitude and values)

2. **Decide how to bridge the gaps**:

Through non-training

Through Training
- On-the-job
- Coaching
- Class room training

PODia SOR

1. **Define Basic Question**

2. **Do SWOT**

3. **Prioritise SWOT**

4. **Make matrix:**

	Opportunities				Threats				
									Total
Strengths									
Weaknesses									
Total (S-W)									

5. **Does this Strength help to grab this Opportunity?**

6. **Does this Strength help to fight this Threat?**

7. **Does this Weakness hinder to grab this Opportunity?**

8. **Does this Weakness hinder to fight this Threat?**

9. **Transfer the results into LogFrame**

OOPP

1.	Preparation	:	Define the entity Identify and invite (all) stakeholders
2.	Analysis of Problems	:	Check the entity with the participants Make an inventory of all perceived problems Check whether these problems are commonly understood Build the Problem Tree (cause-effect relations)
3.	Analysis of Objectives	:	Convert Problem Tree into Objective Tree Check Consistency (means-end relations) Reformulate
4.	Cluster the Objective Tree	:	Divide the tree into clusters on the basis of similarity between objectives or activities
5.	Scope the Objective Tree	:	Rank the various clusters according to a clear set of criteria Decide on the scope of the intervention
6.	Define the Intervention Logic	:	Overall Objective Project Purpose Required Project Results Required Activities per Result
7.	Reflect on Feasibility	:	Risks Assumption Conditions (check with external factor algorithm) Pre Conditions
8.	Define Indicators	:	Impact Indicator for Overall Objective Utilisation Indicator for Project Purpose Delivery Indicator for Result/Output Base line - target value Source of verification (what, who, where)