

**GUIDANCE NOTE ON  
INDICATORS FOR MEASURING AND ASSESSING  
PRIMARY STAKEHOLDER PARTICIPATION**

**OVERSEAS DEVELOPMENT ADMINISTRATION**  
Social Development Department

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## INDICATORS FOR MEASURING AND ASSESSING PRIMARY STAKEHOLDER PARTICIPATION<sup>1</sup>

*The Technical Note on Enhancing Stakeholder Participation outlines the reasons and scope for participation. The effectiveness of participatory strategies during project implementation will be strongly influenced by how projects are monitored and what information is documented. This requires indicators for progress in participation, as well as the more usual indicators for achieving outputs.*

### 1 Introduction

Indicators for measuring primary stakeholder participation can be selected by donors, the recipient implementing agency or by the primary stakeholders themselves. Work in this field is relatively new and donors are still developing best practice. This guidance summarises current usage. It reviews the qualitative, quantitative and time (QQT) dimensions of indicators for measuring participation. Means of verification are then examined and the paper concludes (section 4) with a checklist. A select bibliography is attached.

### 2 Indicators in the Project Framework

2.1 Participatory projects are often, by definition, process projects. In such cases, the project framework (including its performance indicators) is modified in the light of experience. Process projects are intended to minimise directive (top-down) planning and encourage responsive (two-way) styles. The Project Cycle Management approach to using project framework is part of ODA's move towards greater responsiveness in the form of stakeholder planning.

2.2 Particularly in relation to participation indicators, planners need to be aware of the 'blueprint' tendencies of project frameworks (PFs). Initial planning is often done by higher level stakeholders and existing organisations. In many cases 'project groups', which facilitate the involvement of primary stakeholders, are formed after the initial PF has been drawn up. This makes it difficult for indicators of participation to be identified and agreed upon by the primary stakeholders prior to project initiation. While this annex provides examples (section 4) of indicators which should be useful at project identification and appraisal, refinement or substitution of individual indicators will often be appropriate as the project progresses and lower level participants become increasingly involved.

2.3 Quantitative indicators are most commonly used in PFs and there are some available for measuring participation. In some cases, indicators which are primarily quantitative can

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<sup>1</sup> This is an edited version of a paper commissioned from the Centre for Development Studies, Swansea. The full version is available from SDD.

act as *proxies* for qualitative outcomes. But while such quantification in relation to *outputs* may be sufficient, the qualitative dimension of participation at the project *purpose* level should be made more explicit, particularly when participation is an end in itself, and project success depends on empowering participants to take on greater degrees of responsibility and control.

2.4 Qualitative indicators (or dimensions) of participation are more difficult to specify and use, partly because of the interpretative leeway associated with them. Qualitative indicators are, essentially, descriptive statements about the process and outcomes of participation - ie descriptions of attributes, traits or characteristics which are not, in themselves, quantifiable (eg. decision-making and management capacities, ability to draw up local 'micro-plans', self-monitoring roles, group solidarity and sustainability). The appropriateness of such qualitative dimensions of participation is often influenced by cultural norms, which reiterates the importance of 'primary stakeholders' participation in defining them.

2.5 The time dimension of indicators is important for managing project implementation and monitoring, and directing stakeholders' attention to the phasing of participation. The formation of groups, the local production of micro-plans, farmers on-site trial results are all participation activities which can be specified in relation to a project calendar, thus serving as performance indicators for PF outputs. However, it is not always appropriate to indicate given activities in specific months (eg 20 groups formed before project month four), because this may place unrealistic time constraints on project staff. When local group formation or institution building is carried out to a set timetable the project's ability to respond to specific local needs and problems is reduced. But, time can also be referred to as sequence. This is central to milestone planning, which identifies the critical (logically related) steps in implementation while not necessarily placing time limits on each step.

### 3 How Indicators Can Be Measured and Assessed

3.1 Indicators have to be cost effective to use, and verifiable. This means that when an indicator is incorporated into a PF (in column 2), the means of measuring and assessing that indicator must be specified in practical terms (in column 3). Decisions on appropriate indicators should take into account the range of methods available (and the staff, budget and time implications of these methods).

3.2 There is a range of methods appropriate for collecting qualitative as well as quantitative information. Rural appraisal and process documentation are most likely to capture qualitative results, but are the most intensive, in-depth methods (requiring trained personnel). Some quantifiable information collected on standard monitoring forms or through surveys may act as proxies for qualitative performance (as noted above):

- regular project staff and consultants' reports (eg in mid-term reviews);
- process documentation (eg the results of farmer participation in crop trials; or regular records of groups' planning and decision-making meetings);
- baseline and follow-up surveys (eg using with/without, before/after comparison groups);

- rural appraisals (RRA), participatory rural appraisals (PRA) undertaken by project staff or external evaluators over time; and
- participatory self-evaluation (PSE) systems (see Box 1)

3.3 Extending the involvement of primary stakeholders through participatory self-evaluation system is complementary to (though not a substitute for) more conventional top-down systems. It facilitates the incorporation of local evaluative criteria and can also be a cost-effective way of monitoring the more qualitative aspects of participation.

**Box 1: Participatory Self Evaluation: The FAO's People's Participation Programme (PPP)**

The FAO's PPP emphasises participation as both a means and an end in itself. Participatory self-evaluation (PSE) is seen as contributing to this goal. PSE is designed to provide beneficiaries with their own methods for understanding and managing sustained collective action. While, as in any project, there is a need for top-down monitoring and evaluation, PSE informs project staff and planners about people's perceptions of the quality of participation achieved.

In PSE, project groups and staff agree on objectives and qualitative indicators of participation. Each group's self-evaluation session involves discussion about whether these criteria are being wholly, mostly, or partly achieved, or not achieved at all. For example, one of the participation indicators used in the PPP include collective participation in group meetings:

- (3) All members participate actively in meetings, all feel free to speak up and play an active role;
- (2) Most members participate actively in meetings, most feel free to speak up and play an active role;
- (1) Some members participate actively in meetings, some feel free to speak up and play an active role;
- (0) Few members participate actively in meetings, few feel free to speak up and play an active role.

The four alternative rankings for each indicator thus provide judgements by those mostly closely affected by the project. Scoring on various criteria enables groups to agree on where there are problems, where decisions need to be taken to alter present working practices, and to assist in the identification of new aims and criteria.

Scores for different groups on specific issues can be recorded in summary form by project staff without creating much work additional to conventional field reports and documentation procedures. Comparison between group scores on different indicators, in different project locations, will show which groups are strong, which are weak, and why. Comparison over time will indicate progress (or its absence) in various qualitative terms. Overall, the process is a self-educating tool for both individual members, groups, and project staff.

#### 4. Checklists

4.1 This section provides two checklists of qualitative and quantitative dimensions of participation indicators, followed by examples of composite QQT indicators. These indicators often refer to the performance of the institutions or organisations facilitating

primary stakeholder involvement. ODA-assisted projects work with a range of such local institutions

Locally elected councils; NGO village-based institutions; farmers' club committees, assessment groups, irrigation user groups and associations, homestead gardening groups; catchment conservation committees; forest user groups, forest protection committees; producer and/or marketing co-operatives; village (neighbourhood) water committees; neighbourhood health committees and group village education committees, school parent-teacher associations.

#### 4.2 Quantifiable dimension of indicators

*Who is participating? eg:*

- (a) women and men;
- (b) people from different ethnic groups;
- (c) members of different castes; and
- (d) different economic classes.

*How many people are participating and through what institutional arrangements? eg:*

- (a) numbers of groups or local institutions established;
- (b) their membership;
- (c) the rate of membership growth or rate of drop-out.

*Are local project institutions developing satisfactorily? eg:*

- (a) the frequency of group meetings;
- (b) numbers attending at meetings; and
- (c) the number of linkages between project groups (to form associations or federations in order to spread project activities laterally).

*Project input take-up rates - are people actively engaged in the project? eg:*

- (a) loans;
- (b) seeds & agro-chemicals;
- (c) school enrolment;
- (d) clinic visits; and
- (e) contraceptive and medicine use.

*What is the level of participation in key activities? eg:*

- (a) numbers attending at project workshops;
- (b) numbers participating in training events; or
- (c) the number of farmers participating in crop assessment trials.

*Are participants mobilising their own resources and contributing to the project materially? eg:*

- (a) labour
- (b) construction materials;
- (c) tools
- (d) local seed varieties; as well as
- (e) money.

*Are institutions kept in good running order by participants? eg:*

- (a) include the number of village school or health shelters being maintained;
- (b) water supply points operating effectively; and
- (c) trial plots being cultivated, catchment embankments or forest plantations being protected and managed.

#### 4.3 Qualitative dimension of indicators

Qualitative dimensions of indicators are descriptive statements about attributes and characteristics which are not, in themselves, quantifiable. Such statements are important because they draw attention to aspects of participation which numbers alone cannot capture. However, such statements are rarely context free, and their appropriateness in a specific project should be carefully considered. The following questions may act as a checklist when drawing up qualitative statements for project framework indicators.

*How are groups expected to achieve stability? eg:*

- (a) emergence of leadership;
- (b) the effective allocation of special roles and functions amongst group members;
- (c) the formation of sub-groups;
- (d) the existence of democratic selection procedures;
- (e) the rotation of leadership roles over time; and
- (f) evidence of conflict management and resolution within the group

*What capabilities are participating groups being encouraged to develop? eg:*

- (a) decision-making;
- (b) managerial roles;
- (c) the ability to analyse and identify local needs and opportunities;
- (d) the realistic prioritisation of opportunities;
- (e) the ability to draw up micro-plans and annual workplans;
- (f) the ability to self-monitor their own activities and progress;
- (g) self-promotional capabilities enabling linkage with other organisations; and
- (h) the ability to disseminate trial results, new technology and practices through inter-group contacts.

*What are the expected qualities of participants' contributions? eg:*

- (a) high levels of skills for maintaining project installations;
- (b) effective use of indigenous technical knowledge in relevant activities such as on-farm trials, catchment conservation or forest area husbandry; and
- (c) provision of high quality materials for communally constructed buildings.

*What behavioural characteristics are groups and participants expected to display? eg:*

- (a) high level of involvement of all group members in meetings and discussions;
- (b) evidence of consensual decision-making;
- (c) speed of arriving at decisions;
- (d) facilitating activities to aid project staff in the performance of their duties;
- (e) increasing evidence of collective identity and solidarity, such as mutual support and cooperation in farming, maintenance, or non-project activities.

*Are groups achieving increased self-reliance and control? eg:*

- (a) evidence of reduced reliance on project staff;
- (b) evidence of reduced reliance on project inputs while sustaining level of activities;
- (c) effectiveness of participants' modifications to inputs of project and staff guidance to suit local conditions;
- (d) increasing diversity of practices amongst project groups according to local needs and conditions;
- (e) increasing level of managerial and technical competence in maintaining installation;
- (f) evidence of participants negotiating with other organisations for accessing resources without recourse to mediation by project staff;
- (g) independence of collective actions taken by group to further project purpose;
- (h) use of collective bargaining to withstand pressures which are external to the group;
- (i) reduced reliance on traditional economic and political intermediaries and local elites such as landlords, moneylenders and politicians;
- (j) continued group activities after project withdrawal.

5.5 Combining quantitative, quality and time (or sequence) dimensions listed in the checklists can produce a wide variety of participation indicators for both output and objective levels of the PF. Here is an example:



Example 1 : A South Asian Rural Water Supply Project	
Immediate Objectives	Indicators
Sustained improvements in water supply, by involving communities in decisions and ensuring the participation of women & disadvantaged groups in 200 villages	New installations in working order during year 3 of project.  50% of elected VWC coordinators are women; decisions on siting of installations detailed in phase 1 workplan for each VWC.
Outputs	
Village water committees (VWC) formed	New VWCs and neighbourhood user groups, with 50% women membership & proportional representation of lower castes, set up several months prior to installations in each location.
Neighbourhood user groups formed, effectively contributing to installation maintenance	Phased milestone targets: VWCs formed in 20 of villages by month 6; 80 of villages by month 12; 150 of villages by month 18; 200 villages by month 24.  Maintenance agreements made prior to installations; labour days contributed by users; high quality maintenance.

5.6 A possible way of comprising PF performance indicators is to construct an index of participation or socio-institutional maturity, as developed by NGOs promoting village based multi-purpose groups. Participation underlies these groups' ability to make locally appropriate needs assessment, decide on micro-plans and workplans, carry out functional roles (eg maintaining installations) and generally to enhance the status and self-reliance of group members. Indices of socio-institutional maturity for such groups may include:

- (a) Number of groups formed
- (b) Number and low drop out of members
- (c) Frequency of, and attendance at meetings
- (d) Number of groups forming cluster links with others
- (e) Attendance of group members at leadership and skills training workshops
- (f) Members labour and material contributions to group activities
- (g) Democratic change in leadership over time (elections)
- (h) Consensual production of micro-plan and implementation workplans
- (i) Evidence that workplans have been adhered to and the specified outputs achieved
- (j) Effective applications of skills to maintain group assets in working order (buildings, machinery, water supply installations etc)
- (k) Mutual support between group members in non-project activities
- (l) Examples of collective bargaining with local elites
- (m) Examples of group members accessing non-project resources from other local institutions.

Assessing individual groups across the project area on the basis of this range of indicators is feasible in projects with field staff in regular contact with groups; such staff require skills

in process documentation to record outputs over time. ODA rain-fed farming projects in India have experimented with process documentation in relation to a similar range of participation performance indicators.

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## **'PARTICIPATORY APPROACHES LEARNING STUDY' (PALS)**

### **TERMS OF REFERENCE**

#### **Background**

The promotion of participatory approaches to development assistance is an integral and important component of ODA's Project Cycle Management (PCM).

2. Since 1992 ODA has been making an explicit effort to enhance the participation of other stakeholders in its aid activities. A three year process culminated in the publication of a *Technical Note* in spring 1995. By the time the Note had been approved, some of its recommendations had already become standard practice within ODA. Many of the remaining were being implemented by someone somewhere in the organisation. It is also assumed (and hoped) that people and units within ODA's highly decentralised organisation are continuing to discover and apply new and additional participatory approaches.

3. ODA managers want to know more about which type of participation (as outlined in the TVN) produces what kind of outcome. They would like more guidance on how to grade and sequence project outputs in terms of the kind and amount of participation required. They are concerned about the costs and benefits of participatory approaches, to ODA as well as to other stakeholders.

4. There are at least two examples of geographical departments conducting their own review of experience to date. The West and North Africa Department held a workshop in December 1995 to share experiences of participatory approaches and to identify action to ensure successful adoption of PCM and its tools. The resulting report spells out learning points, many of which are likely to have general applicability. Within the India programme experience of undertaking participative project development was reviewed in September 1995. The resulting Review Note maps out a process for developing 'clean slate' projects (those which do not come already well formulated) and identifies the most appropriate participative mode for each phase of project development.

5. It is intended that PALS will be part of an ongoing process of thinking and analysis about participation, but one which will allow for greater dissemination of 'lessons learned' within and beyond ODA than has previously occurred.

#### **Goal and Purpose of PALS**

6. The *goal* of PALS is to ensure that participatory approaches contribute to ODA's capacity to deliver high-impact aid. The *purpose* is to improve ODA's application of participatory approaches. Staff are looking for guidance which help

them be more effective managers of the project identification, design and monitoring process on a participative basis; and to make more realistic judgements about how ambitious to be in setting objectives for involvement and empowerment of primary stakeholders. PALS is primarily a learning exercise for ODA staff and, where relevant, project partners. In this respect, learning about what has gone wrong may be as useful as studying examples of best practice. *Consultants should submit with their bid a completed log-frame that addresses this goal and purpose.*

7. The findings from PALS should:

- disseminate learning on participation across ODA;
- contribute to fine-tuning of the PCM process;
- directly feed into ODA's new Training and Development Strategy,

#### **The approach**

8. PALS will be organised to address the specific learning needs of participating bilateral aid departments and the overall learning needs of the ODA as identified at head office. The costs of the study will therefore be shared by these stakeholders who are: West and North Africa Department, British Development Division in South East Asia, British Development Cooperation Office in Delhi, West Asia Department, British Development Division for Central Africa and the Aid Management Office in Dhaka, Bangladesh.

9. The details of each locally specific study and the associated costs will be agreed in phase one of the study. The Consultants will be expected to engage and train local consultants in helping undertake each local study. Each participating department will go through a planning exercise with the consultancy team to specify the log-frame and the TOR at the country level.

10. From the perspective of the centre (head office) it is expected that the output of PALS will inform the PCM process, PCM tools, and PCM skills. Examples are given below.

#### **The PCM process**

11. For example:

- the most appropriate participative approach (as per typology presented in the Technical Note) for each stage of project development and implementation;
- examples and issues in participatory monitoring and evaluation;
- other stakeholder responses to participative approaches; are they seen and experienced as more participatory; do other stakeholders - secondary and

primary - think participation always achieves what we want it to (ownership, sustainability etc.)? If not, why not?

- the impact/cost efficiency of using more participative approaches - and ways of measuring this.

#### *PCM tools*

12. For example:

- positive and negative experiences in using the Team-Up approach to Logframe development. Is Team-Up sometimes seen by secondary stakeholders as a symbolic ritual they know they have to go through to get assistance... or is it really seen as a way of involving 'all those with an interest in a project' in planning?)
- participatory methodologies seen from the perspective of primary stakeholders. The same question applies: Do villagers/city dwellers see PRA as a symbolic ritual...or...etc.
- other tools and methods currently in use and a review of their effectiveness;
- the cultural specificity of participation methodologies. (Is 'equal' participation by stakeholders universally seen as desirable and possible, is a process approach always administratively feasible, can careers be jeopardised if indicators are not achieved etc.);
- why - and what to do when - project partners use the same tools but come up with outcomes ODA cannot sign up to.

#### *PCM skills*

13. For example:

- \* identification of the skills needed to do participative PCM effectively - from communication and facilitation skills to wider skills for managing the change process;
- \* identification of those who need to acquire skills most, within and outside ODA. (This would need to include a review of the skills of ODA project managers);
- \* identification of how skills gaps identified might be met, e.g. of consultants able to assist in developing tailor-made training courses and workshops;
- \* assess the guidance and training currently on offer

### Main sources of information

14. ODA staff should be the first point of contact but after that the aim should be to elicit other stakeholders' perceptions and experience of being involved in participative processes. Stakeholder satisfaction with ODA efforts at greater participation is extremely under-researched and, in many cases, not known.

15. The main focus should be on both secondary/institutional stakeholders - including project staff - *and* on the experience of primary stakeholders (people in villages, cities). This would allow us to assess whether the institutions we are funding are using participative approaches effectively from the point of view of primary stakeholders.

### Dissemination Strategies

16. Detailed proposals should be included in the bid. Strategies might include:

General lessons learned to be presented in a brief, bullet point type of *report* which could also serve as a publicity document. This document could be written after a series of '*feedback workshops*' had been conducted both in the countries involved and in the UK.

Training needs identified to feed directly into ODA's *Training and Development Strategy*. Exactly how this would be done would need to be agreed with ODA's Staff Training Unit at the start of PALS.

Consultants should consider the making of a *video* as an integral part of PALS. This should be a training video for ODA staff and project partners rather than one which documents best practice or demonstrates to the wider world 'how ODA does participation'.

### Deliverables

17. The work should be completed by 31 July 1997 at the latest. As a rough guidance, it is assumed that the field work in each country/region (which could take place simultaneously and/or concurrently) would probably be about one month's duration on average.

### General

- 1) Concise list of lessons learned covering process and value added of different participatory approaches.
- 2) Guidelines on the most appropriate participative mode for each phase of project development (building on work already undertaken in India), and taking into account the type of project.



- 3) Guidelines on what level and type of participation is appropriate given the scale of the activity (important, given a concern with the high opportunity cost of ODA and/or government time in the participatory design and implementation of those projects which disburse relatively small amounts of money).
- 4) A Training Needs Analysis (TNA) which identifies those skills which ODA staff and consultants need to have in order to design and implement projects which encourage genuine delegation whilst safeguarding ODA's position as a donor. These skills were felt to be patchy within ODA, and to have received very little attention in ODA training strategies to date.
- 5) The development of training and dissemination modules/material to address key areas.

19. The Consultants will be responsible to ODA's Social Development Division for these deliverables. SDD will appoint a project manager to facilitate and oversee the implementation of the core and local studies. SDD will be responsible to the other PALS stakeholders for organising a collective management review of the deliverables before the lessons learned are finally identified and material for training and publicity produced.

*Country or regionally specific deliverables*

20. It is expected that the general approach to PALS outlined above will inform each of the specific studies but the specific deliverables will vary according to the nature of the aid programme in the region, staff familiarity with existing processes (not all staff have yet undertaken PCM training), and specific issues relevant to individual countries/projects at the time of the PALS. These will be developed as a first stage activity in PALS in consultation with the participating departments, as outline in paragraph 9 above.

21. As part of their core contract, the Consultants will draft TOR and costing for the country/regional studies in consultation with the relevant geographical departments and with assistance from the SDD PALS project manager. The Consultants will then engage a team of local consultants. The UK Consultants will be responsible for the design and management of the local studies. Each of these local studies will be undertaken and paid for on the basis of a supplementary call down contract within the general terms and conditions of the overall framework contract agreed at the start of the assignment.

### **Expertise and experience required**

1. Understanding of current participatory approaches and methods and their application (including the use of the log-frame)
2. Awareness of ODA policy and procedures as these relate to participation, stakeholder analysis etc.
3. Proven expertise in undertaking evaluations/assessments in organisations in developing countries;
4. An understanding of approaches to change management in government structures, private enterprise and NGOs;

In addition, at least one member of the team would need to have:

5. Experience and in carrying out training needs analyses in development contexts, including facilitation skills, and skills for managing change; expertise in producing training/dissemination materials;
6. Good ideas about a (participative) dissemination strategy for overseas and the UK, and experience of using the channels suggested.
7. (depending on the bid) Experience as a video/film maker in developing countries, ideally with specific experience in making training videos;
8. Contacts with and knowledge of potential local collaborators in each of the participating regions/countries.

## **DRAFT TERMS OF REFERENCE**

### **ASSOCIATE PROFESSIONAL OFFICER IN SOCIAL DEVELOPMENT AND COMMUNICATIONS**

#### **Background**

As part of its contribution to promoting ODA's Human Development Aim, the Social Development Advisory Group wants to strengthen ODA's capacity to help poor women and men in aid recipient countries access information and communicate more effectively at the local, national and global levels.

A crucial issue facing poor people is the challenge of gaining access to information about matters which affect their lives and influence their capacity to run their lives in the way they wish. The communications revolution provides a range of opportunities to enhance poor people's access to the information they need. Grass-roots video productions, cellular telephones, creative radio soap opera - these are all examples of the way in which development assistance is supporting communication efforts in aid recipient countries. However, these are usually stand alone and one-off interventions; the experience and expertise gained thereby is not yet mainstreamed into ODA's efforts to provide direct assistance to poor people. ODA staff generally are unaware of the opportunities and expertise available, nor can they make judgements about what could be most usefully done in which kinds of situations.

#### **General scope of work**

The APO will help the aid programme in general, and brigaded social development advisers in particular, strengthen their capacity to enhance poor people's efforts to access information through multi-media communications.

#### **Specific tasks**

The APO will be based in the Social Development Division in London and will undertake the following tasks:

- \* support the aid programme in a number of specific countries (to be identified) by providing expert advice during the appraisal and implementation of relevant poverty-focused projects and programmes;
- \* advise and liaise with other advisory and policy departments in ODA, including Emergency Aid and Information Departments who already have a strong interest in multi-media communications;
- \* develop appropriate training materials for ODA field management

and advisory staff;

\* develop and strengthen contacts with specialist NGOs, consultants and other donors sharing a common interest in this field;

#### **Qualifications and experience**

The APO should have a higher degree in a relevant social science, such as social anthropology, human geography, social psychology or social policy, as well as practical and/or formal qualifications in the field of communications and the use of the media eg. video and film production, radio productions or journalism. He or she should have had grass-roots working experience in a developing country.

## THE CONTRIBUTION OF SOCIAL ANALYSIS TO SUSTAINABLE DEVELOPMENT ASSISTANCE AS ILLUSTRATED BY THE WORK OF SOCIAL DEVELOPMENT ADVISERS IN THE OVERSEAS DEVELOPMENT ADMINISTRATION

*Rosalind Eyben*

### Introduction

ODA's Social Development Group is particularly concerned with the differential impact of aid on individuals, households and communities. As a cross-cutting advisory group our principal task is to apply the tools of social analysis to all aspects of the aid programme for aid to be socially and culturally feasible and fully effective.

We use these tools to ensure broad-based participation - and hence improve the chances that aid interventions will be responsive to people's needs, that benefits will reach the poor and be equitably shared, and that people themselves (women and men) will play an active role in design, delivery, and impact assessment. Sustainability depends on aid helping people to act for their own development

In my talk I shall:

- \* outline the principles of social analysis to which I ascribe and describe why it is important for aid programmes
- \* summarise the history of social analysis in the Overseas Development Administration and how its application fits into ODA's institutional arrangements
- \* give three examples of the day to day work of ODA social development advisers, including one of our consultant's impact assessment of a health project in Africa, commissioned by JICA as a case-study for this seminar.

### The role of social analysis: our theory and the questions we ask

I use the term *social analysis* to mean the empirical study of the behaviour of individuals as influenced by structures and networks of relationships and obligations - and by shared knowledge and values.

First three principles to which I ascribe and which underpin my use of social analysis in the policy and practice of aid:

- (1) People in society - from the local to the global - can help themselves and help each other to improve their well-being, as they define it; this is what I mean by "development"

- (2) All individuals have equal rights and freedoms to promote their own and others' development irrespective of age, physical ability, gender and ethnicity.
- (3) Sound policy requires an adequate knowledge base which is developed and shared by all those involved in the development process.

Social analysis helps makes aid programmes and projects efficient, effective and sustainable. It helps ground projects in reality. The benefits of social analysis include:

- \* Increased capacity to identify whether and how an aid intervention can contribute to solving a development problem.
- \* Increased likelihood of selecting realistic objectives
- \* Increased effectiveness in identifying appropriate activities to meet objectives.
- \* Increased capacity to meet specific distributional and equity objectives.
- \* Reduced risk of encountering unforeseen adverse consequences and negative impact.
- \* Enhanced capability to manage problems that will inevitably arise during implementation.
- \* Increased likelihood that development projects will be sustained.

Social analysis helps make high quality development assistance.

There is a close link between economic and social analysis. Economic analysis explores how costs and benefits from economic development are distributed and how people respond to economic signals. This allows design of policies and projects which are effective in achieving their objectives, and which maximise economic benefits.

Social analysis examines other dimensions of the impact of policies and projects. It identifies the various actors or stakeholders (including donors) who are involved in, or likely to be affected by aid policies and projects. It examines the distribution of impacts, both economic and social, between different categories or groups of an affected population eg male/female, migrant/indigenous, rich/poor. Social analysis is particularly important for identifying the situation and needs of those sections of society who tend to be less visible to outsiders.

Social analysis includes an investigation of aid recipients' culture. It is only by a process of shared understanding and respect for the knowledge, values and

ways of doing things of recipient, as well as donor, that sustainability can be achieved. It is a process which aims to help people take greater control over their lives and to improve their well-being - as they define it.

ODA's recently published Guide to Social Analysis provides a theoretical framework. For any project we should ask:

- \* What people will have their lives enhanced? What people will be left just as, or more impoverished?
- \* What people will have access to project benefits? What people will be excluded?
- \* What people will gain more knowledge? What people's knowledge will be deemed irrelevant?
- \* What people will gain more control over their lives? What people will be left with even less power to influence their future?

#### The history and practice of social analysis in ODA

Social analysis was first used in ODA for project evaluations. What impact did the project have on the intended beneficiaries? From these evaluations ODA management realised that neglecting social and cultural issues in project *design* was one of the key reasons why some projects failed to achieve sustainable impact.

A second and parallel stimulus to the use of social analysis was a concern to mitigate negative impacts of development assistance, for example with the construction of dams.

These two concerns led to the establishment of an advisory group of social scientists, with the mandate to provide advice on the sociological aspects of the aid programme. Since the late 1980s bilateral aid programme managers have increased their demand for social analysis and the group has grown in size.

In recent years British aid expenditure has shifted away from funding large construction projects towards support to systems improvement in key sectors, and to institutional capacity building. Projects are designed and implemented on a process, rather than a blueprint approach. There is an appreciation that projects are not implemented in a vacuum - they are affected by and affect the complex and dynamic social environment in which they are implemented.

Social development advice has also been gradually moving upstream in the project cycle. I have said that initially social analysts were employed to evaluate projects. Sometimes they were then asked to look at projects under implementation, usually when things were clearly going wrong. To find out why farmers were not interested in planting the new varieties offered by the

agricultural extension agents or, why, when new schools were built, little girls were still not attending.

Sometimes our advice during implementation could not be used if the blueprint could not accommodate the radical changes required to make the project effective. Thus we became involved in advising on project design - and in more recent years, also, on which projects should be funded and on country aid strategies. We also provide advice on the social dimension of international and multilateral efforts to promote sustainable development.

Social analysis draws out the implications of change from the perspective of people involved in and affected by the change. The administration then requires that these conclusions be translated into a language of recommendations for action that are compatible with development planning procedures. At the same time social development specialists must be ready and capable of querying assumptions based on that conventional wisdom which ignores complex social reality and, when left unchallenged, may lead to inappropriate action and unintended effects.

Our advice cuts across all sectors; we look at how policy in one sector impacts on other aspects of people's lives. Policies in health, education and housing for example affect the dynamics of work, access to income and the intra-household division of labour. Approaches based on an understanding of social systems and cultural values prevent isolated sector-specific interventions which fail to meet their objectives.

### **Competencies of Social Development Advisers (SDAs)**

All SDAs possess a university level qualification in a social science such as social anthropology, sociology or human geography and a relevant higher degree. Exceptionally, extensive practical experience may substitute for some of these formal qualifications.

SDAs are able to demonstrate the successful application of social analysis skills to practical aid and development issues and have had at least three years' prior experience of working in an aid or development agency on the design, appraisal and implementation of development projects. They have worked in several aid recipient countries, and with reference to social issues in a variety of sectors. They are capable of working and living in difficult physical conditions. More senior advisers will have worked in a very wide range of countries and sectors and will have had at least ten years' relevant experience.

SDAs should be thoroughly familiar with the general social, economic and political situation of those populations in aid recipient countries which tend to be outside the "mainstream" namely women, children and youth, refugees, disabled people, the aged, and ethnic minorities/indigenous people; and they are aware of current international policies in this regard, as well as with best development practice.



Examples of the ways in which we improve performance and enhance impact of ODA's Aims include:

- \* our cross-sectoral perspective, which allows us to facilitate the dissemination and replication of good practice;
- \* our grassroots field experience, which gives us a good feel for what is appropriate and "do-able";
- \* our research experience which allows us to handle the interface between qualitative and quantitative data, thus identifying the causal links between implementation and impact;
- \* our growing expertise in the design of policies, programmes and projects to reduce vulnerability and poverty and enhance security, at the individual, household and community level;
- \* our understanding of the different roles and development potential of the institutions of civil society, including community based organisations and NGOs, with innovative approaches to these institutions.

#### **How Social Development Advisers function within the organisation**

*Social development advisers work as members of interdisciplinary teams with other professional groups such as, for example, economists, agriculturalists, engineers, health planners and educationalists - all advising the administration on how to spend our aid towards meeting ODA's aims.*

The organogram (attached) shows, as an example, the structure of the office in Dhaka for management of our aid programme to Bangladesh. A particular adviser may be chosen by the administration to take the lead on projects where his or her expertise is particularly relevant. In the Bangladesh case, for example, the Social Development Adviser leads on the large NGO projects which ODA supports along with other donors.

There are currently some 25 Social Development Advisers employed by ODA, a roughly comparable number to Engineering and Education Advisers and about half the number of Economists. 11 are based in London and 13 in regional and country bilateral aid programme offices. I attach Terms of Reference for two of these bilateral aid programme SDA posts. Finally, there are three on secondment to multilateral agencies where they have the task of helping these agencies develop their capacity in social analysis.

We also have contractual agreements with two universities (Centre for Development Studies, Swansea and Social Anthropology Department, Edinburgh) who provide additional social analytical expertise. Finally, ODA regularly employs a large number of independent social development consultants

for specific pieces of work. Most of these are still British but we are actively seeking to increase the number of consultants from aid recipient countries and have run training workshops for them.

Last year ODA published a Guide to Social Analysis for Projects in Developing Countries. The Guide is primarily intended to help social analysts working in developing countries become members of interdisciplinary teams and provide practical advice to those institutions and agencies responsible for designing and running development projects.

As head of the Social Development Group, I am responsible for the overall management of these advisers and consultants, thus for delivering good quality and timely advice to the aid programme. However, day-to-day management of most of the advisers is the responsibility of the relevant line manager, for example the head of a regional or country desk in the bilateral programme.

There is a small group of SDAs based in London which, unlike the others, works only partly on bilateral or multilateral programmes. The remainder of the time is devoted to policy issues and advice to senior management.

The Social Development Department takes the lead on providing policy advice in the following areas:

- \* Gender equality
- \* Enhancing participation
- \* Problems of marginalised and disadvantaged groups such as ethnic minorities, indigenous peoples and people with disabilities
- \* Children, young people and the elderly

In addition we are seen to have particular expertise with regard to NGOs, direct assistance to poor people and the prevention and mitigation of conflict.

#### **Social Development Advice and the new Aims**

As a result of last year's Fundamental Expenditure Review ODA has recently undergone some reorganisation of the way it goes about its business. There are implications for the way in which all professional advisory groups are organised for the central policy work in London.

As an outcome of the Review, ODA has a revised mission statement with four aims.

Four aim directorates have been created and each Chief Advisers have been assigned to focus their work primarily on one of the three substantive aims.

This change only took place at the beginning of 1996 and Aims Directors and the professional groups are still developing the appropriate modalities for this new arrangement.

#### Examples of social development advisory work in the aid programme

I have said that social analysis contributes to high quality development assistance. Here are three examples with regard to environmental concerns, poverty strategies and the design of reproductive health projects.

##### **Helping conserve the environment**

Here are some ways in which social analysts can support aid interventions with environmental conservation objectives:

- \* participatory approaches to the design, implementation and monitoring of projects for management of natural resources projects
- \* social and gender analyses of poor people's livelihood systems and coping strategies in both rural and urban environments
- \* analysis of tenure, common property resources and NR ownership issues

Let me look briefly at *participatory forest management* where ODA forestry advisers and social development advisers work together on a collaborative and interdisciplinary basis.

Only now are we beginning to understand some of the ways in which forest-dependent people have sustainably managed forest resources. Through research and the experiences of working with communities a gradual recognition of the value of indigenous knowledge, strategies and institutions is developing. The shift is now towards building on these strategies and institutions in forestry projects and away from imposing new institutions from outside. This is what we mean by participatory forest management. There is evidence that, if done well, it can contribute to effective and sustainable approach to the management of forest resources.

Recent reviews of experience in PFM have begun to draw out some of the main lessons that have been learned so far.

First of all what is required is a commitment by governments to making the approach work and a demonstration of this through the development of appropriate policy - that is policy that address issues of land tenure, the role of communities and the role of the state and government institutions.

Secondly, it is important to develop an approach which suits the local situation. Such an approach should be based on a detailed understanding of present forest uses and users in the context of history, social relationships and culture. An example of such an approach is in Nepal where ODA is supporting strategies that build on indigenous management systems and institutions.

It is generally emphasised that it is necessary to take into account the full range of stakeholders and their demands on the forest resource and not just to look at only those in the immediate vicinity. There is a need to involve all stakeholders in the process of management from the very beginning. It is often a case of mediating between a range of different stakeholders and their interests. Emphasis is often placed on the importance of developing appropriate systems of conflict management to deal with the tensions that inevitably arise.

Overall there is a need to ensure that local communities are effectively involved so that their needs are addressed. At the same time it should be recognised that communities are not homogenous and are subject to internal dynamics. This means recognising that conflicts may develop between groups within communities and that certain groups, such as women, may be excluded from decision-making processes.

#### **Helping reduce poverty**

Social analysts, working in close collaboration with Economists and with relevant sector specialists can contribute to effective poverty reduction policies and to the implementation of projects aimed at directly assisting poor people.

How we understand poverty shapes our policy on poverty reduction - the overriding goal of most development assistance agencies. Conventional definitions of poverty in development policy have used the concept of a poverty line based on income flows. Social anthropologists have argued that the use of the single measure of poverty based on income has resulted in policies that failed to tackle systemic poverty in developing countries. We have proposed that effective policy needs:

- a) An emphasis on poverty as multi-dimensional rather than a narrow income-based definition.
- b) Emphasis on poverty as a lived experience. Participatory poverty assessments in Africa show the importance of vulnerability as a concept (a more dynamic fluid way of looking at poverty).
- c) Social analysis which examines the dimensions of poverty at different levels of social organisation. Gendered dimensions of poverty for instance might only be revealed from disaggregation poverty at a household level.

- d) A consideration of the role of social institutions in mediating poverty - eg in control over land, labour and capital influenced by membership of kinship groups or social institutions at a community level.

Adding a societal perspective to our understanding of poverty means that organisations such as the World Bank are increasingly appreciating that, while economic growth is necessary, the pattern of growth is crucial. They now recognise that the structure and dynamics of social institutions can influence which social categories benefit from expanding employment and income earning opportunities.

In 1990 the World Development Report stated that the principal asset of poor people was labour and that labour intensive growth was one of the three pillars to poverty reduction.

Social analysts have argued then that this was too simplistic. It is based on the assumption that all poor people are the same, with an equal supply of available labour. The case was sufficiently convincing that by 1995 the World Bank had recognised that it cannot be assumed that women and men benefit equally from labour intensive growth. Generally, women have limited surplus time for additional work. They are typically already overburdened and for them poverty reduction will need to be based on a more complex set of strategies including enhanced access to productive assets.

These conclusions are already leading to a shift in the way the Bank and other donors are supporting economic reform programmes in Africa. In Ethiopia, for example, laws and regulations revised to guarantee equal rights for women to resources like land and loans and credit to support business activities, are among a number of policy measures aimed specifically at women and included in the Government of Ethiopia's economic reform programme.

### **Helping people enjoy satisfactory reproductive health**

Social analysts support the work of ODA's Health and Population advisers by:

- \* interpreting the needs and perspectives of clients, potential and actual
- \* advising on design of delivery services so they respond appropriately to clients' circumstances and priorities.

We recently commissioned a study from our resource centre at Swansea on tools and methods for the participatory design and monitoring of reproductive health. Here are some of the key questions Swansea suggests social analysts should ask at the stage of project identification:

- How do culturally defined gender roles and gender relations influence reproductive health and access to services?
- How is fertility and the demand for children perceived? How is this influenced by gender relations and economic conditions?
- What impact do existing socio-economic conditions have on sexual and reproductive health?
- What are the main sexual and reproductive health needs that have been identified by different groups in the population? How might these most effectively be met?

And here are some for implementation:

- How does the project contribute to increased accessibility and acceptability of services to actual and potential beneficiaries?
- Are services affordable? Are the poorest people excluded from using services?
- Is the project contributing to increased awareness of clients through the provision of accurate and appropriate information?
- Do service providers identify and respond to the differential needs of clients?

The complete checklist for the whole project cycle is attached.

#### The JICA Hospital Project

Finally, I would like to comment on the social development consultant's assessment of a JICA-funded hospital project.

The consultant undertook a one month study to:

- \* provide JICA with an example of the contribution of a social development specialist to an ex-post evaluation;
- \* assess the social impact of a particular project - the rehabilitation of an Obstetrics Department of a Central Hospital in a provincial capital.

The report is organised around the five main evaluation themes set out in the JICA guidelines for Evaluation. A LogFrame was constructed by the consultant drawing on information provided in the Basic Design Study.

The report concludes that the new maternity wing is much appreciated and valued both by patients and staff. The equipment is appropriate and the staff well trained in using it.

It is not clear whether the project has had an impact on reducing maternal and neo-natal mortality rates. The Basic Design Study team were mainly technical experts and the team were therefore unable to take account of the social context or of health statistics when planning the project or developing indicators. The mortality rate indicators selected by the design team were probably inappropriate because of so many other factors involved, making it impossible to separate out project-only effects.

The main project beneficiaries were not those most in need of enhanced access to maternity services, that is women in the outlying rural areas. The project design did not address the problems of communications between the rural areas and the city.

The considerable benefits of the new hospital wing have been diluted because the other wing, housing the neo-natal and post-natal wards has not been renovated as expected. The recipient government's budgetary constraints were not sufficiently taken into account at project appraisal. A shortage in the recurrent budget means also that the design of the new wing is not fully appropriate for the number of staff actually available to look after the patients.

#### **Five key points concerning project design and emerging from the study**

The report lists many issues which JICA staff may wish to consider in due course. For the purposes of this seminar -

1. ***Define the problem*** which the project is seeking to reduce or eliminate. This is most usefully achieved through a sector strategy. This would include:

- information on the health status of the population, disaggregated on the basis of income, gender and location;
- description of existing health care provision, including the private and traditional sectors and the family/kinship network;
- analysis of access of people to health services and an assessment of unmet demand.

2. ***Check that the proposed project is the most relevant*** and cost-effective contribution which the donor can make to tackling this problem. If the project is intended to serve the needs of a population in a specific location this would include:

- consultation with the intended beneficiaries and field level staff concerning their perceptions and needs.

Projects in the social sectors may fail to tackle the problem if they are supply driven, rather than demand-led.

3. *Involve all the local stakeholders*, including the potential beneficiaries in the design of the project. This means:

- doing a stakeholder analysis at an early stage in the project cycle;
- helping establish appropriate institutional arrangements so that those with little influence can be involved eg poor rural women.

4. *Select realistic qualitative and quantitative indicators* for assessing project impact. This requires:

- participation of all knowledgeable stakeholders, including field level staff and beneficiaries;
- setting up or improving a monitoring system.

5. *Consider sustainability of impact* in the longer term. This requires checking that a project is socially as well as technically and financially sustainable. All projects must satisfy the needs of a minimum number of beneficiaries (as was the case with this project). Wider issues of social sustainability are more relevant in projects which give local communities a management function.

### Conclusion

I have explained why social analysis is important to effective development assistance. I have described how ODA's social analysts - social development advisers - work as members of interdisciplinary teams in furthering ODA's developmental aims. And I have provided some examples of how our advice contributes to policy as well as project work.

I want to stress the interdisciplinary approach. All our work is in collaboration with specialists from other disciplines. Team work sometimes makes it difficult to disentangle the particular contribution made by the social analyst, as distinct from the economist or the sector specialist. And, as we work closely together, we learn to understand and appreciate each other's particular perspective.

Let me conclude with an example. Some years ago I was appraising a project in western India, with an agriculturalist colleague. We were walking along a country track. At a certain moment we were simultaneously struck by something that caught our eye and both opened our mouths at the same time to mention this. Only when we spoke did we realise that, although viewing the identical scene, we had focused only on what was of interest to our own discipline. He had observed a mono-crop of pigeon peas in a field by the side of



the track. I had seen a cart-load of migrant agricultural labourers by the self-same side of the track. By combining our visions we could start to construct a shared knowledge for project appraisal.

**TERMS OF REFERENCE FOR SOCIAL DEVELOPMENT ADVISER, EASTERN EUROPE**

**SOCIAL DEVELOPMENT ADVISER FOR EASTERN EUROPE AND THE CIS**

The Social Development Adviser (SDA)'s primary responsibility is to provide advice on the social and cultural dimension of British bilateral and multilateral aid to Eastern Europe and the CIS. He/she will identify those social processes which are likely to influence programme/project outcomes and advise on how these should be taken into account in the design and implementation of aid. In undertaking these tasks, he/she will work as a member of a team of administrators and other professional advisers.

**General tasks:**

- ◆ social development aspects of country strategy papers and country sector strategies;
- ◆ support with identification, planning, design, appraisal and monitoring of new projects in line with KHF objectives;
- ◆ liaison with other donors and agencies, including NGOs, regarding the social policy and gender aspects of KHF programmes and projects.

**Specific key tasks will be in the following areas:**

- i) Advice on the implications for the Know How Fund (KHF) approach of gender issues in the region, with a particular focus on the changing role of women in the transition from centrally planned to market economies.
- ii) Advice on the activities of the UK NGO sector, including Charity Know How Fund (or any modified successor).
- iii) Advice on KHF involvement in projects to alleviate the difficulties faced by ethnic minorities in some of the countries of the region.
- iv) Advice on KHF involvement in the promotion of civil society in the region, with particular reference to the development of professional, voluntary and community-based groups.
- v) Advice on the ability of people and institutions to implement change with specific reference to indigenous management cultures and attitudes towards work and productivity.
- vi) Community participation in local government restructuring.

### Qualifications and experience

Candidates should possess a university level qualification in a social science such as social anthropology, sociology or human geography and a relevant higher degree in the social sciences, preferably with a substantive research element. Exceptionally, extensive practical experience may substitute for some of these formal qualifications. Candidates should be able to demonstrate the successful application of social analysis skills to practical aid issues and have had at least three years' prior experience of working in an aid or development agency on the design, appraisal and implementation of projects. Ideally, they should have worked in several aid recipient countries, and with reference to social issues in a variety of sectors.

Candidates should be skilled at communicating with people from a wide range of backgrounds and cultures. They should be able to write and speak clearly, concisely and effectively with a good competence at conveying advice and information to non-specialists. They should be able to provide practical advice in a timely fashion.

Candidates should be familiar with the professional management requirements of contracting consultants for particular projects or pieces of work, including identification of appropriate individuals, drawing up terms of reference and providing pre-assignment briefing.

They should be well conversant with those aspects of social theory and practice which are most in demand for the Know How Fund, including formal organisations; social policy, stakeholder analysis; participatory appraisal; NGOs and institutions of civil society, and ethnicity and regional issues. A knowledge of Russian would be desirable.

## **SOCIAL DEVELOPMENT ADVISER FOR WEST AND NORTH AFRICA DEPARTMENT**

### **Background**

1. The Social Development Adviser, West and North Africa Department, will be responsible for the professional management and monitoring of social development projects and project components administered by geographical Desks in West and North Africa Department, and for reporting to those Desks. He/she will provide timely social development advice to the British aid programme to West and North Africa. He/she will identify those social processes which are likely to influence programme/project outcomes and advise on how these should be taken into account in design and implementation of the aid. In undertaking these tasks, he/she will work as a member of a team of administrators and other professional advisers.

2. The SDA will spend approximately 40% of his/her time on the Ghana programme; 30% on the Nigeria programme; and 30% on the Egypt, Cameroon, The Gambia and Sierra Leone programmes.

### **Location**

3. The assignment will be for three years and will be based in ODA London, with a total of up to 90 days overseas travel per year.

### **Duties**

4. A forward job plan will be determined with West and North Africa Department. Principal duties will include the following:

- i. to manage and monitor social development components of projects administered by geographical desks in West and North Africa Department;
- ii. to appraise, manage and monitor social development components of new projects as requested by West and North Africa Department;
- iii. to participate in project and sector steering groups to ensure social development concerns (and particularly those concerning women in development) are adequately addressed in project design and implementation;

- iv. to identify social policy requirements in planning and preparing aid strategies for countries in the region and to contribute as required to the identification of new projects and programmes;
- v. to identify and develop in cooperation with economic advisers in ODA, appropriate poverty strategies, and liaise with other donors, notably the World Bank and the African Development Bank;
- vi. to advise on placement of technical cooperation trainees from West Africa following training courses in social development subjects;
- vii. to evaluate on request, social development aspects of proposals for projects to be funded by multilateral agencies to which the UK contributes, and by NGOs;
- viii. to assist in selection and recruitment of social development consultants to work on West African projects, and in selection and recruitment of APOS personnel;
- ix. to report on the above duties to the Head of West and North Africa Department, copying reports to the Senior Social Development Adviser and other interested parties.

5. The SDA will establish a detailed knowledge of social development issues in West and North Africa, with particular emphasis to the priority sectors for ODA programmes. He/she will establish effective working contacts with aid personnel at diplomatic posts in the region, with local government personnel, with NGOs, other donors and local and international consultants.

6. The SDA may also, if requested and with the agreement of the SSDA and the head of West and North Africa Department, provide professional assistance to ODA Desk Officers or advisers on social development aspects of projects in countries outside the West and North African region. The SDA will provide advice as required on the social development implications of ATP proposals, and on general social development issues including policy formulation and coordination.

#### **Qualifications and Experience**

7. Candidates should possess a university level qualification in a social science such as social anthropology, sociology or human geography and a relevant higher degree in the social sciences, preferably with a substantive research element, though extensive practical experience may substitute for some of these formal qualifications. Candidates should be able to demonstrate the successful application of social analysis skills to practical aid issues and have had at least three years' prior experience of working in an aid or development agency on the design, appraisal and implementation of projects. Ideally, they should have worked in several aid recipient countries, and with reference to social issues in a variety of sectors. Work experience in Africa

especially West and North Africa would be an advantage. Ability to work alongside government departments and with the multilateral agencies will be important.

8. Candidates should be skilled at communicating with people from a wide range of backgrounds and cultures and with representatives of different interest groups. They should have good negotiating and management skills. They should be able to write and speak clearly, concisely and effectively with a good competence at conveying advice and information to non-specialists. They should be able to provide practical advice in a timely fashion. The adviser will be expected to be competent in Wordperfect 5.1.

9. Candidates should be familiar with the professional management requirements of working with consultants for particular projects or pieces of work, including identification of appropriate individuals, drawing up terms of reference and providing pre-assignment briefing. They should be well conversant with those aspects of social theory and practice which are most in demand for work in West and North Africa, including social policy; poverty assessment and planning for poverty reduction; promoting improvements in the status of women; gender analysis and gender planning; stakeholder analysis; participatory appraisal, planning and, especially, monitoring; social development aspects of social sector projects; community-based approaches to renewable natural resources management; and work with non-governmental organisations.

*Participatory Design and Monitoring  
of Reproductive Health Projects:*

*Tools and Methods*

An extract from  
A draft document prepared for the  
Overseas Development Administration  
by  
Kirstan Hawkins  
Centre for Development Studies  
University of Swansea  
Dec 1995

The following key questions should be asked to strengthen participation at the different stages of the project cycle:

Project Stage	Key Questions
Project Identification	<ul style="list-style-type: none"> <li>• How do culturally defined gender roles and gender relations influence reproductive health and access to services?</li> <li>• How is fertility and the demand for children perceived. How is this influenced by gender relations and economic conditions?</li> <li>• What impact do existing socio-economic conditions have on sexual and reproductive health?</li> <li>• What are the cultural contexts of sexuality and how does this affect sexual and reproductive health?</li> <li>• How are sexual and reproductive health needs perceived by different groups in the community?</li> <li>• What are the main sexual and reproductive health needs that have been identified by different groups in the community? How might these most effectively be met?</li> </ul>
Appraisal	<ul style="list-style-type: none"> <li>• Do project objectives adequately address needs and constraints identified in the social analysis?</li> <li>• Are project outputs the most appropriate ones for meeting the needs identified?</li> <li>• Are project activities the most appropriate and effective ones for achieving project outputs?</li> <li>• Are project inputs appropriate to meeting the felt needs of beneficiaries?</li> </ul>
Implementation (Output-Purpose)	<ul style="list-style-type: none"> <li>• How does the project (supplies, social marketing, family planning, reproductive health) contribute to increased choice of services/methods among the target group?</li> <li>• How does the project contribute to increased accessibility and acceptability of services to the target group?</li> <li>• Are services affordable to the target group. Are the poorest groups excluded from using services?</li> <li>• Is quality of care ensured through the safe and acceptable provision of services?</li> <li>• Is the project contributing to increased awareness of clients through the provision of accurate and appropriate information?</li> <li>• Do service providers identify and respond to the differential needs of clients?</li> <li>• Is the programme meeting clients' perceived sexual and reproductive health needs?</li> </ul>



<p><b>Monitoring Impact</b> (users' and potential users' perspective)</p> <p><i>Choice exercised by users' and potential users:</i></p> <p><i>Clients' perceptions of acceptability and accessibility of services</i></p> <p><i>Cost of services</i></p> <p><i>Safety and acceptability of methods and continuity of supplies</i></p> <p><i>Information provided to clients</i></p> <p><i>Communication with provider</i></p> <p><i>Identification of other family planning and reproductive health needs and integration of services</i></p>	<ul style="list-style-type: none"> <li>• What are the key factors' who are the key people influencing clients decision to use or not use family planning/reproductive health services?</li> <li>• How do current users perceive the choice of methods of available to them?</li> <li>• How do non-users perceive the choice of services/fertility control methods available to them.</li> <li>• How appropriate is the current delivery of services to locally identified needs and context?</li> <li>• Are there any elements of service delivery identified by clients which contribute to usage and continuation of services?</li> <li>• Are there any barriers identified by users and non-users which contribute to non-use or discontinuation of services?</li> <li>• What are the financial, opportunity and social costs to clients of services, and what is the willingness to pay among different socio-economic groups in the community?</li> <li>• What are the financial, opportunity and social costs which lead to non-use or discontinuation?</li> <li>• What are the perceptions of both users and non-users of the safety and acceptability of different fertility control methods available?</li> <li>• What are users' and non-users' perceptions of the reliability and availability of methods?</li> <li>• What are users' and non-users' main information needs?</li> <li>• How are these needs being met?</li> <li>• How do clients perceive their communication with service providers?</li> <li>• How could client provider communication be improved?</li> <li>• What are users'/potential users' identified sexual and reproductive health needs?</li> <li>• Are there other sexual and reproductive health needs of clients which are not currently being met by services?</li> </ul>
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# **FOURTH WORLD CONFERENCE ON WOMEN: PLATFORM FOR ACTION**

## **ONE YEAR ON FROM BEIJING**



# **ODA**

**OVERSEAS DEVELOPMENT ADMINISTRATION**

## **Summary**

This paper looks at the progress the United Kingdom's aid programme has made in promoting gender equality since the Fourth World Conference on Women in September 1995.

2. The percentage of UK bilateral aid, designed to address women's as well as men's needs, has increased steadily over the last few years. In 1995/6 this was 20.4% of all aid expenditure marked according to ODA's Policy Information Marker System (PIMS), compared with 16.4% in 1994/5 and 12.7% in 1993/4. As older projects come to an end and are replaced we expect to see a steady increase in the proportion of aid designed to promote gender equality.

3. By pursuing the gender equality approach agreed at Beijing, ODA can improve and clarify policy, programme design, and impact assessment. However, major challenges remain in strengthening multilateral efforts, including the European Community's aid programme, and in translating our plans into sustainable improvements in the lives of women as well as men.

## **How the Platform for Action affects ODA's Mission**

4. The Third World Conference on Women held at Nairobi in 1985 established Forward Looking Strategies for enhancing women's status. Ten years later, representatives from 189 governments met in Beijing at the Fourth World Conference. They agreed a Platform for Action (PIA) with gender equality as the long term goal. This means progress towards a more equal partnership between women and men in households, communities, markets and in all levels of government. Many of the structural causes of poverty cannot be tackled without recognising and addressing gender inequalities.

5. The PIA is based on the premise that the reduction of gender inequality is not only a goal in its own right, but also a significant contribution towards sustainable development. It identifies actions to be taken by governments, NGOs and multilateral and bilateral agencies to tackle gender inequalities with regard to twelve critical areas of concern. *All the critical areas are relevant to ODA's purpose which is to improve the quality of life of people in poorer countries by contributing to sustainable development and reducing poverty and suffering.*

6. ODA aims to tackle disparities between women and men throughout society, in the opportunities available to them to participate in and benefit from economic growth, and in their access to productive resources and control of assets, as well as to health, education, shelter and other basic needs. This also means supporting women's efforts to achieve partnership in political and economic decision-making, to exercise their human rights (including reproductive and sexual rights), to have equal treatment under law and to be protected from violence.

## **Progress since September 1995**

7. After Beijing we reviewed our existing strategy. Many elements in the Beijing Platform were already being addressed in our aid programme and we did not consider that our post-Beijing approach would require any *major* shift in orientation. But there were opportunities for new areas of emphasis. Ideas and advice were sought from a wide range of interested parties in the United Kingdom including politicians, academics, specialists and NGOs. Towards the end of 1995 the Minister for Overseas Development met with the All Party Group on Development, and with concerned development NGOs (the Beijing Forum). In the first half of 1996, representatives from the Forum met with ODA Aims Directors to discuss substantive issues in the PIA. A separate consultative meeting was organised for academic researchers and other gender and development specialists.

8. ODA has also played a leading role in the post-Beijing programme of work of the OECD/DAC Expert Group on Women in Development, including organising consultations with leading regional gender specialists in South Asia. In a visit to the United Nations in March 1996, the Minister explored ways in which ODA could provide expertise and support to the international policy follow up to Beijing.

9. At the end of 1995, the United Kingdom was active in the passing of the European Union Development Council resolution on gender equality. This emphasized that the development cooperation programmes of Member States and that the Community should adopt a twin-track approach of mainstreaming and targeted activities to reduce gender gaps.

10. A number of *specific post-Beijing initiatives* are already under way in our bilateral programme, while others are being finalised. These include a £1.5 million programme in *Pakistan*, and three parallel programmes just started in *Tanzania, Kenya and Uganda*, for a total of £0.9 million of ODA funds, including a contribution from the British Council.

### **Future Strategies and Actions**

11. *We intend to pursue a twin track strategy through ODA's Aims:*

(1) Assessing and addressing inequalities between women and men, boys and girls, in relation to all the strategic areas of concern and as an integral part of all our aid activities;

(2) Supporting specific and focused initiatives to enhance women's empowerment as a key area of business in our human development aim and in our support to relevant multilateral organisations.

12. *We shall address strategic areas of concern when:*

- \* determining country aid strategies
- \* discussing policy with developing countries and other donors.
- \* selecting activities for ODA assistance
- \* designing projects using gender analysis to ensure that women's interests are advanced equally with men's
- \* developing policies with multilateral agencies such as the World Bank and the European Community
- \* participating in international policy fora
- \* working with NGOs and the private sector from Britain and overseas
- \* providing training and scholarship programmes financed by British aid
- \* training ODA staff and choosing consultants and technical experts to work on aid programmes.

13. There are numerous actions in the PIA which ODA will consider in a regional and country specific context. In drafting country strategy papers, bilateral aid programme managers will consider the relevance of the PIA's critical areas of concern with regard to the specific needs and situation of women in that country, as well as in relation to national priorities identified in the run up to Beijing, and to our own comparative advantage. ODA is playing a leading role in encouraging the DAC Women in Development Group to develop stronger donor coordination mechanisms at the recipient country level to ensure optimum use is made of donor resources in supporting implementation of the PIA.

14. In her speech to the All Party Group on Development the Minister stressed that, while continuing to put even more effort into programmes which help women and girls gain greater access to education, health and incomes, she also wanted to give more support to:

- Institutional development and capacity building to help partner governments develop staff and systems for addressing gender issues, for example in economic reform and public expenditure programmes.
- Improvement of data collection and statistics as part of a broader statistical effort, measuring and valuing women's, as well as men's work.
- Revising legal frameworks for gender equality.
- Promoting women's participation in government and politics.
- Direct support to civil society institutions concerned with the promotion of gender equality.

These should, in most cases, not be stand alone projects but elements of a larger activity - for example, our support to health sector reform would include an element of gender capacity building for national machineries, and technical assistance to Finance or Statistics Departments would include support to measuring women's contribution to the economy.

### **Expected Achievements by the Year 2000: measuring progress**

15. By the year 2000, we will expect to see achievements towards the OECD/DAC targets for women (as outlined in "Shaping the 21st Century"), notably the *halving of gender inequality in primary and secondary schooling*, although this will only be meaningful if accompanied by improvements in education quality. We will also expect *measurable progress in the decline in maternal mortality*. Additionally we expect to see *greater participation of women in social, economic and public life, facilitated by greater protection of human rights and equality before the law*.

16. Under our international policies Aim we shall support multilateral agencies' efforts to implement the PIA. These efforts should contribute to real world progress of the kind cited in the previous paragraph. Measures of our progress include enhancing agencies' gender expertise, possibly by attaching a UK gender specialist to the UK Mission to the United Nations; we shall continue the secondment to the European Commission of a social development adviser and possibly a population adviser; we shall support the implementation of the EU's Gender Resolution by strategic action on Country Strategy Papers, National Indicative Programmes, and particularly collaboration in the pilot countries.

17. In our bilateral programme we expect an increase in the proportion of aid expenditure marked for gender equality. This is because new gender sensitive projects will come on stream, for example in the education and good government sectors. But we are not yet in a position to record systematically and comprehensively the impact of our aid activities to support Beijing. By 1998 we hope to have set in place a means for judging effectiveness and to have developed guidelines for best practice, based on the experience of ourselves and donor colleagues. After that it should be possible to provide substantive information on results. For further information about our effectiveness in reducing gender inequalities we intend before the year 2000 to undertake a synthesis evaluation of a range of aid activities. This information will help more effectively translate design intentions into sustainable impact.

18. Finally we shall tackle the institutional obstacles to implementation of projects and programmes designed to address gender inequalities. The PIA proposes that organisations concerned with promoting gender equality externally may need to make changes in their internal dynamics, including values, behaviours, rules and procedures that may constrain the advancement of women. Constraints in aid partners' institutions will be addressed as an integral part of our bilateral aid activities. For ODA institutional issues include the visible commitment of senior management to the gender equality goal both internally and externally, greater staff confidence in gender equality policies, particularly overseas (based on sound evidence that gender equality considerations are worth-while), and recognition and rewards for staff who take the gender dimension seriously in their work.

19. These internal changes require a more broadly based exposure to the post-Beijing approach. Our new gender awareness and planning courses have a firm future but training will increasingly be tailored to specific groups and situations. Priority will be given to meeting the needs of senior management. A second priority will be to avoid the "evaporation" of gender concerns during project implementation. By 2000, we plan to have developed a cadre of project managers, TCOs and consultants capable and effectively moving towards gender equality in collaboration with local partners in the field.



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## **PART TWO AIM CONCEPT PAPER (SOCIAL POLICIES AND SYSTEMS)**

ODA's involvement will result in an increased proportion of people who are active participants in social groups, communities and structures of governance that affect their lives, who have reduced their vulnerability to shocks and have achieved sufficient security to be able to exercise choice in relation to their priorities and needs as they define them.

To this end we will focus on support to social policies and systems which:

- Create greater participation by primary stakeholders with special attention to women and the poor.
- Assist secondary stakeholders to produce an enabling environment for increased participation by primary stakeholders.

## **AREAS OF BUSINESS**

To achieve this we have identified four key areas of business. These are:

- (i) Direct assistance to poor and vulnerable people for greater livelihood security
- (ii) More positive assistance to women and girls to enhance their status
- (iii) Enhanced opportunities for very poor and marginalised individuals through appropriate safety net provision
- (iv) Protecting and strengthening social capital in order to produce desirable developmental outcomes.

The classification and description of these four areas of business takes into account both current activities and themes within the aid programme (i) and (ii) and newer areas of work which appear to us of growing significance (iii) and (iv).

### **I. DIRECT ASSISTANCE TO POOR AND VULNERABLE PEOPLE FOR GREATER LIVELIHOOD SECURITY**

ODA intends that all its activities should result in poverty reduction by indirect or direct means. Poverty reduction requires more than growth. What is also needed are special measures targeted to reduce poverty and vulnerability among deprived and marginalised sections of the population, often the majority in many developing countries. The responsibility for

poverty reduction is shared between AIM 1 and AIM 2. AIM 1 is concerned with assisting governments to develop sound economic and social policies in the context of reformed and democratically accountable institutions.

The specific business of AIM 2 is to ensure that ODA's interventions result in an increased number of poor people with enhanced livelihood security. This will be achieved by supporting more effectively and strengthening the capacity of those institutions and organisations:

- Working directly to extend economically and socially sustainable benefits to those sections of society who have the greatest need and least access.
- Stimulating self-help and encouraging the poor to take control of their own lives to improve their living standards and quality of life.

*Inter alia* this requires:

- Projects designed to influence and shape broader policies on direct poverty reduction.
- Projects designed to enhance the capacity of poor people to stimulate effective response from service deliverers and at the same time to enhance the capacity of service deliverers to respond appropriately to the demands of poor people.
- Projects designed to address poverty as multi-dimensional (covering access, vulnerability, individual well-being, power relations, ethnicity, gendered dimensions of poverty at household level).
- Building on methods for collecting and using information which are qualitative and grounded in the views of the poor as they themselves experience it (Participatory Poverty Assessments, Beneficiary Assessments etc).
- Understanding and working with those social institutions which can have a role in mediating poverty (in areas such as control over land, labour and capital influenced by membership of kinship groups, common property resources, savings and credit).
- Direct assistance in emergencies provided in such a way as to save and protect livelihoods, support effective coping mechanisms and to achieve a smoother return to long term development. (Poor individuals, households and communities tend to be most vulnerable to external shocks and emergencies, both natural disasters and man-made.)

## **II. MORE POSITIVE ASSISTANCE TO WOMEN AND GIRLS TO ENHANCE THEIR STATUS**

ODA seeks to provide aid in such a way that both women and men participate in and benefit from the development process on an equal basis; and which assists in reducing gender disparities. This relates to the work of all four AIMS.

The specific gender business of AIM 2 is to increase the numbers of women with enhanced status who are empowered to control access to resources, rights and social relationships. It is concerned with aid initiatives which encourage and support changes in attitude, structures and mechanisms at political, legal, community and household level in order to reduce gender inequalities. The areas where we would expect to have major impact are: access to basic services; participation in economic, social and political life; human rights and civil law.

This will be achieved by supporting more effectively and strengthening the capacity of those institutions which provide more targeted positive assistance to women and girls to enable them to improve their social, economic, legal and political status.

*Inter alia* this requires:

- Institutional development and capacity building for national machineries by helping aid recipient governments develop staff and systems for addressing gender equality issues.
- Direct support to civil society institutions concerned with the promotion of gender equality: much of the impetus for change comes from women's business federations, human rights organisations and community-based groups. There are opportunities to support these through umbrella organisations such as the one we are developing in Pakistan.
- Support to basic literacy for girls and to initiatives for improving women's control over decision-making with respect to reproductive health rights.
- Support to initiatives that strengthen women's economic empowerment and provide equal access to and control over economic resources.
- Revising legal frameworks for gender equality.
- Promotion of women's participation in government and politics.

### **III. ENHANCED OPPORTUNITIES FOR VERY POOR AND MARGINALISED INDIVIDUALS THROUGH APPROPRIATE SAFETY NET PROVISION**

A major objective of sustainable development is to reduce dependency and to provide the most vulnerable groups in society with the opportunity to move out of poverty. However, many people in aid-recipient countries continue to need assistance because they have lost their livelihood security and become dependent on the state or the community for support as a result of life crises or external shocks. Older people, those with disabilities, refugees, victims of violence or conflict, HIV/AIDS orphans are examples of people who may need safety net provision. In aid recipient countries such provision may be provided by the state, by NGOs or by traditional systems providing community support and care, and income transfers.

We aim to reduce their dependency by supporting more effectively and strengthening the capacity of those organisations concerned with:

- More effective direct safety net provision properly integrated into existing sectoral institutional structures. This can cover areas such as support to social funds designed to assist in mitigating the effects of economic reform policies; developmental use of food aid.
- Improved policies and instruments for cost-effective social security systems which involve public, private and NGO sectors. This can cover training and capacity-building for reorienting welfare institutions (the Zimbabwe/Swansea Social Welfare link); support to coordination of organisations dealing with the same issue (the Consortium for Street Children).
- Improved understanding of traditional mechanisms and ways in which these can be supported.
- Ensuring that the views of such groups are well-represented in participatory processes and by providing training in rights and skills for groups such as older people and refugees who are not normally provided with training opportunities.
- Development of methods by which 'welfare' recipients can become active subjects in defining needs and running services that meet their needs.

### **IV. PROTECTING AND STRENGTHENING OF SOCIAL CAPITAL TO PRODUCE DESIRABLE DEVELOPMENTAL OUTCOMES**

The term "Social Capital" derives from the broad idea that social relationships and shared values are resources that can help people act effectively. It poses the question as to whether there should be a more

explicit commitment by the aid community to societal, as well as economic development. Various approaches can be taken to social capital. Economists can approach the concept through analysis of contracts and institutions, and their impacts on the incentives for national actors to engage in investments and transactions. The good government aspect of social capital suggests that networks of civic associations help keep government accountable and enhance its performance.

The specific business of AIM 2 will be to develop work (and related aid interventions) to be applied to all these approaches but will focus on how people use networks, associations and broad principles of social organisation as a means of reducing risks, accessing services, protecting themselves against depredation and acquiring information. It will also examine ways in which developmental processes can prevent the destruction of social capital. Work on social capital will, therefore, be developed as a contribution to enhanced effectiveness of products (i) and (ii).

This requires further work to establish whether strengthening and protecting social capital can effectively result in:

- reduced individual and household vulnerability to economic shocks and natural disasters;
- reduced risk of violent local-level conflict and protection of individual and household security;
- promotion of the exercise of good governance through an alert, organised and informed citizenry;
- prevention of undesired social disintegration.

*Inter alia* we will support more effectively and strengthen the capacity of those institutions which aim to achieve developmental outcomes for investing in social capital by:

- support to NGOs and community-based organisations to help them become more capable and responsive to their constituencies;
- support to organisations in and outside government, and including the business community, who are supporting social networks, clubs and associations for enhancing the participation of individuals in the mainstream of society, with a particular focus on *youth*;
- support to people's access to information through helping with the establishment of institutions such as citizens' advice bureaux, community theatre groups and grass-roots video, and

local media such as radio stations and news sheets in vernacular languages, use of electronic communications.

## **ODA'S MISSION STATEMENT**

**ODA's purpose is to improve the quality of life of people in poorer countries by contributing to sustainable development and reducing poverty and suffering.**

**To this end ODA will aim:**

- to encourage sound development policies, efficient markets and good government;
- to help people achieve better education and health, and to widen opportunities, particularly for women;
- to enhance productive capacity and to conserve the environment; and
- to promote international policies for sustainable development and enhance the effectiveness of multilateral development institutions.

The logo consists of the letters 'ODA' in a large, bold, serif font. The letters are closely spaced and have a slightly distressed or textured appearance.





## **SUPPORTING BUSINESS MANAGEMENT PRACTICES FOR POSITIVE IMPACT ON SOCIETY**

ODA is interested in supporting socially responsible business management practices both in their core business activities and as good corporate citizens.

2. There are three main ways in which businesses can make a positive impact on society without undermining their economic performance:

- \* **Core business activities:** In the workplace and marketplace companies can cooperate with their employees, their customers, suppliers and financiers in a wide range of areas. For example:

- to develop cleaner processes and products, to establish voluntary standards and policies for health, safety, environment, equal opportunity, wage-bargaining, and training and skills development;

- to develop purchasing and sub-contracting policies that encourage livelihood opportunities for poorer communities and at the same discourage socially unsound work practices;

- \* **In the wider community:** Companies can work with the public sector, local government and institutions of civil society to promote social and community development through human and financial investments.

- \* **In public policy:** The business community can collaborate more closely with government, NGOs, research institutes and international organisations to develop incentives, regulatory frameworks and appropriate institutional structures to help both businesses and the national and international communities to promote social development.

How can ODA help businesses in these activities ?

3. Helping businesses pursue a programme of social responsibility contributes to ODA's purpose of improving the quality of life of people in countries poorer than our own. It can make a direct contribution to the reduction of poverty.

4. We can work with three kinds of UK business enterprises:

- \* **Investors in the countries to which we provide development assistance:** These companies may employ a substantial local labour force and may also, through their core business activities, have the potential to make a significant positive or negative social, as well as environmental impact, on the wider community. Some companies

have integrated the concept of social responsibility into their core business but a bigger group of investors are actively engaged in supporting community development activities and are working in partnership with NGOs who could be funded by ODA.

\* **Importers who are sourcing goods and supplies from these countries:** There may well be a long and complex supply chain between the UK retailer and the initiating manufacturing enterprise or plantation. Development Divisions and Aid Management Offices could provide advice and support to British importers seeking to learn more about the social environment in which their suppliers are operating. Some importers are establishing codes of practice for their suppliers but there are serious methodological challenges in monitoring these; ODA could support research and training in this area.

\* **Construction companies in receipt of ODA funds to implement development projects:** The majority of infrastructure projects funded by ODA contain elements which impinge upon the lives of local people, including sub-contracted local labour. Engineering and Social Development Divisions are currently developing a checklist which could eventually be provided to firms bidding for project contracts.

5. These UK businesses can in turn serve as examples of good practice to the indigenous business community in the countries where they are operating. ODA could support in-country dissemination through funding of workshops, study visits etc. We can also directly support initiatives by local enterprises, as we are doing for example in a programme for improving the health care of women workers in Bangladeshi textile factories.

#### **Working at the international level**

6. In addition to working directly with the UK or indigenous business communities, we can contribute to international efforts for the voluntary adoption of socially responsible business practices. This includes funding relevant research programmes, such as the current ESCOR programme on labour markets, as well as supporting more direct action research by international NGOs, such as the funding we are providing to the International Working Group on Child Labour.

7. Another potential channel for our support is the ILO International Programme for the Elimination of Child Labour (IPEC). IPEC's case is that hazardous child labour can be eliminated, even in very poor countries. Changes in attitudes and policies need not wait for economic growth. IEC helps countries develop national action programmes, with commitment from employers, the government and civil society. Support to IPEC can be country specific and might be a suitable channel for promoting socially responsible business in business sector focus countries.

**Project Logical Framework**  
**Sri Lanka Relief and Rehabilitation Programme**

15 November 1996  
Budget: £ 4.00 million  
April 1997 to March 2001

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	ASSUMPTIONS
<p><u>Goal:</u> To reduce poverty, distress and suffering and improve in a sustainable way the well being of conflict affected people, particularly women and children, in Sri Lanka.</p>	<ul style="list-style-type: none"> <li>- sustained improvements in quality of life;</li> <li>- IDPs have moved back to their original areas/homes or are not forced to live in undesired locations</li> </ul>	<ul style="list-style-type: none"> <li>- UNDP Country Reports and PQLI data</li> <li>- Review of national level environment and activities in target areas by evaluators (late 1999)</li> </ul>	
<p><u>Purpose:</u> Primary and secondary stakeholders coping better with a chronic conflict environment.</p>	<p>Stakeholders in project areas, particularly women and children, identifying and being able to meet their own basic needs, with X% reduction on internationally managed relief assistance by end of project period</p> <p>Sri Lankan NGOs and local authorities responding promptly with appropriate relief assistance to sudden displacements caused by the conflict</p> <p>Access to education and health services for vulnerable groups in the project location maintained throughout project period</p> <p>All partner NGOs integrating addressing children's and women's needs within their programmes by end of project period;</p> <p>Other relief and rehabilitation actors explicitly incorporating gender and children's needs into at least ...% of their programming by e.o.p.</p> <p>Proportion of expenditures on basic relief to overall expenditure on rehabilitation/development/regular programmes by govt. and other institutions in N and E, declines during project period, regardless of state of conflict</p>	<p>Longitudinal participatory monitoring in selected case study communities.</p> <p>Monitoring reports on relief responses;</p> <p>Longitudinal case studies as above; monitoring of service coverage rates in project areas</p> <p>Partner evaluation reports/monitoring of other actors through co-ordination committees etc.</p>	<ul style="list-style-type: none"> <li>- The conflict situation gradually lessens, improving the environment for sustained benefits.</li> </ul>

**Project Logical Framework**  
**Sri Lanka Relief and Rehabilitation Programme**

13 November 1996  
Budget: £ 4.00 million  
April 1997 to March 2001

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	ASSUMPTIONS
<p><b>Outputs:</b></p> <p><b>1. SCF Managed</b></p> <p>1.1 Relief Service Delivery - A relief system offering effective and timely inputs ensuring children's needs are appropriately considered.</p> <p>1.2 Rehabilitation Efforts -</p> <p>1.2.1 Community Strengthening - Improved community coping mechanisms and structures which consider children's needs; improved community access to services.</p> <p>1.2.2 Policy Development - Child's Rights - Improved awareness and programming practices in NGOs and GOs at national and regional levels regarding children's rights.</p>	<p>1.1 Relief OVIs -</p> <ul style="list-style-type: none"> <li>- Families and children participate in the identification of their needs.</li> <li>- The beneficiary community is using the provided inputs to minimise the disruption caused to family and community and are able to maximise their coping mechanisms.</li> <li>- Inputs are delivered on time.</li> <li>- Regular and effective meetings between the relevant bodies (Task Force on PHC for the Displaced, Emergencies Group, Consortium, UNDP Situation Report).</li> <li>- The beneficiary community gains a degree of independence and community structures resume their decision making roles.</li> </ul> <p>1.2 Rehabilitation OVIs</p> <p>1.2.1 Community Strengthening -</p> <ul style="list-style-type: none"> <li>- The Community is better able to overcome externally introduced problems.</li> <li>- The Community has improved access to services.</li> <li>- The socio-economic position of disadvantage groups within the community is improved along with the community as a whole.</li> </ul> <p>1.2.2 Policy Development - OVIs</p> <ul style="list-style-type: none"> <li>- Within 4 years several stakeholders routinely monitoring of the impact of their interventions on children as a social group.</li> <li>- Organisations have identified issues confronted by children.</li> <li>- Major organisations tailor initiatives which result in improved situation for children.</li> <li>- Line ministries, high level stakeholders increasingly able to dialogue with SCF on children's issues.</li> </ul>	<p>- SCF/OXFAM Field Reports</p> <p>- Project Evaluations</p> <p>- Minutes of the Coordinating Committee ??</p> <p>- Distribution Lists</p> <p>- Participatory Evaluations/Community feedback</p> <p>- Local government department reports</p> <p>- SCF/OXFAM and partner research</p> <p>- Partner organization project reports</p> <p>- Child rights fora reports</p> <p>- Other NGOs/UN reports and analyses</p> <p>- Reports and analyses of BHC &amp; Gov't</p>	<ul style="list-style-type: none"> <li>- Levels of violence do not force SCF/OXFAM withdrawal from conflict areas.</li> <li>- Suitable organisations or structures can be identified in conflict affected areas to assist the process led by SCF/OXFAM.</li> <li>- Villages are sufficiently stable to enable their interest in participation.</li> </ul>

**Project Logical Framework**  
**Sri Lanka Relief and Rehabilitation Programme**

15 November 19.  
Budget: £ 4.00 million  
April 1997 to March 2001

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	ASSUMPTIONS
<p>Outputs (continued):</p> <p>2. OXFAM Managed</p> <p>2.1 Relief Service Delivery - A relief system in place to be able to deliver effective and timely inputs for up to 2,000 families through local institutions where possible.</p> <p>2.2 Rehabilitation Efforts - Institutional Capacity Development: improved NGO and GO systems for needs assessment, policy and programme development and management/ evaluation.</p>	<p>2.1 Relief OVIs</p> <ul style="list-style-type: none"> <li>- Stocks managed to cover at least 1,000 shelters per year; 100 wells improved; 50 RHAs supported; 10 new Community Health Committees formed and fully functioning; plus other support to local Government departments.</li> </ul> <p>2.2 Rehabilitation OVIs</p> <ul style="list-style-type: none"> <li>- 100% of existing partners are able to run their own programmes by end year 4 including generating new proposals, mission statements, progress and financial reports, identifying alternative support.</li> <li>- 50% of new partners have the capacity address their mandate, manage, reports and evaluate their activities at the end of Year 2.</li> <li>- Partners and staff have been exposed to and understand LogFrame technology.</li> <li>- OXFAM and/or partners commission or undertake research into relevant national and local poverty and conflict issues.</li> </ul> <p>2.3 Coordination OVIs</p> <ul style="list-style-type: none"> <li>- OXFAM continues to run an effective programme in accordance with shared priorities of partners.</li> </ul> <p>2.4 M&amp;E OVIs</p> <ul style="list-style-type: none"> <li>- Planned evaluation in late 1999.</li> <li>- All partner programmes have M&amp;E plans which include agreed quantifiable and timebound indicators.</li> </ul>	<ul style="list-style-type: none"> <li>- Stock level reports.</li> <li>- Distribution and quantitative and narrative) implementation reports and records.</li> <li>- Surveys of beneficiary groups satisfaction.</li> <li>- Reports by local Govt staff on OXFAM inputs.</li> <li>- Evaluation of partners' programmes.</li> <li>- Report(s) on research into the causes and effects of poverty and/or conflict in each of OXFAM's 4 programme regions.</li> <li>- One major research project with national significance each year. Results available promptly and shared with partners, ODA and other organisations nationally, and if appropriate used in programme modification.</li> <li>- Evaluation reports of programme partners and overall country programme.</li> <li>- Report of evaluation of OXFAM programme.</li> <li>- Minutes of yearly review and planning meetings between OXFAM/ partners and of regular meetings with appropriate GoSL line departments, relevant SL NGOs &amp; INGOs.</li> </ul>	<ul style="list-style-type: none"> <li>- Other relief inputs available from other donors.</li> <li>- ODA/SEADO able and willing to provide Logframe training.</li> <li>- Appropriate researchers or research institutions willing to work in conflict areas can be identified.</li> <li>- Partners willing and able to implement outcomes identified in relevant target areas.</li> </ul>
<p>2.3 Coordination - Effective national and local level relief and rehabilitation coordination systems functioning.</p>			
<p>2.4 Create Supervisory, Mgt. and M&amp;E Systems for OXFAM SL Programme.</p>			

**Project Logical Framework**  
**Sri Lanka Relief and Rehabilitation Programme**

15 November 1996

Budget: £ 4.00 million  
April 1997 to March 2001

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	ASSUMPTIONS
<b>Activities:</b>	<b>Budget:</b>		
1. SCF Managed	1. SCF	00/01	
1.1 Relief Service Delivery	1.1		
1.1.1 Maintain information and management system in 5 key locations; develop mechanisms for children's participation; identify "developmental relief" strategies.	1.1.1	£133,153 168,994	
1.1.2 Maintain buffer stock and responsively deliver.	1.1.2	43,398 36,478	
1.2 Rehabilitation	1.2		
1.2.1 Community Strengthening - 1.2.1.1 Conduct research into/support community coping mechanisms; design appropriate training; 1.2.1.2 Hold trainings;	1.2.1	63,685 75,571	
1.2.1.3 Develop pilot interventions in 5 key locations.	1.2.1.3	10,534 17,600	
1.2.2 Policy Development - 1.2.2.1 Identify target NGOs and GOs for advocacy work; identify impact indicators;	1.2.2	58,000 60,000	
1.2.2.2 Identify and promote appropriate fora for advocacy work (includes budget contribution to NGO Forum <sup>10</sup> ); 1.2.2.3 Train trainers on child rights issues in relief and rehabilitation work.	1.2.2.3	64,202 5,158	
1.3 SCF Institutional Support	1.3	19,057 25,921	
1.3.1 Rent/Maintenance/Utilities.	1.3.1	32,602 28,200	
1.3.2 Equipment.	1.3.2	3,750 38,950	
1.3.3 Contribution to SCF o/heads in UK @ 5% <sup>11</sup>	1.3.3	21,379 25,791	
	subtotal SCF:	-55,251 546,765	
		500,000	500,000

<sup>9</sup> Colombo, Jaffna, Anuradhapura, Trincomalee and Mahdu.

<sup>10</sup> The NGO Forum is a coordination forum of Sri Lankan and INGOs. Members contribute 1% of their programme costs to support the information dissemination and advocacy work of the Forum.

<sup>11</sup> Includes SCF's Programme Manager in Colombo manager, head office recruitment, accounting services and monitoring, procurement services, etc.

**Project Logical Framework**  
**Sri Lanka Relief and Rehabilitation Programme**

15 November 199  
Budget: £ 4.00 million  
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NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	MEANS OF VERIFICATION (MOV)	ASSUMPTIONS
<p>Activities (continued):</p> <p>2. OXFAM Managed</p> <p>2.1 Relief Service Delivery</p> <p>2.1.1 Capability to deliver relief inputs in the fields of water/sanitation, community health, shelter; 2.1.2 Assist GOSL and local NGOs in training and supporting community health workers, survey staff, distribution monitors.</p> <p>2.2 Rehabilitation</p> <p>2.2.1 Run seminars in project cycle management with NGO partners; 2.2.2 Fund existing partners (or assist partners to find other sources) for priorities including savings &amp; credit, income generating projects and training; 2.2.3 Research causes &amp; effects of conflict-related poverty in target areas; 2.2.4 Identify and fund new partners' activities and training.</p> <p>2.3 Coordination</p> <p>2.3.1 Support coordination of NGO work on conflict-related issues at a national level.</p> <p>2.4 Provide OXFAM Supervision, Mgt. and M&amp;E Services</p> <p>2.4.1 Project Level - Monitor and evaluate operational work, training and the work of our partners; Coordinate OXFAM's relief work with other agencies, GOSL and other local groups; 2.4.2 Programme Level - Periodically evaluate OXFAM's strategic framework for Sri Lanka; Encourage formation of local NGO networks throughout Sri Lanka and their training; Determine most useful OVIs for all project activities through participatory research; 2.4.3 Support OXFAM office costs in Sri Lanka (10%)</p>	<p>Budgets:</p> <p>2. OXFAM 97/98 98/99 99/00 00/01</p> <p>2.1 Relief Service Delivery</p> <p>2.1.1 £125,000 125,000</p> <p>2.1.2 36,700 17,700</p> <p>2.2 Rehabilitation</p> <p>2.2.1 10,000 25,650</p> <p>2.2.2 75,000 92,500</p> <p>2.2.3 40,000 44,000</p> <p>2.2.4 97,500 97,500</p> <p>2.3 Coordination</p> <p>2.3.1 4,477 4,492</p> <p>2.4 Supervision</p> <p>2.4.1 33,500 36,850</p> <p>2.4.2 30,000 22,000</p> <p>2.4.3 44,770 44,920</p> <p>sub-total OXFAM: 496,947 498,612 498,612 498,612</p> <p>Total Programme: 950,178 1,045,377 998,612 998,612</p>		

Table 6 - Primary and Secondary Stakeholders

Stakeholder	Interest in Project	Impact (on Project, or by Project)	Participation/Mitigation Strategy
<u>Primary Stakeholders</u>			
Villagers/IDPs, with specific target groups: Women, Children, Disadvantaged CBOs	<ul style="list-style-type: none"> <li>(+) meeting basic needs (food security, shelter, health); access to essential services (health, education, clean water); physical security; developing ability to deal with constantly changing environment.</li> </ul>	<ul style="list-style-type: none"> <li>more appropriate interventions designed</li> </ul>	<ul style="list-style-type: none"> <li>participation of primary stakeholders in sub-project design; participatory monitoring of project progress; training of implementing partners/staff in gender analysis, PRA skills; development of skills in designing child focused programmes; application of sub-project appraisal criteria.</li> </ul>
Hosts of IDPs	<ul style="list-style-type: none"> <li>(-) ability to support IDPs within household, and within community.</li> </ul>	<ul style="list-style-type: none"> <li>overall relief efforts may undermine ability to support IDPs.</li> </ul>	<ul style="list-style-type: none"> <li>research into, and continuous monitoring of coping capacity; adjustments in target groups where appropriate.</li> </ul>
Local NGOs	<ul style="list-style-type: none"> <li>(+) desire to develop capacity to deliver essential services, design/implement longer-term programmes; need for long-term viability; (+) prefers unified funding.</li> </ul>	<ul style="list-style-type: none"> <li>can deliver the sustainable elements of project; may be diverted by other donor funding.</li> </ul>	<ul style="list-style-type: none"> <li>institutional development component designed into project; dialogue through NGO forum with other LNGO donors.</li> </ul>
Local government representatives	<ul style="list-style-type: none"> <li>(+) desire better capacity to respond to emergencies and provide essential services; (-) avoidance of antagonising CoSL, LTTE</li> </ul>	<ul style="list-style-type: none"> <li>can deliver the sustainable elements of project; may be hindrance/constraint to certain aspects of project.</li> </ul>	<ul style="list-style-type: none"> <li>participants in emergency preparedness component; involvement in planning processes for relief/rehab; involvement in co-ordination groups</li> </ul>
<u>Secondary Stakeholders</u>			
Local NGOs	<ul style="list-style-type: none"> <li>(+) to deliver essential services/implement relief/rehabilitation programmes</li> </ul>	<ul style="list-style-type: none"> <li>key implementing partner</li> </ul>	<ul style="list-style-type: none"> <li>key project implementing partner; investment in NGO consortium in Colombo;</li> </ul>
Line Ministries/Local government representatives	<ul style="list-style-type: none"> <li>(+) desire to provide basic services and food relief; (-) does not wish to provide more than absolute minimum; (-) avoidance of adjusting policies on service delivery to suit circumstances of conflict-areas.</li> </ul>	<ul style="list-style-type: none"> <li>provides complementary inputs to the project; implementing partner for some aspects of project; rigid policies constrain implementation of some project components.</li> </ul>	<ul style="list-style-type: none"> <li>regular meetings with Line Ministries in Colombo, GAs involvement in co-ordination groups; involvement in planning processes; SCTs; Oxfam advocacy on key policy issues.</li> </ul>









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