

**THE ROLE OF CSOs**



## **TRAINING MODULES**

MDG-BASED NATIONAL DEVELOPMENT STRATEGIES

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# Course Summary

## OBJECTIVES AND OVERVIEW

This training course provides guidance to UN country teams (UNCTs) and their development partners on the key areas and entry points for working with civil society to design an MDG-based national development strategy.<sup>1</sup> It is a tool to help find ways to engage civil society at each stage of the policy process — from assessing the problem and planning a response to implementing a strategy and monitoring its outcomes.

Each of the course's four sections is dedicated to these phases and recognizes the critical importance of fostering civil society buy-in and ownership throughout. While the training materials follow sequencing similar to that of a policy cycle, they can be used in any order and reformulated as needed to create a customized course that meets country needs and development priorities.

The course is designed to help participants learn how to work with the dynamic range of actors that form the fabric of a country's civil society from the beginning to the end of producing an MDG-based national development strategy. The guidance provided is based on the experiences of UNDP colleagues who have worked extensively with civil society counterparts as part of country policy processes.

Each section offers an overview of the approaches, activities and steps for engaging with civil society in MDG-based policy decisions. Key definitions are presented at the beginning and resource materials referenced at the end. The annexes contain helpful template documents (such as sample project proposals and terms of reference), facilitation activities and workshop ideas. The table of contents at the beginning will help in narrowing your search for materials and determining where to begin.

## 1. Course Rationale

The materials have been organized to provide a practical overview of how the MDGs and national planning processes are linked and the ways that civil society organization (CSO) engagement serves to solidify this connection at each step. It recognizes that the capacity of civil society to engage in related efforts will condition their contribution to the different phases of designing, implementing and monitoring an MDG-based national development strategy.

Bringing civil society actors into each of these processes adds an important dimension that is too often absent even when stakeholders from other sectors are actively engaged. What is unique about civil society actors is that they belong neither to the state nor the private sector. Civil society offers a space that is distinct from the other sectors for citizens to come together. In uniting people with similar interests, civil society has the power to shape the policies, decisions and development outcomes that impact citizens' lives.

Civil society organizations provide one of the more formal channels for ensuing community concerns are heard and addressed. The existence of CSOs can help to make the state more accountable and fill the vacuum created when leadership from government is missing. Practice has shown that CSOs can play a critical role in making sure a government's development promises are fulfilled — and when they are not, that policy changes are made.

In Indonesia, civil society took on this role in response to new legislation passed that shifted services and functions from the central government to local level authorities without altering the way that funding and policy decisions were made. A number of local government associations collaborated with their non-governmental organization (NGO) counterparts to devise a set of good practice principles. These 10 Prinsip Tata-Pemerintahan Yang Baik (10 Principles of Good Governance) eventually were used to develop a questionnaire for local stakeholders that helped track and assess changes in governance, including levels of participation, rule of law, equality, efficiency and effectiveness of service delivery.<sup>2</sup>

1. While the focus is to provide guidance to UN country teams and their development partners on how to engage with civil society, the modules could be easily adapted to be relevant to other audiences — such as civil society organizations — in order to ensure the language, activities and topics are directed at increasing their involvement.

2. See: Good Local Governance Assessment Tool. UNDP Indonesia. 2002.

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However, the course recognizes that significant challenges exist to get and keep all stakeholders engaged — challenges that must be overcome if true participation and ownership are to occur.

At the national level, breakdowns can occur if the right mix of conditions is not present for CSOs to successfully participate in the country's policy decisions. Workshops, forums and consultations may be organized but not go much beyond offering recommendations that have little resonance in the government's planning process. Even if the government is willing to listen and engage with CSOs, other pressures due to planning deadlines and donor constraints may prevent participation extending past pro-forma and one-off events. In the case of Serbia, the country led a series of substantive consultations on its Poverty Reduction Strategy Paper (PRSP) draft. A Civil Society Advisory Committee (CSAC) was set up to oversee two rounds of consultations with more than 250 different CSOs representing NGOs, community-based organizations (CBOs), professional and trade associations and vulnerable groups (including the elderly, youth, disabled, refugees, internally displaced persons, the Roma and women). However, tight time frames compromised a higher level of contribution and resulted in a document that finally got caught in broader political processes before ultimately being revised.<sup>3</sup>

At the local level, similar obstacles have arisen in transforming CSO consultation into policy action. This situation has occurred in some countries from a lack of institutional clarity about roles and responsibilities in responding to citizen demands. The establishment of regional councils in transitional countries such as Albania, Lithuania and Romania has led to citizens feeling marginalized from processes intended to involve them. These institutional structures provide local communities with limited space to participate in the administration of local services — and little recourse when it comes to holding the councils accountable for their actions. At the same time, the councils face constraints in their abilities to proactively plan for the region's development and function as anything more than a local government association. Since decentralization and regional planning are key factors in facilitating MDG achievement (for increased investments in local infrastructure, service delivery and economic development), addressing these challenges is an essential as part of any MDG-based strategy.<sup>4</sup> (Many of these points are highlighted in Section 3 of this course.)

As seen in these two sets of examples, a key capacity constraint has been the ability of different civil society actors to effectively engage in the development policy process. Not knowing or understanding the roles and opportunities available for civil society has been one part of the challenge. Another has been not having the political space or institutional channels to act in meaningful and sustained ways. While addressing these dimensions is a first step, complementary efforts are needed to develop civil society capacity, particularly among CSOs, to enable them to take advantage of the entry points that have been identified. It is this diverse group that forms the focus of the modules.

Although much has been written about how involving civil society improves a country's development process and outcomes, little guidance is available on how to work with CSO counterparts. This course attempts to fill that gap by offering steps and approaches — as well as comparative experiences and tips — to choose among and select.

The materials are organized by topic and process but not in order of importance. Users are encouraged to select the sections and content that are most relevant to where they are in drafting an MDG-based national development strategy.

3. See: Civil Society Inclusion in the Poverty Reduction Strategy Paper for Serbia. Branka Andelkovic, Vesna Ciprus, Pavle Golacin. UNDP Serbia. May 2004.

4. Consolidated Reply: Chad/Comparative Experiences/Decentralisation and Regional Planning (Decentralisation et Aménagement du Territoire). DGP Net and DLGUDNet. UNDP. 1 November 2005.

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## 2. Target Audience and Outputs

Participants in the course should represent the range of country stakeholders involved in designing an MDG-based national development strategy. These include:

- government officials (cabinet members and heads of line ministries);
- national planners (individuals in government, academia or the private sector);
- national decision makers (legislators, policy makers, leaders of key civil society and CBOs, etc.); and
- other development partners (UNCT staff, multilateral and bi-lateral donor colleagues).

To be able to equally address each of these groups, the language and level of instruction of the course have been generalized. The activities and working group exercises provided in the annexes are broad enough to serve as templates to be adapted depending on who is facilitating them. Users are also encouraged to combine any of the course's components with other knowledge products where relevant.

As a collective body of materials, the course is designed to provide a standardized framework that can be used for self-instruction or running a formal training event.

When adopted for organizing workshops, the time required to cover the full course will vary depending on how many steps are selected from each section, particular country priorities and the different types of participants involved. Workshops should be smaller in size (20-30 participants) wherever possible to allow for a more productive and manageable activity. An ideal structure would involve inviting different members of the target audience(s) to participate in one event. To segment interest groups while promoting knowledge sharing, it may be useful to divide participants into different sessions as a way to foster a more open exchange of ideas and to reflect the current openness of the policy process.

## 3. Course Structure

The course is divided into four sections that cover how CSOs can continually participate in the different phases of drafting an MDG-based national development strategy. All the sections offer country case examples and workshop activities to complement the topic of focus.

In addition, a preface and introduction are included that examine some of the key concepts and ways to engage with civil society during different parts of the process. These areas are addressed in the beginning of the course to construct a framework for understanding how to engage with civil society. The specific entry points and activities are explained in more detail in each of the main sections.

In **Section 1** the focus is on strategic planning and four simple stages: establishing a national vision, setting an MDG baseline, tailoring the targets and indicators, and prioritizing policy areas that reflect the country's development strategy. The early setting of a good tone for engagement is stressed, as this will provide the basis for involving civil society stakeholders at later stages. The extent to which civil society is actively and effectively engaged in the national strategy process will be determined by the sector's capacity, its willingness to get involved and the timing and nature of the process.

**Section 2** focuses on how civil society actors can build on their role in national visioning activities to increase their involvement in designing the country's medium-term strategy. Unlike a vision, a medium-term strategy requires concrete policies, a budget and a results-based plan for implementation and monitoring. This section considers these points to identify the principal areas for engaging with CSOs, such as through needs assessments and budgeting processes. Activities for civil society actors may range from joining and providing inputs for MDG technical working groups to lobbying and raising public awareness.

At the local level, equal considerations are needed to ensure the MDGs are relevant to and reflect development realities, priorities and demands. The unequal geographical distribution of resources suggests that if the MDG targets are not locally adapted, regional and community inequalities could persist even after national targets are eventually achieved. At the same time, communities and local citizens must be able to understand the MDG agenda and how it matters in their daily lives. In **Section 3** you will find ways to work with civil society on both sets of initiatives and in a manner that promotes increased ownership, policy relevance and legitimacy.

# Course Summary

**Section 4** covers the final phase of the policy process: monitoring. Civil society's involvement in the national or local development process should not stop once a policy has been formulated. Engaging in monitoring and evaluation activities affords CSOs an additional chance to hold governments at all levels accountable for the effective implementation of policies. CSOs are especially suited to monitor MDG progress at the local level, where national- or regional-level data may not accurately reflect development needs or progress. For their part, CSOs should be able to understand and use development data that captures progress toward MDG targets.

Upon completing the course, some of the questions that participants will be able to answer include:

- How do I map civil society and identify organizations and abilities? (Section 1)
- What are some techniques for building awareness within civil society on MDG-based policy processes? (Section 1, 2, 3 and 4)
- How do I involve civil society in setting a country's long-term development goals? (Section 1)
- What technical and non-technical roles can civil society play in the budgeting and planning phases? (Sections 2 and 3)
- What are ways to involve civil society in localizing the MDGs and engaging communities in service delivery? (Section 3)
- What are the mechanisms available for civil society to monitor development outcomes, both locally and nationally? (Sections 3 and 4)
- How can the tracking of MDG progress be used for advocacy work by civil society? (Section 4)

## 4. Getting Started

Using the course structure as a guide, countries are encouraged to customize the training materials in the following ways to match their specific needs:

- Use the resources as templates. Take any project document, terms of reference or other material and add country relevant elements (data, assessments, priority issues and sectors, etc.). When making presentations, rely on national examples, the experiences of neighbors from the region and comparable international cases.
- Mix and match steps and related activities. While the steps are organized to follow the typical flow of an MDG-based policy process, each country has different needs. In Section 1, it may be more useful to determine the institutional mechanism for tailoring (Step 3) before building the baseline (Step 2). Also, some activities may not be right for the country context. To prioritize development objectives at the national or local level, for example, data and a national strategy must exist (see Sections 1 and 3). Fragile states or countries recovering from conflict or a natural disaster will likely not have either.
- Select approaches to address vulnerabilities. These realities must be considered in light of who is engaged, the priorities selected and the data used. When working with indigenous or ethnic populations, activities must be chosen that are sensitive to their concerns and cultural interactions.
- Learn by doing. The best way to make the training successful and sustainable is to incorporate concrete activities that ensure participants can understand and apply the approaches discussed. Facilitate participant questions and concerns. Encourage creative ideas and solutions through brainstorming sessions and group discussions. Use country case studies to show how and which good practices can be adapted to the national context.

In using the training materials, participants should remember to complete the course in the same collaborative spirit as it has been designed and that provides its focus.



This introductory section attempts to address some of the main approaches that can be used to engage with civil society stakeholders. It provides a brief overview of eight general types of interventions and how each contributes to effectively involving CSOs in policy design and planning initiatives structured around the MDGs. These concepts are covered at the beginning of the course since they cut across all the sections and provide the context for understanding how to begin and sustain engagement with civil society at different parts of the process. The specific entry points and activities are discussed at length in each of the main sections.

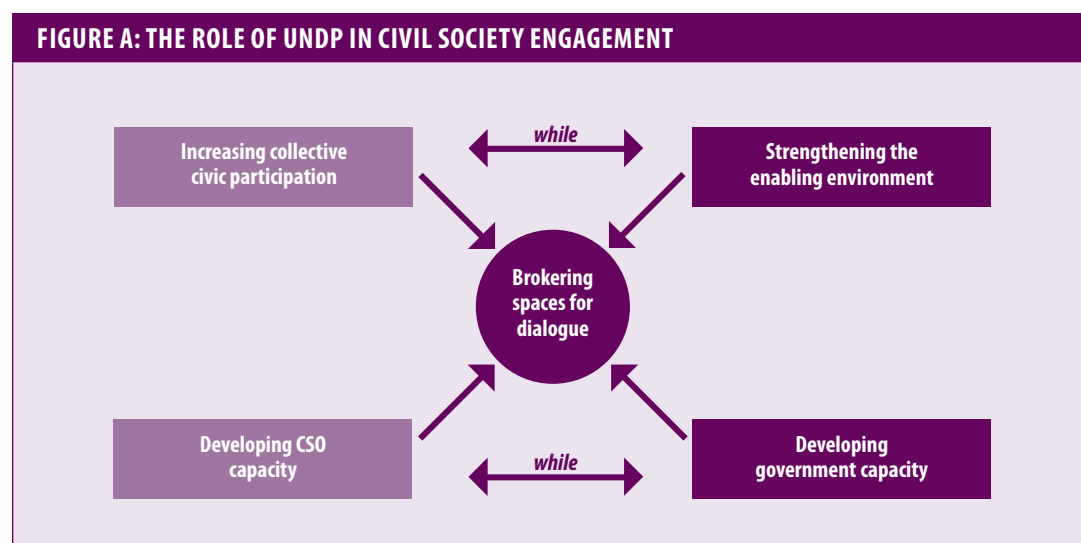
The section also considers the potential obstacles to carrying out this work. Some challenges may include the characteristics of the political space and CSO environment as well as the prevailing levels of legitimacy, capacity and accountability. While these traits are country specific, we attempt to provide a basic framework for approaching these issues that can be applied to other sections of this training course.

## INVOLVING CSOS IN MDG-BASED STRATEGIES: WHERE TO START?

UNDP efforts to engage with civil society and promote their involvement in MDG-based strategies have focused on how to encourage sustainable impacts and shifts. These efforts have addressed, among other things, the overall operating environment, government's role as a key partner in dialogue and the capacity of different actors to work together effectively (see Figure A). In general terms, these topics include:

- mapping exercises;
- strengthening the enabling environment;
- supporting civil society networks;
- developing CSO capacity;
- developing government capacity to work with CSOs;
- promoting collaboration;
- strengthening accountability; and
- increasing collective civic participation.

Each of these eight topics provides a useful framework for carrying out initiatives to promote CSO engagement any point in the MDG-based policy process. They run throughout the four sections and represent the course's core set of recommended activities.



# Preface

There is one exception to note. Based on good practice experience, a mapping exercise should be done before beginning in order to provide a panorama of the country context. By first assessing national and local constraints to policy and planning choices as well as regional differences, it will facilitate selecting the course of action to take.

Below is a brief overview of each of these eight topics and how they relate to supporting CSOs in engaging in MDG-based national development strategies.

## 1. Situation Analysis: Mapping Exercises

Civil society engagement starts with creating a ‘big picture’ and identifying the leading issues for CSO involvement. Mapping exercises provide the means for producing this overview. There are a number of existing methodologies for assessing civil society’s degree of sophistication and development, which can be adapted to different national contexts.<sup>5</sup> A common approach is to map a country’s civil society in order to capture the roles, functions and gaps of different players within the sector. The activity should be done collectively and involve key stakeholders drawn from across the three sectors: government, market and civil society. While other aspects of a mapping exercise can be modified, these two features are essential to help validate the results. Mapping should preferably be done as a ‘first step’ to formulating a national development strategy. It provides not only a portrait of the main actors but also an understanding of the political context and space for engagement.

Sketching this profile of the operating environment includes — but is not limited to — a consideration of:

- related legislative and regulatory frameworks that govern civil society;
- legal and tax incentives (i.e. tax breaks) for civic associations and organizations;
- potential funders and funding mechanisms;
- citizens’ social and cultural opinions of CSO involvement in public issues;
- areas, sector focus and geographic coverage of current CSO work;
- general typology of civil society alliances, coalitions and networks (formal and informal);
- roles and responsibilities of civil society (institutions and individuals) in development policy decisions;
- mechanisms (formal and informal) to deal with conflicts of interest; and
- government-civil society partnership at the national, state and local level (current and future opportunities).

To provide the most accurate overview of civil society, a map can be made for each region in a country. These should use existing information to the extent possible and be aggregated at the national level to allow a complete profile for analyzing national trends and issues affecting CSOs.

If time and resources **are** a constraint, one lead actor (e.g. the UNCT, a national CSO network or the Ministry of Interior) could be tasked to draft a short concept note (three to five pages) on the issues outlined.<sup>6</sup> In addition, a half-day seminar could convene all relevant stakeholders to arrive at some preliminary consensus on the findings.

5. See, for example, the Civil Society Index developed by CIVICUS, which is a participatory self-assessment of the state of civil society in their national context along four basic dimensions using a structured methodology: 1. the structure of civil society; 2. the external environment in which civil society exists and functions; 3. the values practiced and promoted in the civil society arena; and 4. the impact of activities pursued by civil society actors. For more information, see: <http://www.civicus.org/new/default.asp?skip2=yes>.

6. To designate a government ministry to lead the process may be complicated and require the UNCT and donor community to oversee discussions with the president, the office of prime minister or the national legislature to secure their involvement.



If time and resources **are not** a constraint, a deeper analysis can be conducted using institutional mapping and thematic studies (social, stakeholder and/or gender analyses).<sup>7</sup> Examples for undertaking a situational analysis include the CIVICUS Civil Society Index as well as some country-specific examples from Viet Nam, Albania and Sudan.<sup>8</sup>

Regardless of the method used, the objective is to have a baseline against which changes in the civic environment can be compared and to reveal entry points for stakeholder engagement. Topics such as the demand for and impacts of legislative reform, the inclusion of new actors in existing forums and committees, the creation of new consultative bodies and similarly focused initiatives all should be measurable.

The map should be revisited annually and revised when needed. At the end of the process, it should provide governments, development partners and civil society actors with a sense of how CSOs can engage in the national development process (See Box A).

## 2. Strengthening the Enabling Environment

Activities creating an enabling environment for CSOs should focus on promoting collaboration among the different stakeholders to improve accountability, legislative safeguards and overall organizational operations.

For example, the UNCT, development partners and CSOs can work together to advise government partners on legislative reforms that can expand civic space, decrease obstacles for civic association and increase gender sensitivity. They can also pursue initiatives that provide opportunities for civil and public servants to learn about CSOs and effective multi-stakeholder relationships.

For their part, the government can collaborate with UNCTs and international financial institutions (IFIs) to formulate fiscal and other types of incentives that can stimulate the growth of domestic CSOs. Government can also work with policy makers (national/sub-national) and their development partners to commission studies on local government and civil society interactions to identify bottlenecks and improve accountability of operations. These activities can be complemented by less formal but equally useful initiatives to develop and support voluntary codes of conduct for CSOs to regulate their systems and activities and build public confidence in their operations.

### BOX A: MAPPING CIVIL SOCIETY IN VIET NAM

A first attempt to broadly map civil society in Viet Nam was carried out from April 2005 to March 2006. The study revealed an overlap between the state, the Communist Party and civil society. Civil society was found to be very broad-based, comprising a large number of organizations, associations and groups. However, CSOs were found to be less influential than the Communist Party, government institutions and the private sector.

Among the CSOs, the media was identified as the most influential actor, followed by broad-based and research oriented organizations. About 74 percent of the population belongs to at least one organization, but this membership is not always voluntary.

Another important finding was that the framework for organizations still limits the potential of civil society with respect to service delivery and advocacy. Networks among NGOs are weak in general and they still need to build their capacities in order to become reliable partners to work with the government and donors.

Finally, the report points out that the government is often reluctant to engage non-state organizations in local activities.<sup>9</sup>

7. See: Gender Analysis. Learning and Information Pack. UNDP. January 2001. [http://www.undp.org/women/docs/GM\\_INFOPACK/GenderAnalysis1.doc](http://www.undp.org/women/docs/GM_INFOPACK/GenderAnalysis1.doc).

8. See: CIVICUS Civil Society Index: Summary of Conceptual Framework and Research Methodology. CIVICUS. [http://www.civicus.org/new/media/CSI\\_Methodology\\_and\\_conceptual\\_framework.pdf](http://www.civicus.org/new/media/CSI_Methodology_and_conceptual_framework.pdf). For more information on Albania, see: Community-based Organization Participatory Self-assessment Report. UNDP. October 2003. [http://www.lgp-undp.org.al/download/guidelines/assessment\\_rep.pdf](http://www.lgp-undp.org.al/download/guidelines/assessment_rep.pdf). For more information on Sudan, see the sample terms of reference for a CSO situational analysis at [http://mdg-guide.undp.org/files/Module\\_1.1/Sample\\_TOR\\_Sudan.doc](http://mdg-guide.undp.org/files/Module_1.1/Sample_TOR_Sudan.doc).

9. For more information, see: Filling the Gap: The emerging civil society in Vietnam, by Irene Norlune. UNDP. 2007. [http://www.undp.org.vn/undpLive/digitalAssets/6810\\_Filling\\_the\\_Gap\\_\\_E\\_.pdf](http://www.undp.org.vn/undpLive/digitalAssets/6810_Filling_the_Gap__E_.pdf).

# Preface

## 3. Supporting Civil Society Networks

Providing support to CSOs organizing representative networks is an additional entry point for development partners to use for strengthening CSO engagement. Such networks can allow civil society actors to more effectively engage with government and partners. The number of CSO networks is not as important as the level of organization. A well-structured and functioning network can help to present a coherent agenda and provide a centralized point of contact for discussions with government, making it easier for policy makers to involve civil society actors in dialogue on policy decisions and design.

The range, resources and capacities of CSOs within a country will determine the number of networks that are formed. In countries with a nascent CSO community or in post-conflict states, it may be best to support civil society actors to create only one network around a broad-based issue. Where there has been a history of CSO engagement and activism in government, two or three networks may be preferred to optimize partnering and reduce internal disagreement. CSOs operating in Argentina, Sri Lanka and South Africa, for example, would likely have more than one network on a single topic (e.g. gender empowerment) as opposed to their counterparts in Haiti, Nepal and Nigeria working on similar issues.

Two fundamental reasons to encourage CSOs to coordinate among themselves are:

- to minimize duplication and waste; and
- to create a formal channel to effectively represent the collective consensus of CSOs and their partners (government, donors and UN agencies).

Through the process of forming networks, CSOs can influence decisions and leverage their individual capacities. Networks provide a common forum for dialoguing on policy choices and a mechanism to ensure that a process of quality control characterizes a country's strategic planning.

## 4. Developing CSO Capacity

Another area addressed across the course sections is how to create and strengthen the capacity of CSOs to engage in developing MDG-based strategies. There are several methods for improving the capacity of civil society organizations. Based on comparative experiences, CSOs often confront capacity constraints when it comes to the skills needed for engaging in the policy process — from planning and policy design, to budgeting, implementation and monitoring.

What different types of capacity do CSOs need? The following list outlines each of the main classifications:

- **Organizational capacity:** the ability of CSOs to perform certain functions, such as knowledge management or service delivery (i.e. to implement and manage projects).<sup>10</sup>
- **Sectoral capacity:** the ability of CSOs to have more impact on their areas and issues of interest.
- **Institutional capacity:** the ability of CSOs to position themselves effectively in their dealings with other actors (such as governments, UN agencies, other donors and other CSOs).

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10. Organizational capacity typically refers to the resources, knowledge and processes employed by a CSO. For purposes of this course, this definition has been broken down into sectoral and institutional capacities that reflect some of its component parts: 1. mission, vision and strategy; 2. strategic relationships; 3. programme and delivery impact; 4. international operations and management; 5. resource development; and 6. governance and leadership. See: *Organizational Assessment Guides and Measures*, by Paul Fate and Linda Hoskins. Wilder Center for Communities. 2001. Evaluating Capacity Development, by Douglas Horton et al. IDRC. 2003. [http://www.idrc.ca/en/ev-31556-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-31556-201-1-DO_TOPIC.html).

# Acknowledgements

This training course has been created in response to the needs expressed by country partners and UNDP staff for guidance on how to effectively engage with civil society in MDG-based policy processes. The content is based on country experiences and lessons learned in recent years from working with civil society stakeholders both nationally and locally to achieve the Millennium Development Goals (MDGs). The course's four sections, designed as a result of extensive consultations and discussions, are intended to serve as a guiding framework that can usefully supplement other approaches used to draft MDG-based national development strategies.

Regardless of the methods chosen, the goal should be the same: to create an effective and sustainable participatory process that contributes to the design, implementation and monitoring of an MDG-based national development strategy

The production of these training materials would not have been possible without the active engagement of advisors and staff. UNDP gratefully acknowledges the following colleagues for co-authoring the course: Craig Fagan (Poverty Group)\*, Andrey Ivanov (Bratislava Regional Centre), Christine Musisi (Johannesburg Regional Centre), Adib Nehmeh (Beirut Sub-regional Facility), Geoff Prewitt (Bratislava Regional Centre), Christian Resch (Poverty Group)\*, Dorothy Rosenberg (Poverty Group)\* and Bharati Sadasivam (CSO Division).

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We hope users find the training materials applicable, practical and relevant in addressing the many challenges in making MDG-based policy processes more inclusive, participatory and stakeholder-owned.

*\*Staff members who are no longer with UNDP*



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In the context of supporting MDG achievement, CSO members should try to leverage their existing and ongoing work rather than starting from scratch. Moreover, they should try to work within the system and live within the means available to realize their existing potential rather than seeking additional funds from external partners. If external funds are needed, CSOs should be aware that what they want funded may not always be aligned with what donors are interested in funding. Donors tend to focus on developing the organizational capacity of newly formed CSOs, while directing efforts at building the institutional and sectoral capacity of more-established organizations.

Regardless of what type of initiative is chosen, donor agencies must understand that effective capacity development requires sustained commitment and funding support. Similarly, cooperative working arrangements between different actors are formed through repeated interactions and are not — and never will be — the outcome of a single event. They involve a continuous, gradual and incremental process that enables individuals and institutions to learn what it means to work together toward a common end.

To put CSO capacity development initiatives into practice, it is useful to start by:

- Having the government and UNCT work together to publish clear criteria for what characteristics constitute an ideal CSO and identify the types of assistance that different development partners can provide.
- Providing direct support for capacity development activities, such as analytical and technical training on statistical literacy, evidence-based advocacy and monitoring and evaluation. Ideally the government, UN and development partners should work together on these initiatives wherever possible.
- Ensuring that all CSO-related programming includes civic dimensions that help build the organization's internal governance and public accountability.
- Promoting and facilitating the involvement and voice of CSO networks and constituency in national representative bodies, while avoiding 'detaching' CSOs from their membership base. Government, policymakers (national/sub-national), CSOs, UN and development partners each need to be involved in this work if it is to be successful.
- Investing in efforts to generate local financing for CSOs to counter dependency or to help wean them off aid.

## 5. Developing Government Capacity to Work with CSOs

Strengthening CSO capacity also requires the use of complementary initiatives to develop government's ability to work with these types of stakeholders. Support can be provided directly, for example by organizing training activities for staff, or indirectly, for example by promoting government collaboration with CSO stakeholders through related activities.

Training events should focus on methods, mechanisms and techniques for how to improve government transparency, accountability, citizen discourse and public access to information. These capacity development activities also can address areas and rationales for engaging with civil society actors. One option might be to structure a series of workshops around evidence-based policy making. Apart from bringing different stakeholders together, this would provide an opportunity to train government and development partners on why and how to involve CSOs in collecting and using data for policy decisions — such as through service delivery roles, surveys (as enumerators and respondents) and/or monitoring activities.

While trainings and workshops offer a direct channel of support, there are other initiatives that are more indirect but equally beneficial for developing a government's capacity to work with CSOs. The following activities can be used as possible entry points to strengthen the ability of government to collaborate with civil society actors on MDG-based policy processes:

- Promote and facilitate the creation of informal and formal channels for cooperation between government and civil society on policy choices, such as standing committees in ministries and parliament, ad hoc community meetings, citizen review boards and citizen consultations on service delivery.

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- Provide assistance to establish effective communication structures, including the use of regular briefings and updates distributed to citizen groups (electronically and through print and visual media) on development issues, written straightforwardly and in the local language.
- Develop a set of outreach activities that help to bring the government in closer contact with civil society and their representative organizations. Options might include district- and province-level tours, organizational visits and the creation of locally based offices to work with constituent communities.

All these efforts — direct and indirect — should be collaborative and involve government, the UNCT, development partners and CSOs in their design as well as their participants. A mixture of national and sub-national political actors should also be included to ensure that there is common understanding among different levels of government about how to work together with civil society stakeholders.

## 6. Promoting Collaboration

As discussed above, collaboration is a key element in capacity building efforts (whether for governments or civil society actors) and cuts across the broad range of areas highlighted for how to work with CSOs in MDG-based policies and planning. Collaboration can involve different types of partnerships and consultations and can cover a wide spectrum of relationships. At times, the nature of the partnership between different actors may be biased toward one of the parties to the detriment of others. Over time, interactions often advance from this point as trust is built and a relationship of collaboration is formalized.

The different phases can be loosely grouped as: **manipulation** (indoctrination), **information-sharing** (one-way flow), **consensus-building** (interaction and understanding) and **genuine relation building** (mutual goals and respect). The last stage involves cooperation among equals based on a common understanding of respect, mutual responsibility and risk sharing.

There is no blueprint for how to move from a relationship that could be characterized as manipulation to one of genuine relation building, although a large part of the process depends on the pace of consensus-building among CSOs. The case of Nepal offers a good example of how the process can evolve in a country where the emergence of a civil society sector — and space for engagement — is a fairly new phenomenon (see 'Introduction', Box 2).

While collaboration has many benefits, the involvement of multiple partners in any planning or policy activity can place a strain on available resources (financial, human, institutional, intellectual, etc.) and aggravate tensions. Government, donors and even CSOs must weigh the opportunity cost of civil society participation by assessing how involving groups in new tasks will affect commitments and relationships at each stage of the policy process.

A first step is asking the right questions to all three actors about how CSO collaboration will impact partnership dynamics. These include:

- Will key government and CSO staff be dissuaded from delivering on previous obligations given their newly increased roles?
- Which resources are likely to be the most compromised by increasing stakeholder involvement?
- Will developing stakeholder capacity on issues such as poverty and governance create or add to existing tensions between the players?
- Are there certain government and CSO actors whose involvement will add to or mitigate tensions? What are the factors causing this to occur? How can these be addressed?

The responses should condition the strategy and pace set for collaboration. In cases where it is determined that greater partnership could lead to greater strains and challenges, parallel efforts are required to help overcome and compensate for these gaps. These may include initiatives aimed at strengthening transparency, accountability, opportunities for dialogue and the availability of resources.

## 7. Strengthening Accountability

Promoting accountability is useful given its implications for both government and civil society partners and is essential for helping to structure the nature of their evolving relationship.

For their part, CSOs confront multiple and overlapping obligations when it comes to accountability and these are not always easily addressed. CSOs should be:

- **upwardly** accountable to donors, governments and foundations who provide them with their financial and legal base;
- **downwardly** accountable to their beneficiaries;
- **inwardly** accountable to their organizational mission, values and staff; and
- **horizontally** accountable to their peers.<sup>11</sup>

To respond to each of these dimensions, it is useful to set out a framework to determine what is meant by 'accountability'. All the following points should be open for discussion by the different players involved in MDG-based policy decisions — government, donors and civil society:

- **Clarity.** What do you understand the term 'accountability' to mean in your country when applied to CSOs?
- **Relevance.** Do you think the debate on accountability is important for CSOs? For other development players? Why?
- **Comparability.** Why are accountability mechanisms important for all development actors? How do they differ when applied to the public, private and civil society sectors?
- **Constituency.** Who should — and are — CSOs accountable to in your country? Do different constituencies have different levels of accountability?
- **Techniques.** What types of accountability mechanisms work well and should be used in your country?
- **Practice.** How have you addressed CSO accountability? What challenges have you experienced?
- **Long-term impact.** Based on your country experience, does accountability affect the overall contributions of CSOs in achieving the development goals?

Once a shared understanding of accountability is set out, there are viable techniques for applying it in practice. At the national level, codes of conduct and participatory reviews of CSOs can strengthen communication between constituencies and organization representatives by outlining the ethics, norms and standards for operations. At the global level, international NGOs can strengthen their own accountability and that of their partners by setting up representative advisory boards to oversee their work with national constituents.

11. See: The Role of NGO Self-Regulation in Increasing Stakeholder Accountability, by Robert Lloyd. One World Trust. July 2005. <http://www.oneworldtrust.org/documents/NGO%20Self-Regulation%20July%202005.pdf>.

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## 8. Increasing Collective Civic Participation

All the areas that have been signaled will only be as effective as the space that is available — or can be created — for civic participation to occur. If participation is not collective, representative or real, efforts will be unilateral and result in top-down activities with little buy-in from the groups they are intended to attract.

There are different entry points throughout the policy process to create and increase the degree of collective civic participation. These largely follow the stages of designing an MDG-based national development strategy, as outlined in the four sections of this course. For each, the main objective is to establish channels for engagement that can be fostered, formalized and self-sustaining.

Some general areas to direct activities include focusing on how to:

- Organize periodic, multi-stakeholder meetings on national development topics. These could be institutionalized at the municipal, regional and national level.
- Create space at the strategy's drafting table for CSOs to participate in policy dialogue or the design of reform initiatives to achieve national MDGs.
- Encourage CSOs to become involved in the monitoring and oversight of sectoral and cross-sectoral policies.
- Establish channels for information flows to CSOs on budgetary and policy decisions. The use of public hearings and periodic briefings to systematize the disclosure of budgets is one option.
- Promote the creation of public institutions mandated to work with CSOs and formal channels for state-civil society relations to legitimize the role of CSOs in government decisions.
- Support reforms aimed at making national political systems more inclusive and transparent.
- Encourage the adoption of conflict resolution and mediation models, such as ombudspersons, to mitigate tensions and potential problems.

## Conclusion: Final Thoughts and Actions

In being inclusive and promoting collective participation, it is important to remember that a range of civil society stakeholders will be involved, some of which may have questions surrounding their credibility, legitimacy or accountability.

With their rapid growth over the last two decades, it is not surprising that in some countries CSOs may not be the legitimate representatives of the constituencies they claim to represent. Their creation may be a consequence of donor funding being too easy to obtain or certain political groups seeing CSOs as a path to increasing their power. Efforts to improve CSO engagement in the policy process may have to begin with the basic step of strengthening their legitimacy as part of the areas outlined for working with civil society.

The issue of CSO accountability has gained increasing attention as organizations have risen in stature and presence within development policy decisions. Rather than country governments, CSOs are increasingly scrutinized over issues of governance, transparency and legitimacy. Their ability to mobilize donor support and resources has even placed them in competition with some developing country governments. At the same time, donors and governments are becoming highly vigilant of CSO operations within the context of heightened security and terrorism concerns.

The result is that CSOs are being questioned from all sides: Who are they? Who selected them? Who do they represent?



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While these are important questions, there are not always easy answers. If representation is in doubt, does that mean a CSO must be elected? If so, who should elect them? How should an electorate and representative population be defined?<sup>12</sup> Similarly, if a government or donor seeks to increase CSO accountability, what should this entail — financial, organizational or both types of accountability? What degree of accountability should be sought?

At a minimum, all CSOs can deploy basic governance structures to encourage increasing degrees of accountability. These mechanisms include:

- an elected board;
- financial audits and production of annual reports; and
- statutes to limit abuses (i.e. conflicts of interest) and set out duties.

Current estimates suggest that such self-regulatory initiatives are in operation in over 40 countries worldwide, including Ethiopia, Estonia, India and South Africa. Multi-lateral initiatives like the EU NGO Charter serve as a complement to this work by promoting standardized practices at the regional level.

Work also is being done at the global level to formalize an oversight structure for international NGOs operating at the country level. In June 2006, Amnesty International, Greenpeace and Oxfam were among 11 influential CSOs to sign a voluntary 'accountability charter'. This is the first such joint code of conduct, which was forged as part of a strategy to head off criticism about the legitimacy of some NGO campaigns.<sup>13</sup>

The issue of accountability and credibility will be addressed further in the 'Introduction' and following sections of the course.

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12. See: *Funding Civil Society: Fads, Fashions, Faith*, by Alison Van Rooy. 2005.

13. See: International Non-Governmental Organisations Commitment to Accountability. Web site: <http://www.ingoaccountabilitycharter.org/about-the-charter.php>.

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**Before beginning the course, it is useful to ensure there is common agreement and understanding on the central concepts being set out. While not specifically rooted in MDG-based planning and policy-making activities, this section explains who makes up civil society, why it is unique and how to practically work with actors from this sector.**

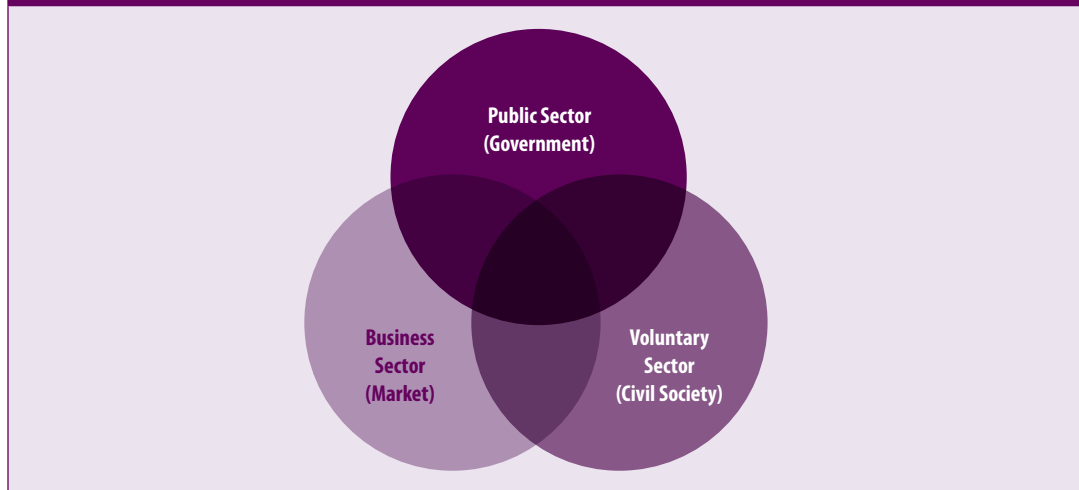
It starts with an analytical consideration of what is civil society and how stakeholders hold multiple roles within a country. It outlines which types of organizations can be considered a CSO and looks into their roles and functions as an outgrowth of civic engagement. In practice, varying levels of state support ultimately condition the environment and degree of civic engagement that is possible — whether as part of an MDG-based national development strategy or any policy process. The section concludes by offering an overview of the principal concerns for effectively engaging CSOs. Aspects considered include the nature of state-civil society relations, CSO capacity and resources (financial, human, technical, material, etc.) and current forms of partnership and collaboration.

## 1. What Is Civil Society?

In theory, civil society is often considered one of three sectors in a modern nation: i) public (government), ii) business (private enterprise and the market) and iii) voluntary (civil society). Each sector is allocated ideal functions and roles in a country's development and each is distinct from the others (see Figure B).

In reality, whether civil society and its related organizations function at the national and local level will depend on a country's particular social, economic and political features. Poverty, inequality and other human development factors condition the growth, nature and role of civil society and its interactions with the other sectors. These same factors impact how and who to engage from civil society when drafting an MDG-based national development strategy.

**FIGURE B: A THREE-SECTOR VIEW OF STATE AND SOCIETY: AN IDEAL VISION**



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Although government agencies and businesses are not included in the list, civil society actors often hold multiple roles in the other two sectors. A businessman working in the private sector may be a member of the local chamber of commerce and even sit on a government trade commission. While the business association is considered part of civil society, his company and the government body are not.

## 2. Civil Society, Civic Engagement and Collective Action

As mentioned above, what is unique about civil society is it offers a distinct arena for citizens to come together voluntarily around shared interests, ideas and values.<sup>14</sup> The space created allows state institutions and members of society to consult with each other, interact and exchange views and information on public matters. This interaction can occur through more or less formal channels such as organizations and institutions, as well as by citizens acting together and individually.

The process, often called civic engagement, results in getting people involved in the economic, social, cultural and political aspects of society that affect their lives.<sup>15</sup> A climate conducive for civic engagement — fostered by legislation and policy measures — is one where citizens have the ability, the agency and the opportunity for collective action, both formally and informally.

However, it is difficult to categorize collective citizen action as falling into a specific sphere since civil society actors often hold multiple and fluid roles (see Box B).<sup>16</sup>

When collective action spills from civil society into the sphere of government, it can provide a powerful mechanism for strengthening the impact of public policies. The crossover happens when people organize and act together to improve the functioning of state institutions and their responsiveness to specific citizen demands. In practice, it is about people becoming active in shaping the policies and decisions that affect their lives. Through collective action, government is put under pressure to become more accountable, as well as to deliver changes and improvements along other fronts.

### BOX B: CIVIL SOCIETY ACTORS AND THEIR MULTIPLE ROLES: THE CASE OF FARMERS

Farmers in developing countries often rely on mutual solidarity and cooperation among community members to produce their crops. However, they do not 'depart' from civil society and become part of the market if they sell their crops. They also do not 're-join' civil society if they go to their house of worship or take part in cultural events. There is an unavoidable overlap between civic and economic roles, which also carries into questions of government. Farmers may be part of government bodies set up for establishing commodity price controls, or they might come together to protest such political interventions. Their relationship with the government is further complicated in parts of the world like Asia and Latin America, where small agricultural producers may plant crops for the illegal drug trade out of economic necessity. Their actions affect all three sectors, impacting civil society, the economy and local and national governance.

14. For more information, see: Civil Society Research Findings from a Global Perspective: A Case for Redressing Bias, Asymmetry and Bifurcation, by Alan Fowler. *Voluntas* Vol. 13, No. 3 pp. 287–300. 2002.

15. For more information, see: Human Development Report. UNDP. 1993. <http://hdr.undp.org/reports/global/1993/en/>.

16. See: The State as First Among Equals. State–Civil Society Relations in the Development Context, by Pierre Huetter. Centre for Democratic Institutions. 2002. [http://www.cdi.anu.edu.au/research/1998-2004/research\\_publications/research\\_downloads/PierreHuetter\\_DevNetConference\\_Dec02.pdf](http://www.cdi.anu.edu.au/research/1998-2004/research_publications/research_downloads/PierreHuetter_DevNetConference_Dec02.pdf).

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## 3. Characteristics of Civil Society Organizations

Civil society organizations (CSOs) are one of the more common formal channels for collective action to occur. Apart from providing the necessary structure for expressing interests, CSOs also serve as a conduit for addressing citizen concerns regarding such issues as government policies, the delivery of basic services, market prices or company practices. By serving as the aggregate representation of their constituencies, CSOs take on the responsibility of bringing their member demands and interests to the ears of decision makers.

On matters of government, CSOs help to facilitate information flows, mobilize and aggregate citizen interests, and fight for their issues to be included on the agenda of parliamentary or ministerial meetings. A CSO with a large constituency or — better yet — a coalition of CSOs promoting a common cause has a much better chance of getting the attention of government than does a lone protester.

CSOs cover a number of roles within their communities of interest, each counting for a vast array of functions (see Table A). They help to serve as a mechanism for engagement and consolidating the voice of their constituency by carrying their issues forward. The spaces they occupy reflect a dynamic interplay between self-selection and demand. In many cases, CSOs identify their niche and position themselves to fill it by meeting local and national needs. The response often results in making the state more accountable and filling the vacuum created when government leadership is absent. External factors can constrain CSOs from taking on these roles in cases where organizational capacities — resources, skills and leadership — are limited.

**TABLE A: ROLES AND FUNCTIONS OF CSOS**

ROLE	EXAMPLE
Providing services.	Legal aid, health services, water supply, humanitarian relief, HIV/AIDS care, reproductive health services.
Identifying and addressing community needs.	Training, education, livelihood support.
Mediating between citizens and the state and/or corporate sector.	Advocacy and lobbying, participatory budget initiatives, citizen report cards.
Defending citizens' rights and safeguarding public interest.	Watchdog functions, advocacy, media and right-to-information campaigns.
Articulating the voice of excluded groups/populations.	Citizens' budgets, advocacy for land rights, environmental action programmes, campaigns against 'big development' (dams, extractive industries, etc.).

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The range of responsibilities reflects the different organizations and institutions that can be classified as a CSO. For example, professional associations and trade unions are equally considered CSOs as are cultural and religious organizations. The media, relief organizations, academic and research institutions – these are all part of civil society.

As these examples show, CSOs are thematically diverse. However, there still are certain general traits that characterize their structure. A CSO is:

- An **organization**. Day-to-day operations have a structure and regularity.
- **Privately owned, managed and operated**. They are not officially considered part of the state.
- **Not-for-profit**. CSOs do not distribute profits to shareholders or a board of directors and are primarily not involved in commercial activity.
- **Self-governing**. They are in control of their own affairs.
- **Voluntary**. CSO membership is not compulsory nor are members legally required to participate. In limited instances, joining may be mandatory in order to formally practice one's profession (i.e. trade unions, guilds or societies) or religion (i.e. churches, temples, mosques).

While these are the core features, how a CSO is defined ultimately depends on the benchmark being used to assess the different types of organizations that exist in a country's civil society.<sup>17</sup> To help systematize the process, a global standard — known as the International Classification of Nonprofit Organizations (ICNPO) — has been developed to divide CSOs into groups and subgroups based along thematic lines (See Annex 1). Among the list are organizations set up to promote culture and recreation (i.e. athletic and sport clubs), the environment (i.e. land preservation trusts) and law, advocacy and politics (i.e. legal aid societies).<sup>18</sup>

## 4. Engaging with CSOs: Benefits and Challenges

Based on the roles CSOs play in their societies, the reasons to engage with them in MDG-based planning and policy processes include:

- They are pivotal for mobilizing public opinion and raising public awareness.
- Their work creates bottom-up demand that holds leaders accountable.
- They can help monitor progress on MDGs to generate and sustain political momentum and public interest.
- They contribute to effective MDG localization. Engaging CSOs is a way to promote the full participation of local actors and the process helps to strengthen local skills.
- Participatory assessments and monitoring processes at the community level can help initiate community-driven action.
- The UN Country Teams and their development partners cannot possibly do it alone. CSO partnership is needed to promote the values of the Millennium Declaration and support the implementation of MDGs through national strategies.

17. Leading institutes specializing in the study of civil society have attempted to group (and sub-group) which organizations can be considered an NGO or CSO. These include the Center for Civil Society Studies of Johns Hopkins University ([www.jhu.edu/~ccss](http://www.jhu.edu/~ccss)), CIVICUS ([www.civicus.org](http://www.civicus.org)), Transparency International ([www.transparency.org](http://www.transparency.org)), Social Watch ([www.socialwatch.org](http://www.socialwatch.org)) and the Centre for the Study of Global Governance at the London School of Economics (<http://www.lse.ac.uk/Depts/global/>).

18. For more information, refer to: Global Civil Society: Dimensions of the Non-profit Sector, by Lester Salamon, Helmut Anheier, Regina List, Stefan Toepler, S. Wojciech Sokolowski et al. Johns Hopkins Center for Civil Society Studies. 1999. <http://www.jhu.edu/~gnisp/docs/Annex1to2TablesII.pdf>.

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However, getting CSOs involved and to take on different capacities is not always easy, given some serious internal and external constraints for engaging with them. General factors that affect the type and nature of CSO engagement include:

- **State and civil society relations.** The state may be openly hostile to civic engagement; working tacitly against it; competitive (in relation to external donors); neutral; or supportive.
- **CSO capacity.** As mentioned, capacity impacts the roles and functions that organizations assume. Even organizations that are credible and represent vulnerable groups might have little capacity to actually carry out their intended work.
- **Partnerships.** Collaboration between different actors is a continuous and incremental process rather than a single event.
- **Resources.** Financial, human, intellectual, technical, material and other resources may be a limiting factor that prevents engaging with CSOs, as well as with the different stakeholders involved.
- **Competition and tensions.** Chasms may arise between and within sectors of society as CSOs are engaged in policy making and brought into formal government decisions.

In addition to these challenges, there are other considerations to take into account when determining the appropriate CSO engagement strategy. Often a product of state-civil society relations and related to internal capacities (the first and second points above), these include:

- **Limited capacity for policy research and analysis.** In some cases the belief exists that advocacy campaigns led by CSOs are rhetorical, impractical and based on unsubstantiated facts. These perceptions can hamper the ability of CSOs to effectively engage — and challenge — official positions. For this reason, promoting the collection of qualitative and quantitative findings to support policy positions is addressed throughout all sections of the course.
- **Limited experience with policy monitoring tools.** CSOs may not be familiar with the terminology and/or tools commonly used in the monitoring process.
- **Mismatched technical capacity, particularly for PRSPs.** CSOs may not be in the position to provide substantive, alternative approaches to government positions and strategy proposals. Usually the type of expertise required to do the daily work of CSOs is not the same as that needed to design economic and budgetary policies. This disconnect can be overcome by looking for entry points for how CSOs can serve to validate activities and provide inputs to them, as discussed in Section 2.
- **Obstacles to organizing and networking.** When not internally well organized, CSOs are usually disconnected from each other and unable to present a strong, common voice in policy making. As highlighted in the 'Preface', a focus on coalition and network building runs throughout many of the course's sections.
- **Limited representation and inclusiveness.** Governments and donors tend to question the legitimacy of less broad-based organizations and whether they truly represent civil society and the poor.
- **Limited political space to act.** A weak legal and regulatory framework or a lack of political will on the part of government will restrict CSO activities and opportunities.

The obstacles and constraints to CSO engagement are ultimately rooted in whether the state considers civil society to be an ally or an adversary. A national government may view CSO engagement with open opposition or active interest — or somewhere in between. The administration in power may be ideologically adverse, suspicious or repressively intolerant of civic organizations in the country. These 'worse-case' scenarios are not common, and are more typical of military juntas or totalitarian governments (i.e. dictatorial regimes). 'Best-case' scenarios are usually associated with very advanced countries and those with long traditions of civic engagement.

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In most cases you will find a mixture of policies, legal environments, capacities and involvement. It may be that a government encourages some CSOs (tacitly or explicitly) to work in service provision, but not in policy dialogue or design. Or it may ask them to work in advocating for the MDGs, but not in political mobilization. The examples of Nepal and Nigeria demonstrate how the rise of CSOs, their relationship with the government and their operating environments create different benefits and challenges for engagement (see Box C).

Understanding the varying nature and outlook of governments on engaging with CSOs is important to ensure different approaches are taken with different actors to create space to involve civil society in MDG-based policy processes.

## 5. Next Steps: Determining a Course of Action

Since different governments (even within the same country) have different views of CSOs, different activities need to be pursued that are tailored to them. The characteristics of the country (i.e. **tier**) are only some of the factors that will determine the intermediary steps and type of strategy used for getting CSOs involved in national planning and policy-making processes on the MDGs (see Table B). Selected initiatives should be a combination of a variety of activities as discussed in the 'Preface' and the following sections.

In organizing the training course and selecting sections, it is key to remember this emphasis on country environment. In India, for example, the government's concern would likely be how to mainstream CSOs into the public policy dialogue (i.e. primary strategy) as in Section 1 rather than initiatives to develop CSO capacity and create an enabling environment (i.e. supportive strategy) as highlighted throughout all the sections. In contrast, capacity development of local CSOs and establishing a good regulatory framework might be the main areas of focus in a country such as Mozambique, as in Section 3.

### BOX C: POLITICAL CHANGE AND PENDING CHALLENGES: CSOS IN NEPAL AND NIGERIA

It was not until after a push towards democracy in 1990 that civil society in Nepal really began to flourish. In the last 15 years, the number of non-governmental organizations has grown from a few hundred to over 30,000.

Numbers, however, may not necessarily provide a true picture of CSO engagement in the policy debate. Hardly 10 percent of CSOs registered with the government are operating and effective. Many are based in cities and may only have a single extended family as members. Socially excluded groups have little representation although CSOs might claim their targets are the poor, Dalits and other vulnerable groups. Staff composition reflects this under-representation. CSOs (much like bilateral agencies and UN organizations) tend not to have more than 10 percent of their staff from socially excluded groups.

The few CSOs headed by women, indigenous people and Dalits receive relatively little donor funding compared to those run by academics, consultants and elite groups.

In spite of these failings, some CSOs in Nepal have been able to reach remote parts of the country with advocacy programmes and small-scale infrastructure projects. When compared with government initiatives, these projects are more effective at ensuring the socially excluded are beneficiaries and for adopting approaches that are more participatory and transparent.

In Nigeria, the contributions of civil society have steadily increased following the re-emergence of democracy, although the government's attempt at cooption has not equally eased. CSOs have been instrumental in forcing change and have a long history of political engagement and prowess dating to the pre-colonial period. They have existed both in the traditional and modern spheres, including religious societies, farmers' collectives, traders' associations and women's groups, even in many of the more rural states.

The military government that took power amid the state's breakdown in the mid-1980s sought to build legitimacy by supporting and even creating selected civil society associations and institutions in opposition to others. The Babangida government of 1985-1993 encouraged the association of traditional chiefs and some women's groups, but it opposed and even banned organizations headed by workers, students, journalists and other professionals. Rather than tempering civil society, repression galvanized communities into action, culminating with the return of democracy in 1999.

CSOs continue to serve as a check against the excesses of government, from speaking out against human rights violations to ensuring the respect of constitutional provisions. Nevertheless, the government has demonstrated during and after independence a strong tendency to suppress the voice of communities or exact control over CSO activities through regulations. These have taken the form of legal and administrative measures as well as the direct state take-over of unions and associations.

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The sections to follow provide the basis for selecting any one of these paths.

TABLE B: ASSESSING LEVELS OF STATE SUPPORT AND CIVIC ENGAGEMENT			
Strategy/ Activities	Primary Strategy • Integrating CSOs in MDG efforts and national planning, MDG localization and monitoring.	Support Strategy— Capacity • Capacity development of CSOs for national planning, MDG localization and monitoring.	Support Strategy — Environment • Improving CSO environment for national planning, MDG localization and monitoring.
First Tier	• Supportive CSO environment (in law and practice). • Diverse, effective, legitimate CSOs.		
Second Tier		• CSO environment is supported by laws but not in practice. • CSOs are few, new, weak and not trusted.	
Third Tier			• Hostile or negatively ambivalent CSO environment. • CSOs are weak or repressed.

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# Annex 1

## **INTERNATIONAL CLASSIFICATION OF NONPROFIT ORGANIZATIONS (ICNPO): MAJOR GROUPS AND SUBGROUPS.**

### **GROUP 1: CULTURE AND RECREATION**

- 1 100 Culture and Arts
- 1 200 Sports
- 1 300 Other Recreation and Social Clubs

### **GROUP 2: EDUCATION AND RESEARCH**

- 2 100 Primary and Secondary Education
- 2 200 Higher Education
- 2 300 Other Education
- 2 400 Research

### **GROUP 3: HEALTH**

- 3 100 Hospitals and Rehabilitation
- 3 200 Nursing Homes
- 3 300 Mental Health and Crisis Intervention
- 3 400 Other Health Services

### **GROUP 4: SOCIAL SERVICES**

- 4 100 Social Services
- 4 200 Emergency and Relief
- 4 300 Income Support and Maintenance

### **GROUP 5: ENVIRONMENT**

- 5 100 Environment
- 5 200 Animal Protection

### **GROUP 6: DEVELOPMENT AND HOUSING**

- 6 100 Economic, Social and Community Development
- 6 200 Housing
- 6 300 Employment and Training

### **GROUP 7: LAW, ADVOCACY AND POLITICS**

- 7 100 Civic and Advocacy Organizations
- 7 200 Law and Legal Services
- 7 300 Political Organizations

### **GROUP 8: PHILANTHROPIC INTERMEDIARIES AND VOLUNTARISM PROMOTION**

### **GROUP 9: INTERNATIONAL**

### **GROUP 10: RELIGION**

### **GROUP 11: BUSINESS AND PROFESSIONAL ASSOCIATIONS, UNIONS**

### **GROUP 12: [NOT ELSEWHERE CLASSIFIED]**

*Source: Global Civil Society: An Overview, by Lester M. Salamon, S. Wojciech Sokolowski and Regina List. JHU Press. March 2003. <http://www.jhu.edu/~ccss/publications/pdf/globalciv.pdf>.*

## FROM NATIONAL VISION TO STRATEGY WITH CIVIL SOCIETY

Strategic planning exercises tend to be structured around three simple stages that are complemented by a range of activities to engage civil society:

1. **Visioning** – The national visioning process should be as participatory and broad-based as possible. Activities should be chosen that help to engage civil society in the articulation of grander, longer-term national development goals. Consensus building activities can help to refine the list of goals and ensure that they are desirable to the entire range of actors — from the average citizen to the prime minister.
2. **Baseline Selection and Target Tailoring** – Selecting a baseline is the only way to determine where a country is in its national development — and what it is required to achieve its targeted goals. Once the baseline is set, it becomes easier to identify policies that can help the country achieve the ideal set out in the visioning exercise. Civil society actors can assume different roles in this process, depending on their technical skills and the government's willingness to work with them.
3. **Prioritization of Policies** – Given a finite level of resources (human, financial, natural, etc.), policies and supporting frameworks need to be prioritized to manage expectations and tangible outputs. Within this process, CSOs should be invited to assist in identifying viable — and non-viable — strategies.

The involvement of CSOs throughout these three stages is critical for selecting national goals, targets and indicators that reflect citizens' development priorities, promote country ownership and encourage good development outcomes. Each links up to the other by establishing a favorable environment for the next to occur. A visioning exercise provides the qualitative and quantitative inputs needed to support target setting

**DIAGRAM 1.1: MOVING FROM VISIONING TO DEVELOPMENT OUTCOMES**



Source: Adapted from: "How-to-Guide to MDG-Based National Development Strategies". UNDP. 2006. Draft. [www.undp.org/mdg/guide](http://www.undp.org/mdg/guide).

# Section 1

activities (see Diagram 1). It also creates the basis for working with different civil society actors as part of national planning and policy processes – the focus of the third stage. The activities highlighted in the course’s “Preface” provide general guidance on how to begin partnering with civil society actors. Mapping out who the players are and what each can bring to discussion the table is a good entry point for getting started with the visioning process.

Whichever path is chosen, it is important to recognize the constraints and challenges that characterize the particular country and operating environment. At each stage, the degree of civil society participation will be conditioned by the country context, political space and organizational capacity of CSOs to get and stay engaged. The topics discussed in this section should be viewed through this lens and specific approaches should be selected based on this panorama. For an overview of some of the obstacles posed, please see the “Introduction” section of this course.

## (i) Key Definitions:

Before beginning, it is important to review and define some of the central concepts that we will be working with in this section. A complete glossary of all terms can be found at the end of the course.

**Baseline:** A starting point for measuring performance and evaluating results. It allows two important comparisons to be made: real development progress against national objectives and targets, and national development objectives against the global MDGs. The baseline is part of an overall situational analysis that considers the country’s political, demographic, economic, and historical trends.

**Civil Society Organization (CSO):** A non-state actor whose aims are neither to generate profits nor to seek governing power. CSOs unite people to advance shared goals and interests, including (but not limited to) ethnicity and religion; shared professional, developmental or leisure pursuits; environmental protection; and/or human rights. They comprise the full range of formal and informal organizations within civil society: non-governmental organizations (NGOs), community-based organizations (CBOs), indigenous peoples’ organizations (IPOs), trade unions, and social movements and coalitions.

**Goals, targets and indicators:** Three channels for transforming development priorities into development outcomes. More specifically:

- Goals express an objective to be achieved. Usually, they are non-technical statements that cannot be quantified. Goals do not describe a process — rather they refer to end products and results. For example, Vietnam set the goal of reducing poverty among ethnic minorities as part of its national MDG process.
- Targets are individual, observable achievements directly related to a goal. An example of a target addressing the goal of reducing rural poverty could be “[to] cut the percentage of households living in poverty in rural districts by 10% annually.” In the case of Mexico, the country set a target to halve the number of citizens consuming fewer calories than the required nutritional level.
- Indicators are variables used to measure progress towards a target and overall goal. They are a means for measuring results against what has been projected and seeing what actually happens against what has been planned in terms of quantity, quality and timeliness. Generally, MDG indicators measure outputs and outcomes, although they also can measure inputs and processes. Returning to the case of Mexico, the indicator selected to track progress on achieving the target was the percentage of the population consuming calories below the minimum level (an outcome indicator). See Annex 1.11 for a complete list of MDG goals, targets and indicators.

**National Development Strategy:** A comprehensive planning framework designed to accomplish nationally-defined and consensually-set development objectives, priorities and targets. In the long term, usually implies a strategy of five, 10, 15 or more years. In the medium term, the period covered is usually two-to-three years.

**National Vision:** A long-term consensus on the future course of development. It should articulate the country’s overarching objectives in a succinct format. National vision statements are typically between three and four pages in length.

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**Priority Setting:** Within this context, “priority setting” refers to a process in which a country determines the key areas of focus or drivers towards its development goals and targets. Priority setting should be based on an assessment of the national situation with respect to economic, social and political baseline data; performance in service delivery; and challenges and opportunities. Such priorities are set in the form of:

- Key pillars or themes of a national development strategy which include a description of desired outcomes within each pillar;
- A framework of policies and actions that will lead to the desired outcomes, taking into account a finite level of resources (human, financial, natural, etc.).

**Stakeholder:** People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; national or local government; legislative or administrative bodies; donors and other decision makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment.

**Tailoring:** Process of adjusting MDG targets and indicators to more accurately reflect and measure the country-specific situation and national development priorities — i.e. adaptation, not mere adoption of the global goals. Adaptation is best achieved through a consultative process involving major stakeholders. For indicators, this means using the best available official data sources to measure progress toward targets agreed upon in the national development strategy.

## (ii) Why:

Now that we have working definitions for all the principal terms to be used, it is important to understand the rationale for engaging with civil society at this step in the policy process.

Visioning and tailoring activities get CSOs involved early, setting the tone for subsequent stages. The areas covered in this section help to build broad-based participation and widespread buy-in, which are needed at later phases of designing an MDG-based national development strategy. Whether civil society actors take advantage and participate in related activities will depend on a mix of their capacity, the operating environment and the openness of government to involve them. There are ways to overcome these obstacles, particularly in terms of developing the organizational, sectoral and institutional capacity of CSOs needed for promoting and sustaining engagement. Many of them are highlighted in the “Preface” and other sections of this course for your easy reference.

By promoting ownership from the beginning, a sense of legitimacy is established among stakeholders that can support continued engagement throughout the different phases of planning and policy-making. This credibility and accountability helps to keep CSOs involved in the process and interested in tracking the results. If civil society engagement is done for more pro-forma reasons or out of pressure from donors, the results will reflect this dynamic and compromise the effectiveness of policies to respond to national development concerns. The aim is to avoid one-off activities and to seek out mechanisms that can sustain their participation.

The involvement of civil society stakeholders enhances the responsiveness of policies to the needs of citizens, especially poor women and men. When meaningfully engaged in decisions, CSOs are able to provide alternative views and complementary sources of data that will enrich policy choices. By inviting, consulting and listening to them, government is gaining an insight into citizen realities and securing the commitment of civil society stakeholders in responding to the problem(s).

A legal framework can help to create a basis for an effective partnership between government and civil society. It can also provide a tool for strengthening accountability, both formally (e.g. the legislature) and through civic engagement. While setting out the steps to promote legal structures is beyond the scope of the section, it is an area that should be addressed as part of establishing a conducive context for civil society engagement.

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## (iii) How:

The visioning process needs to be well-planned to ensure genuine participation and to establish a framework that can facilitate on-going dialogue, a shared vision and shared responsibilities. The nature and extent of CSO involvement at each step — particularly the ways in which vulnerable actors and groups are engaged — will condition the creation of a vision that truly represents the country's collective aspirations and challenges.

The framework selected for engaging with civil society should be conceptual, institutional and resource-based. This includes having partner staff (i.e. the human resources) that are capable of communicating well with CSOs. It also means having the equipment (i.e. the technical resources) required to carry out these exchanges. The conceptual framework should be based on content familiar to stakeholders, plain and simple. This will allow a focused dialogue that highlights key community concerns as topics for discussion.

As mentioned, there are three milestones in moving from a vision to strategy:

1. Establishing a national vision.
2. Setting of an MDG baseline and tailoring of the MDGs using CSO involvement.
3. Priority setting and formulating the national development strategy.

Throughout each stage and step, CSO involvement is an essential element and should serve to complement previous activities. During the tailoring process, civil society engagement can begin from a simple starting point: information sharing. The country poverty profile that should have been produced during the visioning process can provide some basic data for civil society to use during the selection of appropriate baselines, targets and indicators.

In working with civil society actors, it must be remembered that the term will not mean the same in all countries. The national context will determine which types of organizations fall within the "third sector".

Once the players are known, it is important to design and implement activities that are able to mobilize them and solicit their inputs. These include:

1. **National consultations / consultative forums** (with ministries, NGOs, private sector, academia, other relevant stakeholders).
2. **Poverty observatories** – In Mozambique, the Poverty Observatory acts as a consultative body, consisting of the government, civil society and international partners, providing an opportunity for wider consultation and consensus building.
3. **Multi-stakeholder working groups** – In some countries (including Mozambique), working groups, consisting of representatives from the government, donors and CSOs, are responsible for conducting performance assessments on selected indicators which are used to monitor the country's PRSP.
4. **CSO mapping** – This exercise helps to provide an overview of the CSOs in the country and a truthful analysis of their abilities and challenges. The results can be used to build realistic expectations when working with civil society.
5. **Community-based CSO networks** – In Tanzania, stakeholders who are part of well organized and established networks have been asked to provide feedback to the government on policy interventions. Ways to effectively support CSO networks are discussed in the "Preface".
6. **Poverty hearings** – Poverty hearings can help to ensure that poverty is brought to the forefront of the agenda and a forum is provided for the poor to discuss their priorities. South Africa's 'Speak out on Poverty' and the World Bank's Voices of the Poor are two examples.
7. **Participatory Poverty Assessments (PPA)** – A PPA is an iterative, participatory research process that seeks to understand poverty in its local, social, institutional and political contexts. PPAs can be defined as an instrument for including poor people's views in the analysis of poverty and the formulation of strategies to reduce it.



- 8. Poverty and Social Impact Analysis (PSIA)** – This analysis offers a participatory approach for analyzing the potential impacts of specific policy reforms on poverty reduction and social progress. Other types of **focused studies** can be used to engage stakeholders in assessing policy interventions. In the case of Tanzania, stakeholders from academia and research institutions, as well as development partners, provided technical inputs to feed into and shape the country's PRSP review.
- 9. Public expenditure tracking surveys** – This tool can be used by CSOs to demonstrate inefficiencies or gaps in delivery. Alternative budget preparations are another option for following resource flows once they are assigned and until they are disbursed.
- 10. Citizen report cards** – As a tracking mechanism, report cards promote community monitoring of service delivery. The results can be used as inputs for policy and programme reviews, such as for a PRSP.

These areas will be explained in more depth in the module (also refer to Annexes 1.1 to 1.10 for activities). Whichever approach is used, outreach initiatives — community meetings, media and print campaigns, slogans, working groups — will form an important part of the work. Such an advocacy component is needed to help raise awareness and obtain the commitment necessary for the continued engagement of civil society at each step.

## 1. ESTABLISHING A NATIONAL VISION

### Step One: Conduct a visioning exercise to set long-term goals

A national vision is a product of consensus building and brings together the long-term, visionary development ideas of civil society and government.

The government body or agency responsible for leading the visioning exercise should prepare a detailed participation plan (i.e. roadmap) that provides the entry points for collaboration with partners. The participation plan will outline the following:

- the various stages of the visioning process
- activities within each stage
- estimated budget
- responsible bodies or persons
- stakeholders to be engaged
- timeframe

This plan also serves as a checklist to determine whether true, representative, and broad-based participation is actually achieved at each step. One option is to select indicators to monitor the inclusiveness of the process and whether the different components of the visioning activity have been successfully completed. A stakeholder analysis (see Box 1.1) can help with this work by determining which actors will be engaged in the process, at what stages and their anticipated roles. This same “map” will help to determine how to involve civil society most efficiently throughout the different phases of preparing a national development strategy. See Annex 1.1 for tools and techniques on how to conduct a stakeholder analysis and visioning exercise to set long-term goals. Annex 1.8 also provides a sample working group activity for helping to develop a shared vision through consensus building.

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## BOX 1.1: ANALYTICAL TOOLS TO GET A BETTER GRASP ON CIVIL SOCIETY

If civil society is not well understood or CSOs are a relatively new force, it may be necessary to conduct a situation analysis before beginning the visioning plan.

A “mapping” is carried out for each region in a country and uses existing information to the extent possible to complete an aggregate profile that analyzes national trends and issues affecting CSOs.

- If time and resources are a constraint, one lead actor (e.g. the UNCT, national CSO network, relevant ministry) should be designated to draft a short concept note (3 to 5 pages) on the existing position and characteristics of the national CSO sector as well as trends that could impact their participation.
- If time and resources are not a constraint, a deeper analysis can be conducted using the following techniques: institutional mapping and stakeholder analyses (which are gender sensitive).

Templates for undertaking these exercises include the CIVICUS Civil Society Index as well as some country-specific examples from Albania and Sudan.

With a clearer profile of CSOs in the country, it is possible to conduct a stakeholder analysis to determine the level of participation of each stakeholder in the process. The analysis should cover:

- Government: various ministries and agencies at the national and local level
- CSOs
- Private sector
- Media
- Donors

It is essential to make sure the analysis looks at the influence and importance that different stakeholders have in planning and policy decisions. These considerations are particularly important in fragile or post-conflict states because of the underlying power dynamics at play that can promote instabilities. A sample TOR for a stakeholder analysis in Sudan illustrates ways to address these concerns in the study.

## Step Two: Establish a consensus on basic working principles

Identify and clarify the reasons for civil society engagement in the visioning process. If the government recognizes the value that civil society brings to the visioning process, it will create space for CSOs to actively participate. Possible questions from the government could be:

- What are the objectives for civil society participation?
- What value will civil society engagement add to the national visioning and planning process?
- What does the government expect from this engagement?
- What are the demands from society and why?

If the government and civil society are having difficulty in communicating or finding common ground, a facilitator may be required to get the process moving by creating shared interest around a common rationale for CSO involvement (see Box 1.2). Some of the techniques outlined for leading community conversations can be useful for this work (see Annex 1.2).

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## Step Three: Select an institutional framework for the process

This framework will depend on the current state of government-civil society relations, the nature and level of development of CSOs and other factors such as the country's demographic and geographic profile.

Through established networks or partnerships, request that CSOs determine who will represent the civil society sector during the process. Where civil society is not well organized or represented, the government can identify a group of organizations — based on the stakeholder analysis (step 1) — that has the capacity to represent other CSOs and is willing to engage in the process.

- When possible, use a series of one-day consultative meetings with different communities around the country as a way to provide additional inputs and promote inclusiveness of the process. Local civil society actors including community-based organizations, youth organizations, trade unions and women's organizations should be among participants.
- When working with CSOs, ensure that cross-cutting development issues — such as gender, HIV and AIDS and social exclusion — are represented by the right actors. Determining who should be at the discussion table at this early stage will enhance and facilitate a productive process for setting the national development vision and strategy. It is helpful to make a checklist of what types of key actors to include, particularly when it comes to matter of gender, race and ethnicity (see Box 1.2).

### Hint:

- One approach for ensuring the right mix of stakeholders has been to establish a National Steering Committee (NSC) to advise and guide the process.
- For the committees, countries have selected 10-12 highly respected representatives who are drawn from different regions, provinces and/or states.
- Another option countries have used is to form a National Working Group (NWG) of about 40-50 people representing various stakeholders and expertise to prepare a national vision statement.
- To open up the process, working groups can also invite additional actors to submit their insights on national aspirations. Stakeholders can be identified by considering which groups are involved and have the greatest stakes in national development objectives. Depending on the size of the country and the different sectoral issues at play, it is helpful to establish a set number of participants that can be considered a representative sample and invited to participate — regardless of the institutional channel chosen.

In consulting with civil society on the national vision, make sure to use different channels to collect feedback from citizens, ranging from public hearings to electronic submissions to solicitations through the media. The South Africa Poverty Hearings provide an excellent example of civil society organizations assuming a leading role in allowing individuals and organizations to describe their experiences with poverty, its impact on their livelihoods and ideas for change. Whatever the method, it is important that it is standardized and the information categorized (see Box 1.3). For tools and techniques to assist with this work see Annex 1.3. There you will find a list of questions that can be used to assess which survey data to use.

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## BOX 1.2: FACILITATING COMMUNITY CONSULTATIONS

Community consultations help to bring new voices to the discussion and can serve as a complement to the formal consultative body set up to represent civil society organizations in the visioning process. If a National Working Group or National Steering Committee of CSOs has been established, it would be responsible for organizing these events.

When setting up the consultation, be sure to:

- Invite participants well in advance. Put notices where people will see them (i.e. markets, houses of worship, clinics, schools) and notify local media.
- Prepare and share key information handouts in advance. Considering putting together a quick fact sheet for distribution.
- Distribute meeting procedures and speaking rules. Encourage large interest groups to select one spokesperson.
- Select a meeting venue with a sufficient number of seats and make arrangements for any equipment needed.
- Agree on ground rules, including the process for raising questions and points of order.
- Designate 2-3 participants as 'secretaries' to document what is being said.
- Start by briefly introducing the topic and referring to handouts or other material. The rest of the session should be for citizens.

After the session, close the meeting and give information on follow-up actions, such as a decision date, next hearing, or the names of contact persons.

Source: *Strengthening Decentralisation and Local Governance: Training Manual*. UNDP Albania. 2003. pg. 32. <http://www.lgp-undp.org.al/download/guidelines/decen-training.pdf>.

## BOX 1.3: SOUTH AFRICA LETS CITIZENS SPEAK OUT

The "Speak Out on Poverty Hearings" were a series of consultations held around South Africa between April and June 1998. They were sponsored by the South African NGO Coalition (SANGOCO), the South African Council of Churches, and other organizations.

Hearings were organized in each of the nine provinces. Over 10,000 people participated — either attending the hearings, working to mobilize communities or making submissions. Nearly 600 people presented oral evidence over the 35 days that the hearings were convened.

Some of the main findings from the reports were:

- Poverty is not only about lack of money, but a dearth of opportunities and choices which prevent people from being allowed to build decent lives for themselves.
- The answers to the question "What is poverty?" differ in different parts of rural and urban South Africa. Responses also change depending on one's gender, race, age and other characteristics.
- Respondents saw current problems as a result of past discrimination and disadvantage, suggesting there was a long way to go before apartheid's distortions could be straightened out.
- In the poorest provinces, the severity of poverty was clearest in people's descriptions about the about lack of food.
- Gender, disability and crime were not among the official themes around which the hearings were organized. Nevertheless, each merged repeatedly as factors increasing people's vulnerability to poverty and undermining their overall well-being.

Source: Africa Action, "South Africa: Poverty Hearings": <http://www.africaaction.org/docs98/sa9810.htm>

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Once consultations are completed, summarize and publish the collection of national aspirations that have been compiled in a user-friendly format. This summary should be widely disseminated. Be sure to use simple and accessible language. Translate the documents into each of the main languages used in the country. Recirculate the list to different stakeholders in order to validate the areas that have been highlighted.

Consultations can be complemented by data to provide a quantitative dimension to the problem. This can be done by:

- Identifying sources of information and relevant data required to inform, bolster and validate the vision.
- Collecting and analyzing poverty and development data that is currently available on the country. Wherever possible, disaggregated data should be used to best characterize what groups of citizens are being most affected and the geographic distribution of indicators.
- Designating a team to oversee the collection and compilation of data. The government body charged with leading the visioning process (the National Working Group, National Steering Committee, etc.) should act as the main collection point for information. The more leverage and respect the designated group or team has, the better positioned it will be to get the requested information.

## BOX 1.4: LEADING A PARTICIPATORY POVERTY ASSESSMENT – THE EXPERIENCE OF CAMEROON

PPA was launched in January 2000 and centered on two main phases. Overall, almost 10,000 citizens participated, of which 40% were women.

Prior to beginning the PPA, a training seminar was organized for a wide range of stakeholders in government and quasi-government institutions, universities, NGOs, faith-based organizations and international donor agencies. The seminar enabled participants to review various methodologies for participatory consultations.

Consultations permitted: (i) people, and notably the poor, to specify key elements of the regional poverty profile; (ii) information sharing between government and the public on poverty reduction strategies and initiatives for Highly Indebted Poor Country (HIPC); and (iii) the collection of ideas and suggestions to improve the Interim PRSP.

The main results were that regional consultations provided insights into the public's perception of basic poverty, their analysis of the causes and suggestions on ways to combat it. The findings from the second round of consultations also influenced the content of the PRSP. They captured citizen demands for increased investment in skills and education to raise their income potential, improved access to water, improved road infrastructure, better governance and increased investment in social sectors. Overall, the PPA process created a basis for a stronger sense of national ownership over the PRSP and MDGs (at national and local level).

However, challenges were faced regarding:

- Capacity constraints: Limited capacities of CSOs and the private sector to engage meaningfully in this process contributed to completion delays of the final PRSP.
- Financial constraints: The government's budget could not fully finance the consultation process, resulting in delays in start-up, due to resource mobilization efforts.
- Weak networking among CSOs: CSOs in Cameroon are not well organized and tend to operate in isolation. This has hindered the effectiveness of consultative processes.
- Institutional practices: Participatory approaches were new to government administrations, which were more familiar with top-down decision-making processes.

In response to these challenges, the government and donors (World Bank, UNDP, French Cooperation, German Cooperation) have invested in capacity building initiatives targeted at CSOs. Also, limited government funds have been subsequently complemented by support from World Bank, UNDP and GTZ. To deal with the problem of weak CSO networks, support is being provided by government and donors to strengthen coordination among CSOs. Donors have advocated for the institutionalization of key aspects of participation, including information sharing and openness of decision-making in the government's day-to-day activities.

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- Revisiting previously conducted surveys. Much of the data needed is likely to be available. Results should be reviewed and the relevant information cited.
- Assessing collected data and compiling by sector. These background materials will be used as needed by the governmental body and its members based on the priorities and goals selected.

### Hint:

- The national statistical office and other government agencies will have data from national surveys like the population census, the living standards measurements survey, household budget surveys, sectoral studies and country reports (the MDGR, NHDR, etc.).
- While the findings from all these surveys may not be readily disseminated for different reasons, information should be available upon request.
- Identifying and requesting data at this point in the process will facilitate access to the information needed throughout the different stages of designing an MDG-based national development strategy (i.e. setting a baseline and targets, integrating planning processes and monitoring outcomes.)
- If time allows, consider complementing available information by conducting a participatory poverty assessment. The study should provide key findings on the nature, depth and distribution of poverty. It also is another entry point for reinforcing CSO participation in the national development process, as was done in Cameroon. (See Step 4: "Create a Participatory Process"; Annex 1.4 and Box 1.4).
- Incorporating data into the national visioning exercise to help identify priority areas. Quantitative findings provide an empirical basis and a good complement to the more qualitative components of a national vision. The National Working Group or other body charged with leading the process will be tasked with linking up both sides of the development panorama and drawing on key data supports where relevant. Since a national vision is brief, the data used needs to be specific, insightful and directed (see Step Five: "Articulate and Draft the National Vision").

An open and inclusive process should characterize how the national visioning exercise is conducted and how the results are published and disseminated. Activities may involve the development and launch of media campaigns or the organization of workshops and outreach initiatives that target certain groups' participation. Capacity building workshops and training sessions can also be organized for stakeholders involved in the government (national and local), civil society and technical working groups. Mobilization efforts also can include a process of roundtables and discussions with donors to gain their support for and endorsement of the visioning process.

## BOX 1.5: GENDER-SENSITIVE STAKEHOLDER CHECKLIST

Have the following individuals and groups been brought into the policy or project cycle:

- Gender focal points in various ministries or departments?
- Development partners with a gender equality mandate and/ or commitment?
- A governmental or independent economist with gender expertise?
- Male and female representatives of private sector associations?
- An umbrella organization of women's or gender NGOs?
- Any NGOs or community groups that represent men's gender interests?
- Relevant sectoral or "special interest" NGOs that have an interest or experience in gender issues?
- Human rights groups or advocates?
- NGOs or lobby groups on globalization issues (trade and EU integration, HIPC debt initiative, multilateral agency lending, generic medicine production, etc.)?
- Think tanks or policy analysts with experience and expertise in gender issues?
- Academics or researchers from university Gender Studies departments?

Source: *Gender Mainstreaming in Practice: A Handbook*, by Astrida Neimanis. UNDP Bratislava Regional Service Centre. 2005. [http://www.undp.org/women/docs/RBEC\\_GM\\_manual.pdf](http://www.undp.org/women/docs/RBEC_GM_manual.pdf).

At each step, continue to assess stakeholder representation and ask questions:

1. Have all the key actors been involved?
2. If not, what are some strategies to get them involved?
3. At what points should they be involved?
4. Do they have the capacity for active and effective engagement? Are additional learning activities needed?

Depending on the vision put forth, the range of stakeholders will change and the answers to these questions will undoubtedly vary. However one set of issues does not differ: the need to make the process inclusive. It is essential to always frame participation within this context in order to promote gender equity and the voice of vulnerable groups regardless of who are defined as the stakeholders (see Box 1.5).

To ensure the process follows an inclusive format, make preparations early for organizing a series of visioning workshops throughout different parts of the country. Poor planning can result in de facto exclusion of many key groups, particularly when distances and limited resources are involved. The results of lead-up events — such as community consultations, community dialogues and surveys of citizens' aspirations — can be used as a starting-off point for the dialogue (see Box 1.6). Once inputs are consolidated, they can be circulated to participants for their comments prior to the visioning workshops.



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## BOX 1.6: WHAT IS A COMMUNITY DIALOGUE?

Community dialogues reflect the belief that local groups assume essential roles in advancing a country's development and ensuring sustainable community livelihoods.

Despite their enormous potential, local and grassroots groups remain the least well positioned due to the lack of forums, opportunities and actual spaces for such exchanges to occur.

In response, UNDP (as well as other development partners) has been working to stimulate a dialogue among communities on the policies that are (or will be) affecting them. In the Asia Pacific region, community dialogues were used to improve environmental governance in the countries bordering the Mekong River Basin: Cambodia, Laos PDR and Thailand. A national United Nations Volunteers (NUNV) was posted in one of the six selected communities to strengthen their capacity for expressing their environment-related needs. In order to exchange ideas and create a shared common position, a three-day workshop was organized for 30 representatives of the six communities.

In Southern Africa, countries also are setting up similar consultation programmes. South Africa organized training events for core groups of provincial and regional support teams, which were done in partnership with premiers' offices and provincial line ministries. The training provided skills, processes and tools required to enable communities to explore their perspectives, attitudes and involvement in HIV/AIDS policies. Working in collaboration with local municipalities and traditional leaders, communities determined ways to integrate HIV/AIDS care with prevention and mitigation efforts. The resulting community dialogue was used to formulate plans that were later to be integrated into the provincial health care strategy.

Sources: UNDP Bangkok Regional Centre and UNDP South Africa. <http://regionalcentrebangkok.undp.or.th/practices/cap2015/reg/component2a.html>. <http://www.undp.org.za/holistic.html>. See Annex 1.2 for more information.

The care used in organizing the workshops should be reflected in the questions selected for generating discussion. These should be simple, straightforward, context sensitive, and crafted using concrete ideas and examples. Questions should be structured along the following four topics:

### 1. Long-term aspirations:

- What are the long-term aspirations and objectives of the society? What kind of a nation do you want your country to become by the year 2015? What is the country you want for your children?

### 2. Challenges and obstacles:

- What are the key issues and challenges that must be confronted if your country is to achieve its vision of the future? What are new ideas and ways to overcome these obstacles?

### 3. Opportunities:

- What are the opportunities and limitations for creating this desired future? Are these a result of domestic or international factors?

### 4. Policy response:

- Given the issues and factors identified, what are the most appropriate policies and programmes to achieve your vision for the future?(See Annex 1.4 for a list of tools and techniques that can be used to help create a participatory process, including how to conduct a stakeholder analysis, participatory power assessment and CSO monitoring activities).

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## Step Five: Articulate and draft the national vision

A national vision does not need to be lengthy or extremely detailed. It could be as short as five pages — if it is crafted in a way that is concise and detailed. It should reflect information and inputs collected during the preparation process on national aspirations (see Step One) and be supported by empirical data (see Step Three). It also should attempt to be as realistic as possible in laying out clearly the pending issues for national development. Finally, just like the consultations, the national vision should be published and disseminated to as wide an audience as possible and in the local language(s). Countries that have led successful national visioning activities include Lesotho, Kenya, Malaysia, Mozambique, Paraguay, Sierra Leone, Suriname, Uganda and Tanzania. Through these processes, development priorities were defined as a way to link up policy responses to national aspirations. The resulting vision statements were readily made available, many times using the Internet and local media as means for ensuring broader access.<sup>19</sup>

To finalize the national vision, use the working group structure established during the national consultation process to articulate general objectives and outcomes that have been outlined in the visioning workshop. In many countries, the National Working Group (NWG) or similar government body is charged with preparing and publishing the draft version of the national vision.

If this option is chosen, the following list can serve as a guide for leading the activity:

- The NWG should prepare a 2-4 page preliminary draft statement of overarching national objectives for the country's future. Development data should be incorporated where relevant to provide quantitative support for each of the goals outlined.
- The draft should identify and include the secondary objectives that may impact the achievement of primary goals.
- NWG members, aided by external facilitators, should then circulate the draft to CSOs using the networks identified during the stakeholder assessment (see Step One).
- Leverage the visioning workshop structure, including community roundtables, to build productive working relationships and set up future consultations. Be sure to include key stakeholders throughout the country.
- Depending on time and resources, a second-round of stakeholder consultations can be conducted and used to provide feedback for revising the draft vision statement.
- Once the draft is ready, it should be published and circulated along with the supporting documentation used to shape the process.
- Use the final draft to conduct a public awareness and media campaign on the country's development vision (see Step Four).

Other tips to keep in mind when using a national working group to oversee the visioning process are:

- The NWG should be the lead party responsible for overseeing the publication of the national vision.
- In cases where the country is multilingual, make sure that the draft is translated into all national languages. Where minority groups speak other languages or dialects that are not officially recognized, it is important to make the national vision accessible to them, either through the translation of materials or the use of innovative dissemination channels for the revised version (including pictures and symbols).

19. For more information on national vision statements, there are a variety of countries who have finalized and published their plans. See: Kenya's National Vision 2030 (<http://www.nesc.go.ke/News&Events/KenyaVision2030Intro.htm>); Lesotho's Vision 2020 (<http://www.lesotho.gov.ls/articles/Vision%202020%20-Executive%20Summary.htm>); Malaysia's Vision 2020 (<http://www.pmo.gov.my/website/webdb.nsf/vALLDOC/BA7051FF90767AD848256E84003129CA>); Paraguay's Visión Paraguay (<http://www.enalianza.org.py/vision/html/introduccion.html>); Sierra Leone's Vision 2025 ([http://www.daco-sl.org/encyclopedia/3\\_strat/3\\_1/Vision\\_2025.pdf](http://www.daco-sl.org/encyclopedia/3_strat/3_1/Vision_2025.pdf)); and Tanzania's National Development Vision 2025 (<http://www.tanzania.go.tz/vision.htm>).

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- Be sure to include an overview of the participatory process that produced the statement and background studies used (in order to reference the statistics cited).
- With the national vision drafted and completed, the National Steering Committee, NWG or similar government body can discuss the follow-up steps. This will include identifying additional information required in order to use the vision statement as a guide for formulating the national development strategy, including setting the national MDG baseline. Activities should focus on refining the ideas laid out and may include:
- Basic Studies: The identification of critical trends and dynamics in society, including future events, strengths and weaknesses, opportunities and threats facing the country as it tries to realize the national vision.
- Scenarios: Content may include basic assumptions and the mapping out of alternative scenarios, including an accurate assessment of possibilities and constraints.

## Read More:

- Civic Engagement. Essentials. No. 8. October 2002. UNDP.
- Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005.
- Gender Mainstreaming in Practice: A Handbook, by Astrida Neimanis. Bratislava Regional Service Centre. 2005.
- Initial Training Workshop for Regional Expert/Advisory Group on Civil Society — ECIS Region, by Christine Musisi. UNDP Bratislava Regional Centre. 26-29 March 2003.
- The MDG Campaign — Oxfam. Website.
- The Millennium Campaign Toolkit, by Jacqui Boulle and Debbie Newton. Millennium Campaign and Civicus. 2005.
- The Millennium Development Goals – UN Cyber Schoolbus. UNICEF and Millennium Campaign. 2005.
- Organizing Participatory Processes in the PRSP, by S. Tikare, D. Youssef, P. Donnelly-Roark and P. Shah. World Bank. April 2001.
- Parliamentary Development: Practice Note. UNDP. April 2003. (Available in Arabic, English, French, Spanish, and Russian).
- The Partnering Toolbook, by Ros Tennyson. UNDP, GAIN, and IAEA. 2004.
- PRSP Sourcebook. Chapter 7: Participation. World Bank. 2004.
- Report on Civil Society Needs Assessment in Albania. UNDP Albania and SNV. January 2006.
- The Role of Civic Engagement and Social Accountability in the Governance Equation. Social Development Notes. No. 75. World Bank. March 2003.
- A Rough Guide to PPA- Participatory Poverty Assessment: An Introduction to Theory and Practice, by Andrew Norton. The Overseas Development Institute (ODI). 2001.
- UNDP and Civil Society Organizations: A Toolkit for Strengthening Partnerships. UNDP. 2006.

## 2. SETTING OF AN MDG BASELINE AND TAILORING OF THE MDGS USING CSO INVOLVEMENT

While the global goals are broad enough to remain relevant to most countries, MDG targets and indicators must be adapted to reflect a country's unique national development priorities and context. Levels of poverty and development, capacity and available resources (financial, human and institutional) are highly variable across countries and impact national achievement of the MDGs. National priorities will be inevitably shaped by recent and past events, such as the HIV/AIDS pandemic, civil conflict, natural disasters, economic integration and political processes. The same factors will condition the activities and methods chosen for tailoring, including the entry points for engaging with civil society.

In leading baseline and tailoring activities, the use of the outputs — and participation of CSO stakeholders — unfortunately is not always guaranteed. Many times the government has no precedent of working with civil society in this capacity and is not open to their involvement. (For the same reason, CSOs may not have the skills needed to engage in national planning exercises). Even if consultations are open and produce concrete outcomes, the adapted MDGs may serve as only recommendations rather than real inputs to the planning process (as discussed in Stage Three in this section: “Priority Setting and Formulating the National Development Strategy”). The degree to which they are incorporated will depend on the openness of the government body coordinating the work (whether the ministry of planning, finance or other agency), the usefulness of CSO contributions and the time constraints for producing a set of tailored targets.

The following steps are outlined as a guide to assist with a process that assumes the right conditions are in place for CSOs to be engaged and their inputs used. Together they provide a general overview of the sequential phases involved in tailoring the MDGs – from setting a baseline to selecting indicators. For additional technical guidance — to determine a baseline, targets and indicators for monitoring progress — see the training module “How to Guide: Setting an MDG Baseline and Tailoring the MDGs”.<sup>20</sup>

### Step One: Conduct a situational analysis of national development progress and challenges.

Involve CSOs in the collection of data. CSOs can be crucial partners in complementing traditional data sources and helping the statistical offices to obtain adequate data — whether through administering household surveys, conducting assessments or providing proxy indicators. Country experience suggests there are two possible entry points for partnering on data:

- CSOs may be an important source of programme data at the regional and local levels within a country. NGOs and community groups often administer sector specific programmes and collect data on outcomes that can provide proxy indicators in countries with weak data environments.
- CSOs can serve as an independent broker in the situational assessment, particularly when national institutions are weak, popularly discredited or politically contentious. Using multiple data sources and independent analytical interpretation can provide a more comprehensive picture and assist in the creation of more targeted solutions.

The statistics used should match up with each of the MDG goals and provide data for tracking progress on them. With data collected, the government, CSOs and donors can work together to produce and disseminate user-friendly materials that describe the MDGs and key findings extracted from the situational assessment done on the country's development progress. Illustrations, slogans, concise definitions and captions should be employed to target a wide audience and capture the interest of the reader. One option is to develop social marketing materials such as a “plain language guide”.

20. A working draft of this module is available at: [http://mdg-guide.undp.org/files/module\\_tailoring](http://mdg-guide.undp.org/files/module_tailoring).

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When countries have produced these guides, the general characteristics are:

- A 25-30 page booklet that explains the MDGs in a language that is accessible for a broad audience of civil society stakeholders. Areas to address are background, objectives, principles, characteristics and expectations of nationally-tailored MDGs.
- Sections that assess basic requirements, inputs and resources needed for planning, financing, campaigning, reporting and monitoring the MDGs at the national, regional and local levels in the country.
- A list of the development actors that should be involved in the national MDG process.

These materials provide the background data required to set a baseline for measuring progress (see Step Two). They also serve as a complement to and input for the production of the country's MDG progress report (MDGR).

## Step Two: Build a baseline using multiple data sources.

In developing a preliminary baseline, it is essential to have CSO involvement in order to promote feelings of national ownership over the benchmarks being set. For some countries, the international baseline set for the MDGs of 1990 may not be useful, appropriate or possible due to missing or invalid data. Civil wars, financial crises, economic transitions and natural disasters may have caused development progress to have been reversed during the 1990s. Selecting a more realistic year may be preferable for setting targets and assessing progress to date. A simple way to facilitate this process is to draw on materials which were prepared earlier as part of the national visioning activity and development assessment (see Step One). Useful data to pull from these resources would include poverty rates and key figures on the country's nutrition, education, health and environment outcomes. The information should be disaggregated — such as by gender, administrative unit, urban/rural, and social and ethnic groups — to best reflect citizen development realities that go beyond averages.

Another option is to request a non-partisan organization to compile baselines as a component of completing a national report on MDG progress (an MDGR). NGOs, research institutes or universities are good partners for this work. Again, the data identified and used in previous stages and steps can be included, referenced and validated during the MDG reporting process. This data would be linked to provide a quantitative assessment on where the country stood on each of the eight goals. In cases where statistics are not available, proxy figures could be used, which should reflect the country context and data environment (for more information, see the module: "How to Guide: Setting an MDG Baseline and Tailoring the MDGs").<sup>21</sup>

Many countries have used CSOs to complete MDG reports which include national baselines for each of the goals.<sup>22</sup> In some countries, the UN Resident Coordinator has taken the lead to commission a local NGO to undertake the work and subsequently launch the report as a UN document. This approach has two advantages: not only does it use local expertise, but it also demonstrates that the process is politically independent of possible government bias. Additional information on MDG reporting is provided in Section Four of the course.

21. A working draft of this module is available at: [http://mdg-guide.undp.org/files/module\\_tailoring](http://mdg-guide.undp.org/files/module_tailoring).

22. An MDG report (MDGR) can help to raise public awareness and promote social mobilization. It is not designed to provide in-depth analysis or policy recommendations. Instead it should be an overview and update on national MDG progress. The report has proven to be an important advocacy tool for launching national debate and dialogue on the goals among political leaders, top decision-makers, parliamentarians and civil society. Reports can be used as a platform for national campaigning although success will depend on the degree of stakeholder participation in the reporting process.

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## Step Three: Identify national and local stakeholders to participate in exercises to tailor MDGs

Involving key stakeholders in tailoring the MDGs helps the government to focus on issues that affect society's well-being. The outlining of these priorities begins by establishing and agreeing upon the most appropriate targets and quantifiable indicators.

To begin engagement with civil society groups, draft a list of potential stakeholders to involve in the tailoring process.

- For government: Think strategically and focus on substance. To make the engagement process effective, stakeholders should be familiar with the policy-making process, possess the expertise needed and be well respected.
- For civil society: Organizations and individuals that join the process should:  
be fully conversant and comfortable with official data and reports from poverty assessments and country situational analyses.

have previously used data relating to the areas they have prioritized as critical to poverty reduction, including any regional or group-specific data and case profiles (such as on educational enrollment, infant and maternal mortality rates, malnutrition, illiteracy, HIV/AIDS, access to water and sanitation). Data usually is based on what has been collected from their own research and/or monitoring activities (e.g., public expenditure tracking or citizens' monitoring of service delivery).

Throughout the process, civil society participants should feel that varying perspectives are being included — from youth and religious groups, to trade unions and universities. These different groups bring in-depth knowledge and different concerns to the table vis-à-vis the goals and development priorities being considered. By providing opportunities for effective and continued engagement, their involvement heightens the accountability of government officials who are making development decisions and contributes towards civil society's commitment to MDG achievement. The space and extent that this buy-in is built will depend on the political environment, timelines and capacity of CSOs to engage in the process.

Try to find ways to get individual citizens involved who are not affiliated with any formal groups. If the goals, targets, and indicators are not relevant to average citizens, then they are not relevant at all.

If a visioning activity (see "Establishing a National Vision") has been held, refer to the list of stakeholders that was used to establish the national thematic working groups. Keeping the same players engaged is useful for building buy-in and establishing a team of civil society stakeholders that have a longstanding and deep understanding of the principal tenets of the MDG process. Other tips to keep in mind are:

- Previous stakeholder assessments and existing CSO networks can be used as an entry point for determining which groups should be involved in tailoring activities.
- To make the consultation process more gender responsive, consider setting up Gender Theme Groups (GTG) that bring together a diverse selection of stakeholders.
- To enhance national and broad-based support, it is preferable to begin the consultation process at the national level and consolidate region-specific targets and indicators into a single, country-wide plan.

Invite representatives of each identified stakeholder group to participate in a workshop(s). Apart from civil society, stakeholders should come from different backgrounds, disciplines and careers. Examples of participants to include in a tailoring exercise are:

- Government line ministry staff (all levels)
- Parliamentarians and elected representatives
- Local/village/district level government staff (all levels)
- Leading community-based groups working on national development priorities

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- Women's organizations
- NGOs
- Human rights-based groups
- Student and university groups
- Youth and children's organizations
- Organizations representing marginalized and vulnerable groups
- Indigenous peoples, ethnic and minority interest groups
- Corporate and business sector leaders (companies and industry associations)

It may be more practical to engage various groups separately or using different approaches to ensure their maximum participation. For example, women's organizations, community groups, and ethnic minorities are more likely to participate in a workshop discussion. Participation in this type of exercise may be less likely for government officials and parliamentarians. The techniques used to reach each target group need to be tailored to their specific characteristics.

Whether a single event or series of workshops, participatory activities help create a common understanding among stakeholders on:

- the Millennium Declaration and the MDGs;
- the country's poverty profile; and
- ways to use national MDGs to accelerate poverty reduction and the country's development progress.

Stakeholder consensus is best constructed prior to starting the technical phase of the tailoring process, which involves selecting targets and choosing indicators (See Step Six: "Select Indicators that Can Measure Progress on Development Targets").

Tailoring workshops also provide an entry point for moving from questions of development priorities to identifying key policies and actions that will enable the country to achieve its national vision (See Annex 1.5 for tools and techniques to identify national and local stakeholders and maintain their engagement in tailoring the MDGs).

## Step Four: Select an appropriate institutional framework for the tailoring process

An institutional framework serves as a structure to set-up, operationalize and implement MDG tailoring activities. It forms the mechanism for involving and representing national institutions and stakeholders in the process, particularly CSOs. A coalition of CSOs working on MDGs can be established to coordinate civil society inputs to this process. One of the roles of this coalition could also be maintaining and disseminating the information generated within the process, including the data being used to set baselines and track progress.

Choosing the right institutional mechanism to bring key governmental and non-governmental stakeholders into the process is crucial for ensuring legitimacy and broad acceptance of the tailored targets and indicators. A common feature of most national tailoring activities is the use of a government coordinating body.

- If this body exists, use it as the forum to dialogue with civil society. A government coordinating body often serves as the principal source for all matters surrounding the MDGs and relies on stakeholder working groups to provide the inputs for their work.
- Utilize any consultative structures set up for national visioning and baseline activities (i.e. the National Steering Committee or National Working Group). These offer the institutional mechanisms which will promote an open dialogue on tailoring the MDGs.

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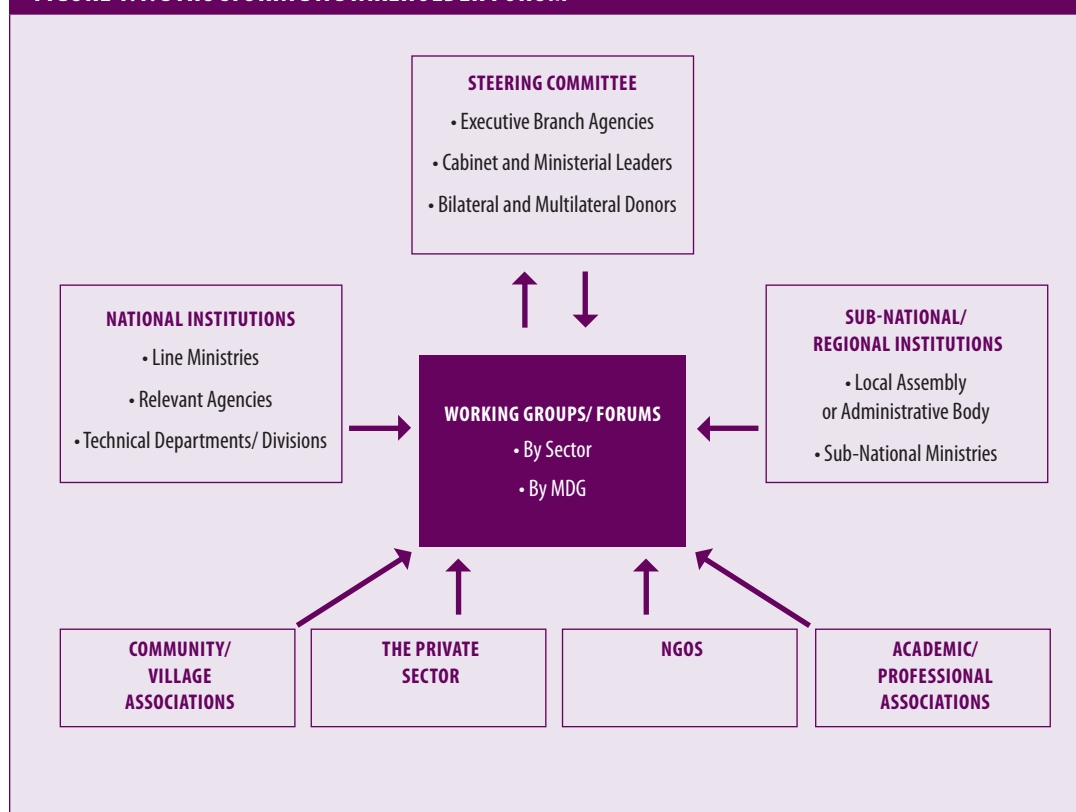
- Also draw on the forums or committees organized by the government coordinating body to engage stakeholders. These structures can serve to make CSO consultations more effective by formalizing the process and providing a framework for sustained engagement (see Figure 1.1).

Once the framework is selected, split CSOs into working groups based on development themes, goals or priorities. A simple and practical way to divide CSOs is to establish groups for each of the MDGs. Some countries have combined the global goals related to health (MDGs 4, 5 and 6) and set up one group to oversee them. Whichever structure is selected, technical expertise determines which organizations and groups are involved. For tools and techniques to assist with this work see Annex 1.6. Here you will find checklists and questions to help set up a government coordinating body and organize stakeholder workshops.

### Hint:

- If the country has already used national working groups as part of its visioning activities, these bodies can be reconfigured to draw currently engaged CSOs into the tailoring process. There is no reason to select new organizations if representation and participation are satisfactory and if both parties are interested in continued participation.

**FIGURE 1.1: STRUCTURING A STAKEHOLDER FORUM**



Source: *Local Ownership of the MDGs: A Case Study of the Republic of Mauritius*, by Hilary Mathews and Carol Flore-Smerezniak. UNDP. 2005.



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## Step Five: Determine nationally-defined MDG goals and targets.

Negotiations must be done at each stage of the tailoring process to construct a broad consensus around efforts to adapt the MDGs to national realities. Organizing a series of roundtable discussions and technical workshops with civil society stakeholders can set in motion the steps required for deriving a set of clear, consensual and coherent national development goals, targets and indicators (including selecting baselines and supporting data). The next and final step — Step Six — covers in more detail the technical dimensions of indicator selection.

As an activity, tailoring the MDGs promotes coordination and consultation, which has two positive impacts for CSOs:

- It engages citizens on how to respond to development priorities.
- It creates a discussion with stakeholders on how to use the pool of available resources (financial, institutional and human) for effective policy choices.

While civil society engagement intends to root the tailoring process in a county's development reality, there are possible pitfalls that can result when using stakeholder consultations and consensus building to adapt the MDGs. There have been tendencies on the part of countries to either make targets overly ambitious (to secure additional funding) or excessively low (to guarantee achievement). These missteps can lead certain groups to become frustrated and eventually abandon the process, compromising levels of ownership, accountability and effectiveness.

Generally CSOs are engaged in the tailoring and target setting process through the following activities:

- Analysis of the baseline report (as produced from Steps One and Two).

Sectoral expert groups and the government unit/body conducting the baseline report usually lead this activity. It is valuable to leverage the expertise of civil society, including universities and national "think tanks". Marginalized, indigenous peoples and other vulnerable groups also should assume a strong role in the process to help validate the results.

- Preliminary selection of goals, targets and indicators. The process can be done in several ways, involving both experts and civil society in drafting a national MDG framework. Options include:

The working groups, which have been formed around development priorities or the global goals, select the targets and indicators.

National experts — including experts from CSOs — form task teams that will be responsible for determining targets and indicators. This process usually is favored when a national MDG report is to be completed in conjunction with tailoring the MDGs.

Convening a joint conference of stakeholders. Plenary discussions involving a broad-based constituency help to form a consensus around national development goals, targets and indicators. Activities for linking up national development priorities to the MDGs and determining country-specific targets are provided in Annexes 1.9 and 1.10.

During the tailoring process, reach out to as large and diverse group as possible through dialogues and advocacy on national goals, targets and indicators. Set up — and leverage — channels for public information, advocacy and campaigning. One option is to use electronic information centres, such as kiosks and offices set up with open access to computers to provide citizens with details and answers to frequently asked questions. While costly, establishing these outposts in public areas in different regions of the country can help to engage the population, provide immediate feedback and reach a wider audience.

At the same time, find effective and innovative methods that CSOs can use internally for disseminating and sharing information with their members. In participating in different forums and groups, it is essential that CSOs are able to adequately reach out to their constituents to sustain the dialogue and promote community participation — and interest — in the MDGs. This work can be undertaken concurrently with similar efforts to root the language, messages, symbols and images of the MDGs in the country's realities.

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However, if outreach efforts are too broad, they may become too unwieldy to manage, expensive to conduct and unfeasible. These problems can arise from a lack of infrastructure, competing interests and/or inter-group tensions. To broaden participation effectively while avoiding these pitfalls, some of the approaches recommended for generating feedback include:

- regional and national forums
- the use of the national/thematic working groups
- public information campaigns
- television and radio programmes
- town hall meetings.

## Hint:

If forums are the preferred method for consultations, make certain to:

- Focus grassroots participation to include local NGOs or other CSOs.
- Involve CSOs in conducting opinion surveys on draft versions of the nationally-tailored MDG framework.
- Utilize a series of questions in discussions to ensure feedback is gathered and shared with teams set up for the tailoring process.
- Conduct regional and community-level forums to discuss whether nationally-tailored MDGs address local needs and if the data selected (for the baseline) is valid and representative of the challenges.
- Invite local government and civil society partners (NGOs and/or CSOs) to facilitate the forums.

## Step Six. Select indicators that can measure progress on development targets

Indicators provide the means for measuring development outcomes against expectations. A series of 48 possible indicators has been selected to promote internationally comparable data on the global goals. Tailoring the MDGs requires the selection of common indicators that also can track progress on national development priorities rather than simply providing for cross-country comparability. Civil society organizations are often well-positioned through existing networks to collect this information at the local and regional level.

The creation of a common set of indicators will permit for monitoring across a country's different development frameworks and should rely on existing data sources.

Indicators can be grouped into two categories: **intermediate** and **final**.

- When an indicator measures a factor that determines an outcome (input and output) or contributes to the process of achieving an outcome (process), it is called intermediate (e.g. number of teachers or schools).
- When an indicator measures the effect of an intervention on individuals' well-being, it is called final (e.g. literacy rate).

There are two types of final indicators: outcome and impact. Outcome indicators measure access to, and satisfaction with, public services (e.g. primary school enrollment rate). Impact indicators measure the dimensions of well-being (e.g. literacy rate) that public policies aim at steering.

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Formulating indicators is more technical than the other areas of the tailoring process. CSOs can be facilitators of thematic working groups or networks to develop indicators. They can also help to validate the indicators that have been selected, assessing whether it is capturing the nature of the problem at hand or not. Efforts need to be taken to provide training support for all stakeholders to ensure a basic level of knowledge is shared to promote their engagement in the process. For more information, see the module: "How to Guide: Setting an MDG Baseline and Tailoring the MDGs".<sup>23</sup> The materials below also provide a good resource for beginning this work.

## Read More:

- Consolidated Reply: MDG Monitoring and Indicators? MDGNet and HDR Measurement Network. UNDP. 2 May 2003.
- Consolidated Reply: The Role of UNDP at the Community Level? DGNP, DLGUD and PRN. 11 April 2005.
- Country Reporting on the Millennium Development Goals. Second Guidance Note. UNDG. October. 2003.
- Evaluation of UNDP's Role in the PRSP Process. Volumes 1 (Main Report) and 2 (Country Reports). Evaluation Office/UNDP. September 2003.
- Indicators for Poverty Monitoring: A Practical Guide for Enhancing the Statistical Capacity of Policy-makers for Effective Monitoring of the MDGs at the Country Level. UNDG and UNDP. 2005. DRAFT. (Available in Arabic, English, French, Russian and Spanish).
- MDG Toolkit. Module 2, Activity 2. Localizing Targets with Participation. UNDGO. 2005.
- MDG Toolkit. Module 5. Activity 1. MDG Needs Assessment and Financing Strategies. UNDG. 2005.
- National Development Planning and Implementation Strategy Note and Guide, by Joseph Annan and Benjamin Ofosu-Koranteng. UNDP. 2005.
- The Role of Promoting Civil Society in Eastern Europe and the CIS, by Geoff Prewitt. UNDP. 2004.
- Sourcebook on Building Partnerships with Civil Society Organizations. UNDP. 2002.
- Tracking Human Development: The Use of Statistics in Monitoring Social Conditions by Wolf Scott. UNDP Bratislava Regional Centre. 2004.
- Women's Empowerment, Gender Equality and the MDGs: A WEDO Information and Action Guide. WEDO. 2004. (Available in English, Spanish, French and Portuguese).

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23. A working draft of this module is available at: [http://mdg-guide.undp.org/files/module\\_tailoring](http://mdg-guide.undp.org/files/module_tailoring).

## 3. PRIORITY SETTING AND FORMULATING THE NATIONAL DEVELOPMENT STRATEGY

If the national vision has been formulated and validated by citizens, it provides an excellent framework for selecting the priority areas that should be included in the country's development strategy. Citizen participation at this stage is critical to ensure national ownership is created and maintained throughout each step of designing the strategy.

To monitor the strategy's progress, use the targets and indicators that have been selected as part of tailoring the MDGs to the country context. The involvement of civil society in the adaptation process allows for a high degree of buy-in and support that will carry into this next phase.

Below are a series of approaches and ideas for how to translate a national vision into a national development strategy. Again, the basis for these recommendations is that the political space and necessary skills are present for CSO's to be effectively engaged. If this is not the case (as too often is true), some of the areas highlighted in the course's "Preface" can provide entry points for laying the groundwork for the work to begin.

### Step One: Define national needs and agree on priorities

The government usually assigns a ministry (e.g. finance, planning or social development) to coordinate the strategy's development process. Once a government body is designated, an appropriate institutional framework should be set up that will promote the broad-based participation needed to set national priorities and guide the drafting of the strategy (see Box 1.7).

#### BOX 1.7: INSTITUTIONALIZING PARTICIPATION IN UGANDA'S PRSP PROCESS

The country's homegrown version of the PRSP, the Poverty Eradication Action Plan, used a mix of task teams and working groups to formalize CSO involvement in the process. The principal features of the framework were:

- The use of a multi-stakeholder national task force (TF) or national working group (NWG) on poverty eradication formed to prioritize public actions across various sectors and ensure the widest possible participation.
- The creation of a resource team of five local and international experts hired to draft the document and organize the participatory process on behalf of the TF.
- Seven thematic working groups formed to assess the situation on sectoral concerns. Each group used existing data, collected additional information and consulted with experts.
- Facilitated thematic seminars and retreats organized as required by the thematic teams.
- The continuous engagement of parliamentarians. They provided the validation needed to revise the PRSP, which was later verified through CSO consultations.

The framework should include a detailed outline and formalize agreement among different groups regarding the country's priorities. The framework should be based on the vision's objectives and priorities and draw on consultations with government and civil society (nationally and sub-nationally).

The national working group (NWG) — which was used in the visioning and tailoring stages — can help in drafting the framework as well as certain sections of the national development strategy (NDS) document. Ways to involve the NWG include:

- Preparing terms of reference for all parties to be involved in drafting the NDS document.
- Conducting a national launch of the priority setting process, including a public awareness campaign.

# Section 1

## Step Two: Engage civil society to evaluate policy alternatives and select a strategy

Once step one has been completed, the next actions are aimed at having civil society continually involved during the document's drafting (also see Step Three). Areas for engagement include:

- Analysis and validation of baseline data for each national priority. If these are the same as what have been used for the tailored targets, then all of the information should be able to be found in the national MDG report. Other common sources for data include living standards measurement surveys, census, household budget surveys and human development reports (see stage one and the steps involved in collecting data for the national visioning process).
- Preparation of the interim (medium-term) development strategy. This should be a brief document which outlines the overall policy framework and strategies.
- A participation or consultation action plan for involving various stakeholders in developing the full NDS — although the interim strategy should be used as the basis for consultation.
- Advocacy and promotion of the completed development strategy as well as its drafting process.

Within these activities, **CSO networks** can serve as an important mechanism for promoting participation and involvement. Networks also have the added advantage of representing a broad range of CSOs, including the priority needs of vulnerable citizen groups. (See the "Preface" of this course for more information).

When working with networks, the following channels can be used to solicit helpful inputs for designing a national development strategy:

- *Membership in working groups.* While their involvement is important for questions of ownership, it also is important for civil society networks to select highly qualified representatives that can substantively contribute to the discussion.
- *Qualitative research.* Civil society can contribute credible evidence obtained through participatory research to complement conventional data sources. While conventional data clearly articulates the socio-economic and political status of the country (i.e. symptoms), participatory research can reveal the multi-dimensional nature of poverty and its underlying causes.
- *Assessment and evaluation efforts.* Policy alternatives can be assessed by CSO networks through a number of important tools. For example, Poverty and Social Impact Assessments (PSIAs) review the anticipated or actual results of specific policy reforms on poverty reduction and social progress. PSIAs examine policy reforms such as for state subsidies, civil service retrenchment and tax increases in order to assess the consequences for vulnerable constituents (see Box 1.8).<sup>24</sup>

### BOX 1.8: GUIDELINES FOR CONDUCTING A PSIA

While intended to assess cross-cutting impacts, PSIAs tend to be sector specific and focus on areas such as utilities, trade and agriculture. PSIAs have been welcomed as a concept but have generated some critiques regarding ownership and process.

Ideally, civil society institutions — including think tanks and research groups — should be more heavily engaged in PSIA processes to genuinely shape policy alternatives. Whereas CSOs have been actively associated with participatory poverty assessments or budget exercises, these activities have not necessarily produced policy reform at the national level. Moreover, in practice these exercises have only been applied to a few non-controversial sectors, leaving out of the analysis many key areas (i.e. fiscal policies and major economic reforms).

PSIAs have the potential to impact national policy decisions and CSOs should advocate for their broader use, particularly as part of designing a national development strategy. To conduct a PSIA, it is essential to:

- Identify key sectors that might benefit from a PSIA (or similar methodology that assesses policy alternatives).
- Organize training activities targeted at CSOs and other development actors to assist them in conducting PSIAs (which would also include members of the drafting team).
- Undertake modified PSIAs and provide results to the NWG.

24. For more information on PSIAs and the role of civil society, see: Civil Society Engagement in PSIA Processes: A Review, by Kate Bird, Stephanie Busse and Enrique Mendizabal. ODI. February 2007. <http://www.undp.org/partners/cso/publications/Civil%20society%20and%20PSIA%20Final%20Feb07.pdf>.

# Section 1

## Step Three: Formulate the policy framework for MDG achievement

Efforts to establish policy frameworks can be undertaken concurrently with the evaluation of policy alternatives. Both activities are very lengthy processes given the need to achieve consensus on strategy structure and focus (see Annexes 1.9 and 1.10 for working group exercises on this topic, including linking up national priorities with global goals).

When done concurrently, an arbiter is the best approach to lead the process. In many countries, this role has gone to the NWG, designating it as the principal agent for building agreement among different groups. The following set of activities is a sample for how to begin the review. At each step, civil society would be involved, through their representational role as a member as well as the target audience for the activities. Again, the assumption is the space and capacities are there for this engagement to occur:

1. Sectoral or thematic working groups — usually set up to select country priorities or validate the national MDGs — are asked to elect chair persons and establish work schedules for drafting the national development strategy. Ideally there should be 8-10 stakeholder working groups of 10-15 members each. These groups should be aligned with the sectoral themes of the MDGs (i.e. health, education, poverty, etc.).
2. Working groups undertake consultations with stakeholders throughout the country on the objectives, opportunities and constraints for their particular sector.
3. A review of existing data and publications on the country's key economic sectors and social issues is conducted to provide quantitative support (see Step Two).
4. Each working group is asked to prepare a draft for all relevant NDS chapters that relate to their sector. Mechanisms are established to have continuous feedback on the draft.
5. The NWG reviews the draft chapters of the national development strategy to ensure consistency among each chapter and its alignment with: i.) the vision statement, ii.) the national MDG targets and iii.) indicators. When necessary, the thematic working groups are asked to revise the chapters.
6. Once the draft is finalized, the NWG publishes and disseminates the version for review. As a parallel process, the NWG convenes a series of workshops and consultations with key stakeholders throughout the country on the draft strategy to ensure feedback is included in the final version.

## Step Four: Operationalize the national development strategy

Making the strategy operational is an effort that does not fall outside the scope of civil society engagement. It should be seen as the culmination of all the previous steps and stages set out in this module — as we have moved from assessment and target setting to policy design, formulation and finally implementation (see Figure 1.2). At this step, it is a matter of putting into practice what should be seen as the product of a consultative process.

The space and roles that will be available for civil society to help operationalize the strategy will depend on the degree and history of partnership between the government (executive and legislative branches) and non-state actors in policy implementation. The approaches presented are general enough to allow for different countries to determine the best entry points for turning the draft of the national development strategy into an operational plan of action. However, time and capacity constraints will condition the extent to which engagement is effective and participation continuous.

# Section 1

While implementation involves serious discussions of whether funding and policies match up, the first set of activities relate to finalizing and formalizing the development strategy. Questions of costs, budgets and policy overlap are addressed in Section 2.

To finalize the way forward, civil society should be invited by government and parliament to help undertake a review of the draft development strategy to determine whether the supporting policy framework is realistic for its implementation.

The assessment will likely include a consideration of:

- the current nature and trends of policies (by sector).
- the actions and changes necessary to implement the official national development strategy.
- the development of supporting legislation and regulations.
- the actions that government, parliament and civil society will need to take to implement the strategy.

Discussing alternatives can help trace pathways to reaching the same desired development endpoint without compromising national priorities. Clear rules of the game and policy frameworks define the limits within which government and citizens must maneuver for revising and implementing policies. Establishing oversight and institutional mechanisms that have legislative weight and involve civil society reinforces this process. They provide the tools for strengthening accountability, both formally (e.g. legislative measures and participatory assessments) and through repeated interactions (e.g. civic engagement).

Apart from assessing whether the strategy is viable, it is essential to include provisions that set up a clear process for monitoring whether it is achieving its aims. Monitoring is covered in more detail in section 4.

Comparative county experiences<sup>25</sup> also suggest other areas that should form part of operationalizing the strategy:

- Assess the larger institutional framework – An external and independent body could be used to conduct an assessment that addresses the larger institutional framework of the NDS (particularly when it is a PRSP). This critical review would include recommendations on revising existing roles and responsibilities and a very comprehensive analysis of constraints and strengths that undermine or support policy implementation of social interventions.
- Establish protections for participants – Those involved in reviewing the process must have protection from reprisal should they identify deficiencies in the existing strategy, especially when sensitive topics such as corruption are involved.
- Ensure full information disclosure – An open, transparent process should be encouraged to avoid any perceptions of concealment. Traditional channels such as publications, web pages and the media are useful.
- Acknowledge opportunity costs of participation – There are “opportunity costs of participation” for civil society and other stakeholders, particularly in an environment of weak institutional capacity. Consultation is most effective when demanded, not coerced.

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25. See: Consolidated Reply: Armenia/ Reviewing the PRSP through a participatory process. PRN. 16 March 2006. UNDP.

# Section 1

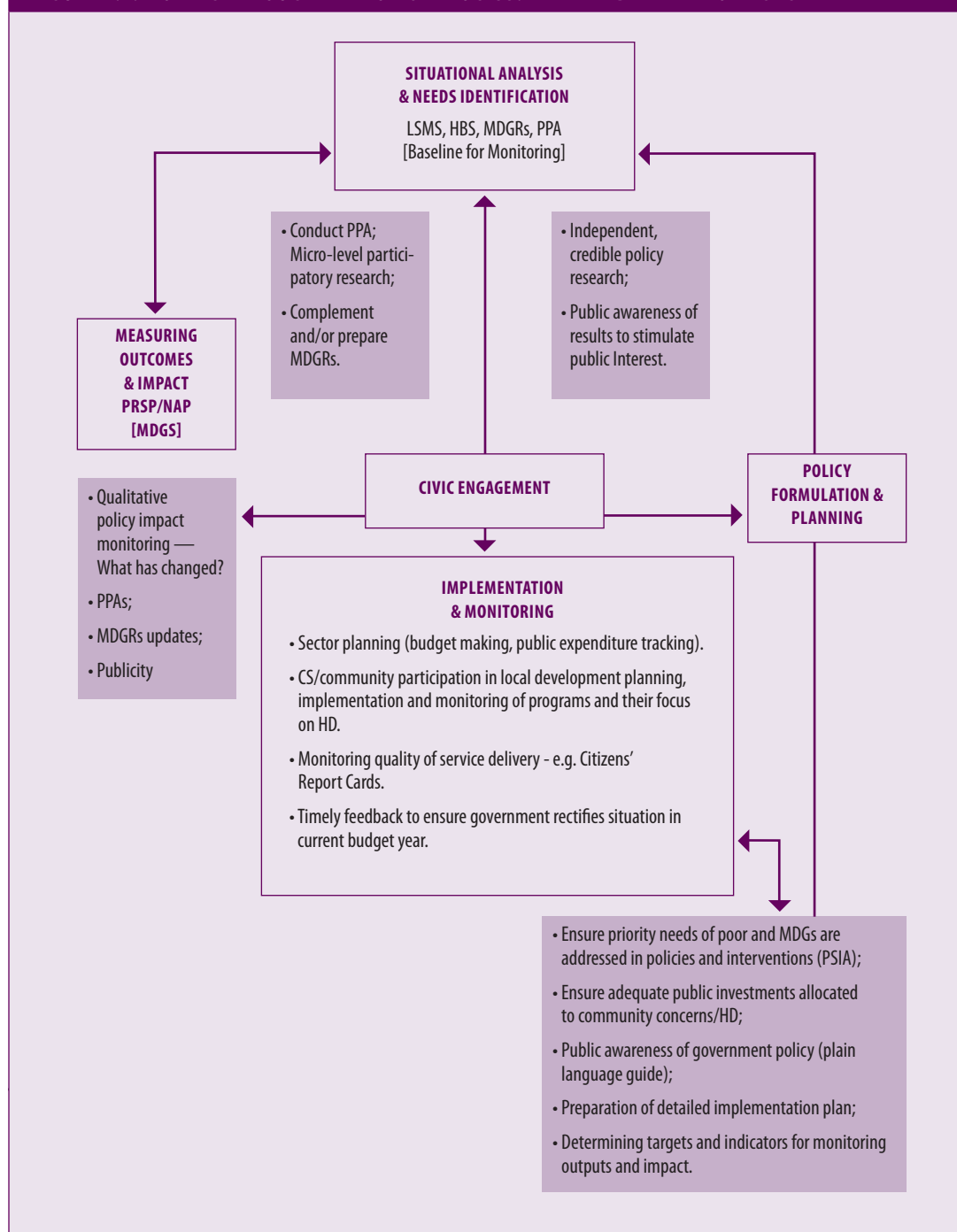
## Read More:

- The Blue Book: A Hands-On Approach to Advocating for the Millennium Development Goals. UNDP. 2004.
- Civil Society Engagement in PSIA Processes: A Review, by Kate Bird, Stephanie Busse and Enrique Mendizabal. ODI. February 2007.
- Engaging Parliaments in the Millennium Development Goals: a Key Part of National MDG Strategies, by Lenni Montiel and Shane Sheils. Office of the National Assembly of Vietnam and UNDP Viet Nam. 2006.
- International Development Frameworks, Policies, Priorities and Implications: A Basic Guide for NGOs, by Alan Fowler. Oxfam. August 2003.
- Parliamentary Development: Practice Note. UNDP. April 2003. (Available in Arabic, English, French, Russian and Spanish).
- Programming for Justice: Access for All. A Practitioner's Guide to Human Rights-Based Approach to Access to Justice. UNDP Bangkok Regional Centre. 2005.
- Public Administration Reform: Practice Note. UNDP. 2005.
- Strengthening Decentralisation and Local Governance: Training Manual. Module 3: Strategic Planning. UNDP Albania. 2003.
- Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). UNDP and NDI. 2004. (Available in English, French, Russian and Spanish).
- Tools for Policy Impact: A Handbook for Researchers, by Daniel Start and Ingie Hovland. ODI. 2004.
- A User's Guide to Policy and Social Impact Analysis. The World Bank. 2003.
- What Parliamentarians Can Do About HIV/AIDS: Action for Children and Young Children. UNICEF. 2003.



## Section 1

**FIGURE 1.2: MOVING THROUGH THE POLICY PROCESS: WHEN AND WHERE TO ENGAGE<sup>25</sup>**



26. Sources: Making a Difference — The Role of CSOs in Monitoring PRSPs and MDG Progress, by Christine Musisi. UNDP Johannesburg Regional Service Centre. CSO Workshop for Monitoring PRSPs and MDGs. 3-6 November 2003. Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish). Pages 13-15.

## 4. CONCLUSION

Throughout all the steps and stages, the extent to which civil society is actively and effectively engaged in the national development process will be determined by:

- the sector's willingness, coherence and collective capacity for engagement;
- the timing and nature of CSO contributions, either through the thematic working groups, dialogue or studies;
- the submission of a formal civil society response to the government's interim vision/strategy;
- the political space provided by the government to CSOs for engagement and participation in the outlined activities; and
- previous experiences with government and civil society collaboration.

Based on their mandates and members, CSO should deliberate among themselves on priorities and policy options prior to striking a consensus on how to move forward with the government. Timing is critical in this process and CSO networks may offer an advantage to working with numerous and disparate groups. However, networks must be well organized and able to commit human and financial resources to the process — either through their own funds, donor contributions or preferably both options.

As seen in this section, civil society participation can take different forms and will depend on the structure and history of the sector, organizational and individual capacities and the prevailing political context. An essential feature throughout will be the ability to include activities that will produce widespread and representative public awareness around the process and support for civil society engagement in it. Civil society networks are particularly well placed for such work. They can leverage their might and membership to facilitate public dialogue and serve as an interlocutor on sometimes complicated and technical topics. Approaches for building networks are discussed in the "Preface" and subsequent sections of the course.

# Annex 1: Tools and Techniques

## Tools:

- The Concept of Participation. UNDP Albania. Training Materials. 2002.
- Initial Training Workshop for Regional Expert/Advisory Group on Civil Society — ECIS Region, by Christine Musisi. UNDP Bratislava Regional Centre. 26-29 March 2003.
- The Millennium Campaign Toolkit, by Jacqui Boule and Debbie Newton. Millennium Campaign and Civicus. 2005.
- The Millennium Development Goals – UN Cyber Schoolbus. UNICEF and Millennium Campaign. 2005.
- Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003.

## Techniques:

### Identifying Levels of CSO Engagement

The matrix below can be used as an activity for government and civil society actors to begin discussing the role that CSOs should have in the country's planning and policy-making process. It helps to assess why and how CSOs should be involved in designing an MDG-based national development strategy.

The “stages” and “steps” columns fit with the structure and components outlined in this section. However, the two left hand columns can be modified to reflect current country priorities and processes more effectively.

	Stages	Importance of CSO engagement				Type of Engagement	Selected/ Required Characteristics of CSOs	Tools and Techniques for Engagement	Hints
		1	2	3	4				
ESTABLISHING A NATIONAL VISION	Conduct a visioning exercise to set long-term goals.					- Community dialogue.	- Strong conceptual base and broad support. - Nationally active and representative.	- Network or coalition building. - Seminars and workshops.	- Use campaign and advocacy.
	Establish a consensus on basic working principles.								
	Select an institutional framework for the process.								
	Create a participatory process.								
	Articulate and draft the national vision.								

# Annex 1: Tools and Techniques

## Assessing stakeholder capacity

The table below can provide a quick mapping of stakeholders (organizations and individuals) to involve in the tailoring process based on reasons and entry points for their engagement.

TABLE 1.1: CONDUCTING A STAKEHOLDER ANALYSIS				
WHO?	WHAT?	WHY?	HOW?	LEVEL OF INTEREST
Stakeholder name: (organisation or individual).	Stakeholder responsibilities and interests related to the MDGs.	Reasons for inclusion.	Possible roles and involvement techniques.	High, medium, low.

## Facilitating a National Visioning Process<sup>27</sup>

A national vision is what you want to create; a national development strategy describes actions required to create it.

**Vision:** *Where You Are + Capacity = Where You Want to Go*

There is no wrong or right national vision, although there are some general characteristics of what it should provide:

- Sense of clarity and general direction.
- Process for how to achieve its stated aims collectively.

Facilitation materials should be structured to create a sense of community and collective identity by identifying individual interests and aggregating them into a shared sense of the country's long-term development aspirations.

The main challenge is to create a realistic, working document that takes into account national resources and capacities as they relate to development. There needs to be a context set out for how to think about the future in order to generate clear commitment and action to these aims.

Activities to launch a national visioning process should focus on building a social consensus around shared aspirations held by all stakeholders.

The key question to answer is: **How will the country achieve its goals within the time allotted?** However, other questions that can be used to frame the visioning and consultation process effectively include:

- How do you see the future?
- How do you characterize the collective contribution?
- How do you characterize your individual contribution?

<sup>27</sup> Source: Adapted from Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005. (pgs 36-37).

## Annex 1.2: Tools and Techniques

### STEP: ESTABLISH A CONSENSUS ON BASIC WORKING PRINCIPLES

#### Tools:

- Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005.
- Human Rights in UNDP: Practice Note. UNDP. April 2005.
- Making a Difference —The Role of CSOs in Monitoring PRSPs and MDG Progress, by Christine Musisi. UNDP Johannesburg Regional Service Centre. CSO Workshop for Monitoring PRSPs and MDGs. 3-6 November 2003.
- MDG Toolkit. Module 1. Activity 3. Who Are the Claim Holders and Duty-bearers? UNDGO. 2005.

#### Techniques:

##### Using “Community Conversations” to Build a Consensus<sup>28</sup>

The enhancement of community capacity through “Community Conversations” is a methodology based on the recognition that change begins locally. Local responses, often neglected in global and national plans to development challenges such as HIV and AIDS, need to be based on the reality of existing social dynamics and community concerns.

To begin the process:

- A team of trained facilitators from inside or outside the community (but who understand local realities) serve to move the Community Conversations process. Dialogues shift power relations, strengthen ownership and responsibility for change, and mobilize local capacity and resources (i.e. material goods, social systems, time, social capital, skills, knowledge, values and traditions).
- Workshops are organized at the community level for relevant participants (who have been identified through a stakeholder assessment or similar types of analyses).
- Sessions are structured to be instructive and are led by facilitators.
- Participants are broken up into small groups. There are no more than six (6) people per group. At least one facilitator is paired with each group.
- Facilitators are asked to write-up questions on a flip chart (questions can also be displayed on an overhead projector or computer). To initiate a discussion on visioning, some of the following questions could be used:

What are the strengths of your community (the things you like about your community)?

What are the important challenges facing your community?

What are some suggestions for overcoming these challenges?

How do these responses fit with long-term objectives? How are they different?

- Participants exchange points of view and one group member, acting as a recorder, presents the results to the plenary session. All responses are written down during the brainstorming session.
- Once group discussions end, each reports back to the plenary. The facilitator summarizes the session by finding out from participants how they felt about:

What they learned about the discussion process and how these skills can help with community work?

What made them feel valued? What made them feel challenged or scared? Why?

28. Adapted from: Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005.

## Annex 1.2: Tools and Techniques

### Expected outcomes:

- Increased number of community initiatives to address identified priority.
- Involvement of affected citizens and groups in decision-making processes that reflect the concerns of communities through a process of active communication.
- Increased number of NGOs and community-based organizations using Community Conversations to stimulate and scale up social change and to address cross-cutting issues, such as governance, health, the environment, agricultural and peace-building.

### Benefits:

- The process allows citizens of different ages, economic and education backgrounds, ethnicities and genders to come together to discuss issues critical to the community.
- It provides an opportunity for local authorities to listen to and understand a community's concerns and decisions in order to integrate them into national planning and implementation processes.

## Annex 1.3: Tools and Techniques

### STEP: SELECT AN INSTITUTIONAL FRAMEWORK

#### Tools:

- Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005.
- Development Programme Implementation Guide. Leadership for Results: UNDP's Response to HIV/AIDS. UNDP. 2005.
- Gender Mainstreaming in Practice: A Handbook, by Astrida Neimanis. Bratislava Regional Service Centre. 2005.
- Human Rights-Based Approach (HRBA) Checklist for Programme Staff. UNDP. 2003.
- Public Administration Reform: Practice Note. UNDP. 2005.
- A Training Module on the Integration of Sustainable Development into National Policy and Planning Frameworks in Africa, by Arnaud Comolet. UNDP. February 2005. DRAFT.

#### Techniques:

##### Assessing Survey Data<sup>29</sup>

Once the vision has been drafted through consensus, data sources are needed to validate the areas that have been highlighted. Most of this process involves analyzing poverty and development data that is currently available on the country.

This list of questions below is useful for CSOs to use for assessing which and what survey data is best to use. It is also a guide for survey design and collecting data to bolster the vision that has been set out.

1. What is the purpose of the survey?
2. How scientific and accurate does it need to be?
3. Will it be sufficient to survey a representative sample of people?
4. What sample size is needed to get an accurate picture?
5. How are people likely to respond to it?
6. Is it asking for sensitive information or opinions?
7. If so, how will we ensure confidentiality?
8. Do we really need to know this, and why?
9. Are the questions simple and clear?
10. Is this the best way to ask the question?
11. Is there an easier way to get this information?
12. Are we asking too many questions, or could more be added?

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<sup>29</sup> Source: Adapted from: Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003. pg 33.

# Annex 1.4: Tools and Techniques

## STEP: CREATE A PARTICIPATORY PROCESS

### Tools:

- Gender Mainstreaming Learning Manual & Information Pack. UNDP. 2000.
- Guidebook: African Civil Society Engagement in the MDGs, by Patrick Osode, Geoff Prewitt and Jennie Richmond. 2003. DRAFT.
- Human Development Report Toolkit. Chapters 3 and 6. UNDP — HDRO. 2004.
- Sourcebook on Building Partnerships with Civil Society Organizations. UNDP. 2002.
- Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish).

### Techniques:

#### Stakeholder Analysis

It is important to determine who the stakeholders are for each of the areas that have been identified as national development priorities. These stakeholders will form a short-list of participants for national dialogues and any thematic working groups established. If a consensus has not been achieved on these objectives or a formal list does not exist, the global MDGs can be used for the exercise.

ERADICATE EXTREME POVERTY AND HUNGER	ACHIEVE UNIVERSAL PRIMARY EDUCATION	PROMOTE GENDER EQUALITY AND EMPOWER WOMEN	REDUCE CHILD MORTALITY
IMPROVE MATERNAL HEALTH	COMBAT HIV/AIDS, MALARIA AND OTHER DISEASES	ENSURE ENVIRONMENTAL SUSTAINABILITY	DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT

Source: MDG Toolkit. Module 1. Activity 3. Who Are the Claim Holders and Duty-bearers? UNDGO. 2005.

The exercise can be conducted by the government as part of a workshop event or by donors as a way to engage with civil society and government during the visioning process. Under each of the goals, a list should be drawn up of the key CSOs and networks working within the country on these issues. These can be individuals as well as institutions and may include other information such as personal contact details or affiliations.

#### Participatory Poverty Assessments

A participatory poverty assessment (PPA) is a research instrument that attempts to capture the perspectives of disadvantaged people for inclusion in national policy and planning processes related to poverty reduction. Surveys and questions are structured to gain an understanding of respondents' conception of poverty and priorities that need responses.



## Annex 1.4: Tools and Techniques

Who conducts a PPA? PPAs have been initiated by government, donors, and NGOs and, in some cases, all three actors through cooperative arrangements.

Why are PPAs done? PPAs have been used to help formulate Poverty Reduction Strategies (PRSs) because they show how poverty is multi-dimensional. PPAs provide a picture of citizen security, marginalization and powerlessness. They help to show regional differences in development and local profiles of poverty.

The process of conducting a PPA provides an opportunity for government and citizens to work together. Discussions help to highlight the causes of poverty and community priorities for a response, including sector and cross-sector policies. In many countries, PPAs have helped to reshape budgetary allocations and increase funding to basic social services for the poor, including health, education and clean water.

They also are a tool to increase solidarity with the poor and instituting practices of community consultations on policy decisions. As a process of 'bottom-up' research, PPAs serve to mobilize grassroots planning and monitoring.

### **CSO Monitoring<sup>30</sup>**

A range of organizations may want to get involved to monitoring efforts (For more details on monitoring, see Section 4 of this training course). These include.

- Professional networks of service providers (healthcare workers, textile associations or teachers unions).
- Issue-based advocacy groups.
- Religious and other social networks (faith-based organizations and associations, racial and/or ethnic-based clubs, tribal and/or village associations, etc.).

In selecting which organizations to partner with, pre-conditions for effective engagement of CSOs in monitoring include:

- A favorable environment for participatory policy processes – political will, legislation (clear civil society policy)
- The existence of an institutionalized platform for government, civil society, private sector and donors to dialogue and establish partnerships (e.g. social partnership agreements). The main characteristics for such a platform are:
  - The use of inclusive working groups, approval committees, public forums at local and national levels.
- the establishment of clear national PRS/MDG monitoring, evaluation and information systems in which CSOs are key actors (missing in many first round PRSPs).
- **Efficient and timely information and communication flows (vertical and horizontal).**

30. Source: Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish). Pages 13-15.

## Annex 1.4: Tools and Techniques

The reasons for using CSOs to monitor different parts of the national development policy process (whether it is a PRSP, PRS or other framework) are:

- PRSP monitoring presents an opportunity for civil society to enhance their impact on national policy.
- Better policies in an organization's area of interest can improve living conditions of their beneficiaries or constituents.
- In many cases, organizations that provide services in the field are uniquely positioned to collect data related to service access or delivery.
- The international donor community may be able to support expansion of an organization's mission and capacity for this purpose.
- Organizations providing services in the field are also well positioned to catalyze grassroots civic awareness and to increase dialogue with elected representatives who can contribute to PRSP monitoring.

When partnering with a CSO in monitoring efforts, certain key factors and characteristics should be considered. For example, it is important to assess the original function of the organization when it was established. Other questions to ask include:

- Does the organization have any political affiliations or ideological ties? While there is value of having formal political affiliations, if the monitoring is to be seen as independent, the parties involved must meet the same criteria.
- Is the organization part of a larger network? If it is, further analysis must be given to its management and funding structure (i.e. does it have the capacity to engage in activities)?
- How is the organization structured?
- Does it have a central office in the capital or principal city?

# ANNEX 1.5: Tools And Techniques

## STEP: IDENTIFY NATIONAL AND LOCAL STAKEHOLDERS TO PARTICIPATE IN EXERCISES TO TAILOR MDGS

### Tools:

- Capacity Building Modules on MDGs in the Arab Countries. RBAS and BDP/Beirut SURF. 2004.
- A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management, by Global Environment Facility Secretariat. UNDP, UNEP, World Bank, FAO, UNIDO and Secretariats of CBD, CCD and UNFCCC. September 2001.
- Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit 1: Legislative-Executive Communication on Poverty Reduction Strategies. UNDP and NDI. 2004.
- UNDP and Civil Society Organizations: A Toolkit for Strengthening Partnerships. UNDP. 2006. See Table 3: Capacity Assessment Tool, pg. 23.

### Techniques:

#### Selecting Stakeholders

The following questions are useful for identifying which stakeholders should participate in a national tailoring exercise:

1. Who makes or influences national decisions on the MDGs and related development policies?
2. Who has information, skills or expertise related to MDG thematic areas that might be helpful?
3. Who could provide the financial or technical resources needed for the tailoring process?
4. Who are the current or potential “champions” of the MDGs in your country?
5. Who would be negatively affected from not being involved?
6. Who does not have a formal organizational channel to participate but should be involved?

If a stakeholder analysis has already been completed as part of a national visioning exercise, the answers to these questions are likely known already.

Once the set of stakeholders are identified, they can be further divided into three categories based on their level of interest in the MDGs and the tailoring process.

1. They want to participate fully or their involvement is needed for a credible process.
2. They want to play a secondary role or only to be involved in certain steps.
3. They want only to be kept informed of — rather than participate in — the process.

#### Ways to Work with Stakeholders

Once it is determined who to involve, there are three general channels for working with stakeholders, each with different objectives and techniques.

#### 1. Information and Education

Objective: To inform stakeholders about the MDG tailoring process, the capacity issues to be discussed and how they can get involved.

# ANNEX 1.5: Tools And Techniques

## Techniques:

- a) Information hotline / key contact person.
- b) Printed materials: brochures, posters, educational materials.
- c) Displays and audio-visual presentations.
- d) Websites, list serves and knowledge networks.
- e) Meeting, presentations or briefings.
- f) Mass media campaigns: TV, radio, newspapers and media releases or press kits.

## 2. Consultation

Objective: To allow stakeholder influence on the MDG tailoring process by inviting them to share information, comments and viewpoints.

## Techniques:

- a) Interviews
- b) Focus groups (i.e. "group interview")
- c) Surveys and questionnaires
- d) Workbooks
- e) Site visits or field trips:

## 3. Participation

Objective: To have stakeholders participate directly and share responsibility for tailoring and monitoring of goals, targets and indicators.

## Techniques:

- a) Workshops and working sessions
- b) Advisory committees and bodies
- c) Participatory assessments, appraisals and roundtables
  - i. Participatory Rural Appraisals (PRAs) and related techniques that involve stakeholders in the joint-coordination of activities.

## ANNEX 1.5: Tools And Techniques

### Maintaining Engagement

Some key factors for sustaining interest and participation include:

1. Strong political support for involving stakeholders and conducting the overall tailoring activity.
2. Early engagement and timely participation of stakeholders.
3. Broad-based and representative participation of different national interests.

- **Hint:** Representing national interests also includes representing marginalized and vulnerable groups such as the hearing, visually and physically challenged; ethnic or religious minorities; the elderly; etc.

4. An incentives system that rewards stakeholders for participating through compensatory benefits.

- **Hint:** Invitations to special government and cultural events, profiles in the local press, adoption and formalization of requests by government, training activities and seminars are avenues that promote feelings of buy-in and inclusion.

5. Consensus on objectives and outcomes of the process.

- **Hint:** Striking consensus will depend on country context and whether historical, political, economic, ethnic and cultural divisions prevent broader coordination on the part of engaged stakeholders. Activities will be needed throughout the process to help maintain this level of broader coordination.

6. The ability to measure and track advances.

- **Hint:** Monitoring progress is related to: i.) finding techniques to check up on whether the overall tailoring process is progressing at the envisioned pace and ii.) determining whether institutional and stakeholder capacities exist to track implementation of and outcomes from the nationally-tailored targets.

Continued stakeholder participation is tied to their capacity to be actively involved through the different phases of engagement. Certain stakeholders will occupy different functions and roles based on their characteristics and contribution to the process. A t-graph offers a simple assessment method to outline the positive and negative attributes for each (see Figure 1.3).

**FIGURE 1.3: CHARACTERISTICS OF STAKEHOLDER CONTRIBUTIONS**

ACTIVE POSITIVE	ACTIVE NEGATIVE
PASSIVE POSITIVE	PASSIVE NEGATIVE

## ANNEX 1.5: Tools And Techniques

If a particular stakeholder (either an organization or individual) is actively engaged but in a negative way, then initiatives are required to turn their destructive involvement into a constructive force. Inversely, if a participant is not actively engaging despite the positive effect of their involvement, techniques are required to encourage their increased profile in the process.

### Developing CSO Capacity for Engagement

Accountability remains a sizeable obstacle for government and CSO relations. CSOs need to assume responsibility for their own actions and behaviors.

Employing basic governance structures is a first step. The creation of an elected board, financial audits, the issuing of annual reports and the adoption of statutes and other guidelines of duties are ways to promote self-policing. Codes of conduct signed voluntarily by the CSO community that list ethics, standards and norms also encourage member and organizational accountability and are in operation in over 40 countries worldwide.

Activities will take on different forms based on the intended benefits and beneficiaries of increased accountability. Some activities, such as developing a mandate and vision, are useful across all four dimensions of accountability.

Financial sustainability is critical if CSOs are to function and engage over an extended period of time with government and CSO counterparts. The focus is on the quality of resources rather than the quantity. Currently the best approaches to advancing financial sustainability are through:

- tax reforms;
- increasing government support; and
- innovative economical approaches.

Integration is needed for ensuring better state and CSO relations and standardized regulation. One of the best tools for creating state-CSO integration and cooperation are Policy Documents on Cooperation (PDCs). These include bi-lateral documents of agreement, de-facto accords based on joint commitments and principles and unilateral statements such as government-prepared civil society strategies. National PDCs can also be implemented at the municipal level. Government liaison offices, special parliamentary committees or NGO or CSO ministries are also common options for formalizing state-CSO relations.

# ANNEX 1.6: Tools And Techniques

## STEP: SELECT AN APPROPRIATE INSTITUTIONAL FRAMEWORK FOR THE TAILORING PROCESS

### Tools:

- Manual para el control ciudadano de la Declaración del Milenio: pobreza y equidad de género, by Activa, PNUD and Oxfam. UNDP. 2003.
- MDG Toolkit. Module 2, Activity 4. How to Ensure and MDG-Based PRS. UNDG. 2005.
- National Development Planning and Implementation Strategy Note and Guide, by Joseph Annan and Benjamin Ofosu-Koranteng. UNDP. 2005.

### Techniques:

#### Use of a Government Coordinating Body<sup>31</sup>

In addition to selecting an institutional structure, the establishment of formal and informal communication channels is important if the government body (whether new or existing) is to effectively lead the MDG tailoring process.

There are different options for keeping such communication mechanisms working smoothly. These include the following checklist:

- Assign specific individuals to facilitate communication on specific issues.
- Identify specific staff to maintain communication channels in the absence of primary contact person(s).
- Encourage staff to use e-mail or document distribution systems to ensure that all relevant parties receive the appropriate materials.
- Establish a regular schedule for meeting times and the release of reports.
- Maintain clear work plans and activities with ministerial staff, as well as with ministers.
- Create a timeline for activities, including start and finish dates and expected outputs.

#### Use of Stakeholder Workshops

National tailoring workshops can be introduced at an early or late stage in the process. Ideally they should be organized at the beginning and gradually given higher level tasks that will provide inputs for the setting of targets and selection of indicators. The following is a checklist of activities that can be used when a workshop is convened early.

- A presentation on MDGs and how they have been contextualized and localized in other countries.
- A report on or description of the national poverty profile and MDG status.

Put together a simple table that clearly outlines the country status. This task should be led by the national statistical body or government, and can be combined with activities to define the national baseline.

31. Source: Adapted from: Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit 1: Legislative-Executive Communication on Poverty Reduction Strategies. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish)

## ANNEX 1.6: Tools And Techniques

- A facilitated discussion on the eight global Millennium Development Goals. Questions to ask include:  
Do they fully address poverty in the country?  
Are they relevant for national priorities and for overcoming challenges?  
Can the goals themselves be re-defined to suit the country context?
- Group discussions (by goal).  
Each group should determine key targets under each goal and indicators to measure progress.  
The process should be combined with the national working groups set up for CSOs on thematic/sectoral issues.  
If the national tailoring workshop is done at an early stage, discussions may serve as a way to narrow the focus of the thematic expert working groups that may be established later in the process by identifying the key issues of national priority.  
The activity should provide opportunities for groups to indicate what policies and strategies would help to achieve each of the targets, and the role of the various actors in these processes.
- Plenary debate  
At the workshop, organize a final session, which brings the small working groups together to narrow down the list of recommended national MDG targets and indicators and possible policy approaches.  
Following the workshop, be sure to use the media effectively to facilitate wider dialogue.



# ANNEX 1.7: Facilitation Materials

## WORKING GROUP EXERCISE: LAYING OUT RULES AND REGULATIONS

**Introduction** – This activity should be used prior to beginning any workshop and is particularly useful when community groups are involved.

**Exercise** – To begin, discuss with participants the importance of mutual respect and having agreements about ways of acting/behaving during the workshop. Explain that the rules will be depicted in picture form; give an example. For instance, to show that people must listen to each other, draw an ear.

1. Divide the participants into groups of 4 to 5 people.
2. Give each group pieces of paper and markers for drawing.
3. Each group presents their agreed upon rule-picture in the plenary session and explains its meaning.
4. Check whether any other group has a similar drawing. Decide with participants which one best expresses the desired rule.
5. Reach consensus on each proposed rule and paste the pictures on the wall.
6. Have participants select a 'minister of justice' (who will be responsible for reminding participants when rules are not being followed) as well as a timekeeper. These positions can be rotated daily if you like.

**Time Frame** – A total of 30 minutes is recommended for this activity since it is simply designed to set the tone for the rest of the workshop. Depending on the total number of participants and groups, more time may be necessary.

**Outcome** – Throughout the event, the drawings and guidelines can be used to encourage the participants to self-monitor their respect.

# ANNEX 1.8: Facilitation Materials

## WORKING GROUP EXERCISE: DEVELOPING A NATIONAL VISION<sup>32</sup>

**Introduction** – Activities to formulate a national vision should be directed at developing the individual components of such a vision statement, including:

- Individual: personal, long-term perspective.
- Community: performance and motivation.
- National: common and shared vision.

To build a shared vision (and monitor progress towards it), consider the following points:

- Discuss aspirations.
- Outline goals.
- Discuss possibilities for achieving them.
- Consider how to make the process and results inclusive.
- Assess the challenges.

**Exercise** – The following set of four activities is structured to help participants at the early stages of formulating a national vision to address each of the areas outlined above. The number of participants should not exceed 30 people for any one activity. If these activities are used as part of a large multi-stakeholder meeting, small groups should be used to run the activities simultaneously.

**Time Frame** – All four activities should be structured to run no more than 4.5 hours. Ideally, the activities should be done over a series of days at a workshop set up to launch the national visioning process. They should be combined with related activities to help promote dialogue, exchanges and interactions among participants. Depending on the event and status of the visioning process, the activities also can be done separately and can be modified as needed.

The suggested times are:

### Activity 1 – 120 minutes

- 60 minutes to discussion questions in smaller teams (10 minutes per question).
- 60 minutes to report back to plenary (15 minutes per team).

### Activity 2 – 75 minutes

- 30 minutes to complete individual task.
- 20 minutes to work as team on questions.
- 25 minutes to discuss results in plenary.

### Activity 3 – 45 minutes

- 30 minutes for small group discussion.
- 15 minutes for wrap-up.

32. Source: Adapted from Community Capacity Enhancement Handbook. Leadership for Results: UNDP's Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. UNDP. 2005. (pgs 36-37).

# ANNEX 1.8: Facilitation Materials

## Activity 4 – 90 minutes

- 30 minutes for each of the small groups to respond to questions.
- 30 minutes for group presentations to plenary.
- 30 minutes for plenary discussion.

**Output** – The working groups should come up with a consolidated list of ideas about who should be involved in the visioning process, the key areas of the national vision and the consensual timeline for achieving it.

Activities rely on small group and plenary work to facilitate discussions around the above mentioned topics. For both, a rapporteur should be assigned. S/he would be responsible for reporting at the end of each session and/or day. For some of the activities, a moderator (in addition to the workshop facilitator) is recommended.

## Activity 1:

- This activity is designed to facilitate the mapping of a visioning process.
- Divide the groups into smaller teams (5-10 people each).
- Assign a moderator and a rapporteur for each team.
- Each group will have 60 minutes (10 minutes per question) to discuss the following dimensions that affect a visioning process:
  1. Purpose
  2. Processes
  3. Systems
  4. Strategy
  5. Structure
  6. People
- Each group will be asked to have the rapporteur report back to the plenary on the responses.
- In compiling their answers, each group should also consider:

Which of the dimensions is the central component that affects all the others? Why?

Can you arrange them in a way that demonstrates the interrelated relationship? What would the order look like?

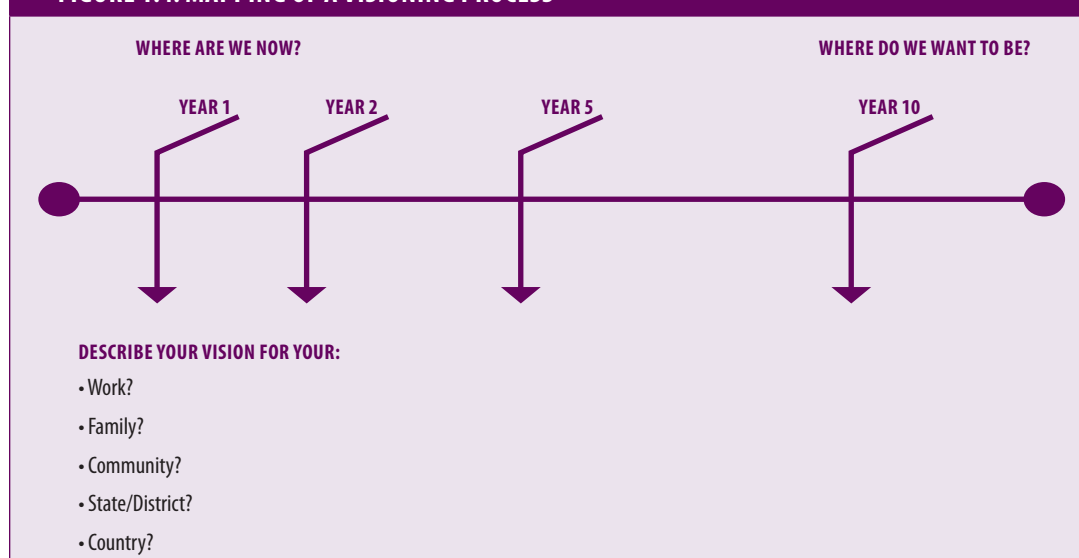
## Activity 2:

- While this is an independent activity, divide participants into smaller teams.
- Participants will have a total of 75 minutes to complete the following assignment:  
Task 1 (15 minutes): Ask each participant to make his/her own map (see Figure 1.4 below) of what the country will look like in:  
One year  
Two years  
Five years  
10 years  
15 years

Set up the situation with a simple example that is explained to participants: “If you build a house, you have to know the lay of the land. You need to see it from within and value it for what it could be worth later. In the same way, we need to review what we have now because this reality shapes the context in which we are building the future”.

# ANNEX 1.8: Facilitation Materials

**FIGURE 1.4: MAPPING OF A VISIONING PROCESS**



- Task 2 (15 minutes): Once the time is up, ask the team to share their responses for each of the years with the group. A rapporteur will be assigned to consolidate the main ideas of the members (as well as for Task 4).
- Task 3 (20 minutes): Get each participant to think about what is important to them, what they want to see change in key basic services, and how the economy and government can be more responsive to his/her needs.

Think about these questions in regards to: The education system? The health system? Water and sanitation? Roads and infrastructure? Government institutions? Employment? Food and nutrition?

Each of these issues should be assessed at the level of the individual, community and country.

- Task 4 (25 minutes): At the end of the time allotted, each member of the team will report back briefly to the group. A total of 25 minutes will allotted for small group discussion.

All questions should be discussed across the time line set out for the country's vision.

Ask the rapporteur for the group to consolidate members' inputs.

The collection of responses from each of the groups should be circulated at the end of the day or the next morning of the workshop. This will help facilitate further discussion on arriving at a national vision and will serve as a record of the key topics that are on the table.

## Activity 3:

Use the following outline as a guide to run the activity. Adapt and change where needed. A total of 45 minutes should be needed to complete the tasks below.

- Form small groups (no more than 5-10 people each). Assign a moderator to lead the group and a rapporteur to record the responses.
- Ask a question about a neutral topic for the particular country. Perhaps discuss "fixing a car", "making a sandwich" or "playing soccer". If feasible, consider more development-oriented topics such as "conserving energy", "stopping the spread of HIV and AIDS", "reducing poverty and inequality" or "improving primary education".

## ANNEX 1.8: Facilitation Materials

- A total of 30 minutes will be allocated for discussion (to be led by the moderator):
  - How much do you know about \_\_\_\_\_?
  - How much do you know about \_\_\_\_\_ that others don't know?
  - How much you don't know about \_\_\_\_\_?
  - How much you don't know about \_\_\_\_\_ but others know?
  - How much you don't know about \_\_\_\_\_ and others don't know?
- The discussion should be open and involve all members of the group.
- During the exchange, the rapporteur should write up the results on a flip chart, chalkboard or white-board for all to see.
- Once time is concluded, participants will return to the plenary.
- Workshop facilitators will lead a recap (15 minutes) on the main points that were raised and what these reveal about how to work collaboratively as the national visioning process moves forward.

### Activity 4:

- Divide participants into groups of four to six people. Designate a reporter for the group who will also convey ideas back to the plenary.
- List the following characteristics on a flip chart and brainstorm with participants on their relevance and importance to the visioning process.
  - To be dynamic and produce actions.
  - To think before acting.
  - To provoke thoughts without provoking bad feelings.
  - To stimulate ideas, options and possibilities.
  - To go deeper into matters.
  - To avoid the word 'why' in working group discussions.
  - To not make a value judgments.
  - To avoid simple 'yes' or 'no' answers.
  - To address sacrosanct issues and taboos.
- Give each group 30 minutes to discuss and to rank in order of priority the list (1= most important; 10 = least important).
- Spend 30 minutes and have each rapporteur in the group present the list to the plenary.
- Once the presentations are complete, open the floor to questions and discussion for up to 30 minutes.

**Note** – The following exercise is designed for UN country teams although it can easily be adapted for use in activities with line ministries or government agencies that have sectoral focuses. The objective is to reveal the cross-linkages between the goals and to facilitate better alignment of the MDGs with the national development vision and strategy.

**Introduction** – During the early 1990s, an emerging international consensus — spearheaded by the sustainable human development (SHD) concept — endorsed the belief that development interventions must be approached in a comprehensive manner. UN agencies, however, have yet to overcome fully a tendency to concentrate solely on their individual sectoral focuses. There is, for example, a perception that UNDP and ILO “do poverty”, UNIFEM handles “gender”, WHO maintains the “health” portfolio, UNESCO “education”, UNEP “environment”, etc. Through these perceptions, we are likely to overlook the many ways in which these initiatives may duplicate one another. We are unlikely to meet the challenge of achieving the MDGs unless we learn better to identify and take advantage of the potential synergies that can result from cooperative initiatives, to coordinate separate activities effectively and to avoid duplication and wasted resources. The MDG Framework provides an instrument and an opportunity to collaborate in our common development goals and interests.

# Annex 1.9: Facilitation Materials

## WORKING GROUP EXERCISE: INTER (AND INTRA)-RELATIONSHIPS BETWEEN THE EIGHT MDGS

**Exercise** – This exercise is to be completed in two steps.

- First, individuals will identify their respective agency contributions to each goal. This will serve as a map of UNCT efforts to promote and to meet each of the MDGs, summarized in a brief presentation by each agency of two or three (where relevant) selected outputs to familiarize the wider group with existing initiatives that relate to the specific goal.
- Second, a more comprehensive task will examine goals (poverty, HIV/AIDS and TB, health, and education) in a more in-depth fashion to review the linkages and relationships between them.

Not all goals have equal relevance in many country contexts. As a result, the exercise is likely to reveal a de facto prioritization, which already exists. The existing prioritization may require further consideration in light of interactions among goals, especially with respect to gender, health, education, poverty and HIV/AIDS-TB. During this exercise, focus targets should be identified without losing sight of important relationships with other goals such as gender equality.

Individuals will be assigned to each group.

**Time Frame** – The below provides tentative guidance but should be modified according to group needs.

The entire exercise should take approximately 2 hours and 30 minutes.

- 10 Minutes - Introduction to the exercise by facilitator and breaking-up into smaller groups.
- 30 Minutes - Individual exercise (step one).
- 20 Minutes - Report back on agency work plus discussion.
- 60 minutes - Larger group exercise (step two).
- 30 Minutes - Report back in plenary.

**Output** – An initial agency mapping of contributions to each goal will be completed.

**Outcome** – The UNCT will have a better understanding of the importance of cross-agency collaboration and of the heightened ability to meet each MDG as the result of a cumulative process.

**First Step:** On your own, use the chart below to describe how your agency is contributing to each goal as well as existing efforts toward achieving (measuring, implementing, monitoring, etc.) different targets. Please place special emphasis on the “Existing Partners” column. Also, bear in mind that many boxes may remain empty. Take approximately 30 minutes to fill in the chart as thoroughly as possible.

UN Agency: \_\_\_\_\_

## Annex 1.9: Facilitation Materials

GOALS AND TARGETS CONTRIBUTIONS	TYPE OF CONTRIBUTION (i.e. – advocating/ lobbying government counterparts, data, monitoring trends, evaluating sectoral policies, etc.)	ON-GOING OR PLANNED INITIATIVES (i.e. – support to demographic surveys, existing programmes, capacity development of line ministries, etc.)	EXISTING PARTNERS (i.e. – which Government ministries, UN agencies, Research institutes, CSOs, etc.)	OTHER MATTERS (i.e. – complications or obstacles, existing resources, etc.)
<b>Eradicate Extreme Poverty –</b> Reduce by half the proportion of people living on less than a dollar a day				
<b>Achieve Universal Primary Education –</b> Ensure that all boys and girls complete a full course of primary schooling				
<b>Promote Gender Equality and Empower Women –</b> Eliminate gender disparity in primary and secondary education				
<b>Reduce Child Mortality –</b> Reduce by two-thirds the mortality rate among children under five				
<b>Improve Maternal Health –</b> Reduce by three-quarters the maternal mortality ratio				
<b>Combat HIV/AIDS –</b> Halt and begin to reverse the spread of HIV/AIDS				
<b>Ensure Environmental Sustainability–</b> Integrate environmental principles, provide access to safe drinking water, improve living conditions of slum-dwellers				
<b>Develop a Global Partnership –</b> Range of issues from trade to private sector partnership to debt reduction				

Upon completion, please share your agency's most important contributions on two or three of the goals in your small working group. Your matrix will later be compiled with others in order to prepare a UNCT MDG mapped approach.

# Annex 1.10: Facilitation Materials

## WORKING GROUP EXERCISE: STRATEGIC PLANNING EXERCISE – PARTNERSHIPS AND THE MDGs

**Introduction** – In many countries, multi-stakeholder groups have collaborated to develop outlines of strategic plans to address the MDGs. Due to a number of reasons, these plans often are not fully completed. Therefore, it is necessary to revisit these strategies with a view to strengthening cooperation and monitoring outcomes of previously agreed-upon activities. Institutional responsibilities and timeframes should be established as well.

In developing such a plan, political will is often one of the biggest hurdles. As a result, MDG-based advocacy efforts ranging from the conventional to the creative will be a critical component of any civil society activity regarding development.

**Exercise** – Based on the number of participants and their respective constituent bases, workshop facilitators should decide how to divide the group most effectively into smaller working groups. For example, this exercise can be done by different constituent groups in isolation (i.e. – donors as one group, CSOs as one group, government as one group, etc.) to illustrate differences in approach. It can also be done as multi-stakeholder groups.

After breaking up into small working groups, each group will set objectives and identify strategic activities to promote and achieve the MDGs. Where feasible, timeframes and other means to measure achievement will be set. The activities identified should all be able to be completed within the next two years.

Given the time limit for the exercise, the facilitator may wish to identify only three or four priority areas such as MDG 1 (eradicate extreme poverty), MDG 6 (halting HIV/AIDS and TB) or MDGs 2, 4, and 5 (improved education and health). In this case, individuals will self-select the group in which they would like to participate.

Because effective strategic planning for achieving the MDGs takes place at the local level, this exercise should be tailored by workshop facilitators to best utilize the knowledge of participants and address their specific needs. A suggested matrix has been developed to guide discussion, but it can be modified to better suit group discussions.

**Time Frame** — The instructions below provide tentative guidance and should be adapted to the group and country context.

The entire exercise should take approximately 2 hours. It can be divided as:

- 10 Minutes — Introduction to the exercise by facilitator and breaking-up into smaller groups.
- 10 Minutes — Break into groups.
- 70 Minutes — Working group discussions.
- 30 Minutes — Report back on agency work plus discussion.

**Output** – The working groups will develop 2-3 separate work plans (depending upon number of groups) outlining strategic activities needed to achieve the MDGs. During the plenary session, the most viable activities will be agreed upon and participants will determine the next steps needed to set these activities into action. A rapporteur should be assigned for each group to make the final presentation.



## Annex 1.10: Facilitation Materials

### Exercise Sheet (for guidance)

Note: Time may not allow for it to be filled out completely

Priority Area (target goal): \_\_\_\_\_

Group Members: \_\_\_\_\_

Objective Settings: \_\_\_\_\_

Service Lines	Obstacles or Constraints	Specific Activities	Relations with and Potential Contributions to Other Goals	Partnerships Required and Target Government Ministry	Responsible Agency(ies) and Individual	Outputs	Timeframe and Other Benchmarks
<b>Analysis and Assessment of Goals</b> (i.e. – data collection, monitoring efforts, etc.)							
<b>Partnerships, Advocacy and Campaigning</b> (i.e. – public outreach, negotiating with Government, publications, sensitization forums, etc.)							
<b>Programme Formulation and Specific Interventions</b> (i.e. – operational activities, capacity development, etc.)							
<b>Policy Advice, Reform, and Harmonization</b> (i.e. – engaging with Government and line Ministries in order for national platforms and policies to better reflect the MDGs)							
<b>Other?</b> (i.e. – resource mobilization)							

\*\* Please also answer the following: How will the above strategy be sustained?

# Annex 1.11: Resources

## Revised MDG monitoring framework including new targets and indicators, as recommended by the Inter-agency and Expert Group on MDG Indicators

At the 2005 World Summit, world leaders committed themselves to achieving four additional targets to the ones included in the Millennium Declaration (2005 World Summit Outcome A/RES/60/1). The General Assembly at its 61st Session took note of the Report by the Secretary-General on the Work of the Organization (A/61/1) in which he recommended (paragraph 24) the inclusion of four new targets.

The new formulation of the monitoring framework, including the new targets and corresponding indicators as recommended by the Inter-agency and Expert Group on MDG Indicators is presented below.

Where relevant, indicators will be calculated by sex and by urban and rural areas.

ANNEX 1.11: LIST OF MDG GOALS, TARGETS AND INDICATORS	
MILLENNIUM DEVELOPMENT GOALS (MDGS)	
Goals and Targets*(from the Millennium Declaration)	Indicators for monitoring progress**
<b>GOAL 1: ERADICATE EXTREME POVERTY AND HUNGER</b>	
Target 1: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1. Proportion of population below \$1 (PPP) per day <sup>i</sup> 2. Poverty gap ratio 3. Share of poorest quintile in national consumption
Achieve full and productive employment and decent work for all, including women and young people	Growth rate of GDP per person employed Employment-to-population ratio Proportion of employed people living below \$1 (PPP) per day Proportion of own account and contributing family workers in total employment
Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	4. Prevalence of underweight children under-five years of age 5. Proportion of population below minimum level of dietary energy consumption
<b>GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION</b>	
Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	6. Net enrolment ratio in primary education 7. Proportion of pupils starting grade 1 who reach last grade of primary** 8. Literacy rate of 15-24 year-olds, women and men**
<b>GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN</b>	
Target 4: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	9. Ratios of girls to boys in primary, secondary and tertiary education 10. (dropped) <sup>ii</sup> 11. Share of women in wage employment in the non-agricultural sector 12. Proportion of seats held by women in national parliament

## Annex 1.11: Resources

GOAL 4: REDUCE CHILD MORTALITY	
Target 5: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	13. Under-five mortality rate 14. Infant mortality rate 15. Proportion of 1 year-old children immunised against measles
GOAL 5: IMPROVE MATERNAL HEALTH	
Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio	16. Maternal mortality ratio 17. Proportion of births attended by skilled health personnel 19c. Contraceptive prevalence rate <sup>iii</sup>
Achieve, by 2015, universal access to reproductive health	Adolescent birth rate Antenatal care coverage (at least one visit and at least four visits) Unmet need for family planning
GOAL 6: COMBAT HIV/AIDS, MALARIA AND OTHER DISEASES	
Target 7: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	18. HIV prevalence among population aged 15-24 years 19a. Condom use at last high-risk sex 19b. Proportion of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS 20. Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years
Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it	Proportion of population with advanced HIV infection with access to antiretroviral drugs
Target 8: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	21. Incidence** and death rates associated with malaria 22. Proportion of children under 5 sleeping under insecticide-treated bednets and Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs** 23. Incidence**, prevalence and death rates associated with tuberculosis 24. Proportion of tuberculosis cases detected and cured under directly observed treatment short course

## Annex 1.11: Resources

GOAL 7: ENSURE ENVIRONMENTAL SUSTAINABILITY	
Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	<p>25. Proportion of land area covered by forest</p> <p>27. (dropped)<sup>iv</sup></p> <p>28. CO2 emissions, total, per capita and per \$1 GDP (PPP), and consumption of ozone-depleting substances<sup>**</sup></p> <p>29. (dropped)<sup>v</sup></p> <p>Proportion of fish stocks within safe biological limits</p> <p>Proportion of total water resources used</p>
Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss	<p>26. Proportion of terrestrial and marine areas protected<sup>**</sup></p> <p>Proportion of species threatened with extinction</p>
Target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation	<p>30. Proportion of population using an improved drinking water source<sup>**</sup></p> <p>31. Proportion of population using an improved sanitation facility<sup>**</sup></p>
Target 11: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	<p>32. Proportion of urban population living in slums<sup>vi **</sup></p>
GOAL 8: DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT	
<p>Target 12: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system</p> <p>Includes a commitment to good governance, development and poverty reduction – both nationally and internationally</p> <p>Target 13: Address the special needs of the least developed countries</p> <p>Includes: tariff and quota free access for the least developed countries' exports; enhanced programme of debt relief for heavily indebted poor countries (HIPC) and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p>	<p>Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked developing countries and small island developing States.</p> <p><b>OFFICIAL DEVELOPMENT ASSISTANCE (ODA)</b></p> <p>33. Net ODA, total and to the least developed countries, as percentage of OECD/DAC donors' gross national income</p> <p>34. Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation)</p> <p>35. Proportion of bilateral official development assistance of OECD/DAC donors that is untied</p> <p>36. ODA received in landlocked developing countries as a proportion of their gross national incomes</p> <p>37. ODA received in small island developing States as a proportion of their gross national incomes</p>

## Annex 1.11: Resources

GOAL 8: DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT	
<p>Target 14: Address the special needs of landlocked developing countries and small island developing States (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)</p> <p>Target 15: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<p><b>MARKET ACCESS</b></p> <p>38. Proportion of total developed country imports (by value and excluding arms) from developing countries and least developed countries, admitted free of duty</p> <p>39. Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries</p> <p>40. Agricultural support estimate for OECD countries as a percentage of their gross domestic product</p> <p>41. Proportion of ODA provided to help build trade capacity</p> <p><b>DEBT SUSTAINABILITY</b></p> <p>42. Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative)</p> <p>43. Debt relief committed under HIPC and MDRI** Initiatives</p> <p>44. Debt service as a percentage of exports of goods and services</p>
Target 16: replaced by new target in Goal 1	45. (Replaced by new indicators in Goal 1) <sup>iii</sup>
Target 17: In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries	46. Proportion of population with access to affordable essential drugs on a sustainable basis
Target 18: In cooperation with the private sector, make available the benefits of new technologies, especially information and communications	<p>47a. Telephone lines per 100 population **</p> <p>47b. Cellular subscribers per 100 population**</p> <p>48. Internet users per 100 population**</p>

\* The numbering of the targets and indicators will be undertaken through the inter-agency process of the Inter-agency and Expert Group on MDG Indicators.

\*\* The language has been modified for technical reasons, so that the data can be more clearly reflected.

i. For monitoring country poverty trends, indicators based on national poverty lines should be used, where available.

ii. Previously: "Ratio of literate women to men, 15-24 years old".

iii. Moved from Goal 6.

iv. Previously: "Energy use (kg oil equivalent) per \$1 GDP (PPP)".

v. Previously: "Proportion of population using solid fuels".

vi. The actual proportion of people living in slums is measured by a proxy, represented by the urban population living in households with at least one of the four characteristics: (a) lack of access to improved water supply; (b) lack of access to improved sanitation; (c) overcrowding (3 or more persons per room); and (d) dwellings made of non-durable material.

vii. Previously: "Unemployment rate of young people aged 15-24 years, each sex and total".

### MEDIUM-TERM STRATEGIES: SETTING IT IN MOTION

Unlike a national vision, a development strategy speaks to current concerns and outlines the resource flows to fund interventions. In the medium term, countries must select a framework that can both advance the national vision and the achievement of interim targets. In low-income countries, the PRSP process is intended to serve these two functions by prioritizing policies and the resources budgeted for them.

Within this context, the national political landscape will condition the influence that stakeholders have over the designation of spending priorities. Changing attitudes, perceptions and practices that prevent meaningful engagement is one of the greatest challenges to overcome for both government and civil society stakeholders.

This section focuses on activities that encourage such shifts and offers approaches for sustaining CSO involvement in national planning and policy-making decisions. The different steps outlined look at how civil society actors can leverage their participation in the national visioning process to increase the space available for contributing to the design of the country's medium-term strategy. At the same time, entry points for engagement are recommended that help to reinforce the skills that CSOs developed during the visioning and tailoring steps, particularly in terms of analyzing, collecting and validating empirical results (see Section 1).

While many of the skills are transferable, new learning is required on the part of civil society stakeholders given the planning and budgeting dimensions involved. While a vision relates to development aspirations, a medium-term strategy takes these goals and outlines concrete policies, a budget and a results-based plan for achieving them. Even within a country, not all CSOs will be able to engage in these tasks in the same way due to their own internal constraints. However, various entry points are available that can match up an organization's capacity with areas where they can substantively contribute. Activities may range from joining and providing inputs to an MDG technical working group (see Step One: "Review the Institutional Arrangements and Resources"), to lobbying and raising public awareness, which are less skill-intensive but equally vital (see Step Two: Determine Institutional Channels for CSO Involvement").

Upon completing the steps, the objective is to formalize the participation of civil society actors and ensure their voice is incorporated in a country's planning and policy-making processes. Needs assessments and budgeting exercises are among the activities that can be used and are discussed in detail. Whichever mix of approaches is chosen, the intended outcome is to link the MDGs and other priority needs of the poor to the selection of national policies and interventions.

#### (i) Key Definitions:

Before beginning, it is important to review and define some of the central concepts that we will be working with in this section. A complete glossary of all terms can be found at the end of the course.

**Capacity:** The ability of individuals and organizations or organizational units to perform functions effectively, efficiently and sustainably. Part of a continuing process where human and institutional resources are essential.

**Cross-Sectoral:** Involving more than one thematic or administrative area. Several sectors — such as agriculture, education, health, and transport — are affected by or engaged in contributing to one policy or programme. Policy responses to HIV and AIDS, gender or sustainable development are considered cross-sectoral. Synonymous with "multi-sectoral".

**Integrated Planning:** Process by which governments consolidate plans and development strategies into a coherent framework stressing coordinated, collaborative and mutually-supportive interventions — whether sectoral or cross-sectoral in nature — to improve policy cohesion, efficient resource use and long-term effectiveness.

**MDG Costing:** A process of determining what is needed in terms of financial resources to reach the MDG targets to provide a quantitative basis for defining anti-poverty strategies and programmes, as well as for forecasting needs and gaps and mobilizing additional resources.

**Needs and Capacity Assessments:** A tool that draws out information about people's varied needs, raises participants' awareness of related issues, and provides a framework for prioritizing development needs.

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**Policy-Making Instruments:** Instruments that indicate or provide the strategy for achieving development priorities as spelled out in national development documents.

**Sectoral Strategy:** A policy framework for the medium and/or long term, which has been adopted by a government as a plan of action for a particular area of the economy or society. Strategies can include policies for agriculture, education, health, industry, trade and transport.

### (ii) Why:

While planning is largely a government-led exercise, policy-making involves numerous partners including the legislature, civil society, the private sector and nongovernmental actors. Matters related to energy and environment or HIV and AIDS involve even more stakeholders, making the engagement of CSOs essential in the design of medium-term policy frameworks.

Activities must be chosen and skills developed to solidify this partnership and institutionalize stakeholder participation. CSOs need to be engaged at this point to ensure that the poor and other beneficiaries are not excluded from contributing to the formulation of policies targeted at them. Having missing voices and under-represented interests in a country's development decisions compromises the effectiveness of interventions and, ultimately, MDG achievement.

Yet CSO participation does not end once a policy has been formulated. Their involvement in tracking the disbursement and use of budgeted resources provides a watchdog function over government and promotes accountability of actions and promises (see Step Two: "Build Awareness of Different Actors and Sectors"). At the same time, these activities help to expand the space available for CSOs to provide inputs to policy decisions and shape a country's development outcomes.

### (iii) How:

There are several steps which are similarly involved in designing a long-term national development strategy and selecting a supportive medium-term framework. For example, the participatory structures used in the visioning process to engage with the broadest range of civil society actors are more or less applicable for working with stakeholders to identify an interim set of common goals (see Section 1 and Annexes 1.7 and 1.8). As with developing a long-term strategy, the process of designing a medium-term plan offers significant opportunity for civil society engagement. However, a key difference is that a medium-term strategy is backed by a clear set of interventions, a budget and targets to assess the implementation and monitoring of results.

The role of civil society actors in developing a medium-term strategy can be divided into three main activities:

1. Assessing the national vision and long-term strategy;
2. Aligning sectoral and cross-sectoral strategies; and
3. Preparing an interim strategy (e.g. PRSP) to achieve progress towards long-term goals.

Each of these phases follows the next and provides a general overview of the steps required for a country to prepare and finalize its medium-term development plan. As in the other section(s), they have been selected based on a context where a minimum level of capacity and political openness exist for a working relationship to be established and fostered with civil society stakeholders. In countries where civil society is weak and/or disorganized (or government hostility is present), recommended approaches will need to be modified and the order of activities shifted. For example, rather than engaging in the preparation of an interim strategy, CSO involvement — and development partner support for their work — might be limited to concentrating on setting up networks with other organizations to provide the structure and capacity required for engaging in future planning exercises.

### BOX 2.1: ALIGNING VISION AND STRATEGY

It cannot be taken as a pre-condition that a country's national vision and strategy have been effectively aligned. Before revisiting the country's national development strategy, three questions must be answered to assess whether this integration has occurred:

1. Does the national development strategy support the achievement of the national vision?
2. Is the national development strategy aligned with the basic principles established during the visioning process?
3. Is the national development strategy capable of unifying development efforts across sectors, ministries and stakeholders — national and international — to achieve the vision?

If the answer to any of the above is 'no', the first step is to reconsider the roles for civil society actors. If a country has not yet developed a national vision, and circumstances are not conducive to developing one, it may be best to focus on having them assist with the integration of sectoral and cross-sectoral strategies (Stage 2). If a vision exists but the current development strategy does not support it, the strategy may require revisiting to improve the match between the two and maintain the broad stakeholder consensus struck during the visioning process (Section 1, Stage 1).

Source: "Chapter 2: Medium-Term Strategies: Setting it in Motion". *How-to-Guide to MDG-based National Development Strategies*. UNDP. 2006. [http://mdg-guide.undp.org/?page=section\\_2](http://mdg-guide.undp.org/?page=section_2).

### 1. ASSESSING THE NATIONAL VISION AND LONG-TERM STRATEGY

Even if a country's long-term vision and strategy are aligned, it is necessary to assess continually whether they are on track (see Box 2.1). Having civil society stakeholders revisit them periodically can help determine whether the vision remains realistic and if the strategy has been effective at achieving its interim targets.

#### Step One: Review institutional arrangements and resources

Institutional arrangements refer to the structures, processes and partnerships that emerge — formally and informally — as part of the policy cycle. These factors condition all related interactions which range from policy design to budgeting, implementation and monitoring. Actors and institutions are drawn from the public and private sectors as well as civil society. A review of existing resources to achieve MDG 1 might also include an assessment of the capacities and finances of civil society organizations to support related national and local activities, such as nutritional feeding initiatives and employment generation programmes. A consideration of paid and unpaid labour contributions as well as other non-financial resource inputs is an essential part of the process.

#### Step Two: Review the policy framework

The next step requires a level of technical capacity on the part of civil society actors similar to what would be needed to conduct a participatory poverty assessment or complete policy research (see Section 1 for additional details).

The review entails a thorough analysis of the national development framework to determine if the policies effectively facilitate target achievement in the medium term. The review should be done

- along thematic or sectoral lines; and
- in cooperation with the government.

The rationale for structuring the study this way is to ensure linkages between the findings and actions. Too often, an analysis is conducted independently of key stakeholders and without their involvement or endorsement. The results are not trusted or used, leading to their limited impact. The feasibility of having civil society organizations lead the review will be based on their existing capacities and the prevalence in the country of independent policy research institutes. If these bodies are not common or operational, governments can facilitate civil society engagement through their participation in technical and thematic working groups established to provide and validate national policy and planning decisions. For more ideas on how to structure the groups, refer to Section 1<sup>33</sup>.

33. For more details, refer to stages 1 and 2 in Section 1 on how to form national working groups and steering committees. Annexes 1.4 and 1.5 cover activities and entry points that help to create a participatory process and maintain stakeholder engagement.



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### Step Three: Promote capacity development of different stakeholders

Governments, donors and civil society networks can organize training and other activities to ensure that CSOs are ready and able to engage effectively in the policy review. These interventions mitigate the risk that civil society stakeholders will not be able to substantively contribute to the process when called upon (and if the government invites their involvement). Capacity building efforts involve training on key policies (e.g. macro-economic frameworks, social policies, investment strategies) and preferred competencies (e.g. monitoring, evidence-based advocacy, negotiation and dialogue). A sample agenda for such a workshop is provided in Annex 2.1.

Capacity development efforts can take several different forms. For relatively new organizations and institutions, the focus tends to be on developing their organizational capacity. For more mature organizations, an emphasis is given to enhancing their sectoral and institutional capacity.<sup>34</sup>

The differences between the three types of capacity development derive from where efforts are focused and which skills are strengthened:

- Organizational capacity development is generally defined as strengthening the ability of CSOs to perform certain functions, such as knowledge management or service delivery.
- Sectoral capacity development is used to strengthen the ability of CSOs to have an impact on an issue of interest to them.
- Institutional capacity development can help CSOs to position themselves better vis-à-vis other actors (particularly governments, UN agencies, donors and other CSOs).

Capacity development usually connotes a long-term process that covers many crucial stages, including local ownership and sustainability. However, agencies and organizations define it in different ways. The policies of some donors like the Japan International Cooperation Agency (JICA) promote learning by doing and gradual change through focused support. Others, like the Swedish International Development Cooperation Agency (SIDA), have a more systemic outlook and include a wide range of institutions and organizations. Another group, including UNDP, emphasizes abilities and knowledge, embracing the concept of “development” rather than the “building” of capacity. Given the range of different capacity development initiatives that can be used, please refer to the “Read More” section and Annex 2.2 for possible activities.

Regardless of the different definitions, all these approaches converge in their aim to provide a set of skills that are replicable, transferable and sustainable. The activities and interventions selected to develop CSO capacity need to recognize this common ends and incorporate components that provide training to ensure CSOs are adequately prepared for contributing to the design of the country’s medium-term strategy — in this phase, subsequent stages or future planning processes.

#### Read more:

- Capacity Development for Policy Advocacy: Current Thinking and Approaches among Agencies Supporting Civil Society Organisations, by Monica Blagescu and John Young. ODI Working Paper 260. July 2006.
- Capacity Development: Practice Note. UNDP. July 2006.
- The Challenge of Capacity Development: Working towards Good Practice. OECD DAC Network on Governance. February 2006.
- Community Capacity Enhancement Handbook. Leadership for Results: UNDP’s Response to HIV/AIDS, by Moustapha Gueye, Daouda Dlouf, Thebisa Chaava and David Tiomkin. 2005.
- Manual para el Control Ciudadano de la Declaración del Milenio, by Ana Maria Arteaga and Activa Consultores. UNDP. 2004.
- Supporting Capacity Development: The UNDP Approach. UNDP. June 2007.

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<sup>34</sup> The “Preface” of this training course covers the issue of capacity development for CSOs in more detail.

### 2. ASSESSING SECTORAL AND CROSS-SECTORAL STRATEGIES

Sectoral policies are often designed in isolation without the actors accounting for the cross-cutting nature of their outcomes. During the early 1990s, supporters of the sustainable human development concept began calling for comprehensive, integrated approaches because sectoral interventions were not producing optimal results. Initiatives that focused exclusively on single outcomes — “safe-sex” campaigns and the distribution of condoms to temper the spread of HIV/AIDS — were found more effective if coupled with broader public health and education programmes.

When programmes are mutually reinforcing, effectiveness is increased and resources are more efficiently employed. A community breastfeeding programme would be expected to have improved results if it was combined with regional initiatives targeted at women’s nutrition or schooling. While health and education linkages between programmes may seem obvious, others involving human rights promotion or combating HIV and AIDS need to be approached more carefully to ensure the right actors are involved.

Civil society can best contribute to improving strategy coherence when organizations are effectively configured into networks, making their own inputs to the policy process more coherent.<sup>35</sup> CSOs in Uganda, Tanzania, Zambia and other heavily indebted countries have united around issues of debt sustainability and forgiveness to ensure their inputs are reflected in the national PRSP process. Environment and gender are also common points for collaboration for CSOs working nationally, regionally and locally on related policy issues.

#### Step One: Recognize the range of civil society collaboration

CSO coordination within a country or community will vary depending on the range and capacities of civil society actors, their traditional roles within the policy-making process and the space provided by the state for action. The most typical forms of coordination involve:

- CSO networks: e.g. information exchange and sharing;
- Alliances: e.g. the leveraging of efforts and resources for a specific intervention; and
- Coalitions or federations: e.g. a legal entity that has an explicit responsibility to members.

Civil society networks that collaborate on tangible issues of common concern can be used to establish a broader environment of trust and solidarity. From this base of cooperation, it is possible to build productive and sustainable working relationships as well as lay the foundations for an improved civic environment.

Several guiding principles shape how CSO cooperate and form networks:

- CSO networks are only as strong as their members. Some have opted to institute a voluntary, member-driven ‘code of conduct’ to increase their overall credibility.
- The content/focus of the network should be directed by members and not dictated by any single institution or external actor.
- The institution ‘housing’ the network should serve as a facilitator and not attempt to directly manage it. The management of network activities is best reserved for an advisory board that is elected in consultation with members of the organization.
- Strong communication structures (including face-to-face meetings, forums, CSO directories, publications, and electronic discussions) are required to sustain and keep the members active and engaged.
- The network should improve and maximize the efficiency of related activities, distributing tasks in an effective way to avoid burdening members with additional work and to ensure sufficient time is devoted to tasks.
- Connections with other international networks should be formed as they can prove to be important sources of support and learning.

35. The formation, support and partnering of CSO networks is addressed in detail in the “Introduction” and Section 1 of the training course.

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Depending on resource and time constraints, it is recommended for CSO networks to prioritize key sectors or policy areas in which they want to engage. Networks will need to collect evidence through participatory research and/or policy monitoring activities if they are to engage effectively in dialogues with the government (see Box 2.2).

### BOX 2.2: USING TECHNOLOGY TO BUILD NETWORKS AND ENGAGE CSOS IN DEVELOPMENT

In Bangladesh, the government has been networking with civil society organizations on the MDGs. Partnering with NGOs and CSOs, the Sustainable Development Networking Programme (SDNP) is designed as an advocacy and policy platform to promote MDG-based strategies.

The network has produced a local language MDG portal that is used for advocacy, campaigning and sensitization in remote villages. Drawing on information and communication technologies for development (ICT4D), the network is piloting participatory monitoring of the MDGs by these communities.

Given the importance of technology in promoting participation and development, DFID, SIDA, UNDP and other partners have designed guidelines and strategies for engaging in this type of work with communities and citizens.

*See: Digital Empowerment - A Strategy for ICT for Development for DESO. SIDA. 2003 [http://www.sida.se/shared/jsp/download.jsp?f=SIDA3302en\\_DigitalEmpowerStrateWEB.pdf&a=2991](http://www.sida.se/shared/jsp/download.jsp?f=SIDA3302en_DigitalEmpowerStrateWEB.pdf&a=2991); Role of UNDP in Information and Communication Technology for Development. UNDP. 2001. <http://www.undp.org/execbrd/pdf/DP2001CRP8.PDF>; The Significance of Information and Communication Technologies for Reducing Poverty, by Phil Marker, Kerry McNamara and Lindsay Wallace. DFID. 2002. <http://www.dfid.gov.uk/Pubs/files/ictpoverty.pdf>.*

### Step Two: Build awareness of different actors and sectors

Technical capacity is essential if CSOs are to understand how macro-economic and larger social, political and economic constraints shape the national policy process. This knowledge carries over into being able to assess the relationship between the government and Bretton Woods Institutions (BWIs). As discussed above, networks of CSOs in some African countries have used their past work on conditional lending, debt sustainability and community advocacy to lobby effectively in the interest of national ownership over policy and planning decisions (see Box 2.3).

### BOX 2.3: ETHIOPIAN NGOS GAIN A SPACE AT THE PRSP TABLE

In Ethiopia, the Christian Relief and Development Association (CRDA) recognized the need for coordination of civil society inputs to the country's development strategy and established an NGO PRSP Task Force.

The Task Force brought together NGOs to participate in consultations on the formulation of the Ethiopian Sustainable Development and Poverty Reduction programme (SDPRP). NGOs used this forum as a platform for voicing the concerns of the poor, marginalized and disadvantaged. The Task Force organized various in-house discussion forums, facilitated participation of NGOs in the consultations, prepared briefing papers and submitted their findings to the Ministry of Finance and Economic Development (MoFED) for inclusion in the final plan.

*Source: Consolidated Reply: Armenia/ Reviewing the PRSP through a Participatory Process. Poverty Reduction Network. UNDP. 16 March 2006. [http://mdg-guide.undp.org/files/Module 2.1/Consolidated\\_Reply\\_Armenia\\_Participatory\\_PRSPs.doc](http://mdg-guide.undp.org/files/Module%202.1/Consolidated_Reply_Armenia_Participatory_PRSPs.doc).*

The capacity to understand the funding implications for social programmes from BWI-sponsored planning frameworks can provide CSOs with the knowledge needed to gain a seat at the discussion table when such plans are designed — and subsequently revised.

Typically a medium-term expenditure framework (MTEF) is used to link a PRSP to the national budget and is the instrument for ensuring line items that address the development priorities of citizens are taken into account when allocating resources. In addition, countries may conduct a needs assessment or apply another costing methodology to determine the level of resources to be channeled through the MTEF. Costing can provide an alternative and complementary perspective for understanding spending concerns. See Box 2.4 to learn how Timor-Leste funded its national development strategy.

### BOX 2.4: COSTING THE NATIONAL DEVELOPMENT STRATEGY IN TIMOR-LESTE'S

Timor-Leste opted to cost the financial resources needed to fund its national development strategy, including how a focus on MDG achievement would be reflected in resource allocations to its Sector Investment Programmes (SIPs). Following the end of the conflict and its push for independence, the country found itself heavily dependent on donor funding. Budgeting was essential to forecast needs and ensure resource flows were available to cover both capital and recurrent expenditures. In one costing exercise, total financing estimates were US\$962 million over four years while government revenues were projected at US\$456 million, a shortfall of US\$506 million.

Civil society can be involved in this process by proposing interventions and validating estimated costs. Their active participation provides stakeholders with the opportunity to decide on the issues at stake, shape the project and assess whether the cost structures are realistic (i.e. reflect explicit and implicit costs – human, financial and institutional). See Boxes 2.5 and 2.6 for country examples of how costing exercises were put into practice.

### BOX 2.5: MAKING A NEEDS ASSESSMENT INCLUSIVE IN KENYA

When a needs assessment was conducted in Kenya, the government invited a representative from the civil society sector to join a steering committee set up to guide the process. Other members included country representatives from the line ministries and the principal bilateral and multilateral donors.

Several workshops were held during the MDGs Needs assessments. These included:

- A national stakeholders' workshop to discuss the concept paper on the needs assessment and agree on the methodology and institutional framework (May 2004).
- A series of workshops and consultative group meetings at the sector level to deepen understanding of the methodology of the needs assessment and to identify interventions and data requirements for the assessments to be done in the different sectors (June – October 2004).
- The actual assessment work, which proceeded largely within the framework of the sector working groups organized by the government but with participation from civil society and the private sector.

Source: *MDGs Needs Assessment: Process, Experiences and Challenges*. Ministry of Planning & National Development. [http://www.unmillenniumproject.org/documents/TZA\\_4\\_2\\_2\\_Kenya\\_Lessons.ppt](http://www.unmillenniumproject.org/documents/TZA_4_2_2_Kenya_Lessons.ppt).

### BOX 2.6: ENGAGING CSOS IN DRAFTING THE MEDIUM-TERM FRAMEWORK PAKISTAN'S

In Pakistan, the government led the preparation of the Medium-Term Development Framework (2005–2010) by using a broad-based consultative process structured around funding issues. A total of 32 working groups were established on different sectors as well as cross-cutting issues. Members included experts drawn from the government (federal and provincial levels), public and private sector, CSOs, academia and research institutes and key development partners.

The reports of these Working Groups were received and analyzed by the government's Planning Commission and discussed with other ministries. The findings were then used to draft a preliminary version of the strategy, which was submitted for inputs from the National Economic Council. At the same time, the Planning Commission also re-opened the dialogue through consultations with other stakeholders, including counterparts from CSOs, academia, media, women's groups and professional associations.

Source: *Medium-Term Development Framework 2005–2010*. Government of Pakistan. Planning Commission. <http://www.pakistan.gov.pk/ministries/planninganddevelopment-ministry/mtdf/Foreword,%20Preface%20and%20President%20Message/Overview.pdf> (Page 2)

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Apart from costing, another common strategy for engagement is during the budgeting process. Gender, pro-poor and participatory budgeting activities provide a framework for ensuring that the interests of key social groups are reflected in spending allocations. The tracking of funding directed at national development priorities — usually using country-tailored MDGs — also offers an entry point for civil society to engage in expenditure discussions. Two common instruments are public expenditure and donor funding tracking instrument, including direct budget support (see Box 2.7).

### Step Three: Strengthen the cross-sectoral capacity of civil society partners

Integrated development planning requires complex coordination and implies a minimum level of capacity, resources and experience. Civil society groups may not have the technical know-how to lead the process but they still can shape it by calling on partners for improved coordination, planning and policy-making.

Civil society actors can develop this capacity through participation in targeted training events sponsored by CSOs, government or donors. Regardless of the backer, the presence of various representatives from government ministries, parliament, civil society groups and communities is

crucial to ensure a cross-learning process and to develop a common language in policy formulation. Coordination exercises — such as mock policy-making and planning sessions — can help stakeholders realize what is required for effective cross-sector planning, how different actors have different perspectives and why cooperation is necessary among them. (See Annex 2.3 for an exercise involving CSOs and governments). To promote a productive dialogue between government and communities, advocacy campaigns and participatory monitoring are two tools that can be used. Apart from providing key inputs to the policy process, they promote awareness of the impacts and linkages that cross-sector strategies have on achieving national development priorities.

Trainings also can adopt and apply existing tools that measure the extent to which policies are integrated or competing. One option is the use of co-integration analysis, which links two variables (i.e. two policy interventions or outcomes) to determine whether there is any relationship between them. Another example is the cross-impact method, which measures the level of integration across sectors tied to national development issues.

#### BOX 2.7: DONORS, BUDGETING INSTRUMENTS AND CIVIL SOCIETY

While Direct Budget Support (DBS) is gaining momentum in some countries, diversity in aid instruments is advisable, especially in unstable environments. Basket funds, sectoral allocations, SWAPs and earmarked funds can support achievement of country specific MDGs. Given their nature, they also offer opportunities for civil society participation, both in terms of selecting the areas of support and monitoring the expenditures. Examples of aid instruments include:

Direct Budget Support (DBS) — is broadly defined as joint donor/government mechanisms to permit external resources to be channeled directly through national budgets, using national allocation, procurement and accounting systems, to supplement public expenditure on nationally agreed priorities. DBS can take the form of General Budget Support (directed at overall government policy and expenditure), and Sector Budget Support (for specific sector).

Sector Wide Approaches (SWAPs) — is a method of working between and among governments, development agencies and some NGOs to fund a particular sector as part of an agreed expenditure program. SWAPs are usually underpinned by a set of values that emphasize national ownership, national execution and policy dialogue.

DBS Basket Fund — is defined as one where multiple stakeholders (donors in cooperation with or without government) pool funds towards a common end. These funds are managed by government, a donor or an agreed third party.

*Source: Consolidated Reply: The Paris Declaration and the MDGs. MDGNet, DGPNet and UN Coordination Network. UNDP. 26 November 2006. [http://mdg-guide.undp.org/files/Module%202.1/Consolidated\\_Reply\\_DBS\\_Nov\\_2006.doc](http://mdg-guide.undp.org/files/Module%202.1/Consolidated_Reply_DBS_Nov_2006.doc).*

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This approach is used to create a matrix that shows the probability of an event occurring (i.e. increase in the number pregnant women seeing a health professional). The assumptions are based on a series of expected interactions and developments. The objective is to understand how unrelated occurrences (i.e. the launch of a female literacy programme) may permit or cause one-off effects later on down the line. This interrelationship between events and developments is called “cross-impact.”<sup>36</sup>

A matrix is completed by drawing on what is known about the sector or issue and compiling an initial set of events or likely occurrences. This list is narrowed down and the likelihood of each event occurring is estimated. Usually groups of experts (in this case, representatives from civil society) are asked to assess whether the event will occur based on surveys, questionnaires and interviews. Using these compiled probabilities, an “if... then” matrix is formed to assess whether the occurrence of one event (female literacy) will result in another (increase in healthcare for pregnant women).

**The steps can be simplified as:**

1. Define what is to be included in the analysis.
2. Define the planning interval and sub-intervals (i.e. “scenes”).
3. Develop a matrix to show the linkages between events and trends.
4. Estimate the number of entries to be included.
5. Estimate the probabilities for each occurrence and for each period.
6. Estimate the value of each trend at the beginning of each interval.
7. Run the results.
8. Define the policies, actions or sensitivities to be tested within the matrix.
9. Perform cross-impact calculations.
10. Evaluate the results.

Whether using the cross-impact method or other analytical tool, civil society actors can help to provide some of the key sources for input data on the policy issues as well as serve as a focus group for validating assumptions and results.

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36. See: “Cross-Impact Method”, by Theodore Jay Gordon. AC/UNU Millennium Project. 1994. [http://www.futurovenezuela.org/\\_curso/10-cross.pdf](http://www.futurovenezuela.org/_curso/10-cross.pdf). “Using System Thinking approach to Mainstream HIV/AIDS and Gender into the Sector”. PowerPoint presentation by J. Baptiste Gatali. Dakar Workshop. 27 June 2006. <http://www.undp.org/surf-wca/HivGender-Wshp.htm>.

## Section 2

### Read more:

- Actions to Strengthen the Tracking of Poverty-Reducing Public Spending in HIPCs, by the Fiscal Affairs Department (IMF) and Poverty Reduction and Economic Management Network (PREM - World Bank). IMF and World Bank. March 2002.
- Cutting Edge Gender Packet. Module 1. UNDP. 2004.
- Draft Good Practice Note on the Provision of Budgetary Support – A Public Financial Management Perspective. OECD. October 2004. DRAFT.
- Gender Mainstreaming in Poverty Eradication and the Millennium Development Goals, by Naila Kabeer. Commonwealth Secretariat and IDRC. 2003.
- Gender Responsive Budgeting: Manual for Trainers, by Debbie Budlender. UNDP Bratislava Regional Centre. 2005.
- Making Fiscal Policy Work for the Poor, by Rathin Roy and Jan Vandemoortele. UNDP. 2004.
- Making Sense of MDG Costing, by Jan Vandemoortele and Rathin Roy. BDP/UNDP. August 2004.
- MDG Toolkit. Module 5. Activity 1. MDG Needs Assessment and Financing Strategies. UNDG. 2005.
- Organizing Participatory Processes in the PRSP, by S. Tikare, D. Youssef, P. Donnelly-Roark and P. Shah. World Bank. April 2001.
- Participation in Poverty Reduction Strategies: A Synthesis of Experience with Participatory Approaches to Policy Design, Implementation and Monitoring, by Rosemary McGee and Andy Norton. IDS Working Paper 109. Institute of Development Studies. 2000.
- Public Expenditure Management Handbook, by the Poverty Reduction and Economic Management Network (PREM). World Bank. 1998.
- UNIFEM Asia-Pacific and Arab States Regional Programme for Engendering Economic Governance: Demystifying Economics and Empowering Women. UNIFEM. 2003.

### 3. PREPARING AN INTERIM STRATEGY

A defining feature of the national development strategy (i.e. PRSP, PRS or other framework) is whether it promotes broad ownership and a process of consultation. The national context is important in determining the level of community ownership and dialogue that exists. Genuine consultative mechanisms can be established if civil society institutions and other stakeholders are convinced that their partners (donors and governments) are willing to work together to produce tangible results. Donors can play a key role in promoting the conditions conducive to government-civil society cooperation by backing projects and providing the resources needed to bring the two parties together. However, too much donor involvement can be viewed as intrusive and misplaced if they start setting the agenda rather than supporting its development.

Too often mistrust also may characterize the relationship between government and civil society actors, preventing cooperation from prevailing. Civil society may be seen as being co-opted by outside interests (international NGOs and donors), ineffective, inexistent or simply a nuisance. If CSOs exist but the state is hostile or non-responsive to them, neutral third parties could help by holding consultations (informal and formal), whose outputs could then be fed back into government discussions on the national development strategy. In fragile states and post-conflict countries, the government may be open to dialogue but there may not be CSOs that are capable of partnering with it (see Boxes 2.8 and 2.9). The issues of state-civil society relationships and CSO capacities are covered at greater length in the “Introduction” of this course.



### BOX 2.8: INVOLVING CSOS IN PRSPs IN DIFFICULT CONTEXTS

Recent PRSPs processes in Liberia and the Republic of Congo had to forego more active roles for civil society in the planning phases because existing groups did not have the skills needed to engage in this stage. They were brought into consultation only once the plan had been readied.

In Angola, the donor community spent three years and much funding to dialogue with the government to ensure the PRSP included an acceptable macro-economic framework, which was disseminated and discussed by a cross-section of the Angolan society: rural poor, urban poor, CSOs, traditional chiefs and other groups.

In contrast, the PRSP process in Honduras served to open space for a dialogue with CSOs since no similar planning framework had been used previously. Hurricane Mitch (1998) presented another “opportunity” to widen the discussion because it provided a common concern for building consensus among different sectors of civil society. A significant number of meetings and workshops with civil society were held on the PRSP, with the international community participating as observers. Time pressures prevented any further widening of the participatory process, especially for topics like “privatization” that were more controversial. The government team incorporated the most viable comments into the final paper presented to the World Bank.

Source: Final “Summary/ PRSPs and PRGFs: Inclusive processes for effective poverty reduction”. PRN. UNDP. 5 August 2004. [http://stone.undp.org/system2/comp\\_stage/utit/message.cfm?messageid\\_=92914&gb=false&src=](http://stone.undp.org/system2/comp_stage/utit/message.cfm?messageid_=92914&gb=false&src=).

### BOX 2.9: CHALLENGES FOR CSO ENGAGEMENT IN PRSPs: EXPERIENCE FROM AFRICA

The principle of participation is embedded in the rationale for using a Poverty Reduction Strategy (PRS) as an interim framework that is country owned and anchored in local realities. But most PRS processes to date have utilized participatory structures on an ad hoc basis at best.

In the majority of cases, participation has taken the form of consultations, involving an exchange of information and opinions between the government and civil society. Collaboration has been less frequent and formalized, making joint decision-making very rare.

In most countries with a full PRSP, civil society stakeholders have been broadly involved in the process. However, CSOs have voiced their concern that civil society’s impact on the outcome has been limited.

Governments have their own complaints. In countries where CSOs have been invited to participate in technical discussions, governments respond that the contributions have been minimal. Another contention is whether the CSOs invited are the most representative and legitimate participants. The issue of representation is complicated by the tendency of parliamentarians to be minimally involved in PRS processes.

Given these trends, it is important to determine:

- (i) Whether a Participation Action Plan will ensure an inclusive and meaningful engagement of citizens.
- (ii) If an enabling environment exists in the form of cooperative policy/legal frameworks and whether there is a culture of participation in the country.
- (iii) If stakeholders have the capacity for constructive engagement.
- (iv) Whether it is viable and sustainable to establish an institutionalized system of participation to formulate, implement and monitor policies.

By Christine Musisi, UNDP Johannesburg Regional Centre.

Source: *Basic Principles of Sound Development Strategy Design. Part 1*, by Mark Simpson. UNDP Zimbabwe. June 2006.



## Section 2

How the consultation is conducted is equally as important as the results. Country experience has shown that a strong national development strategy should account for both these process and outcome concerns, and address the following elements:

- Generate national ownership;
- Be characterized throughout by a broad-based, participatory and consultative process;
- Embrace a long-term perspective or focus;
- Be analytically sound and reflect national poverty reduction objectives;
- Provide full information disclosure and transparency;
- Earmark resources explicitly for poor and marginalized groups;
- Integrate macro-economic, sectoral and social considerations;
- Be gender and environmentally sensitive;
- Assign roles for all major stakeholders clearly;
- Build upon instructive experiences and work to date;
- Allow for integration into national planning and budgetary systems;
- Include sound monitoring and evaluation criteria; and
- Be cost-effective and feasible within given financial constraints and current funding streams.

It is critical that each of these criteria be observed if the strategy is to be effective and achieve its goals.

### Step One: Prepare draft and circulate for comment

To facilitate CSO participation in its preparation, a draft version of the strategy should be disseminated widely to elicit inputs from a variety of stakeholders: government agencies, members of parliament, civil society actors and the private sector, among other groups.

One preferred channel is to organize consultation workshops at the national and sub-national level to present the document for comment and public dialogue. Following its review, citizen comments should be compiled and the strategy paper revised to reflect their inputs to the maximum extent possible. Overall coordination for these discussions typically rests with the government agency or ministry that is leading the national development process. In many countries, the ministries of planning or finance will assume responsibility for drafting a PRSP although different government agencies may take on this function in non-PRSP countries. In others, this role can rest with an inter-ministerial body specially created for leading the strategy's development (i.e. a PRSP secretariat).

### Step Two: Determine institutional channels for CSO involvement

The institutional framework selected to develop the medium-term strategy must clearly identify the stakeholders to be involved in its design — and the nature of their inputs. Identifying the actors to participate in each step can be simplified by using the results of previously conducted stakeholder analyses.

- **Hint:** If no previous assessment has been done and time and resources are a constraint, one lead actor (e.g. the UNCT, national CSO network, ministry of planning) should be designated to draft a short concept note (3 to 5 pages) on the issues outlined. In addition, a half-day seminar should be convened with all relevant stakeholders. The output should be to arrive at some preliminary consensus on the proposed stakeholder map.<sup>37</sup>

<sup>37</sup> For more information on how to do this, see the "Preface" section of this training course.

## Section 2

Once the actors are identified, terms of reference should be drafted for each one, which outline expected activities and outputs.

The platform for engagement with civil society actors can take different forms and involve different phases. Six common institutional structures include (but are not limited to):

1. **Inter-ministerial committee** – This would be at a high representational level and structured to function as a permanent secretary.
2. **Cross-sectoral working group** – The unit responsible for ensuring policy coherence and alignment of the national development strategy, vision and MDGs. Members would be made up of a mix of government, civil society and development partner representatives. These working groups provide an opportunity for civil society engagement on technical issues apart from thematic concerns.
3. **Secretariat** – Sitting within the lead ministry (typically the ministry of finance or planning), the secretariat is responsible for developing the national interim strategy (PRSP, PRS, NDS, etc.) both in terms of substance and process.
4. **Participation resource team** – The team would support the secretariat in managing an effective and broad-based participatory process at both the national and local level. Members would require a combination of expertise in: media and public relations, participatory community development, gender mainstreaming, economics, social policy analysis, facilitation, local governance, project management and administration. Individuals would be drawn from government, civil society and academia, as well as include private consultants.
5. **Thematic working groups** – Responsible for drafting the policy components of the draft strategy document, the groups would cover themes that have been prioritized in the national vision and interim strategy paper.
6. **Local facilitation team** – Ideally recruited from civil society networks, facilitators would serve to engage with local communities in forums and town hall meetings organized by the government to review and finalize the interim strategy. It is critical to have government resources earmarked and provided for these activities. When possible, civil society networks could help with cost sharing. A formal agreement between the government and CSO networks, detailing costs and scope of participation, would be needed to pursue this partnership.

Once the list is narrowed and ordered into stages (i.e. setting up the secretariat would likely be prioritized before thematic working groups), civil society actors will have to organize themselves to ensure adequate representation and contributions to the drafting process. It is critical that CSO networks are structured — in terms of organization, administration, technical capacity and outreach — to be able to respond to team requests at short notice during the strategy's preparation phase.

**For CSO networks, this will require:**

- nominating qualified representatives to each of the teams in which civil society has been invited to join.
- developing a short-term strategy prior to starting activities to ensure civil society's effective engagement in the preparatory phase.
- outlining priority areas for CSO engagement (e.g., income poverty, health, water and sanitation) as well as the mechanisms. These typically include research and concept papers, policy monitoring activities, resource allocations and training workshops.

## Section 2

**For governments and development partners, this will require proactive initiatives for:**

- engaging qualified CSO representatives in the thematic working groups.
- ensuring mechanisms are in place for CSO representatives to provide feedback to their network members on a regular basis (to allow cross-sectoral input).
- preparing a CSO concept paper that offers concrete, realistic and evidence-based policy alternatives. The concept paper can highlight the priority issues of the network and identify concrete interventions.

At a later stage, efforts must be made to support CSO networks to finalize and validate the design of the medium-term strategy. One common activity is a civil society-led review of the policy framework to determine if it facilitates achievement of the MDGs. This “additional” step would help to promote the use and effective engagement of networks in the implementation and monitoring phases of the strategy.

### **Read more:**

- Citizens' Initiatives. ACE Project. Website.
- Civil Society Perspectives on the Millennium Development Goals, by Carol Barton, Martin Khor, Sunita Narain and Victoria Tauli-Corpuz. UNDP/BRSP-CSO Division. 2005.
- Human Rights and Poverty Reduction: A Conceptual Framework. UN OHCHR. 2004.
- The Millennium Campaign Toolkit, by Jacqui Boule and Debbie Newton. Millennium Campaign and Civicus. 2005.
- Participatory Monitoring and Evaluation: Approaches to Sustainability, by Howard Stewart. UNDP. 1998.
- Right to Information, by Andrew Puddephatt. UNDP Oslo Governance Centre. July 2004.
- Sourcebook on Building Partnerships with Civil Society Organizations. UNDP. 2002.
- Preparing National Strategies to Achieve the Millennium Development Goals: A Handbook. Step 1: Launch an Effective and Inclusive Process, by Chandrika Bahadur, Margaret Kruk and Guido Schmidt-Traub. The Millennium Project. 2005.
- Tools for Development: A Handbook for Those Engaged in Development Activity, by Philip Dearden, Steve Jones and Rolf Satorius. DFID. 2002.
- UNDP and Civil Society Organizations: A Policy of Engagement. UNDP. 2001.
- UNDP and Civil Society: A Toolkit for Strengthening Partnerships. UNDP. 2006.

### 4. CONCLUSION

Designing a medium-term strategy is a critical phase for encouraging civil society and other non-governmental actors to collaborate and to shape policy choices constructively. Bringing the voice of different stakeholders into the planning and design stages — whether their contribution is more technical or process oriented — helps to promote buy-in, improve policy effectiveness and the responsive of government to citizen development demands. Apart from CSO capacity concerns, the critical question is whether government is willing to allow civil society a seat at the discussion table.

If the context is right, this is also a stage at which governments, civil society and their development partners can actively work together:

- to help ensure that the MDGs and other priority needs of the poor are addressed in policies and interventions;
- to engage CSO networks in the thematic or technical working groups responsible for drafting policies;
- to ensure that civil society has ample opportunity to contribute to the overall policy framework and implementation plan;
- to provide a voice for CSOs in public investment decisions on allocations aimed at human development and community concerns;
- to open the implementation and monitoring plan to inputs from civil society;
- to raise public awareness of government policies and ensure that the public is well informed about the content and process of the medium-term strategy. To this end, an effective public awareness and communications strategy is of great importance.

In this section, we have profiled approaches that have the power to encourage meaningful and continuous participation by CSOs in MDG-based planning processes. Rather than one-off interventions that seek civil society's short-lived involvement, the focus has been on capacity development activities that provide CSOs with the skills and institutional structures required for sustained engagement.

#### Read more:

- Citizens' Initiatives. ACE Project. Website.
- Civil Society Perspectives on the Millennium Development Goals, by Carol Barton, Martin Khor, Sunita Narain and Victoria Tauli-Corpuz. UNDP/BRSP-CSO Division. 2005.
- Gender Responsive Budgeting: Manual for Trainers, by Debbie Budlender. Bratislava Regional Centre. 2005.
- Making Fiscal Policy Work for the Poor, by Rathin Roy and Jan Vandemoortele. UNDP. 2004.
- Manual para el Control Ciudadano de la Declaración del Milenio, by Ana Maria Arteaga and Activa Consultores. UNDP. 2004.

# Annex 2.1: Sample Workshop Training Agenda

## POVERTY REDUCTION STRATEGY TRAINING PROGRAMME FOR GOVERNMENT AND CIVIL SOCIETY

Note – The following agenda can be used as a sample to help guide the process of setting up a event to engage government and civil society on discussing the country's development strategy — whether a PRSP or other framework. Apart from recommendations on how to organize the sessions, it also suggests who should be invited as participants and trainers.

1. **Agenda:** Should be based on issues outlined by the government and the UNCT. In some countries, a three-to-five day training event may be sufficient for sensitization, advocacy and awareness building. Others may require a longer workshop running from 10 days to **two weeks** to cover adequately the materials and have participants apply the issues effectively.
2. **Trainers:** The team should be drawn from a combination of government, civil society and development partner staff. Providing this mix of backgrounds should help to maintain a practical focus to the workshop. The training team (composed usually of 3-5 members) should include individuals with the following profiles:
  - Expert on participatory poverty assessments;
  - Expert in facilitating involvement of government and civil society in the PRS process;
  - Expert on gender sensitive budgeting;
  - Expert on engaging effectively with government on PRS/national development strategy formulation;
  - Expert in engaging with development partners; and
  - Expert in inter-sectoral planning approaches and ensuring policy coherence.
3. **Participants:** There should be at least three representatives each from different civil society networks and groups (national and local) as well as a similar number from academia. They should include individuals that have supported and will continue to be involved with the government in the consultation process. Equally, government should invite a mix of line ministry officials with technical and policy-making backgrounds. The ideal number of total invitees should not exceed 30 people.
4. **Areas of expertise:** Depending on country need and the length of the agenda, facilitators and resource persons may be required to address the following topics:
  - Defining and explaining the concept of a national development strategy and its relationship to the MDGs;
  - Strategy design — from formulation to implementation and monitoring;
  - Participation and entry points for engagement;
  - The Human Rights Based Approach (HRBA) to poverty;
  - Techniques for poverty analysis and assessment;
  - Pro-poor macro-economic frameworks and policies;
  - Mainstreaming gender into a national development strategy (including the use of gender sensitive budgeting; and
  - Poverty and social impact analysis (PSIA).

Some suggestions for the workshop outline are as follows (to be refined as needed by the government and national experts):

# Annex 2.1: Sample Workshop Training Agenda

<b>SESSION 1: INTRODUCTIONS AND EXPECTATIONS (DAY 1)</b>
<b>SESSION 2: THE CONCEPT OF THE PRS VIS-À-VIS THE MDG FRAMEWORK (DAY 1)</b>
<b>Objectives:</b> <ul style="list-style-type: none"> <li>• Introduce the concept of PRS and MDGs, the PRS cycle and share good practice and lessons learned of past experiences.</li> <li>• Agree on the most appropriate approach to the PRS in the country based on good practice and lessons.</li> </ul>
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Presentation and Q&amp;A.</li> <li>• Two country experiences of PRS process and integrating MDGs into PRSP.</li> <li>• Good practice and lessons and Q&amp;A.</li> <li>• Facilitated discussion on country's past experience and present situation.</li> <li>• Ways forward.</li> </ul>
<b>SESSION 3: INTRODUCING KEY CONCEPTS (DAYS 2 AND 3):</b>
<ul style="list-style-type: none"> <li>• Pro-poor macro-economic framework;</li> <li>• Participation — engaging stakeholders in the PRS process;</li> <li>• Gender mainstreaming in PRS and Gender-sensitive budgeting; and</li> <li>• Poverty monitoring.</li> </ul>
<b>Objective:</b> <ul style="list-style-type: none"> <li>• To create a common understanding of the key concepts.</li> </ul>
<b>Activities:</b> <ul style="list-style-type: none"> <li>• Presentations; and</li> <li>• Facilitated discussions and practical exercises.</li> </ul>
<b>SESSION 4: THE PRS CYCLE IN PRACTICE (DAYS 4 - 8)</b>
<b>Objective:</b> <ul style="list-style-type: none"> <li>• To take participants, step by step through the PRS process.</li> </ul>
<b>Suggested Sessions:</b> <ul style="list-style-type: none"> <li>• Mobilization of stakeholders and creating an institutional framework for PRS development, implementation and monitoring.</li> <li>• Situation analysis/needs assessment.</li> <li>• Prioritization of policies (macro-economic, fiscal, social and environmental policies) and selection of a supporting legislative and regulatory framework.</li> <li>• Measuring potential impact of policies.</li> <li>• Inter-sectoral planning for policy coherence.</li> <li>• From policy to implementation — localization of MDG-based PRS.</li> <li>• Developing a PRS results based implementation plan and monitoring system; and</li> <li>• PRS financing frameworks.</li> </ul>
<b>Activities:</b> <ul style="list-style-type: none"> <li>• A combination of presentations, Q and A, discussions and practical exercises.</li> </ul>

## Annex 2.1: Sample Workshop Training Agenda

### SESSION 5: THE WAY FORWARD (DAYS 9-10)

**Objective:**

- To enable participants to plan a concrete way forward, based on new knowledge and practical experiences and lessons from other countries.

**Activities:**

- Group work and facilitated discussion on planning the way forward — a detailed participatory roadmap of the country's PRS.
- Financial implications and resource mobilization strategy.
- Highlighting the roles of government, civil society, the private sector, and development partners.
- Government responses.

## Annex 2.2: Facilitation Materials

### WORKING GROUP EXERCISE: ASKING THE RIGHT QUESTIONS – CSOS AND THE MDGS

**1. Introduction** – The MDGs can provide a unifying focus for discussions and actions among a variety of development actors, even those who have traditionally held opposing views. This type of cooperation and consensus-building has become increasingly important during periods of political, social and economic transitions. CSOs are likely to develop new relationships with the UN, government and other development partners as part of country MDG activities. Rather than ad hoc consultations, there also is a greater potential for sustained and more equal CSO partnerships throughout national policy and planning cycles given the long term focus of MDG-based strategies.

**2. Exercise** – A range of different activity sets can be applied to foster effective partnerships between CSOs and other actors. However, a key set of questions must be addressed before determining the best strategy forward. The purpose of this first exercise is to generate debate on a number of these points and (hopefully) arrive at some conclusions.

Establish three working groups around the following thematic areas:

1. Consultation, Implementation and Monitoring;
2. State/Citizen Relations; and
3. Civil Society Capacity and Involvement.

Groups can be composed either through self-selection (open or voluntary sign-up) or by the facilitator. If selecting group members, consideration should be given to their sectoral focus or area expertise, experience and organizational affiliation (i.e. whether they are from a CSO, university, NGO, trade association, religious group, the media, etc.).

Upon dividing the members up, each group will be requested to discuss a set of questions and come up with a minimum of one activity in response to the challenge(s) identified for a particular issue. Activity sets should be as detailed as possible and also specifically list the responsible actors and/or time frames.

**3. Time Frame** – Before beginning, the activity should be blocked out into time periods to provide clear instructions to participants. The sample schedule should be modified according to group needs:

The entire exercise should take approximately two hours (120 minutes).

- 10 Minutes – Introduce the exercise (by facilitator) and divide into smaller groups.
- 10 Minutes – Meet in smaller groups.
- 70 Minutes – Work in groups.
- 30 Minutes – Report back and discuss.

**4. Output** – There are three related products:

- 1.) Use the discussion period to debate a number of questions that are important for CSO involvement in the MDGs given the country context.
- 2.) Have each working group write up findings and circulate to the other groups.
- 3.) Have the entire plenary propose activities to follow up the recommendations put forward by groups.

Following the workshop, all participants should have a heightened understanding of the issues surrounding CSO involvement in the MDG process and the next steps required to facilitate their effective involvement.

**5. Question Sets** –



## Annex 2.2: Facilitation Materials

CONSULTATION, IMPLEMENTATION AND MONITORING	
1. Do you feel that current MDG consultative processes are ensuring inclusiveness and full representation?	Activities to improve inclusiveness:
<b>Response:</b>	
2. Are Government officials willing to allow CSOs to monitor the effects of social and economic policies, including poverty reduction and MDG-based policies?	Activities to encourage monitoring:
<b>Response:</b>	
3. Will CSO inputs to MDG consultation processes and implementation activities be used in a meaningful and effective way? Will CSOs be able to influence policy processes?	Activities to promote CSO influence on policies:
<b>Response:</b>	

STATE/CITIZEN RELATIONS	
1. How will national and local authorities react to efforts to promote CSO engagement? Are there institutional, legal and regulatory frameworks in place to allow for civil society involvement in social and economic policies?	Activities to promote CSO engagement:
<b>Response:</b>	
2. What are the social, political and cultural factors that could influence people's participation in MDG processes? Does this vary within the country and across regions?	Activities to improve participation:
<b>Response:</b>	
3. What are the political orientations and activities of different CSOs? How would you characterize them? Are they adversarial or do they facilitate cooperation among CSOs?	Activities to facilitate cooperation among CSOs:
<b>Response:</b>	

## Annex 2.2: Facilitation Materials

CIVIL SOCIETY CAPACITY AND INVOLVEMENT	
1. Currently, what kinds of strategies have been most effective at promoting high rates and standards of civic engagement in achieving the MDGs? Going forward, what are some suggestions and approaches to improve their involvement?	Activities for strategies to improve civic engagement:
<b>Response:</b>	
2. What skills do CSOs currently lack that prevent the sector from being suitable partners in achieving the MDGs? What skills are most critical to heighten their involvement in these processes? Do CSOs have the appropriate skill-sets (i.e. – economic literacy) for engaging in the policy process?	Activities to develop CSO skill set:
<b>Response:</b>	

**1. Introduction** – This activity involves role playing and simulating development problems. It can be divided into two parts: identifying development priorities and developing solutions for them. If both sessions are done, the whole activity can last up to three hours.

**2. Exercise** – Assemble participants into small groups of four to six (4-6) people. Each group should have a designated facilitator that will lead the activity.

Members of the group should reflect the different types of participants represented (i.e. academia, CSOs, NGOs, CBOs, government ministerial officials, parliamentarians, regional/municipal leaders, etc.).

**3. Time Frame** – Below is a suggested timeframe for running the activity. This should be adapted and changed as needed.

### Part 1: One hour (60 minutes)

- 5 minutes – Introduce activity and explain rules.
- 5 minutes – Evenly distribute participants into groups (no more than 10 groups).
- 30 minutes – Activity.
- 20 minutes – Presentation and group discussion.

### Part 2: One hour and 15 minutes (75 minutes)

- 5 minutes – Introduce activity and explain rules.
- 40 minutes – Activity.
- 30 minutes – Presentation and group discussion.

## Annex 2.2: Facilitation Materials

### 4. Outputs –

#### Part 1: There are two options:

*Option 1:* Give each participant in the group a set of circles. Each color represents a type of stakeholders: government (i.e. blue), civil society (i.e. red) and the private sector (i.e. green). Ask each participant to put the circles in different combinations that represent the relationship between the three main groups of stakeholders in the country at each phase of designing a medium-term strategy:

1. Assessing the national vision and long-term strategy.
2. Aligning sectoral and cross-sectoral strategies.
3. Preparing an interim strategy.

For each phase, ask them to write down four to five (4-5) activities that the different stakeholders should do.

Have the group work together to consolidate their individual lists for each phase and stakeholder group. They should come up with a consensus for the activities (preferably no more than 10 initiatives). Where possible, consolidate and synthesize the ideas into general areas of action.

Write the final list on large sheets of paper or on an erasable board. When finished, a designated facilitator for each group should present the lists to the plenary group. S/he should briefly explain why these roles have been assigned.

*Option 2:* Follow the same instructions as above but have participants work in groups rather than individually for the step of determining different stakeholder relationships.

#### Part 2:

In a plenary format, review the lists that have been presented. Discuss whether the roles assigned to each type of stakeholder should be reordered, reassigned or revised. Finalize the list together with the group. At most, no more than 10 roles should be assigned to any one of the stakeholders.

- **Note to Facilitator:** It is important to maintain consensus and cooperation throughout the activity. If participants do not agree on certain roles and resist their revision, table the discussion on these particular issues and wait until the end when all the roles and responsibilities have been assigned to reopen debate. If there is still a lack of agreement, use this as an opportunity to discuss why individuals see these roles as crucial. Be creative and flexible based on the tone of the debate and the engagement of the majority of participants in continuing the discussion.

Re-assemble participants into their small groups (four to six people). After this is done, choose one of the following two options for the next step in the activity.

*Option 1:* Give each group the same simulated development challenge. The topic chosen should be based loosely on one of the global MDGs and may represent a specific dimension of a national development priority — e.g. if maternal health is a concern, the simulated problem might be to improve prenatal care in rural villages (although the real problem for the country might actually be in its cities).

- **Note to Facilitator:** The key is to create problem identification without creating controversy. Whatever topics are chosen, it is important to make them relevant for the participants but not too contentious that group work is prevented. Depending on the national context and participants, reproductive health, gender equality, HIV/AIDS, poverty and hunger may not be open to public discussion.

Have the group come up with an agreement on who should be included in trying to resolve the problem and what each stakeholder should be responsible for in the process (based on the roles set out in Part I of the activity). Throughout this session, the facilitator for the group should be writing down all the ideas on a large pad of paper for all to see. This list can take the form of “shoulds” and “don’ts”.

## Annex 2.2: Facilitation Materials

- *Note to Facilitator:* Agreeing on procedures and being highly detailed are important. For example, in improving prenatal care in rural villages, it would be essential to involve town elders, women's groups and members of the local ethnic/religious minority, among others, as part of the groups representing civil society. A similar process of selection and identification of groups would be done for government and the private sector.

After outlining who should be involved and their specific responsibilities, bring the groups back together in a plenary. Have each group's facilitator present their recommendations. During each presentation, the session's leader should be writing out key points on a large flipchart, pad of paper or white board. They can be divided into three categories: i.) how to respond; ii.) who should be involved; and iii.) what they should do.

*Output:* Once all groups have presented, the session leader should review the list with the groups, eliminating suggestions or adding new ideas to the board. Once these lists are finalized and general agreement is reached, a team of four to six volunteers will be selected (they can also be designated, using the facilitators that led the individual groups). This team will be responsible for drafting a "Terms of Reference" (TOR) based on the aggregated lists and submitting it to the group at the end of the workshop. If there is not sufficient time during the workshop, set a date (within one or two weeks) for the draft to be completed and circulated to all participants.

*Option 2:* Give each group different simulated development challenges. The topics should be based loosely on the global MDGs and may represent one dimension of a national development priority – e.g. if access to clean water is a concern in rural areas, a simulated problem might be how to improve access to reliable and safe sources in villages (although the real problem for the country might actually be in its margin urban areas).

*Note to Facilitator:* The key is to create problem identification without creating controversy. Whatever topics are chosen, it is important to make them relevant for the participants but not too contentious that group work is prevented. Depending on the national context and participants, reproductive health, gender equality, HIV/AIDS, poverty and hunger may not be open to public discussion.

Have the group come up with agreement on who should be included in trying to resolve the problem and what each stakeholder should be responsible for in the process (based on the roles set out in Part I). Throughout this session, the facilitator for the group should be writing down all the ideas on a large pad of paper for all to see. This list can take the form of "shoulds" and "don'ts".

*Note to Facilitator:* Agreeing on procedures and being highly detailed are important. For example, in improving access to water in rural villages, it would be essential to involve town elders, women's groups and members of the local ethnic/religious minority, among others, as part of the groups representing civil society. A similar process of selection and identification of groups would be done for government and the private sector.

*Output:* Based on these discussions, try to have each of the groups compose a draft "Terms of Reference" (TOR) for how a response to the development problem should be carried out. The TOR should be divided into at least three general categories: i.) how to respond; ii.) who should be involved; and iii.) what they should do.

If they are unable to complete it before the time is up, designate a follow-up person from the team who will be in charge of including the ideas discussed and finalizing the document before the end of the workshop. One of the concluding sessions could feature the sharing of TORs on the different development challenges selected done by each of the groups

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### TAKING THE MDGS TO THE LOCAL LEVEL

Localizing the goals means promoting ownership over the MDGs and the strategies that support their achievement at the local level. The process reflects the principle of subsidiarity by ensuring pending issues are dealt with at the most appropriate level. Through localization, the MDGs are contextualized and local level strategies selected, implemented and monitored. While the objective is to reflect community priorities and demands, the resulting policy frameworks and targets must also contribute, support and achieve the country's overall development strategy.

CSOs are key partners in MDG localization and should be considered the representatives of community interests (although this may not always be the case).<sup>38</sup> The group encompasses a wide range of actors: community-based organizations (CBOs), social mobilization networks, agricultural cooperative movements, utility user groups (i.e. water) and others. For the localization process to be successful, all these types of CSOs and other local stakeholders — from marginalized groups, women, disabled people and youth — must be included in local dialogues surrounding MDG tailoring, planning, advocacy and implementation.

In addition to community involvement, recent experience from Africa, Latin America and Eastern Europe suggests that the decentralization of decision-making authority is one of the most important factors for successful localization. Local capacity to plan, oversee and deliver on development must be strengthened in parallel with rising community participation and greater local control over resources. Public administration reform initiatives can contribute to promoting a clear delineation of government responsibilities when matched with the accompanying resources for local stakeholders to oversee. Participatory planning, performance budgeting, transparent procurement and service provision, and effective public resource management are among the initiatives that can be used for making policy decisions a more open and inclusive process.<sup>39</sup> As discussed in Section 2, these areas of engagement are equally relevant for CSOs involved at the national level in the design and implementation of the country's interim development strategy.

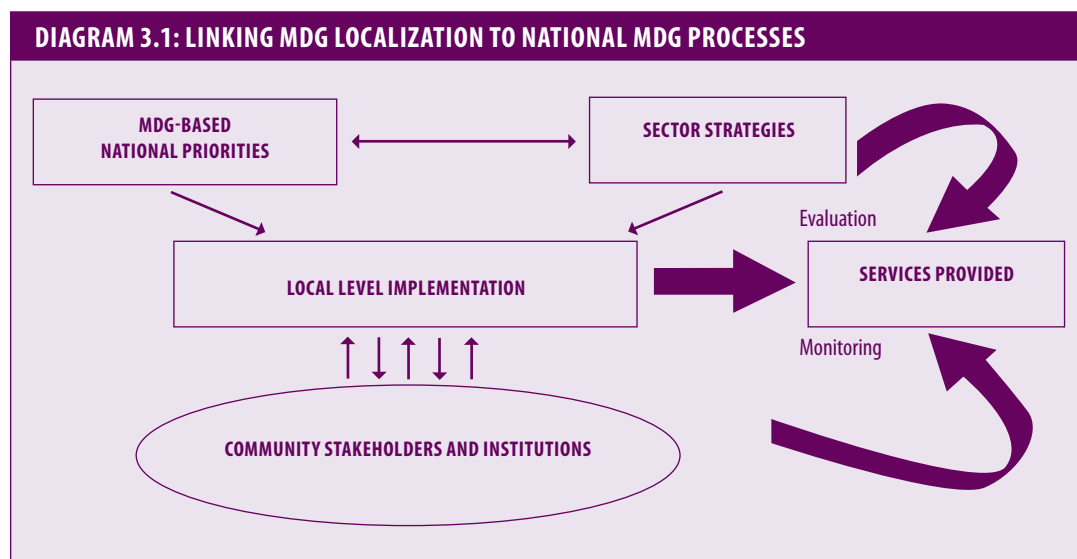
This linkage with public administration reform reflects how localization brings together different elements of good governance, civil society participation, evidence-based policy making and poverty reduction to make the MDGs achievable and sustainable. It also denotes the positive relationship that must exist between a government and its citizens for localization to occur. If antagonism, mistrust or opposition exists between both groups, finding the space for dialogue and consensus building will not be an easy task. Civil society actors must be viewed as a legitimate voice in government discussions for MDG localization to be used as means for improving a community's development planning and policies.

At the same time, communities and local citizens must have the capacity to become and stay engaged in localizing the MDGs. For localization to be effective, they need to be able to understand the MDG agenda and its impact on the development process (see Section 1, Annex 1.11 for a full list of MDG goals, targets and indicators). This involves drawing connections between the MDGs and how communities can use them to:

- Plan for their own development;
- Strengthen capacity and related skills for individuals and communities;
- Monitor progress and hold local service providers and authorities accountable;
- Complement the efforts of government officials and engender a spirit of trust and a culture of cooperation;
- Use local poverty and social assessments to draw attention to the inequalities that national averages and aggregates tend to mask or fail to recognize; and
- Raise resources for implementing local and external development plans.

38. For more information on some of the caveats and challenges of working with CSOs, see the "Introduction" of this course and the cases of Nepal and Nigeria (Box C).

39. To learn more about performance budgeting and its implementation, please see: [http://mdg-guide.undp.org/files/Module%203.2/Armenia\\_Applying%20Performance%20Budgeting.doc](http://mdg-guide.undp.org/files/Module%203.2/Armenia_Applying%20Performance%20Budgeting.doc). For more on public administration reform, see: "Public Administration Reform Practice Note. UNDP. 2003. <http://www.undp.org/policy/docs/practicenotes/PAR-PN.doc>.



Source: Section 3: Taking the MDGs to the Local Level. How-to-Guide to MDG-based National Development Strategies. UNDP. 2006. Draft. Pg. 26.  
[http://mdg-guide.undp.org/files/pdf/section\\_3.pdf](http://mdg-guide.undp.org/files/pdf/section_3.pdf).

Each of these entry points impacts poverty and MDG achievement, both within the community and nationally. By localizing the MDGs, citizen demands are reflected in local policies and the implementation of interventions (such as to improve service delivery). By promoting local monitoring of the MDGs, the results can be used to assess progress and revisit national development plans and strategies (see Diagram 3.1).

### (i) Key Definitions:

Before beginning, it is important to review and define some of the central concepts that we will be working with in this section. A complete glossary of all terms can be found at the end of the course.

**Advocacy:** The promotion of activities or policies in defense of the interests of a particular group.

**Community-Based Organizations:** Based in a geographical community, a CBO is dependent on its own resources, democratically organized and aims at the self-help development of its members.

**Customize:** To adjust MDG targets and indicators to reflect the country-specific situation and national development priorities — i.e. adaptation, not mere adoption of the global goals. Adaptation is best achieved through a consultative process involving major stakeholders. For indicators, this means using the best available official data sources to measure progress toward agreed targets. Also known as to “contextualize”.

**Decentralization:** The restructuring of authority to produce a system of co-responsibility between institutions of governance at the central, regional and local levels. Functions (or tasks) are transferred to the lowest institutional or social level that is capable (or potentially capable) of completing them. There are four main types: political, fiscal, administrative, and divestment (or market).

**Local Governance:** A set of institutions, mechanisms and processes through which citizens and civil society groups can articulate their interests and needs, mediate their differences and exercise their rights and obligations at the local level. Building blocks include: citizen participation, partnerships among key actors, capacity of local actors across all sectors, multiple flows of information, institutions of accountability and a pro-poor orientation.

**Localization:** Describes the process of designing (or adjusting) and implementing local development strategies to achieve the MDGs (or more specifically, to achieve locally adapted MDG targets). Through this process, nationally-defined targets are adapted to meet the development needs and priorities of specific communities.

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**Performance Budgeting**<sup>40</sup>: A process of planning and measurement to support targeted infrastructure and service delivery. From the local government perspective, the challenge is to optimize all financing sources; utilize all means of infrastructure and service delivery; and select a process that measures the economy, efficiency and effectiveness of that delivery.

**Public Services**: Services generally provided by the government that help improve people's standard of living. Examples are public hospitals and clinics, good roads, clean water supply, garbage collection, electricity and telecommunications.

**Sub-National**: A political and administrative sub-unit, which includes regional, provincial, state, district or municipal level divisions.

### (ii) Why:

Adapting the MDGs to fit local realities promotes the achievement of national development goals across all parts of the country. The unequal geographical distribution of resources underscores the point that if the targets are not locally adapted, regional and community inequalities could persist even after aggregate targets are achieved.

Civil society needs to be involved in the localization process to ensure that the MDGs are an equally effective tool for promoting local development as they are for advancing broader, long-term national goals. With the assistance of CSOs, the localization process can lead communities to be more open and committed to achieving the MDGs. Development will become increasingly meaningful for citizens, as they come to have ownership over the tailored targets and understand the implications for their own lives. While selecting MDG targets and indicators can be time consuming and intensive, the process helps to link national level strategies and budgets back to local level implementation and outcomes.<sup>41</sup>

Because of its constituent base, CSOs are ideally positioned to facilitate broad-based, meaningful participation by local community members in MDG-based development policy and planning. Localization provides the channel for this interaction to occur since it offers local organizations the possibility to:

- get involved in helping citizens understand what government responsibilities are for providing basic services (water, health, education, sanitation);
- play a larger role in holding government accountable for delivering on the MDGs;
- coordinate development-related initiatives occurring within communities, states and regions; and
- bridge the gap that exists too often between citizens, government and the responsiveness to development demands.

Institutionalizing engagement and developing the sector's capacity are critical areas that must be advanced if CSOs want to assume these additional roles. As entry and end points, each also contributes to creating the conditions necessary for civil society's effective and sustainable participation in policy making decisions — whether at the national or local level.

This interaction between local level actions and national level outcomes is what makes localization an essential part of MDG achievement. The failure to focus on how local CSO engagement impacts a country's development means key players are being excluded from the development equation. CSOs can serve as the facilitators, contributors and decision-makers for realizing an MDG-based national development strategy.

In these different roles, civil society has the potential to act as an intermediary force between citizens and the local government. Their increased involvement in development initiatives has been successful for enhancing

40. Source: "Performance Budgeting — Technical notes to support its development in Armenia", UNDP Armenia, 2004 [http://mdg-guide.undp.org/files/Module%203.2/Armenia\\_Applying%20Performance%20Budgeting.doc](http://mdg-guide.undp.org/files/Module%203.2/Armenia_Applying%20Performance%20Budgeting.doc). Also see: "Achieving Results. Performance Budgeting in Least Developed Countries". UNDCF, August 2006. [http://www.undcf.org/english/local\\_development/docs/thematic\\_papers/pbb/UNCDF\\_pbb-July2006.pdf](http://www.undcf.org/english/local_development/docs/thematic_papers/pbb/UNCDF_pbb-July2006.pdf).

41. Source: MDG Monitoring and Reporting: A Review of Good Practices. UNDP, 2005. [http://mdg-guide.undp.org/files/Module%201.2/Tunisia\\_Pilot/CD/MDG\\_Reports\\_at\\_a\\_Glance.pdf](http://mdg-guide.undp.org/files/Module%201.2/Tunisia_Pilot/CD/MDG_Reports_at_a_Glance.pdf), pg. 17.

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ownership, participatory government and civic engagement — all crucial factors for achieving the MDGs. Local participation also serves as a starting point for generating a dialogue on policy choices and provides the necessary inputs for producing MDG reports, poverty reduction initiatives and national development strategies that are truly community based.<sup>42</sup> Throughout this process, the importance of creating a sustained and productive partnership between all actors in local development cannot be understated. The “Preface” and “Introduction” of this course provide additional guidance for understanding and fostering this relationship.

### (iii) How:

MDG localization can be achieved through repeating a number of the steps outlined throughout the previous two sections of the course: vision setting, collecting information, tailoring indicators, priority setting and selecting strategies. However, this process takes place sub-nationally, occurring at the regional, district, community and/or local level.

In localizing the MDGs, a much higher reliance is placed on the involvement of sub-national governments and the need for active partnerships between local authorities and communities (including citizens and civil society organizations). Effective localization requires an environment in which local governments have a commensurate level of decentralized decision-making authority. They must acquire the authority and have the ability to allocate resources and collect revenue, improve local infrastructure and pass legal mandates, among other responsibilities.

For their part, communities will need to have — or build — a fairly high degree of social capital (i.e. trust, solidarity, commitments) and capacity. If these conditions are present, civil society groups can act as organizing bodies for a range of activities that raise awareness and engage local communities in campaigning, implementation and monitoring activities. Through participatory events such as consultations, public hearings and town hall meetings, CSOs can link citizens up with public forums for voicing concerns, priorities and local needs related to a country's and community's development. How these advocacy efforts feed into development choices will depend on the local policy process, the strength of the CSO(s) and the political space available for citizens to act.

If governments and communities lack some of these traits, they can be developed as part of the process of bringing the MDGs down to the local level. For example, social mobilization efforts such as general advocacy, outreach and awareness campaigns (the first set of steps in this section) can occur simultaneously and be complementary to more targeted work on localizing the MDGs.

Still country experience suggests that certain stumbling blocks can repeatedly undermine MDG localization efforts if they are not addressed. These include:

- Lack of data availability and quality at the national and sub-national level;
- Lack of a methodological tool to explain the MDGs and to provide support on integrating the goals into everyday community practices;
- Difficulty in monitoring sub-national progress on nationally-adapted MDGs; and
- Challenges in connecting a national vision and strategy with local level actions.

In response to the obstacles, this section will focus on four principle areas for working with CSOs on MDG localization:

1. Building local awareness and support for the MDGs;
2. Determining capacity development and engagement approaches for civil society;
3. Localizing the targets and understanding the context; and
4. Designing and implementing local development plans.

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42. Source: Civic Education. Practical Guidance Note. UNDP Oslo Governance Centre. 2005. <http://www.undp.org/oslocentre/docs04/Civic%20education.pdf>, pg. 7.



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While a variety of activities can be used to address these different aspects, the following steps will attempt to provide guidance on how to carry out a selected set of useful approaches. These include moving from organizing preparatory consultations on community development challenges to selecting targets, designing a local plan of action and monitoring the outcomes.

### 1. BUILDING LOCAL AWARENESS AND SUPPORT FOR THE MDGS

It is difficult to claim country ownership of the MDG agenda unless people widely understand and accept them at all levels: nationally, regionally and locally. Local awareness begins with efforts in advocacy and outreach targeted at communities. CSOs can use a wide range of strategies to achieve this goal and to familiarize all citizens with the state of development policy and planning.

From this base, awareness raising activities should extend to other actors and promote interactions and cooperative coalitions around the MDGs. These should be built between civil society and other stakeholder groups working on similar issues, both locally and nationally. By bringing together civil society, local government and private sector representatives, MDG coalitions help to create a common understanding about the situation, endowments, resources, needs and opportunities for achieving the MDGs. The following steps include dimensions that allow for this broader level of outreach.

#### Step One: Develop creative, user-friendly material in local languages on the MDGs

One of the best tools to demystify the MDGs at the local level is the production and dissemination of clear, straightforward and common messages on what the goals mean for the daily lives of communities. Plain language guides with easily understandable explanations and even illustrations are one outreach approach. CSOs working locally with citizens often understand best how this material should be prepared to maximally benefit community understanding. Another option is the use of local media outlets to spread informational messages on the MDGs. Community radio, for example, is an excellent medium for encouraging information sharing and facilitating a community-based dialogue among different stakeholders around the MDGs.<sup>43</sup>

Besides the need for creative and efficient ways to share stories and information on the MDGs, it is important that awareness campaigns motivate the target audience into action, both individually and among communities. Diverse country experiences show that innovative efforts have been most successful when there is a specific group that is the focus of activities — whether this means the country's youth, minority groups, rural villagers or city residents (see Box 3.1). Apart from literature and logos, efforts can include posters, stamps or plays. In Uzbekistan, a national NGO partnered with the government to hold a MDG poster competition in schools across the country, while in Bhutan, popular singers performed an MDG song and video. In Tunisia, the "MDG Caravan" traveled across the country to campaign for the goals and distribute the country's MDG report to communities.

#### Step Two: Organize preparatory meetings with local level stakeholders

All interested stakeholders, including community members, government and CSOs should be invited to attend informational meetings concerning the MDGs and the various means of localizing the goals. These events can take the form of town hall meetings that are open to the public, or may be simply function as outreach campaigns focusing on local villages and communities.

43. For more information on community radio initiatives, see: "Voices for Change: Tuning in to Community Radio". Insights. Issue #58. id21. November 2005. <http://www.id21.org/insights/insights58/index.html>.

### BOX 3.1: LOCAL MDG CAMPAIGNS: THINKING OUTSIDE THE BOX

In Albania, the UNCT organized a series of MDG Regional Advocacy tours to bring the goals to the local level and build a dialogue on the country's long-term vision. A pilot project on regional MDG reports also was begun. The objective was to showcase MDGs as a useful engine for local development, resource mobilization and overall accountability. The process of data collection, analysis and report preparation was carried out by local stakeholders. To ensure large scale participation, multiple information access points were established using public Internet kiosks, hotlines, TV programmes, local stakeholders meetings and the distribution of informational briefs.

Kyrgyzstan also has used various events organized around the MDGs to build community involvement. A photography competition on the MDGs was tied into an exhibit displaying the works of the finalists and winners. The slogan for the event was *"To Make This World a Better Place: MDGs 2015"*. A student festival on the goals used the motto the *"Millennium Development Goals are Kyrgyzstan's Goals"*.

In Malaysia, a younger audience was the focus of the advocacy work done by the government in cooperation with the UN Country Team. It launched an MDG poster design competition for students in order to tap into their creative inputs and ideas about what the goals meant to them. Posters could be submitted for any of the goals and slogans included *"By 2015, I have a vision of Malaysia where all men and women have equal opportunities"* (Goal 3) and *"By 2015, I have a vision of Malaysia where there is no poverty or hunger"* (Goal 1).

Activities also have included less traditional outreach channels. Brazil launched a highly creative MDG campaign rooted in Brazilian culture. It used bright and colorful logos that were simple enough to convey their message to a broad audience. The young, old and uneducated understood them just as easily as educated or elite Brazilians. Through public-private partnerships, the logos were placed on shopping bags, advertisements and automatic teller machines, as well as used to brand the country's MDG website ([www.nospodemos.org.br](http://www.nospodemos.org.br)). Brazil's *"Nos Podemos"* ("We can do it") campaign was structured to reach many different target audiences. It used specific communication avenues for each stakeholder group, ranging from MTV Brazil to the school system to CSO networks representing 700 Brazilian organizations.

Sources: Consolidated Reply: *Taking the MDGs to the People – Sierra Leone*. MDG Net. UNDP. 25 April 2003. [http://stone.undp.org/system2/comp\\_stage/utl/message.cfm?messageid\\_=-JSJQPyEILUw7Cg==&src=121665](http://stone.undp.org/system2/comp_stage/utl/message.cfm?messageid_=-JSJQPyEILUw7Cg==&src=121665). Consolidated Reply: *MDG Campaign Messages*. MDG Net. UNDP. 19 August 2004. [http://stone.undp.org/system2/comp\\_stage/utl/message.cfm?messageid\\_=-93995&gb=false&src=-](http://stone.undp.org/system2/comp_stage/utl/message.cfm?messageid_=-93995&gb=false&src=-). *"Campaigning with Partners for the MDGs. A Case Study of Brazil"* UNDP. 2005. <http://www.undp.org/mdg/goodpractices/Brazil-casestudy.pdf>.

As these examples demonstrate, collaborative partnerships between CSOs and local authorities often are the best way to structure discussions on MDG localization — if time and resources are permitting. During these exchanges, everyone should be engaged in learning how the MDGs can be relevant to local development needs and the strategies that can be used to achieve them. As part of this step, the different types of contributions that CSOs can make should be examined. In some countries, this has taken the form of identifying gaps in activities and determining areas for them to monitor progress (see Box 3.2).

Activities for moving from knowing who to invite to setting up CSO discussions include:

- A stakeholder analysis.<sup>44</sup>

Know who the key actors are at the local level. The national panorama of CSOs that was produced as part of the visioning and strategy setting activities (see Section 1) can be useful here for sketching out a preliminary map. However, the level of detail required is much more specific when it comes to understanding community level dynamics and the principal players.

Scoping missions can be organized to the locality to identify key stakeholders and possible facilitators for the MDG localization process (including an assessment of their capacity building demands). This information can be extracted from previous work, such as if a participatory poverty assessment was already done.

Actors to identify and include in the assessment are: elected officials, the head of the local government (i.e. governor, district administrator, mayor, etc.), civil society organizations (especially coalitions of various CSOs), traditional community leaders, private sector associations or representatives, and youth groups, among others.

44. Section 1 of this course addresses the aspects and use of a stakeholder analysis in more detail. See Annex 1.4 for tools and techniques to conduct one.

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Once the players have been mapped, assess their role in the province or district, their possible contribution or resistance to the MDG localization process, and their capacity to engage (as well as their capacity needs).

- Meetings with community members.

Based on results of the analysis, invite key decision makers from each of the identified stakeholder groups to discuss how to work together to raise community awareness on the MDGs.

Based on these initial meetings, agree on a common plan and approach for mobilizing the local community around the MDGs.

Within the structure of these meetings, other topics to discuss include the local development strategy (i.e. the need to design or revise one), entry points for community based planning and the context for data collection (opportunities and constraints).

- The setting of lines of responsibilities.

Agree with each group of actors on how the tasks will be divided and the expected results. This will be useful as the MDG localization process moves forward.

- Awareness raising activities.

These can take the form of campaigns and contests, small discussion groups and other forms of outreach (i.e. community radio programmes, village meetings, etc.).

As discussed in the other sections, awareness-raising should not be considered a concrete set of activities that falls within any one phase of MDG related activities — whether at the national or local level. In Kenya, MDG awareness raising activities at the local level were designed to support the national government's programme of public service reform. One of the reform's key elements was the creation of a rural district development strategy, which was seen as a natural platform for promoting citizen awareness on the MDGs.

As seen in the case of Kenya, it is difficult to set a cut-off point for where MDG advocacy begins and ends. People engage at different levels and stages of MDG localization and their understanding and awareness will be constantly changing. At the same time, Kenyan's advocacy efforts on the MDGs show that the involvement of community members and local authorities must be sustainable and leveraged to support longer-term development aims. Rather than falling into the trap of a one-off exercises, there needs to be buy-in on the part of all stakeholders — both in terms of the goals and a community's development. See Annex 3.1 for more country examples. Annex 3.5 also offers facilitation materials and activities for how to build awareness and support for the MDGs.

### BOX 3.2: SUB-NATIONAL EFFORTS AT CITIZEN OUTREACH — MAURITIUS

In Mauritius, the government included citizen outreach as part of sub-national efforts to tailor the MDGs on the island of Rodrigues. The Inter-Ministerial MDG Committee and the UN Country Team devised a four-phased strategy to make stakeholders more aware of the relevance of the MDGs for Rodrigues, which included participatory forums with civil society and youth. Some standout features included:

- At the forums, civil society representatives reviewed the feasibility of achieving each goal, whether any individual targets needed to be adjusted to the Mauritian context and which statistics could be improved.
- Participants suggested ways that civil society could contribute to programmes and activities in support of the MDGs.
- The outputs of the civil society consultation were combined with comments from parliamentarians.
- The structure promoted widespread public support, enabled participatory planning and resulted in a high level of local ownership over the final development plan.
- A leading CSO network was asked to champion the initiative. The Mauritius Council of Social Services, an umbrella organization for 100 non-governmental organizations, organized and oversaw the consultative process.

See: "Consolidated Reply: Ghana/Projects on 'MDG localization/Examples and Comparative Experience'. MDG Net. UNDP. 8 November 2006. [http://stone.undp.org/system2/comp\\_stage/util/message.cfm?messageid\\_=JiNATyUkTUckG==&src=121665](http://stone.undp.org/system2/comp_stage/util/message.cfm?messageid_=JiNATyUkTUckG==&src=121665).

### Read More:

- The Blue Book: A Hands-On Approach to Advocating for the Millennium Development Goals. UNDP. 2004.
- Handbook: Preparing National Strategies to Achieve the MDGs. Step 1: Launch an Effective and Inclusive Process. The Millennium Project. 2005.
- MDG Toolkit. Module 4. Advocacy and Campaigning. UNDG. 2005.
- The Millennium Campaign Toolkit, by Jacqui Boule and Debbie Newton. Millennium Campaign and Civicus. 2005.
- The Millennium Development Goals – UN Cyber Schoolbus. UNICEF and Millennium Campaign. 2005.
- The Role of Participation and Partnership in Decentralised Governance: A Brief Synthesis of Policy Lessons and Recommendations of Nine Country Case Studies on Service Delivery for the Poor, by Robertson Work. UNDP. 1999.
- World Bank – Community Empowerment and Social Inclusion. Website.

## 2. DETERMINING CAPACITY DEVELOPMENT AND ENGAGEMENT APPROACHES FOR CIVIL SOCIETY

Each development actor can make important contributions to localizing the MDGs, especially individuals and groups that best represent the broader range of community interests. To have a better understanding of what different stakeholders can do at different points in the localization process, a framework should be prepared that can serve as an action plan. Using this overview, determine what types of stakeholder training will be required to promote high levels of participation. The early identification of capacity needs for MDG localization will help to ensure that everyone has the same basic skills and opportunities needed to encourage equal levels of engagement.

Three general steps are outlined below to carry out this work. They move from selecting a framework for CSO engagement to defining a training plan that can provide the skills needed by civil society to get involved. Each relies on the use of partnerships among community and CSO networks to advance their activities — the topic which forms the third and final step in this process.

### Step One: Select an institutional framework for engagement

Similar to the creation of the national vision, local government authorities — in collaboration with other stakeholders — should review the possible roles that CSOs can play in the localization process. These can be derived easily if some form of local stakeholder assessment has been conducted earlier (see above). Once the list is drafted, it is possible to arrange and re-arrange actors based on the framework selected for localizing the MDGs.

To lead the process, one approach could be to designate a single CSO to coordinate the others through a forum or committee structure. This arrangement is equally applicable at the local and national level and has been used in countries like Uganda (the NGO forum). Another option is to set up a local steering committee that has been given responsibilities which reflect members' sectoral interests and expertise. To complement the committee's work, small working groups composed of civil society, government and other stakeholders could be established to undertake situational analyses on health, gender, education and other local development priorities.

Whatever framework is chosen, it should promote the use of coalition building and/or partnerships. In the case of local governance, cooperation and alliances can be used to maximize limited resources and overcome some of the challenges posed when operating at a small scale on the MDGs. Local government institutions, communities, NGOs, the private sector and external development partners should be among the key actors to have involved. As good practice has shown, an inclusive institutional framework serves as a mechanism for facilitating other key aspects of operationalizing the MDGs, which are addressed in the subsequent steps.

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### Step Two: Develop and implement a CSO training plan

To determine the right mix of training required, a needs assessment should be conducted before starting on a plan of action. This study can reveal what obstacles relate to an organization's capacity development skills and which are structural and more systemic.

With this overview completed, a first step might be to designate a non-partisan body such as a UN agency to provide training for stakeholders, steering committee members and other partners on how to localize the MDGs (based on the areas identified in the section's introduction). Depending on the results of the assessment, learning activities may involve training on how to formulate targets and set indicators or be related to crafting an effective advocacy and outreach campaign. More specific capacity development interventions focused on CSOs and their partners can be done as a second phase to the work once some preliminary consensus and commitment has been secured around the key topics identified from the assessment (see Box 3.3). Capacity-development work with CSOs can be structured around (but is not limited to) the following themes:

- service delivery
- evidence-based advocacy
- statistical capacity building
- conducting assessments
- mapping and survey work
- monitoring and evaluation
- oversight of financial flows
- open contracting and bidding processes

Each of these areas links back to localization and the core components that need to be supported for the process to be successful and sustainable. As part of every training event, the materials and instruction should always communicate to community members some of the basic information surrounding the MDGs, how they relate to the topic at hand and their impact on local and national development. By focusing on these issues and skill sets, the aim is that participants will be able to take on increasing duties in planning and policy decisions at the local level and in partnership with government. If the policy space and working relationship are not there, additional efforts will be needed to lay the preliminary groundwork required for increasing CSO engagement in local government affairs (see "Preface").

#### BOX 3.3: USING TRAINING ON THE MDGS TO BUILD CSO CAPACITY

A capacity development strategy was pursued in Eastern Africa through a regional UNDP initiative to promote civil society engagement in Poverty Reduction Strategy and MDG processes (2005-2006). A capacity development programme was piloted to respond to the constraints facing CSOs in the region. Country and regional programme managers from the organization communicated there was a need for developing CSO capacity in the areas of policy research and analysis, monitoring and evaluation tools, economic policy formulation and networking (outreach and knowledge sharing). Workshops were organized along these thematic lines. Related activities were structured to develop a skilled, effective and dynamic regional CSO network to actively engage in different stages of the policy process.

In Albania, an assessment of training needs was done at the regional level in two areas of the country: Berat and Shkodra. The study was conducted through three main channels:

1. An analysis of past training events and available documents and data;
2. Questionnaires; and
3. Focus group interviews

Questionnaires provided quantitative and qualitative information on training needs. Interviewees were asked to evaluate anonymously the importance of various skills and knowledge necessary to successfully perform a task (i.e. preparation of an MDG-based regional development strategy) against a self-assessment of their current skill level. In total, thirty stakeholders were surveyed from the respective regions, municipalities and communes.

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### Step Three: Encourage community networking and information exchanges

Communities should be encouraged — and trained if necessary — to network, forge coalitions, manage partnerships and mobilize resources. Part of the process of localizing the MDGs is to promote the general strengthening of community solidarity and the exchange of practices among local groups.

Some key areas<sup>45</sup> that are critical for strengthening community networking at the local level include:

- A common framework and agenda. This can help to prioritize issues and areas as well as to build relationships among members.
- Effective partnerships at all levels. The credibility and acceptance of CSO policy research, analysis and monitoring are enhanced by effective partnerships with local government and academic institutions.<sup>46</sup>
- Inclusive networking. This feature is particularly important when there are large minority populations present among and within communities. Peer-to-peer exchanges should promote diversity in ideas and approaches rather than to validate a narrow stance.
- Credibility of the networks. Transparent and accountable practices by the networks, their members and partners will positively impact the public's perceptions.
- Mutual benefits: If members have the perception — whether it is valid or not — that it is not a partnership of equals, the viability of the network will be compromised. All members should feel as equal participants and beneficiaries, regardless of social and/or cultural backgrounds.

Networking is a significant component that should not be overlooked, as the benefits resulting from the localization process — in terms of social capital accumulation and community-building — can be just as important as the achievement of tangible development outputs.

Networking can be done through the promotion of CSO coalitions around a common theme and by using innovative methods for dialogue (see Box 3.4). Information and communication technologies (ICT) — such as portals, virtual discussion groups and e-mail list serves — can facilitate the exchange of ideas among partner organizations and help to solidify the operating relationship. Ensuring that these capacities are put in place and developed equally forms part of a support strategy for CSOs on MDG localization, which embraces a longer-term vision and involves continuous activities of engagement.

However, the ability to form strong networks will depend on the development issues to be confronted and the nature of the organizations (members, skills, history, credibility, etc.) that will carry out the work. Too often CSOs are too small or lack steady resources, leaving them unable to actively seek out partnerships or broaden their work. If the operating context is hostile or difficult, they simply may be fighting for their own survival and unable to put their energies into taking up development causes.

45. See: Civil Society Engagement in Monitoring PRSPs and Progress Towards the MDGs, by Christine Musisi. 2004. DRAFT. pg. 37. [http://mdg-guide.undp.org/files/Module 3.4/Africa\\_Civil\\_Society\\_Engagement\\_in\\_Monitoring\\_Christine Musisi\\_UNDP.doc](http://mdg-guide.undp.org/files/Module 3.4/Africa_Civil_Society_Engagement_in_Monitoring_Christine Musisi_UNDP.doc).

46. Private sector partnerships need to be carefully leveraged depending on the parties and context involved (i.e. in some countries, it could be perceived as being corrupted by the elite).

## Section 3

### Read More:

- Gvic Education: Practical Guidance Note, by Chris McNerney. UNDP Oslo Governance Centre. April 2004.
- Delivering the Goods: Building Local Capacity to Achieve the Millennium Development Goals. UNCDF. 2005.
- Handbook: Preparing National Strategies to Achieve the MDGs. Step 1: Launch an Effective and Inclusive Process. The Millennium Project. 2005.
- Involving the Community: a Guide to Participatory Development Communication, by Guy Bessette. IDRC. 2004.
- Linking Community Empowerment, Decentralized Governance, and Public Service Provision Through a Local Development Framework, by Louis Helling, Rodrigo Serrano and David Warren. World Bank. 2005.
- MDG Toolkit. Module 2. Activity 5. Capacity Development. UNDO. 2005.
- Measuring Capacities: An Illustrative Catalogue to Benchmarks and Indicators. UNDP. September 2005.
- Tools to Support Participatory Urban Decision Making, by Gulelat Kebede and Chris Radford. UN-Habitat. 2001.
- Tools to Support Transparency in Local Governance. Transparency International and UN-Habitat. 2004. (Available in English and Spanish).

### BOX 3.4: LOCAL COMMUNITY NETWORKING AND INFORMATION EXCHANGES

In the Palestinian Territories, a large number of local community leaders, governmental officials, civil society organizations and the private sector worked together to *produce policy recommendations and plans for poverty eradication*. The result of this joint effort, which also involved poor families and community groups in 63 localities, was a national report on participatory poverty. In addition, the Palestinian Participatory Poverty Assessment Project has been created to encourage community based organizations and NGOs at the district level to play a greater role in advocacy and lobbying in favor of action towards poverty eradication.

In Lebanon, CSOs have joined forces to engage in various national development issues. The UNDP regional office has also promoted partnerships between the government and civil society networks through the organization of joint discussion forums, the promotion of training and capacity building events for CSOs, and the endorsement of CSOs to implement and monitor projects.

In Egypt, CSO coalition building has been done to promote the MDGs at the sub-national level in each of the country's 27 governorates. Coalitions have involved not only NGOs, but also representatives from the local media and private sector. Their activities focus on:

- Raising public awareness and promoting public education on the MDGs;
- Creating opportunities for citizens to participate in planning and policy decisions at different levels of the local administration;
- Providing a basis for joint programming by civil society actors that creates a single framework for resource mobilization both from within the country and external donors; and
- Encouraging communities to voluntarily take collective action to support the MDGs.

The formation of the coalitions in Egypt has been linked up to the creation of training materials tailored and targeted at community groups to involve them in the policy process. Participatory planning and budgeting have been just two of the focus areas. The challenge has been to convince the coalitions of the value that localized MDGs have for their work. Efforts have been made to explain to the groups how the goals can be used as an effective platform for national policy discussions as well as for a joint programme of action locally.

See: *Capacity Building Project for Development in Lebanon: The Role of NGOs, Civil Society, and Other Actors. Seminar on Gender Equity in Lebanon. Report Proceedings. Beirut, Lebanon. 11-12 October 2005.*

<http://www.undp.org.lb/lebanon/mdgs/discussion/sessions/GEinLeb2005.doc>. Poverty Reduction and the MDGs.  
Website. <http://www.undp.org.eg/Default.aspx?gm2catid=29&tabid=154>.



### 3. LOCALIZING THE TARGETS AND UNDERSTANDING THE CONTEXT

A key component of localization involves adapting global targets to reflect a community's development reality and challenges. Through this process, achievement of the MDGs becomes a national and sub-national endeavor that goes beyond aggregate figures and averages. To track progress and shape policies locally, indicators are selected that are monitorable, accessible, timely and relevant for the community or groups in question. The monitoring results are linked back into planning and resource decisions in order to improve policy responsiveness.

Each national target must be contextualized at the local level and adapted to better align with the specific needs of the locality. Setting a baseline — as intended at this stage of the process (step one) — may not be as easy to complete as it is for the national level (see Section 1). Too often disaggregated data at the local level is not available for many of the development indicators needed to track community progress. Although district and administrative level data might be accessible through the local government systems in place, their availability really varies country by country and cannot be counted on as a statistical source.

CSOs engagement can help to partly compensate for data shortfalls. They can be tasked with helping to collect information on the community's poverty profile and access to basic public services and goods, as well as assist in monitoring related development indicators. To be effective and reflective, this process requires participatory research and broad-based dialogue within local communities to validate the findings.

The inputs can be used for publishing a situational analysis (e.g. local MDG report) and by the community to set its own development targets (step two). By addressing the data dimensions of MDG localization through increased CSO engagement, efforts can help to build community capacity in related technical areas, such as planning and implementing local development initiatives (the next area to be covered in Section 3).

To lead the localization of targets, the local government authorities must be willing to take on the tasks and be open to working with a broader array of citizens. CSOs can be proactive in this process (particularly in partnership with donors) but it must be done in cooperation and with the consent of their government counterparts. Without buy-in on the sides of all parties, there is a risk of de-legitimizing the target selection process and compromising the usefulness of the exercise. Getting to the point where government and citizens can work together may require additional, preliminary steps that go beyond the scope of this section. (For more suggestions on activities to facilitate engagement, see the "Preface" of the course).

#### Step One: Collect data and establish baselines

Mapping exercises can be a good entry point to sketch out the current context — the social, economic and political features of the area. These activities produce a local profile of the population, which provides basic development data on a community, district or region. Some features that can be traced include:

- Gender;
- Age;
- Education;
- Ethnicity;
- Socio-economic status;
- Language/religion; and
- Resource/asset ownership.

The findings should be disaggregated as much as possible if they are to be useful for setting the benchmark for an area's development.



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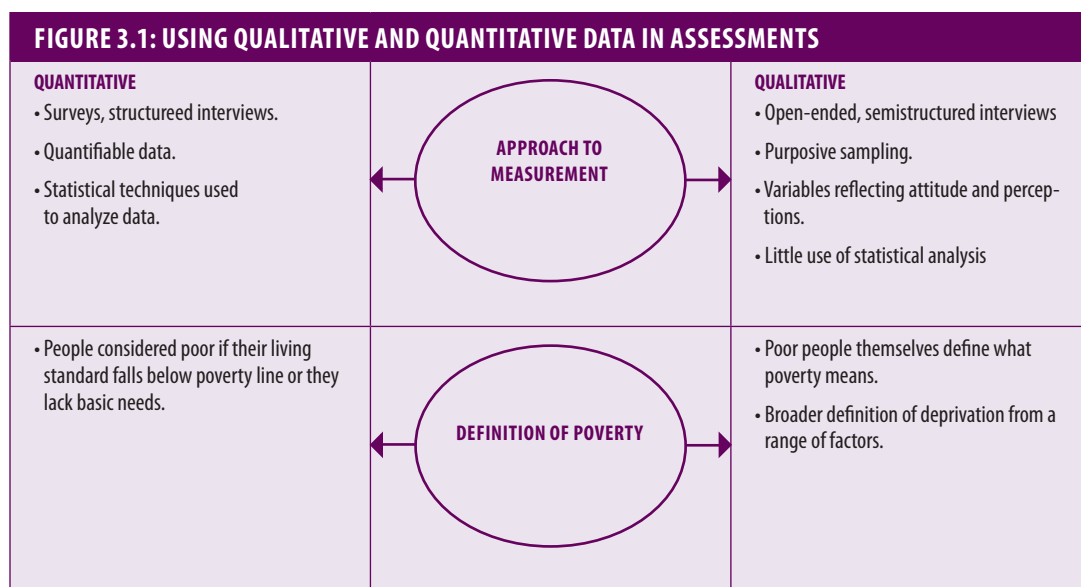
Apart from a basic poverty map, other tools can be used to look at the distribution of local resources and services. Geographic Information Systems (GIS) are the most common of these mapping systems and can be used for a relatively low overhead cost if it is already being used at the national level. GIS is an integrated software programme designed to import, store, run and export multiple data sets for the same geographic area.<sup>47</sup> Using GIS, it is possible to overlay maps that capture political and administrative divisions, the distribution of utilities, land titles, soil cover and topography.

Other features that can be mapped using different tools include transportation, industry, public infrastructure (schools, clinics, water and sanitation), natural resources and hazards or threats (natural and/or industrial). Using the resulting data, an analysis is done of each of these factors to assess questions regarding its access, availability and quality for the community. This assessment need not be led by the government but its activities should be supported, if not sanctioned.

Based on the tasks involved, the team charged with carrying out the benchmarking process must understand the economic and political environment of the community. Policy-oriented CSOs with expertise in data collection and analysis may be ideally positioned to lead this process. Many countries — particularly in Africa — do not have civil society organizations with the expertise required to assist in analyzing the results and may require more innovative solutions, such as tasking the work to universities or external consultants and having the communities validate the results. Whoever is picked for the activity, the community must view them as an impartial actor with an objective and independent viewpoint.

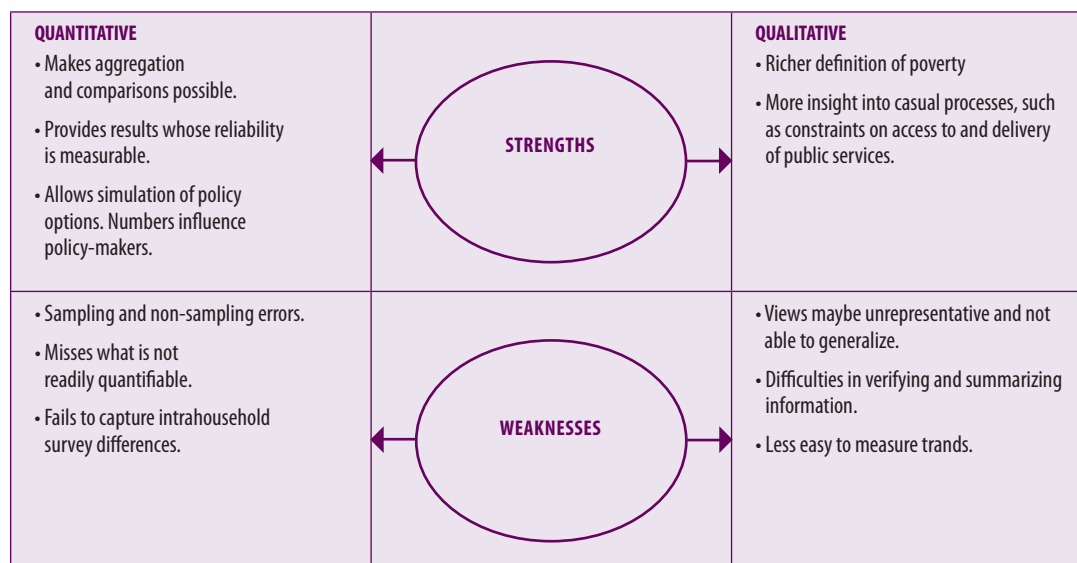
Collecting data and setting benchmarks is an exercise that is not limited to only the goals. It also incorporates an understanding of the local economy, macroeconomic context and its linkages to markets. While local circumstances should remain central to the analysis, larger social and economic factors must be accounted for that could affect the achievement of local development goals. A mapping of the local profile of development — and how it measure up to national averages — is a critical component of tailoring targets and needs to be generated at this step. Risk factors such as how national policies and reforms could impact local conditions also should be considered.

Qualitative data collection should equally follow a quantitative assessment. Using both types provides a more complete profile of the community and helps to compensate for weaknesses resulting from relying on only one source or from skills constraints on the part of CSOs to analyze hard data (see Figure 3.1).



47. Topographical data, tele-detection imaging, numerical maps, land and household surveys and photographs all can be into GIS. For more information on GIS, see: Measurement in Support of Policy Making. Session 2. Workshop Presentation. Module 1.2: Setting an MDG Baseline and Tailoring the MDGs. UNDP. 2006. DRAFT. [http://mdg-guide.undp.org/files/Module%201.2/Module%201.2\\_Workshop\\_Presentations\\_ENG.zip](http://mdg-guide.undp.org/files/Module%201.2/Module%201.2_Workshop_Presentations_ENG.zip).

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Source: *Poverty and Inequality: Conceptual and Assessment Issues*, by Geoff Prewitt. CEA SURF/UNDP. October 2001.

Given the mix of social and economic outputs desired from an assessment, the data collection process needs to be structured to include these dynamics in the questions and methods used. By the end of the analysis, answers to most of these questions should be clear:

- Where do the community's poor live? Who are they? How would you describe them?
- Do most of the children under 15 go to school? What about for girls? Boys? If they are not in school, what do they do in the community?
- What are the main industries in the area? Who works in them? What do the other workers do? Are their salaries higher or lower?
- What are the main ways to get locally produced goods to market? How far are these markets from the town or village? What about the nearest town or village?
- If there is a fall in price for the community's or region's major commodity, how will it influence local conditions? Who will be impacted? What will be the impacts?
- What is the level of technological infrastructure available (i.e. communication networks, energy, power, etc.)? Are efforts being made increase the stock? How will this impact access to markets, the community's economic growth and individual livelihoods?
- How will a fall in government revenue affect local spending?

With the data collection complete, communities should have full and open access to any and all information necessary to determine whether they are achieving their development goals. For more information on how to improve access to information, see Sections 1 and 2 of this training course.

### Step Two: Set local development targets

Development becomes meaningful when citizens see its implications for their own lives. Communities need to be engaged in dialogue and policy decisions on the issues that matter to them, such as setting targets for improved access to water, education and other dimensions of public service delivery.

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For communities to be involved in this process there needs to be a good awareness of what are the MDGs, what they mean in terms of improving citizens' livelihoods and how they can be used to hold local authorities accountable for service delivery. The activities set out in the beginning of this section for advocating and doing MDG outreach can help to construct the common understanding needed for conducting targeting activities.

While different formats and process can be used for the exercise, the output should be the same: a set of tailored targets and indicators that reflect local concerns. Similar to national tailoring activities (see Section 1), a locally tailored target:

- Relates to the individual and observable achievements of a national goal.
- Provides a means for measuring local progress.
- Considers what should (and can) be achieved.

Targets should also be determined based on a quick assessment of whether they are SMART or SMARTER.

- SMART refers to:  
Specific, Measurable, Accepted, Realistic, Time-bound.
- SMARTER is defined as:  
All of the above dimensions, plus: Extending, Rewarding.

A target can be set for any part of the policy cycle process (input, output, outcome, impact and process), can be aggregated or disaggregated and should be simple, focused and limited. Most importantly for MDG localization, the target should be clearly linked back to one of the eight goals and align nicely to support a country's broader development strategy.

Some of the basic steps for target setting include:

- Screen local assessments and survey data completed (on poverty, housing, employment, environment, etc.), such as done above;
- Review any current national and sub-national targets;
- Determine gaps;
- Set priorities;
- Select specific and measurable targets;
- Link targets to other development outcomes, nationally and locally (for the MDGs);
- Choose indicators for monitoring progress; and
- Assess the costs (funding) involved to reach targets.

(Annex 3.3 provides some sample activities to facilitate the target setting process).

Local targets and indicators should be refined as needed through an analysis of the baseline data collected (as signaled above).

A first attempt at selecting local targets can be generated by a sub-set of local actors who have the sectoral expertise and background for setting realistic targets. An option is to use the local steering committee if one has been set up already as part of the localization process. The committee may be the best placed and most skilled body to do this work within the community.

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Regardless of the institutional mechanism, the process must be done in conjunction with the community and supported by local authorities. If citizens back the targets but the government has not endorsed the activity, it will be hard to link the results to the local development process (although they may be useful for understanding and assessing particular donor projects, programmes and initiatives).

Greater ownership can be generated by seeking stakeholder feedback on the draft set of targets or by having CSOs organize and facilitate the discussions. Channels for soliciting these inputs include:

- Consultations, public hearings and town hall meetings that bring together service users and local providers.
- Workshops that invite a cross-section of leaders and groups from the community to work on revising draft targets that are related to their prioritized areas of concern.

These meetings permit a two-way exchange during priority setting. They adapt national development priorities to local needs and feed local needs back into national planning decisions. Moreover, these meetings bring together various groups of civil society, local officials and private sector stakeholders around a common goal — to work towards achieving the MDGs in their locality, based on a common understanding of their situation, endowments and resources, needs and opportunities.

### Read More:

- Benchmarking Workshops: A Tool for Localization of MDGs. UNDP and SIPA. 2003.
- Capacity Development for MDG Localisation. UNDP. April 2007.
- District Planning and Implementation Strategy Note and Guide. Leadership for Results: UNDP's Response to HIV/AIDS, by Benjamin Ofosu-Koranteng and Joseph Annan. UNDP. 2005.
- Gender Mainstreaming in Practice: A Handbook, by Astrida Neimanis. Bratislava Regional Service Centre. 2005.
- Involving the Community: a Guide to Participatory Development Communication, by Guy Bessette. IDRC. 2004.
- Linking Community Empowerment, Decentralized Governance, and Public Service Provision Through a Local Development Framework, by Louis Helling, Rodrigo Serrano and David Warren. World Bank. 2005.
- MDG Toolkit. Module 2. Activity 2. Targets with Participation. UNDOGO. 2005.
- The Role of Participation and Partnership in Decentralised Governance: A Brief Synthesis of Policy Lessons and Recommendations of Nine Country Case Studies on Service Delivery for the Poor, by Robertson Work. UNDP. 1999.
- The Rwenzori Experience: Lessons Learnt Towards a Model for Localization of the Millennium Development Goals, by Chris Roux. SNV Uganda. Paper presented at the UNDP/MDG/SNV Conference "The Localization of the MDGs". Kampala, Uganda. 9-11 August 2005.
- Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003.
- Toolkit for Localizing MDGs, by Dafina Gercheva. UNDP. 2005.

## 4. DESIGNING AND IMPLEMENTING LOCAL DEVELOPMENT PLANS

A local development plan is the principal framework for ensuring achievement of a country's long-term targets. Effective monitoring and implementation involves a dynamic relationship between the national and local levels, disaggregating the strategy's objectives down to the local level, and aggregating the plan's outcomes back up. Through this process, local results accumulate to realize national targets, which may never have been reached without focusing on particular geographic areas or population groups.

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Activities undertaken to tailor MDG targets to the local context (as discussed above) provide the base for shifting community efforts from advocacy and assessment to the design, implementation and monitoring of policies. A first step is the incorporation of local community feedback into the national policy process. To achieve these ends, issues relating to local managerial, analytical and monitoring capacity are increasingly important and must be assessed before moving forward.

A total of four steps are covered and each relates to one of the key areas required for moving from superficial to sustainable CSO engagement in planning, implementing and monitoring local development plans.

### **Step One: Promote mechanisms to engage community stakeholders in the design, planning and delivery of services.**

Customizing local targets and bringing community stakeholders into the decision making process is directly tied to the degree to which power is decentralized within a country. It also relates to whether local authorities are open to receiving inputs and having civil society participate in local development. If the political environment is not very transparent and rarely accountable, seeking meaningful community contributions and engagement at this step will be challenging at best. Consultations may be seen as a formality to appease donors or government superiors and organized as afterthought once the local development plan has been finalized.

Another impediment to civil society engagement is how power and resources are distributed among levels of government. If the central government is the principal planning and budgetary decision maker it is likely that lower administrative levels may have scant experience or interest in working with communities. With power concentrated, local discussions on development priorities or allocation decisions will have no outlet or ear at higher levels where the purse strings are controlled. In contrast, if local leaders are elected and wield spending authority the argument for CSO engagement may seem more plausible, attractive and viable.

The institutional arrangements, political space and levels of accountability which currently characterize the country will determine the entry points for engaging with CSOs in the design, planning and delivery of services at the local level.

- For some governments and partners, CSO participation may be understood to be more “passive”. In this scenario, information is shared with the community on what is happening through a one-way flow of ideas from government to citizens.
- For others, community involvement is more “active” or “consultative”. Joint activities are developed to analyze and generate inputs to the policy process.
- For both types, rates of participation may not be the same for all population groups, with levels of engagement varying by education, income, gender or ethnicity.
- How hierarchical and politically open a society is also impacts citizen involvement.

Before beginning, some questions to pose to citizens through an informal consultation may include:<sup>48</sup>

- *Do citizens in your community/ municipality participate actively in local government affairs?*
- *If no, what do you think are the reasons for not participating? If yes, what do you see are the factors influencing participation?*
- *What is needed, in your view, to improve citizen participation in the planning of local affairs in your municipality/community?*

An understanding of the current levels of community participation will help with determining the pace and types of engagement that are possible during the planning phase. It will allow more realistic aims for the areas that are open for their engagement and the degree to which their inputs can be sought.

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48. See: Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003.

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When working on participatory planning process, a common platform for civil society involvement is the use of consultations (as highlighted in previous steps in this section and the others). These may take the form of public hearings, focus groups or a community outreach office.

In urban areas and more densely populated communities, public hearings may be the preferred participatory mechanism. It is easier to disseminate information on the event and there are fewer impediments (distances, transport, etc.) to getting people to come together. Key actors from all sectors — including local government officials, civil society and the private sector — should top the list of invitees since their buy-in and support will be necessary to create a feeling of equal ownership over the planning process. Some general guidelines are to:<sup>49</sup>

- Publicize the event well in advance. Extend the invitation to the community through local media outlets.
- Select the right venue and ensure it is set up to facilitate discussion (including any equipment that might be necessary).
- Prepare and distribute handouts covering the key areas and information needed to engage in the discussion and issues on the table (a “facts” or “Frequently Asked Questions” sheet).
- Outline the meeting procedures and ground rules (speaking times, session length, etc.) a few weeks in advance of the meeting. It may be helpful to request some of the groups to select a spokesperson for the event.
- Structure the hearing to allow for a few minutes to outline the targets and discuss service delivery priorities. Make sure to keep it short since the event is to solicit feedback from the community on the next steps forward.
- Ensure follow-up steps and closure. Once the meeting closes, any decisions taken need to be enforced and monitored.

### Step Two: Draft a local development plan or report

Local capacities and needs will shape the structure used to draft the development plan. As was done for the Aqaba governorate in Jordan, it may take the form of a report similar to an MDGR, detailing the current situation and outlining planned policies. In other cases, it may serve as a work plan to feed into a regional development strategy similar to what Albania has chosen to do.

If designed as a complement to the national strategy, an MDG-based local development plan can function as a viable funding framework for community priorities. The inclusion of financing needs can turn the plan into an instrument for mobilizing resources locally, nationally and internationally.

Information on time-frames, costing and responsible actors should be included whenever possible. If data has been collected during the target setting phase on a baseline and indicators, this information should be incorporated as well into the draft. The need for district level data provides a solid argument for local governments and stakeholders to develop the capacity to establish and maintain local databases to assist them in planning. This is an area that requires government and development partner support if it is to be sustainable.

The entry points for civil society engagement follow the same channels as outlined for how to determine mechanisms to mobilize community involvement and localize MDG targets. Activities can be staged to provide for more targeted efforts with certain civil society groups and/bodies before opening the process to the broader set of stakeholders. For example:

- A local steering committee could be the principal party working with the municipal or district government to formalize the plan and provide inputs. (targeted).
- Once the plan has been drafted, a town hall meeting or community consultation would be organized to vet the document and ensure that it reflects the inputs from the first round of consultations (see step one). (open).

49. See: Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003. Localising the MDGs: A Guide for Local Authorities and Partners. UN-Habitat. 2006.

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- Subsequent public hearings also could be called to discuss some of the service delivery components. If private sector service providers are involved, these meetings could be formalized to ensure regular inputs into the process. (targeted).

### Step Three: Conduct capacity development activities for CSOs

Coordination, communication and financial management have proven to be instrumental skills for civil society to engage in the process. To sustain their involvement, similar and simultaneous improvements in local governance capacity, accountability and transparency should be supported through national initiatives. In Nepal, this dual approach has been included in the country's decentralization programme. A component of the project uses social mobilization activities to develop village-level capacities in order to respond to the community's social and economic needs.

Capacity development — institutional, human, financial and technical — involves higher levels of resource commitments and investments such as those advocated by the Secretary General's Report in 2001.<sup>50</sup> These recommendations call for a commensurate increase in local stakeholder's capacity to plan, manage and deliver scaled-up resources toward achievement of the MDGs. Given the scope, activities will require close collaboration and cooperation among different partners interested in seeing CSO develop their capacities over the long term. In Uganda, partnerships have formed between DANIDA, Irish Aid and other donors to support capacity development efforts for local CSOs.

Activities should steer clear of quick fixes that may not necessarily address the underlying causes of the problem or the structural factors involved. Based on country experiences, some of the areas targeted for CSOs should include how to:

- align planning and budgeting process to meet the changing needs of communities;
- increase the revenue base and develop innovative funding sources;
- improve budgeting and management skills of local stakeholders (communities and governments); and
- monitor policy performance and development outcomes.

Working on community capacity initiatives involves many of the principles discussed throughout the module on engaging with civil society. These include:

- Ensuring participation of the poorest of the poor and historically vulnerable groups such as woman and ethnic/religious minorities (see Box 3.6);
- Having a clear vision of the process that identifies roles and responsibilities for actors;
- Empowering local government and communities to be the protagonists;
- Developing entry points for institutionalizing capacity development programmes;
- Ensuring locally-based initiatives are linked to national approaches. National governments may perceive community mobilization as a threat to their powerbase; and
- Gaining commitment of political leaders while keeping the process from being politicized.

50. See: Road Map Towards the Implementation of the UN Millennium Declaration. UN Secretary General. 6 September 2001. <http://www.un.org/documents/ga/docs/56/a56326.pdf>.

### BOX 3.5: ENSURING THE PARTICIPATION OF WOMEN IN AFGHANISTAN'S DEVELOPMENT

Ensuring the participation of the poorest of the poor and marginalized has been the focus of the capacity development work done through Afghanistan's National Solidarity Programme. Activities are structured to respond to the capacity constraints women confront for engaging in the economic, political, social and cultural spheres of society. For example, efforts are being made to improve women's participation in community-driven development by building their capacity to engage in the policy-making process. Areas of capacity development include: training and deploying women as project facilitators, supporting their access to women in target communities, improving women's access to information on related work, strengthening women's ability and access to collaborate with men, and prioritizing projects developed by women in the community.

See: *Voices from the National Solidarity Programme. UN Habitat Afghanistan. Vol. 1, No. 2. December 2003. <http://www2.unhabitat.org/Afghanistan/documents/voices2.pdf>.*

Whatever the activity, capacity building should rely on coalition building. Partnerships encompass local government institutions, local communities, NGOs, the private sector and external development partners. In Lao PDR, village level capacity building activities involved full time national UN volunteers (8 per participating district) who worked with two technical specialists to oversee the work being done with community counterparts. Such formal collaboration requires an enabling environment that facilitates constructive working relationships, networks for learning, action and access to information. See Annex 3.2 to find a sample questionnaire used at a training assessment for MDG localisation in Albania.

### Step Four: Develop effective feedback mechanisms for monitoring service delivery

Tracking progress toward local MDG targets involves looking at the full range of indicators for assessment — process, input, output, outcome and impact — and determining entry points for civil society to engage in the monitoring process. As an activity, it has intrinsic value by helping to hold governments accountable and to further influence policy at the local level.

Community monitoring feeds into tracking development outcomes of national policies while simultaneously functioning as the main mechanism for assessing local performance. Civil society can be brought into the earliest stages of the local planning process (i.e. budgeting) and extend their roles into tracking the results of policy decisions (i.e. service delivery). By engaging communities in monitoring, a long-term, sustained and institutionalized space for civil society can be created in the local development process. Countries as diverse as South Africa, Senegal, Nicaragua and Nepal have called on civil society to be one of the actors monitoring local development progress.

There are generally four stages for implementing community monitoring. These are to:<sup>51</sup>

1. Prepare the strategy;
2. Introduce the monitoring and evaluation programme;
3. Conduct the monitoring phase of the activities; and
4. (Re)evaluate local development policies.

Common mechanisms include:

- citizen report cards;
- performance-based and community budgeting;
- social audits;
- citizens charters; and
- transparency commissions.

51. Source: *Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation*, by the Community-Based Evaluation Team. World Bank. 2002.



## Section 3

Each of these can be combined with the others, either concurrently or as a follow up step.

Performance based budgeting has been used in Uganda, Tanzania and Bangladesh to involve local NGOs and community groups in the evaluation of local government performance. Performance measurements are generally based on five to six categories that cover planning, budgeting, financial capacity, transparency and communication, monitoring and share of pro-poor expenditures. This topic will be addressed in further detail in Section 4.

Ensuring access to information is essential to carry out effective monitoring. The use of citizen charters is one entry point for tracking changes in important public services. Citizens charters provide an explicit statement of what a public agency is willing (and ready) to offer as its services, the rights and entitlements of the people with reference to these services and the remedies available to them should problems and disputes arise in these transactions.

Another tool for monitoring service delivery is a citizen's report card (see Box 3.7). They function as an easy to read scorecard and rely on baseline information for service delivery to assess any reductions or progress (see Annex 3.4 for a list of the services that can be included). Once the results are collected (this can be done annually or every six months), they can be discussed through public hearings and town-hall meetings

Whichever method(s) selected, there should be an incentive (reward-based or penalty) to help motivate both parties to participate: those monitoring and those being monitored. Otherwise, it is unlikely that serious attention will be paid to the results.

You can find a table to help align a community's development objectives in order to monitor progress in Annex 3.3. Also, see Annex 3.6 for information on how to assign monitoring roles within a community.

### Read More:

- Citizen Report Card Surveys: A Note on the Concept and Methodology. Social Development Notes: Participation and Civic Engagement. No. 91. World Bank. February 2004.
- Consolidated Reply: Mozambique/ Comparative Experiences/ Participatory Monitoring & Evaluation Mechanisms for Accountability at District Level. DGP Net, Eval Net and Pov Net. UNDP. 12 April 2005.
- Consolidated Reply: Vietnam / Comparative Experiences and Consultants / Strengthening Local Capacity for Planning and Budgeting. DGP Net and PovNet. UNDP 29 June 2005.
- Local Government Initiative: Pro-Poor Infrastructure and Service Delivery in Asia. UNCDF. 2004.
- Localising the MDGs: A Guide for Local Authorities and Partners. UN-Habitat. May 2006.
- MDG Toolkit. Module 3. Activity 2. Mobilizing Stakeholders to Monitor MDGs. UNDGO. 2005.
- Poverty Reduction, Decentralization and Community-Based Monitoring Systems, by Celia M. Reyes and Lani E. Valencia. Poverty and Economic Policy Network (PEP). ADB. 2003.
- Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation, by the Community-Based Evaluation Team. World Bank. 2002.

### BOX 3.6: USING CITIZEN REPORT CARDS: CHECKING UP ON SERVICE DELIVERY

Citizen reports cards have been used in Ethiopia to supplement conventional monitoring and evaluation frameworks and to track progress on the national development strategy (a PRSP). Surveys of users of public services in communities have collected, analyzed and disseminated the findings. The approach is a "bottom up" end-user assessment of whether the strategy has sufficiently planned and budgeted for pro-poor services.

Surveys have used a random sampling method to aggregate responses into a rating system for services. They capture citizens' feedback in simple terms by assessing levels of satisfaction or dissatisfaction with the qualitative dimensions of the service. For the country's primary health care system the results showed a level of total dissatisfaction. However, report cards do not stop with measures of satisfaction — they go beyond to consider specific aspects of interaction between the service provider and the citizen and the resulting relationships.

*Source: Citizen Report Card on Pro-Poor Services in Ethiopia/Inception Report. Public Affairs Foundation. 23 September 2004.*

### 5. CONCLUSION

MDG localization is about making development meaningful for citizens. As signaled in this section, different actors must be engaged at different levels and stages, maintaining a level of awareness and commitment that promotes their continued involvement and buy-in.

As a process, localization promotes ownership over the goals by ensuring that different voices and issues are brought into policy making considerations – both nationally and locally. Through localization, bottom-up demands and development realities are linked up with national planning decisions to support MDG achievement across different groups and parts of the country. Unequal resource endowments and distribution in a country suggest that targets must be set locally if pockets of inequality are to be eliminated. In this dynamic interaction among levels of decision making, initiatives are devised and anchored locally and their results aggregated back up nationally to ensure country targets are being reached. Monitoring activities provide the mechanism for feeding back results, determining whether progress is being met and holding the authorities accountable when breakdowns occur.

As a technical exercise, localization helps to construct and develop local stakeholders' capacity to engage in the policy process. Initiatives can take different forms of capacity building — institutional, human, financial and technical — aimed at ensuring the participation of the poorest and responding to community needs. They involve both local authorities and community actors since effective localization is equally about creating the right environment for the government as it is for civil society. Efforts for each group have tended to focus on how to assess, plan, oversee and provide for the services demanded. Skills in conducting participatory assessments, pro-poor budgeting and community monitoring are among the common interventions that have been pursued for civil society and should form part of a long-term capacity development strategy for these actors.

Networks and coalitions provide a critical channel for leading MDG localization activities. For civil society actors, networks offer the opportunity to leverage their voice, strategies and skills in local dialogues on MDG planning, advocacy and implementation. Similarly, the formation of coalitions helps to bring together stakeholders from different groups who are focusing on common concerns, nationally and locally. Both types of exchanges facilitate the sharing of ideas and create a consensus around how and why MDG achievement is equally a local priority.

Civil society can serve as mobilizing force to solidify MDG localization efforts. By coming from the community, they have a constituency that is ideal for participation in policy and planning decisions. The challenge is how to institutionalize this engagement and formalize their role in the decision making process rather than encouraging short-lived involvement that serves only as a rubber stamp for government processes.

#### Read More:

- Capacity Development for Localizing the MDGs. UNDP. February 2007.
- Community Engagement: Monitoring and Evaluation, by Luke Wasonga and Christine Musisi. UNDP. Presented at the Third African Evaluation Association Conference. Johannesburg, South Africa. 1-4 December 2004.
- Consolidated Reply: Conflict Prevention & Decentralized Planning/Comparative Experiences/Indonesia. CPR Net and DGP Net. UNDP. 22 March 2006.
- District Planning and Implementation Strategy Note and Guide. Leadership for Results: UNDP's Response to HIV/AIDS, by Benjamin Ofosu-Koranteng and Joseph Annan. UNDP. 2005.
- Localising the Millennium Development Goals in South Kazakhstan., by Alma Nurshaikhova PowerPoint presentation for "Localizing the MDGs through Improved Local Governance and Civic Engagement" Conference. Bishkek, Kyrgyzstan. 31 October – 1 November 2006.
- Toolkit for Localizing the MDGs, by Dafina Gercheva. UNDP. 2006.

# Annex 3.1

## BUILDING LOCAL AWARENESS AND SUPPORT FOR THE MDGS

Regional tours and advocacy strategies have been launched in a series of countries. Below is a sample TOR for the work done in Albania. For a sample in French, refer to the campaign launched in Cape Verde — Plan de Campagne des OMD (MDG Campaigning Plan)

### 1. BACKGROUND

#### A. General background

In September 2000, 147 heads of State and Government – and 191 nations in total – adopted the Millennium Declaration. The Declaration outlines peace, security and development concerns and mainstreams a set of inter-connected and mutually reinforcing development goals into a global agenda. As part of the preparation of the Road Map report on the implementation of the Millennium Declaration, discussions were held with the UN, IMF, OECD and the World Bank with a view to develop a comprehensive set of indicators for the Millennium Development Goals (MDGs). As result 18 targets and more than 40 indicators are defined — most of these are to be achieved by 2015. **These include:**

- Halving extreme poverty and hunger
- Achieving universal primary education
- Promoting gender equality
- Reducing under-five mortality by two-thirds
- Reducing maternal mortality by three-quarters
- Reversing the spread of HIV/AIDS, malaria and TB
- Ensuring environmental sustainability
- Developing a global partnership for development, with targets for aid, trade, debt relief

#### B. Albanian Context

In June 2002, the first report on the Albanian Response to the Millennium Development Goals was launched. The report was prepared for the UN Country Team by a local NGO, the Human Development Promotion Centre. All UN Agencies, the World Bank, and a range of other government counterparts and CSOs facilitated the preparation process of the report.

The report represents a comprehensive analytical effort to establish baselines for the most important related tasks for consideration by Albanian decision-makers, as well as the general public. It is designed to promote the active collaboration of UN Agencies, the World Bank and all other international agencies assisting Albania to achieve the MDGs. By taking into consideration all MDGs targets and indicators, the report assesses their relevance to Albanian conditions, offers suggestions with respect to modifications or substitutions, and identifies the present status of achievement, gaps and main issues to be addressed to achieve each objective. Each section also includes general information on the MDGs. Annexes offer more specific information on the main convention and declarations of the 1990s and their relationships with the MDGs. The report recognizes that there is low level of knowledge of the MDGs, including among national level decision makers, local government, the media and civil society. Their knowledge is incomplete and sporadic.

The report highlights that greater public knowledge, understanding and commitment at all levels are vital to the achievement of the MDGs. The campaign should not only be used to transmit simple messages needed for advocacy, but also to promote more active participation by the public in the implementation and monitoring of MDG policies and their results. The specific actions suggested include: 1) increasing public administration awareness on a regular basis, 2) providing public education (urban/rural areas), and 3) increasing media education.

The report emphasizes the importance of establishing a true partnership with the non-governmental sector. For this, it is necessary that the local NGOs, university researchers and professors, other professionals and the media must be informed about the MDGs, targets and indicators and the MDG process as a whole.

In many sector strategies and policy documents in Albania, the defined objectives and targets, as well as indicators, coincide to a large extent with the objectives, targets and indicators defined by the MDGs and other global conferences and summits. The National Strategy for Socio-Economic Development — the name for the strategy prepared through the WB-led PRSP process in Albania, also known as the Growth and Poverty Reduction Strategy (GPRS) — represents the most recent and comprehensive effort. It is very important to link the MDG process with the country's strategies and in particular with the GPRS.

### 2. STRATEGY FOR MDG REPORT LAUNCHING IN ALBANIA

In order to ensure coherent and integrated support for Albania's efforts in following up the UN global conferences (through the UN Country Team and other partners), the UN Resident Coordinator's office in Albania has elaborated a strategy for launching the MDG report throughout the country. A wide public awareness campaign planned within the strategy focuses on the following objectives:

- **Raise awareness and sensitize** the Albanian general public, national stakeholders and the local donor community on the MDGs and their impact on human development.
- Promote the **MDG report as one of several valuable tools** to inform and influence priority setting in national planning and budgeting and for international assistance.
- Provide an **opportunity to think through a minimum set of long-term and prioritized development goals** in support of the national Growth and Poverty Reduction Strategy.
- Assess **the challenges and opportunities faced by Albania** in addressing its priority objective of poverty reduction, considering the specific human and institutional situation of the country.
- Allow all **stakeholders to further reflect** upon their respective roles in and contributions to the ongoing national Growth and Poverty Reduction Strategy.
- Establish a **sustainable reporting mechanism** with governmental institutions and civil society.

One of the main activities under the launch is organizing regional tours on the MDG process at the local level.

### 3. TASKS UNDER MDG REGIONAL ADVOCACY TOUR

#### A. The main objectives of the MDG Regional Advocacy Tour are:

- Inform relevant actors in the regional and local level about the MDG process in the international and national context.
- Inform all the regional and local stakeholders on the current stage of development and future actions to be undertaken under the framework of MDG.
- Inform and discuss with regional and local stakeholders the linkages between the MDGs, GPRS and other national strategies in Albania especially on cross cutting issues such as poverty, gender, in general, and health and education in particular.
- Discuss and raise debate on the role and contribution of local actors in ongoing efforts to improve outcomes on issues linked with the MDGs such as education, health, environment, gender, and other related to poverty.
- Discuss and raise debate on how the local authorities could use the MDG report as a tool to prioritize their development objectives.
- Gather data (contact persons, addresses, expertise, etc.) on potential civil society organizations, which are willing and interested to participate in the civil society forum for monitoring the MDGs and PRSP.

## Annex 3.1

### B. Methodology

The regional tour will take place in almost all regions of the country and the local authorities will be heavily involved in the exercise. Round table discussions will be organized with the participation of:

- Representatives from prefectures
- Representatives of “Qarku”
- Representatives from the local government
- Representatives from the universities and high schools
- Representatives from school senates and students government (where active)
- Representatives from NGOs
- Media
- Distinguished people from the respective regions

Information kits will be prepared and distributed in advance in order to have a more fruitful discussion and debate. Key actors will be briefed in advance about the mission of the MDG regional tour, why awareness at the local level is important, which are the main elements of the report and their use as a planning and monitoring tool etc.

The consultant will comment on the content of the information kits that will be prepared for the following target groups: school students, media and local authorities; UNDP will be responsible for the technical issues like layout and printing.

The round table discussions will be co-moderated by HDPC team and MDG ambassadors. MDG ambassadors will be selected in cooperation with UNDP. Before the MDG regional tour, a detailed plan of activities will be designed.

### Media Relations

The regional tour will be reflected in the local media through short segments and special programs. (Who will be responsible and how much will UNDP be involved?).

TV spots on specific goals will be produced by UNDP and shown on local TV stations according to the schedule of the regional tour.

In order to coordinate the relations with media, close cooperation between the HDPC and UNDP is necessary.

### Reporting Requirements

An evaluation form will be distributed after each round table discussion to receive feedback from the participants; on the basis of these forms the HDPC will provide a written report at latest one week after each round table discussion.

This information includes:

- number of the participants
- information on participants (which NGOs? Which local authority?)
- interest on special issues shown by the participants
- findings during the discussion
- interest/willingness to participate in the MDGs/PRSP CSO Forum

## Annex 3.1

- media reports about the round table discussion
- possible follow-up activities

A final report at the end of the MDGs Regional Advocacy Tour will be presented. A financial report will also be submitted at the end of the Tour.

ACTIVITY	TIME FRAME	RESPONSIBLE PARTY
<b>A) PREPARATORY PHASE</b>		
Select the UNDP programme offices that will be trained on MDGs	10-15 September	UNDP
Decide on the Ministries that will be trained on MDGs	10-15 September'	UNDP-HDPC
Prepare a more detailed time schedule of activities	15-20 September	HDPC (to be updated regularly)
Contact the Representatives of Qarku, Municipalities, prefectures to discuss on regional MDG tour	September-End October	HDPC
Collect the information kit from UNDP and prepare all presentations	September- October 5th	HDPC
Identify other important related actors in the district/ regional level to be covered separately	September-End October	HDPC
Identify co-moderators in each region and brief them on MDGs	September-End October	HDPC
<b>B) REGIONAL TOUR</b>		
Agree on timing and place of MDG discussions with government institutions and arrange the logistic	October 1-10	UNDP
Inform the UNDP Programme offices on the date and place of the meetings on MDGs	Whole period	UNDP
Identify the place and decide on date and timing in cooperation with local authorities	Whole period	HDPC
Prepare and send invitations and Information kits	Whole period	HDPC
Invite media and journalists	Whole period	HDPC and UNDP
Get the feedback from the participants	Whole period	HDPC
Carry out informal discussions with other local interested people/ offices/programs	Whole period	HDPC
<b>C) INFORMATION AND REPORT</b>		
Prepare information for UNDP on region basis as per ToR	Whole period	HDPC
Prepare the report	January	HDPC
<b>D) KEEP CONTACTS WITH UNDP</b>		
Keep continuous contacts with UNDP for discussion issues related to MDGs	Whole period	UNDP-HDPC

## ANNEX 3.2

### STEP: CONDUCT CAPACITY DEVELOPMENT ACTIVITIES FOR CIVIL SOCIETY ORGANIZATIONS

The questionnaire below is taken from a training assessment for MDG localization in Albania. It can be used as a template and adapted as necessary. However, the enumerated items 1-7 are useful for structuring the sub-questions included in the survey form.

#### THE INTERVIEW QUESTIONNAIRE

CORE SKILL AREA	RELEVANCE TO THE TASK				CURRENT LEVEL OF KNOWLEDGE/SKILLS			
	1	2	3	4	1	2	3	4
<b>1. Main strategic frameworks for development</b>								
• Millennium Development Goals (MDGs)								
• National Strategy for Social and Economical Development (NSSD)								
• Stabilization and Association Agreement (SAA)								
<b>2. Information and data available from different sources on key regional development trends and disparities</b>								
• Data available from different departments in municipalities, prefecture								
• Locally available data collected by Statistical directories and INSTAT central office								
• Main analytical sources (Human Development report, Common Country Assessment 2002, Albanian Response to the MDGs, Regional development strategies)								
<b>3. Use of development data in policy design and on long-term development planning</b>								
• Main indicators of economic development								
• Main indicators of social development								
• Human Development Index (HDI), regional HDI								
• MDG-related targets and Indicators in the regional context								
<b>4. Policy cycle management and project management</b>								
• Assessment and analysis of key development challenges and opportunities in the region, building on 'problems tree'								

## ANNEX 3.2

Core Skill Area	Relevance to the Task			
• Stakeholder analysis				
• Setting goals and objectives				
• Identification of regional targets and indicators				
• Policy/program/project development				
• Transforming policies into action plans				
• Monitoring the MDGs and regional policies/programmes/projects				
• Evaluation of policies/programmes/projects				
<b>5. Management of development</b>				
• Leadership				
• Team Building				
• Management of teams/working groups				
• Management of meetings				
• Management of projects and programmes				
• Participation/Civil Society Mobilisation/Partnership Strategies				
• Donor Coordination/Foreign Direct Investment				
<b>6. Communication</b>				
• Public relations (organizing media campaign, local debates)				
• Media training				
• Cooperative negotiation				
<b>7. General skills</b>				
• Presentation techniques				
• ICT for development				
<b>Other (please specify)</b>				

**Legend**

- 1 not relevant
- 2 moderately relevant
- 3 extremely relevant
- 4 essential

CURRENT LEVEL OF KNOWLEDGE/SKILLS			

**Legend**

- 1 no knowledge/skills
- 2 basic knowledge/skills
- 3 working knowledge/skills
- 4 expert knowledge/skills



## ANNEX 3.3

### LOCALIZING THE TARGETS AND UNDERSTANDING THE CONTEXT

The activity below shows a table to be filled out to help align a community's development objectives with the interventions, resources and indicators to monitor progress. It can be used as a group work exercise for workshops organized with local civil society organizations. For similar activities, refer to: Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003

Example: Strategic Goal: "Provide a well functioning school for the well being of our children".

OBJECTIVES	KEY ACTIVITIES	INDICATORS	RESOURCES REQUIRED
1. By September 2007, our local school will have the physical infrastructure required to meet country standards	1. Make any necessary repairs and adjustments that the assessment finds. 2. Systematize school maintenance. 3. Employ a school caretaker. 4. Provide training for school staff to manage and maintain the building	1. Quarterly inspection reports from the school. 2. Popular agreement on the final report.	1. Investment projected of US\$xxxx.xx. 2. Hiring of new staff. 3. Training.

Source: Strengthening Decentralisation and Local Governance: Training Manual. UNDP Albania. 2003. pg. 59.

## DESIGNING AND IMPLEMENTING LOCAL DEVELOPMENT PLANS

### APPROACH A: CITIZEN REPORT CARDS

A list of variables appears below that can be used to facilitate the survey design for citizen report cards. For all the different services, the variables numbered 6-11 under “Drinking Water” should be used. In addition to this example from Ethiopia, work has been done in Tanzania (Zanzibar) in two districts on citizen service delivery. A total of 35 enumeration areas with about 29 households each were selected (for a final sample of 1015). A training manual developed for this work is available online at: [http://mdg-guide.undp.org/files/Module%203.4/Pilot\\_Participatory\\_Service\\_Delivery\\_Assessment\\_Zanzibar\\_Poverty\\_Reduction\\_Plan.doc](http://mdg-guide.undp.org/files/Module%203.4/Pilot_Participatory_Service_Delivery_Assessment_Zanzibar_Poverty_Reduction_Plan.doc).

#### Drinking Water

1. availability of sources;
2. access to sources – proximity, number of trips made to fetch water, etc.;
3. usage patterns — seasonal variations, coping measures during times of scarcity, etc.;
4. reliability – consistency, timing, adequacy, breakdowns, etc.;
5. costs incurred (including costs for seeking out alternatives);
6. nature of problems and problem resolution (redress of grievances);
7. satisfaction profiles;
8. reasons for dissatisfaction;
9. willingness to pay for better services;
10. suggestions for improvements; and
11. recent government initiatives.

#### Basic Health

1. profile of major illnesses;
2. availability of medical facilities;
3. access to facilities – proximity;
4. usage patterns – reasons for choosing a particular facility;
5. reliability – waiting time, presence of doctors and paramedics, availability of medicines, etc.;
6. costs incurred- direct and hidden;

#### Primary Education

1. availability of schools;
2. access to schools (proximity);
3. usage, if not –reasons;
4. dropout cases & reasons (e.g. gender biases, poverty, employment);
5. contributions in cash and kind (voluntary & demanded);
6. satisfaction with infrastructure facilities (classrooms, toilets, etc.);
7. experience with school committees;
8. problem areas (over crowding, absenteeism of teachers, private tuitions etc);

## ANNEX 3.4

### Agriculture Extension Services

1. profile of agriculture & related activities
2. presence of extension agents
3. type & quality of support received
4. access to credit institutions

Once a set of variables has been selected, it is possible to lay out the following timetable. The sample included here is what was used in Ethiopia. The timeframe will need to be adjusted to the country context and deadline for the results. Also, some of the tasks can be collapsed into a single step (i.e. analyze results and draft report).

TASK	RESPONSIBLE INSTITUTIONS	TIMEFRAME	OUTCOMES
1. Finalizing the instrument	Poverty Action Network for Ethiopia (PANE)* /Public Affairs Foundation (PAF)	Sept. 27th —	The instrument is finalized
2. Sampling Frame	PANE / PAF / Central Statistical Authority	Sept 27th-	The sampling frame is finalized
3. Training of Trainers for the survey	PAF & PANE	Sept. 28-29	ToT conducted; process of identifying supervisors started
4. Pre-test	PAF & PANE	Sept. 30	Draft instrument pre-tested; ToT concepts tested out in practice & list of supervisors finalized.
5. Finalising the instrument & revisiting the next steps	PANE Core Group, PAF & UNDP	October 1	The final version of the pilot citizen report card (CRC) instrument is ready. PANE core group assigns roles within its membership for the next steps.
6. Translation of the English version of the questionnaire into vernacular versions & re-translating them back into English for verification	PANE Sub Group -1	Oct. 4-15	Translated and authenticated vernacular versions of the questionnaire are printed and ready for field survey.
7. Identification of survey agency & recruitment of field enumerators	PANE Sub Group -2	Oct. 4-15	Survey agency for field assessment is identified; ToR drawn up by PANE (AAE) for field assessment; survey agency gets team ready
8. Training of enumerators and pre-testing for quality checks. Preparation of instruction manuals	PAF & PANE	Oct. 18-22	Enumerators are trained and observed for quality checks. Instruction manual prepared
9. Conduct of survey	Survey Agency, PANE	Oct. 25 – Nov. 12	Field survey; PANE supervisors ensures quality checks.

## ANNEX 3.4

TASK	RESPONSIBLE INSTITUTIONS	TIMEFRAME	OUTCOMES
10. Coding & Data entry	Survey Agency/PANE & PAF	Nov.15-22	All questionnaires coded and entered into the database. PAF provides support.
11. Generation of basic tables	PANE & PAF	Nov. 22– 29	Basic findings are tabulated; findings shared within PANE & UNDP
12. Analysis of results	PANE & PAF	Nov.29- Dec 3	Key findings are organized and analyzed. Simple cross tabs are run to explore cross linkages
13. Drafting of the Report	PANE & PAF	Dec. 6-10	Report of the pilot CRC ready for dissemination & presentations
14. Integrated workshop to disseminate key findings and exploring future steps	PANE & PAF	Dec. 13	Findings of the pilot CRC discussed and action plans drawn up
15. Documentation of the exercise and recommendations for institutionalizing CRC in Ethiopia	PAF	Dec. 20	Pilot CRC documented. Key learnings highlighted. Recommendations for institutionalizing CRCs in Ethiopia drafted.

Source: Citizen Report Card on Pro-Poor Services in Ethiopia/Inception Report. Public Affairs Foundation. 23 September 2004.

\* Note: PANE consists of over 40 CSOs, drawn from local and international NGOs, professional associations, women's groups, research based institutes, human rights organizations, the media and peace activists. The overall purpose of the Network is to coordinate the involvement of civil society groups and to empower citizens for active participation in the design, implementation and monitoring of poverty reduction policies.

## Annex 3.5: Facilitation Materials

### WORKING GROUP EXERCISE: BUILDING LOCAL AWARENESS AND SUPPORT FOR THE MDGS

The following activity can be used as an “ice-breaker” exercise when trying to get community groups to understand how the MDGs related to their own needs.

Activity: Carousel of Questions:

Time: 90 minutes

Note to facilitators: Devise five relevant questions for the community that draw on some of the themes included in the MDGs: HIV/AIDS, education, health, nutrition, food, poverty, inequality, the environment, women’s empowerment.

Some possible questions for discussion include:

1. What are the main welfare concerns for you and your family?
2. How are the MDGs reflected in community development concerns?
3. What are some of the ways that would be effective for communicating the MDGs to your community?
4. What types of partnerships (with government, the private sector, international agencies) could be formed to most effectively implement community development policies?
5. Who in your community has championed change and what have been their interests in this?

Each question should be written out ahead of time on five flipcharts (or six if there are six questions, etc.). Each flipchart should be placed in a different area of the room.

- Participants are divided into five groups. Each group is given a different colored marker. Each is assigned to one of the areas where a flipchart is placed.
- Designate one member of the group as the rapporteur (who will record group feedback).
- Each group will have 15 minutes to discuss their question.
- Each group’s response is noted on the flipchart by the note-taker.
- After 15 minutes, each group will rotate clockwise. By the end, all groups should have had the opportunity to discuss each question in-depth.
- Each group has the opportunity to modify / amend the previous group’s responses and refine the answers by adding their own.

At the conclusion of the carousel activity, each note-taker summarizes the feedback from her/his group (referring to the colored text matching the group’s marker).

Note takers are asked to report back to the plenary her/his group’s position on the questions.

# ANNEX 3.6: Facilitation Materials

## WORKING GROUP EXERCISE: PARTICIPATORY MONITORING

The following tool can be used as a mechanism to assign monitoring roles within a community. It was originally developed as part of a World Bank activity on community-based monitoring.

### Objectives:

- Establish monitoring and evaluation responsibilities for different community actors;
- Emphasize differences in roles; and
- Monitor community activities and development projects.

Participants: Community members and the local planning authority

Time: 60 minutes for the first list to be completed. (60 minutes for each additional one done on sub-projects relating to the same topic.)

### Steps:

#### Getting Started:

- Draw a table similar to the ones found below.
- Depending on community preferences, it may be better to use a seasonal agricultural calendar. Consult with community members before organizing the activity.

#### Discussion:

- Ask participants the importance of planning for common life situations (marriage, harvesting, religious/village ceremonies, etc.).
- Draw the comparison between a community's development and planning for these other situations.
- Take a current or past community initiative and ask participants to outline each of the steps required for its implementation.

#### Assign Monitoring Responsibilities:

- Decide who will be responsible for each task and when it will be accomplished to monitor the process and outcomes.
- Outline how the roles relate to the duties assigned to government monitoring bodies (committees, line ministries, the national statistical office, etc.) and the community's monitoring committee.
- Determine who will be keeping the project on track and checking to see responsibilities fulfilled.
- Draw up a "to-do" list to operationalize the monitoring plan. Many of the tools and techniques discussed – citizen report cards, participatory budgeting, citizen audits – can be used to carry out different components of the plan. These should be noted on the list and the matrix showing community monitoring tasks.

## ANNEX 3.6: Facilitation Materials

**FIGURE A2: MATRIX OF MONITORING RESPONSIBILITIES**

OBJECTIVE/ACTIVITY:	
PLANNING DATE:	
SUPERVISION DATE:	

TASK (PERSON RESPONSIBLE)		2002					2003					RESULTS	REASON FOR SHORT- FALL (IF ANY)	CORRECTIVE ACTION(S)
		/	..	*	)	\$	/	..	*	)	\$			
		/					/							
	planned													
	actual													
	planned													
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## ANNEX 3.6: Facilitation Materials

**FIGURE A2: MATRIX OF MONITORING RESPONSIBILITIES**

<b>OBJECTIVE/ACTIVITY:</b>	
<b>PLANNING DATE:</b>	
<b>SUPERVISION DATE:</b>	

TASKS	TIMING		RESULT(S)		REASONS FOR SHORTFALL (IF ANY)	CORRECTIVE ACTIONS
	Planned	Actual	Planned	Actual		

*Adopted from: Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation, by the Community-Based Evaluation Team. World Bank. 2002. See Annex 1, pg. 32.*



## Section 4

### MONITORING, EVALUATING AND REPORTING ON OUTCOMES: CIVIL SOCIETY'S ROLE

Civil society's involvement in the development process should not stop once policy has been formulated. Rather, active and meaningful involvement in monitoring and evaluation can and must take place at each stage to ensure continued progress, policy improvements and broad-based participation. Throughout the previous three sections, the steps outlined all have had clear entry points for civil society to lead monitoring efforts (see Table 4.1). For example, in conducting a visioning process, monitoring can help to ensure that the results are coherent and reflect the participation of different stakeholders. Aspects to assess include the availability and quality of the data used to support the visioning exercise and the qualitative aspects of the process (i.e. who was engaged, how they were engaged and what were the results).

Engaging CSOs in related activities during different phases of designing an MDG-based development strategy helps to promote ownership over the process and hold multiple levels of government accountable by making sure pledges are met. The principle channels to carry out this work are through monitoring and evaluation. Each serves as a mechanism for checking whether what has been envisioned, promised, earmarked or disbursed has actually occurred.

The difference between the two concepts relates to the focus of what is being assessed and the manner of doing it:

- Monitoring tracks indicators that capture the outcomes, impacts, inputs, outputs and process of policies, projects and programmes. It is a continuous function, which is often done internally, that aims to provide the main stakeholders with early indications of the quality, quantity and timeliness of progress towards delivering intended results. Through monitoring, one should be able to answer the question: "Are we doing things right?"<sup>52</sup>
- Evaluations consider the effectiveness and efficiency of a policy, project or programme by comparing its cost and performance to alternate uses of the same resources. They are usually external and done to provide a "snapshot" assessment of whether expected and achieved accomplishments match up. Evaluations help to answer the questions: "Are we doing the right things" and "Are there better ways of achieving results?"<sup>53</sup>

Reporting serves as the means by which the results of either activity are conveyed back to citizens and other stakeholders.

Through monitoring and evaluation efforts, citizen feedback can be used to gauge a policy's impact as well as any unanticipated consequences. For example, monitoring can be used for assessing MDG localization (Section 3) to ensure that the policy priorities of different groups have been included in the local development plan and for identifying obstacles that have arisen for reaching the targets set. Community score cards, sample surveys and focus group meetings offer different tools for collecting the desired information and to determine whether progress has been made (see Table 4.1).

To assess a policy, monitoring and evaluation activities should look at its inputs and outputs. **Policy inputs** can be monitored using public expenditure tracking surveys, which allow communities to follow funds from budget allocation to their intended purpose. **Policy outputs** can be evaluated using citizens' report cards, which consider access to and the quality of services provided. Bangladesh and Ethiopia are just two of the countries that have used these mechanisms, which also provide a tool for formalizing civil society engagement as part of the process (see Box 4.1 to learn more about the Ethiopian case).

52. See: Monitoring and Evaluating. From Inputs to Results. PowerPoint presentation. David Rider Smith. UNDP Evaluation Office. 21 May 2005. <http://www.undp.org/eo/documents/training/ME%20presentation%2012May05.ppt>.

53. See: Monitoring and Evaluating. From Inputs to Results. PowerPoint presentation. David Rider Smith. UNDP Evaluation Office. 21 May 2005. <http://www.undp.org/eo/documents/training/ME%20presentation%2012May05.ppt>.

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For participatory monitoring and evaluation activities to take shape and be successful, there are some pre-requisites for creating the right conditions for effective engagement. These include:

- A favorable environment for participatory policy processes, as characterized by political will and supporting legislation (i.e. a clear state policy on civil society).
- An institutionalized platform for government, civil society, private sector and donor stakeholders to dialogue and form partnerships.
- Efficient and timely information flows (vertical and horizontal).

Having these features helps to ensure that civil society is not involved in short-lived or one-off initiatives. Rather than perfunctory duties, monitoring and evaluation efforts can be used to legitimize the role and voice of citizens in the development decision-making process.

Even if the right mix of factors is present, civil society organizations may not have the skills or capacity needed to engage in the different roles that are demanded. CSOs have traditionally taken on responsibilities related to service provision (i.e. setting up clinics, doing advocacy and lobbying work, running HIV/AIDS trainings, etc.) and may face substantial challenges from entering into other functional realms. CSOs may also be hindered by a lack of access to information and key decision-makers, as well as by the inability to secure buy-in from their constituents and the support of their government counterparts. Finally, civil society organizations may only have found recent space to operate given changes in the country context, making the focus of their work simply to survive instead of assuming new duties.

The result of these barriers is that there is generally a low level of knowledge and experience among CSOs on how to engage in monitoring and evaluation activities. Governments may be hesitant to involve civil society organizations where the sector is not well-developed. Likewise, civil society may be hesitant to participate in formal government monitoring activities, as they may view them as undermining their own autonomy and credibility. The ability to change these perceptions and strengthen the required skills will depend on whether the space and interest is there on both the part of government and civil society. The steps outlined in this section will attempt to outline approaches to address each of these areas from each of these stakeholders' perspective.

### (i) Key Definitions

Before beginning, it is important to review and define some of the central concepts that we will be working with in this section. A complete glossary of all terms can be found at the end of the course.

**Administrative Data:** Data derived from administrative records of procedures such as birth registration, school enrollment, business registration, or measles immunization.

**Disaggregated Data:** Data related to population sub-groups defined by sex, rural or urban residency, age or any other attribute. Helps to explore and understand development patterns across and within diverse population groups.

**Evidence-Based Policy-Making:** Refers to a policy process that helps planners make better-informed decisions by putting the best available evidence at the center of the policy process. Evidence may include statistics, academic research, historical experience, evaluation of practical application and "good-practice" information.

**Monitoring:** A continuing function that aims primarily to provide programme or project management and the main stakeholders of an ongoing initiative with early indications of progress, or lack thereof, in the achievement of its objectives, often measured against specific indicators and/or benchmarks.

**Outcomes:** Actual or intended change in conditions that interventions are intended to support. It describes a change in development conditions between the completion of outputs and the achievement of impact.

**Outputs:** Tangible products (including services) of a programme or project which are necessary to achieve its objectives.

**Participation:** Taking part in an activity. Effective participation means individuals have an adequate and equal opportunity to voice their concerns and to express their preferences.

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### (ii) Why

Civil society holds several important comparative advantages relative to its government counterparts that should be leveraged to enrich existing monitoring and evaluation activities.

CSOs are often the only credible and independent actor nationally and locally that can use monitoring and evaluation as a means to make government accountable for delivering on its development promises to citizens. In some instances, CSOs can assume the role of “watchdogs” to ensure that government acts responsibly and to gather the information needed to keep its constituency informed. For example, civil society’s participation in monitoring and evaluation activities can help to identify breakdowns in education, health and other key services and engage them in providing recommendations to address these gaps. Without CSO monitoring of service delivery, policies and budgets, it would be difficult to determine whether government is performing well and using its resources as intended.

In many instances, CSOs are better suited to conduct these efforts locally than other partners since they are closer to the beneficiaries and citizens. This connection to their constituencies and communities puts them at an advantage when it comes to collecting information and creating user-friendly materials to report back on the results (for advocacy, outreach and assessment work). Moreover, the empowerment and broad civic participation that monitoring and evaluation activities can produce are additional “spillover” benefits that occur nationally and locally and throughout different parts of the policy process (see Sections 1, 2 and 3).

Soliciting this ongoing feedback from a policy’s target population and other relevant stakeholders is essential to ensure ownership and to prevent reversals in development progress once programme funding ends. Monitoring and evaluation activities also allow for the significant knowledge base of CSOs and their local constituencies to be fed back into policies when the political environment is right and the government willing. Linking the results of monitoring and evaluation to policy decisions has the objective of making the process more effective, efficient and relevant (i.e. evidence-based).

### (iii) How

CSOs should be able to access, understand and apply data needed to assess achievement of development targets. Beyond statistics and technical skills, they also need to be able to grasp the country’s policy making process. Understanding how government operates and assesses its own progress (i.e. indicators and benchmarks) will help CSOs as they attempt to monitor the performance of the state’s development plans and promises.

Which civil society actors should be involved in monitoring and evaluation efforts will depend on the profile and types of organizations that are operating nationally and locally. A stakeholder analysis, civil society mapping and other assessment techniques — which were discussed in previous sections — can be useful for these ends. For more information on these tools, see the “Preface” and “Section 1” and “Section 3” of this course.

Ideally CSOs should be selected that have a good background in basic statistical principles as well as an understanding of government planning and policy cycles. While developing these skills is the focus of this section, building stakeholders’ overall capacity to engage in the process should remain the broader objective if activities are to be effective and sustainable.

To achieve this goal, the steps in this section are grouped around two main areas of activities:

1. Identifying and developing monitoring skills
2. Creating the context for sustained CSO involvement

Throughout all the steps, training is focused on as one of the main mechanisms for formalizing the involvement of civil society in monitoring and evaluation activities. Formal and informal training initiatives can be useful for making CSOs aware of existing data and giving them the knowledge to apply it to analyze policy outcomes.

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Access to information is essential for strengthening and applying these skills since so much depends on getting, using and understanding data. To effectively monitor MDG progress, civil society organizations must know the basic channels for where they can find related information:

- Which upcoming monitoring and evaluation activities are planned? When? What groups have been already asked to participate?
- Which national experts can help to analyze the results?
- Which local and national media sources collect and disseminate related information? Who are the individuals that should be contacted?
- Which development partners can provide support? What are the types of training materials that they have available (i.e. the UNDP Blue Book, etc.)?
- What ongoing initiatives in the country could be leveraged to encourage civil society's engagement in monitoring?

Each of these areas will be discussed in more detail in the following section.

### 1. IDENTIFYING AND DEVELOPING MONITORING SKILLS

Learning must be seen as a continual process that requires different skills for different stages if monitoring and evaluation results are to be effectively linked back to policy choices at the national and local level. Assessing development outcomes and translating them into advocacy initiatives demands a level of training and specialization that differs from determining whether budgetary expenditures were spent as intended. For example, using field workers to conduct user satisfaction surveys has its own training requisites and requires skills on the part of civil society partners that are more varied than simply analyzing data.

Some of the recommended steps to carry out this capacity development include identifying entry points for getting the needed information and applying these findings to conduct performance-based monitoring.

#### Step One: Improve access to information

As part of monitoring and evaluation activities, CSOs can be used to complement and validate officially produced data on development outcomes. To assess the accuracy of vital government statistics, civil society may be asked to corroborate or dispute the findings based on their work and activities.

As part of the validation process, national level sources should be cross-referenced, including:

- statistical yearbooks;
- publications from the national statistics office;
- annual sector reviews and reports (the status of education, environment, health, etc.).

The findings from independent research institutes as well as internationally-financed surveys can also be drawn upon and assessed. These may include household level data collected from a Multiple Indicator Cluster Survey (MICS) or Living Standards Measurement Survey (LSMS). It may also involve a review and assessment of internationally compiled data available in online publications and databases from the World Bank, the UN family of agencies and regional development banks, among other institutions.

To fully engage with a broad range of stakeholders in the validation process, language and literacy barriers will need to be addressed. These issues are particularly acute for countries where government data and publications are not available in all local languages and regional dialects and when there are sizeable linguistic minorities. If the country does confront this constraint, alternative approaches such as village meetings, symbol or picture-based surveys and household consultations can be used to verify the results.

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**TABLE 4.1: MONITORING MDG-BASED NATIONAL DEVELOPMENT STRATEGIES: ENTRY POINTS FOR ENGAGING CIVIL SOCIETY**

SECTION	ACTIVITIES	SUMMARY	MONITORING, EVALUATION AND REPORTING			
			WHY?	WHAT?	WHO?	HOW?
1. FROM NATIONAL VISION TO STRATEGY WITH CIVIL SOCIETY	1. Establishing a national vision.	To allow for a broader understanding of the MDGs. To integrate them into the national development process. To have a participatory, technical and policy oriented process.	To ensure coherence with global standards and practices. To ensure the relevance to the national context. To ensure the participation of all stakeholders.	The visioning process. The availability and quality of statistical data and other types of information. The validity of the adapted indicators and targets. The quality and usefulness of the analysis and the outputs. The outcome and the impact of policies (longer term M&E).	Civil society stakeholders. Government. National and international experts. Statistical and/or planning offices.	Seminars. Open discussions, including with media. Peer review. Consultants. Shadow reports.
	2. Setting of an MDG baseline and tailoring of the MDGs using CSO involvement.					
	3. Priority setting and formulating the national development strategy.					
2. MEDIUM-TERM STRATEGIES: SETTING IT IN MOTION	1. Assessing the national vision and long-term strategy.	To translate the vision into a national strategy with clear and achievable targets. To ensure convergence between national and sectoral policies.	To monitor tangible progress against a planned time frame. To ensure that government and other stakeholders honor their commitments. To provide interim feed back needed for policy adjustments.	Input, output and performance indicators. Outcomes (to a lesser extent). Sectoral, national and local level results.	Civil society stakeholders. National and/or specialized CSOs or coalitions. Line ministries. Sectoral experts and institutions.	Mapping techniques. Quick surveys. Impact analysis. Shadow reports. Stakeholder assessments. Administrative data. Focus groups.
	2. Assessing sectoral and cross-sectoral strategies.					
	3. Preparing an interim strategy					
3. TAKING THE MDGS TO THE LOCAL LEVEL	1. Building local awareness and support for the MDGs.	To promote ownership and people's participation. To reduce development gaps between administrative levels and population groups.	To ensure policy priorities of different areas and groups are properly addressed. To monitor policy coherence, performance and progress. To identify obstacles and potential delays in reaching the targets.	Input, output, outcome, impact, process and performance indicators at the local level for locally-defined targets.	The community. CSOs at the local level. Local government authorities. Statistical office. Local level project/programme managers.	Local mapping techniques. Disaggregated data and indicators collected through community score cards, report cards and surveys. Simple indicators that can be measured directly. Focus groups and community meetings. Beneficiary monitoring.
	2. Determining capacity development and engagement approaches for civil society.					
	3. Localizing the targets and understanding the context.					
	4. Designing and implementing local development plans.					

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Validating data can be particularly beneficial at the community level where CSOs (including NGOs) may be involved in projects and service provision in some of the related sectors under assessment. A country's efforts to monitor poverty also can be boosted by testing indicators against what is known locally (see Annex 4.1 to learn more about levels of monitoring). Too often national measures may not be relevant for all administrative levels or reflect the actual problem in a community. Since local actors (particularly local governments) shoulder the responsibility to address poverty at the local level, they require local data to monitor local changes.

Some countries have chosen to produce development indices that capture community and district level development outcomes. These may use a set of simple indicators related to access to services, literacy rates or housing conditions. Whatever measurement is selected, it should cover the targeted area, be agreed on through a participatory process and be able to be monitored by local actors using a variety of tools (quantitative and qualitative). It also should appropriately address gender dimensions and provide as much disaggregated information as possible (rural/urban, age group, income groups, administrative units, etc.). When women's roles, responsibilities, needs and priorities are recognized at an early stage, it is more likely that these issues and concerns will be effectively addressed. At the same time, it is important to determine which disaggregated indicators are potentially useful for tracking changes in the lives of both women and men in order to streamline the monitoring process.

Efforts to collect and disseminate local level data may include:

- community surveys of available basic services;
- a status report on road and infrastructures facilities;
- advocacy campaigns on the local literacy rate;
- local assessments on household access to water or sanitation;
- community reports on the availability of school or health facilities;
- the publishing or posting of school attendance and drop out rates;
- the publishing or posting of municipal revenues collected from local economic activities.

Quick surveys, interviews, town hall meetings, observatories, local administrative dialogues — all these tools can be used to monitor progress on a quarterly or yearly basis.

However to engage CSOs in any part of the monitoring process, information on the development outcomes is needed. Gaining access to this information involves promoting and protecting the right to obtain and share the results. At the same time, other complementary factors must exist that facilitate the inclusion of such findings in planning decisions. When the linkage is not present between information gathering and the policy-making process, the effectiveness of monitoring can be undermined (see Box 4.1).

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### BOX 4.1: ETHIOPIA: USING THE PRSP TO ENGAGE NGOS IN MONITORING THE POLICY PROCESS

Ethiopian NGOs would like to enhance their accountability to the poor by implementing (or mobilizing resources for implementing) pro-poor programmes and participating in monitoring and evaluating the national development strategy (in English, the Sustainable Development and Poverty Reduction Programme – SDPRP). Their aim is to collect, analyze and feed “public voices” on the quality of public service delivery into policies — and into the ears of decision-makers.

Most NGOs have strong grassroots participation in the delivery of services and have experience in the monitoring and evaluation of poverty reduction programmes and projects. Moreover, civil society monitoring of the SDPRP is effective since NGOs’ coverage and capacities are extensive as compared to the government, particularly at the level of local government (woreda).

The main tasks in policy monitoring have included: (1) stocktaking of various policies or initiatives undertaken by the government each year, (2) assessing whether these policies have been formulated in a participatory manner, (3) critically evaluating (ex-ante) impacts of the proposed policies, (4) engaging actively in policy and budget discussions and organizing dialogue forums, and (5) disseminating the findings to the public.

However, there is still a knowledge disconnect between these activities and civil society’s understanding of the strategy. Discussion with some selected local NGO community members at a training session organized on the PRSP by HelpAge International has shown that:

- Following the consultation the NGO community does not have adequate information about the SDPRP;
- NGO members feel isolated and consider the process non-participatory;
- Most NGO participants do not understand or appreciate the implication of the SDPRP for their future activity and do not know how to become part of the process, and
- While many of them feel the need to be part of the system and participate in the process of evaluation, some have demanded that a new PRSP and budget be developed that better reflects their needs.

*Source: M&E Framework for NGOs Engagement in Monitoring of the Ethiopian SDPRP, by TAM Consult. Christian Relief and Development Association (CRDA). 2003.*

Formal and informal mechanisms must be in place to guarantee that the access and flow of information is protected and promoted between governments, legislators, community groups, CSOs and the private sector. Three common areas of activities for fortifying these relationships involve transparency, accountability and participation:

- **Transparency:** Face-to-face meetings and dialogues with government, publishing of official data in local papers, establishing a timetable for state statistical releases (budgets, poverty rates, education outcomes, etc.).
- **Accountability:** E-governance platforms (websites, blogs and bulletin boards), call-in radio programmes, open public hearings, monthly meetings.
- **Participation:** Town hall meetings, roundtables and focus groups.

A situational assessment of the current context can help determine which of these entry points is most viable and some of the key questions to ask (see Box 4.2 and Annexes 4.3 and 4.4).

It is essential to create and strengthen informational channels to enable all citizens — particularly the extreme poor and vulnerable — the same opportunity to influence government policies and practices at the national and local level.

These groups often lack information on issues that most impact them: public services such as health and education, budgetary decisions, social security and welfare benefits, housing and land rights, etc. Gender is an overlapping feature that adds to the marginality of citizens and the flow of and access to information. The lack of gender-disaggregated data is just one example of the challenges for improving the effectiveness of monitoring by improving access to information.



### BOX 4.2: Q&A: ENTRY POINTS FOR IMPROVING ACCESS TO INFORMATION

In addressing access to information as part of the monitoring process, further questions are needed to understand the context and current practices. Some include:

- Are the public aware of their rights to government-held information?
- Is civil society (including NGOs) actively engaged in promoting awareness on the right to information?
- Is the public exercising its rights (i.e. by submitting requests for information)? If so, what types of information are being requested? How is it being used?
- Are officials obligated to provide assistance to make available information to illiterate persons?
- Is it possible to waive or reduce any imposed fees to ensure that poor people in practice are not blocked from accessing information (i.e. on development data, budgetary expenditures, legislative votes, etc.)?
- Is information being produced in a form that is useful to vulnerable groups (women and the extreme poor) — both in terms of content and accessibility? Does disaggregated data exist?
- Has the government developed special programmes to raise awareness of the right to information among marginalized groups?
- Is infrastructure in place for providing information to rural and remote areas (i.e. community radio, mobile phones, local internet access points)?
- Do public officials travel into rural or remote areas? Are there opportunities or forums for public questions and discussion?
- Are there channels and opportunities for the poor to express their informational demands and needs?

*Source: A Guide to Measuring the Impact of Right to Information Programmes. UNDP Oslo Governance Centre. April 2006.*

### Step Two: Develop tools and techniques for performance monitoring

Beyond assessing and analyzing statistics, civil society organizations, when resources permit, can also generate their own data to complement or dispute existing information. Civil society stakeholders are well-positioned to conduct monitoring activities to assess government performance. Monitoring service delivery is a natural entry point given citizens and communities are the direct and intended beneficiaries of the policies and programmes.

In assessing services, questions to ask include those related to their:

- availability;
- accessibility;
- acceptability; and
- quality.

CSOs are especially suited to monitor service delivery, using the results as proxies for tracking local progress on the MDGs. Achievements toward reaching goals one to seven are outcomes of improved access both in qualitative and quantitative terms — to education, health services, sanitation, economic opportunities, alternative energy sources, etc.. However related national or regional-level data may not accurately reflect these changes or the changing development needs of a particular community.

Relying on community-led performance monitoring is also useful for overcoming informational gaps that may exist at the national level. During times of conflict and crisis situations, formal monitoring activity may cease and civil society may serve as the sole means for collecting information on country developments (see Box 4.3).



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### BOX 4.3: ASSESSING THE TSUNAMI RESPONSE

The Tsunami Evaluation Coalition (TEC) was established in the wake of the disaster in 2004 to monitor and evaluate the quality of emergency response efforts. The coalition was formed through a collaborative initiative led by UN agencies, research networks, donors and 14 NGOs.

Coalition members were involved in five thematic evaluations:

- the coordination of international humanitarian assistance to affected countries;
- the role of needs assessments in improving the response;
- the impact of the response on local and national capacities;
- the linkages between relief, rehabilitation and development; and
- the effectiveness and efficiency of the funding mobilized and received.

All findings were synthesized into a report for national and international policy-makers and other stakeholders. The use of reports to monitor the emergency response performance was seen as a means for providing accountability to both donor and affected country populations on activities and resources. To validate the findings and create national ownership over the report, a number of evaluation feedback workshops were held in donor and recipient countries.

Source: The Tsunami Evaluation Coalition. Website. <http://www.tsunami-evaluation.org/>.

Apart from their far reaching impacts, prolonged conflicts and civil wars breakdown the state's capacity to function, sideline the most basic services and undermine the ability to monitor the situation's human development consequences. Even when the fighting stops, rebuilding these capacities can take years. In countries like Liberia and Sierra Leone, donors and NGOs have collaborated together to step in to fill this void and to set up their own delivery and monitoring mechanisms with communities. In both countries, a development mapping and monitoring website was established as part of coordinating the donor response.<sup>54</sup> In response to recent crises, similar platforms have been developed for Sudan, Niger, Sri Lanka and Lebanon, among other countries

The prevailing country context — whether it is one of crisis or peace — will shape the tools and frameworks used to involve civil society in monitoring performance-based outcomes. Options include:

- community scorecards and citizen report cards (CRCs);
- participatory poverty assessments (PPAs);
- budget and public expenditure systems (public expenditure tracking surveys — PETS); and
- national and sub-national MDG reports.

Each of these methods relies on volunteer stakeholders who are willing to dedicate time and resources to conduct monitoring activities.

Before selecting and implementing one of these tools, it is important to assess the applicability and feasibility of using it. Questions to consider include:

1. What are the objectives of conducting the monitoring activity? Do these align with the process chosen?
2. Who will serve as volunteers? What skills will be required? How will they be recruited?
3. What techniques can be used to manage the partnerships and work planned with diverse stakeholder groups?
4. What is the timeline and schedule for data collection and analysis?

54. For more information on Liberia, see: (<http://www.humanitarianinfo.org/Liberia/>). For more information on Sierra Leone, see: <http://www.daco-sl.org/encyclopedia/>. A list of similar sites is available at: <http://www.humanitarianinfo.org/>.

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5. What are the data constraints and levels of availability and access?
6. Is a sample of the population needed? What size is recommended and realistic?
7. How can the results of the community monitoring activity be effectively disseminated?
8. What are ways to assess civil society (i.e. existence of networks) and the limits of its knowledge and capacity?
9. How can a balance be maintained between national and local priorities?
10. Has the budget been checked and re-checked to see whether funding is appropriate and available for the monitoring activities to be conducted?

Countries have accounted for these concerns by being innovative in how they have carried out the approaches taken. Some have used a mix of sub-national and national events, particularly when running trainings and gathering data. They also have relied on videotaping and cataloging activities at each step. Afterwards the recordings have been shared with colleagues at lower administrative levels in order to standardize knowledge about how to use and apply the monitoring technique in question. Most importantly, they have leveraged existing tracking systems and reporting frameworks to improve data gathering rather than setting up parallel collection methods. Finally they have relied on information sharing to get the results out, including disseminating them through the local media (i.e. newspapers, radio, etc.) and producing printed materials, which have helped to increase civil society involvement.

One approach for involving civil society in performance monitoring is the use of community scorecards. These are a fairly low-cost and direct way for validating services at the municipal or district level that government officials have reported as being readily available. Scorecards provide both a quantitative and qualitative assessment of policy outputs and impacts. Their broad and participatory nature makes them useful for empowering the poor to act as active partners in development.

A common type of scorecard is a citizen report card (CRC).<sup>55</sup> As part of this exercise, citizens are asked to rate the quality and accessibility of services being offered to the community. The results are used to provide public agencies with continuous feedback from target constituencies and to gauge citizen satisfaction with both services and the government. These tools also allow the poor and marginalized to participate in the policy process in a simple, effective way. Their assessment of services is used to identify key constraints, leaving policy-makers responsible to take the next steps to bridge the gaps. (see Box 4.4).

### BOX 4.4: CHECKING UP ON THE DELIVERY OF CLEAN WATER TO COMMUNITIES

Report cards are most effective for performance monitoring when the results can be used to hold a government publicly accountable. This can only happen when the political space is available for civil society to disseminate the findings — by publishing them in the paper, posting fliers, announcing them on the radio, holding public hearings, etc. The aim is to reach as wide an audience as possible and to generate public pressure for government and service providers to make the necessary changes.

In Tanzania, a CSO-led initiative to evaluate the provision of piped water identified shortcomings in terms of access. Findings from the survey led to a re-examination and re-engineering of the policy, improving both the quantity and quality of services offered to the intended beneficiaries. In addition to Tanzania, Mozambique and Uganda are piloting similar report card processes to strengthen the capacity of CSOs to monitor development outcomes and their impacts on poverty.

*See: Citizen Report Cards – A Presentation on Methodology, by the Participation and Civic Engagement Group. World Bank. 2004. South Africa: Citizen Report Cards to Improve service Delivery, by The Presidency and the World Bank. 2006.*

55. For more information on community-level monitoring mechanisms, see Section 3 of this training course: “Taking the MDGs to the Local Level”.

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Participatory Poverty Assessments (PPAs) are another widely-used tool for engaging civil society in monitoring the performance of poverty reduction policies. Through community-wide forums, PPAs provide a means for incorporating the perspectives of the most vulnerable and disadvantaged groups into the policy debate and action.

The assessment provides an important opportunity for interaction and dialogue between government actors and poor citizens. In countries where assessments have been done, government stakeholders often achieve a heightened understanding of poverty and its comprehensive, multidimensional nature. Specific, sectoral policies can result from PPAs, making policy increasingly relevant to local communities and effective in meeting their most pressing needs (see Box 4.5).

### BOX 4.5: GETTING CIVIL SOCIETY INVOLVED IN UGANDA: PPAS AND PUBLIC EXPENDITURE TRACKING

From 2001 to 2002, a participatory poverty assessment was organized for 60 villages in 12 districts throughout the country. While the Ugandan government led the initiative, civil society actors nominated by the poor such as Oxfam Great Britain and national researchers collaborated in the effort. The Ugandan PPA was particularly successful in its efforts to involve a wide range of stakeholders — ranging from informal sector groups to IDPs (Internally Displaced Persons) and slum dwellers.

The results from the exercise were used to shape local government planning processes and supplement data from the Uganda National Household Survey. The findings also formed the basis for drafting sectoral strategy reports and served as inputs to the home-grown PRSP. While the implementing agencies faced challenges in terms of managing such a diverse stakeholder group and in disseminating lessons learned, they used innovative means such as videos and media campaigns to overcome these initial challenges and reach out to a wide range of Ugandans.

Ugandan civil society actors also were particularly successful in using public expenditure tracking to show the breakdown between sector budgeting, spending and implementation. CSOs were invited to take part in monitoring the government's finances to highlight gross distortions in funding and policy outputs. Through budget tracking, they discovered that over a four-year period from 1991-1995, "only 13% of the annual per-student grant reached the primary schools," demonstrating that nearly 87% of the funds were being misappropriated or misused by district officials charged with education. As a result of advocacy efforts launched following the survey, the government engaged in several initiatives to enhance financial transparency and accountability. By 1999, schools were receiving more than 90% of the allocated capital grant.

*Source: Civil Society Engagement in Monitoring Poverty Reduction Strategies and Progress Towards the MDGs. UNDP Johannesburg Regional Centre. DRAFT, p 23.*

Public Expenditure Tracking Systems (PETS) provide an alternative method of monitoring that looks at input and output indicators rather than outcomes and impacts. PETS are used to see if budget allocations and spending match up and reflect citizen development priorities. The monitoring of a national or local budget is a simple and effective way in which civil society can measure whether or not a policy is being implemented and if it is consistent with agreed upon allocations and legislation. Many countries, such as Mauritania and Tanzania, rely on the exercise annually and have used it to counterbalance weak financial management practices on the part of government.

As part of the tracking process, both inputs and outputs are monitored to assess whether the designated level of funding has fully reached the intended services, administrative unit(s) and beneficiaries. Related monitoring activities require a high level of technical skill (i.e. financial analysis) and information availability if the system is to be effectively used.

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Surveys are a common and inexpensive form for setting up a public expenditure tracking system, which are usually organized by government and/or international donors. The information collected — by government and civil society stakeholders — provides a means of obtaining an independent audit of budgetary allocations, disbursements and receipts at the national, regional and local administrative levels.

If the context is right and the financial information is available, public expenditure monitoring has proven its usefulness for engaging with civil society actors and making budgetary decisions more responsive to the needs of the poor. This type of monitoring can:

- lead to more effective revenue collection;
- reduce corruption; and
- improve government transparency and accountability in public finance.

At the same time, it can help to develop the capacity of civil society to understand government budgetary processes and to build its credibility as a competent, technically legitimate actor in development decisions (see Box 4.5)

MDG reports, whether national or sub-national, offer civil society an opportunity to track development progress but without some of the technical capacity barriers posed by the other methods. Some of the ways that reports can be used include to:

- Develop stakeholder capacity for MDG monitoring and reporting;
- Promote awareness and advocacy on the national and local MDG process;
- Encourage the formation of coalitions, alliances and cooperative partnerships for MDG achievement among civil society stakeholders and with other development actors;
- Frame globally agreed objectives in the context of country-specific and local targets; and
- Align the monitoring of country progress with the human rights-based approach (HRBA), both in terms of substance and process.

In capturing recent advances toward the MDGs, the MDGR should incorporate data gathered by CSOs. Many of the monitoring and evaluation activities outlined in this section produce data that could enrich the report's portrait of progress. CSOs may be particularly useful in the MDGR process by leveraging their skills and networks to collect local, disaggregated data that can be used in compiling the reports.

However in practice there may be disconnects between compiling and disseminating data. A recent study of civil society's engagement in MDG monitoring found that the participation of CSOs in producing MDG reports has been fairly limited despite their increasing roles in monitoring activities.<sup>56</sup>

Whichever of these four tools is finally chosen, each will inevitably influence — and be influenced by — the process required to carry it out at the national and local level. Apart from adequately assessing the operating context, it is important to find ways to get civil society involved in the data dimensions — whether collecting or validating the results — given the power that monitoring can have in shaping a country's development dialogue. For more specific guidance, it is best to look at countries with similar profiles that have selected activities seeking similar outcomes (see the "Read More" section).

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56. For more information, see: Civil Society Engagement in Monitoring Poverty Reduction Strategies and Progress Towards the MDGs. UNDP Johannesburg Regional Centre. DRAFT. p 15.

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### Read More:

- Access to Information: Practice Note. UNDP. October 2003.
- Civic Engagement. Essentials. No. 8. October 2002. UNDP.
- Civil Society Engagement in Monitoring Poverty Reduction Strategies and Progress Towards the MDGs. UNDP Johannesburg Regional Centre. DRAFT.
- Frequently Asked Questions on a Human Rights-Based Approach to Development Cooperation. UN OHCHR. 2006.
- A Guide to Measuring the Impact of Right to Information Programmes. UNDP Oslo Governance Centre. April 2006.
- Indicators for Poverty Monitoring: A Practical Guide for Enhancing the Statistical Capacity of Policy-makers for Effective Monitoring of the MDGs at the Country Level. UNDG and UNDP. 2005. (Available in Arabic, English, French, Russian and Spanish).
- The Role of Civic Engagement and Social Accountability in the Governance Equation. Social Development Notes. No. 75. March 2003. World Bank.
- Tracking Human Development: The Use of Statistics in Monitoring Social Conditions, by Wolf Scott. UNDP Bratislava Regional Centre. 2004.

## 2. CREATING THE CONTEXT FOR SUSTAINED CSO INVOLVEMENT

One of civil society's primary roles in the development process is to act as an advocate for localities, groups, and/or issues that are not being addressed by current policy. By engaging in the monitoring and evaluation of development outcomes, civil society is able to fulfill this function and serve as a watchdog of policy breakdowns — as well as champion of policy successes.

To leverage this position, specific skills are needed to effectively translate monitoring results into advocacy campaigns and policy shifts. However, skills alone are not enough for ensuring their engagement if the overarching institutional and political structures are not conducive for civil society's involvement. Whether the government recognizes, accepts and respects the role of civil society in shaping development policy will determine how much political space exists for their engagement in monitoring activities.<sup>57</sup>

A set of three steps is covered here which focuses on building the structures needed to have a supportive institutional context and using this base to engage with specific groups on particular issues. Special attention is given to how to take the results of monitoring and evaluation activities and use them for advocacy and outreach initiatives.

### Step One: Help to promote a favorable institutional framework

One option for promoting a favorable environment is to formalize specific institutional roles that civil society can assume both nationally and locally. Discussions between government and civil society — sometimes held under the auspices of donors — can be organized to help reach a consensus on the assigned responsibilities and duties. A few suggestions for leading this process are:

- In dividing and sharing monitoring tasks, it is essential that civil society is able to preserve its autonomy and independence.
- If the proposed activities seem more of a form of cooption, civil society might compromise its ability to promote government accountability.
- As an alternative to public-civil sector cooperation, CSOs may opt to work together to establish separate monitoring and evaluation frameworks that would complement existing government systems.

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<sup>57</sup> The issue of policy space and the government's approach to working with civil society is addressed in the "Introduction" of this training course.

### BOX 4.6: BUILDING A FRAMEWORK FOR CIVIL SOCIETY MONITORING IN BOLIVIA

A formal and institutionalized approach has been used in Bolivia to involve communities in monitoring key national policies and outcomes. The country has established a legal framework called the “National Dialogue Law”, which mandates civil society participation in monitoring and evaluating the country’s national development strategy. Through this platform, many civil society organizations have criticized municipalities for being disconnected from community demands, particularly on indigenous peoples’ concerns—a social group that constitutes the majority of Bolivia’s population.

Local “vigilance committees” have been set up and include representatives from community-based organizations. The committees, which are funded through municipal budgets, are legally empowered to review local spending and levels of service delivery. As part of this work, an umbrella group of 53 NGOs has created a “social control mechanism” to meticulously monitor the government’s use of HIPC funds for social programming.

*Source: Beyond the Numbers. Understanding the Institutions for Monitoring Poverty Reduction Strategies, by Tara Bedi, Aline Coudouel, Marcus Cox, Markus Goldstein and Nigel Thornton. World Bank. 2006. pg. 52.*

The promotion of CSO partnerships and consultative networks is part of creating the right institutional context. Networks foster a sharing of human and financial resources that can help to overcome bottlenecks arising from questions of scale and responsibility.

In practice, establishing institutional roles for civil society in the monitoring process has varied by region and country. In Albania the UN country team has targeted networking and coalition-building to promote broader CSO cooperation. Despite the existence of eight CSO networks that oversee monitoring activities, sectoral partnerships have been missing and duplication of efforts are constant.

High degrees of CSO cooperation in monitoring activities characterize many Latin American countries, as evident in the case of Bolivia (see Box 4.6). In the Arab states, the institutional and operating environment is less conducive for having CSOs assume similar roles. Many countries have strict laws governing the creation and operation of CSOs that have restricted their contributions to shaping national policy. By contrast, governments in a range of African countries such as Mozambique, Tanzania and Uganda have established monitoring systems that have helped to institutionalize roles for civil society stakeholders in tracking development progress (See Box 4.7).

### BOX 4.7: INNOVATIVE APPROACHES FOR CSO MONITORING: EXPERIENCES FROM AFRICA AND THE ARAB STATES

Among countries in the Arab states region, the engagement of civil society in monitoring development outcomes has been minimal due to the existing political and legal context. However, there has been a tendency toward advocacy and outreach efforts to help build the support needed to secure increased responsibilities for national CSOs. In Lebanon, Jordan and Tunisia, consultations have been organized with civil society through awareness raising and campaign activities aimed at making the MDGs relevant to citizens’ everyday lives. While CSO inputs into monitoring and evaluation activities remain limited, the approach has been successful at building government’s experience of working with civil society as a full-fledged development partner.

In the Africa region, Uganda has adopted a government-led system that institutionalizes roles for civil society as well as other stakeholders to track development progress. The National Integrated Monitoring and Evaluation Strategy — coordinated by the office of the prime minister — oversees the tracking of the country’s development strategy and involves a range of actors. In addition, three non-governmental forums work at the national and local level to help facilitate specific monitoring activities. One example is the Uganda Debt Network. This CSO network coordinates district level monitoring of public service delivery funded through the country’s debt relief initiative. Similarly in Zambia, a CSO network has taken the lead in the country’s monitoring activities. The Civil Society for Poverty Reduction (CSPR) Network has created an independent monitoring system to supplement government efforts. The network also performs independent, in-depth research on poverty and policy implementation and uses its findings as a platform for policy advocacy.

*See: The Millennium Development Goals in the Arab Region. A Review of a Five Year Period. ANND. 2006; Poverty Monitoring and Evaluation by Civil Society in Zambia: Rationale, Objectives, Methodology and Design, by Venkatesh Seshamani. CSPR. May 2003 Civil Society Engagement in Monitoring Poverty Reduction Strategies and Progress Towards the MDGs: Good Practices and Lessons from Africa. UNDP Johannesburg Regional Service Centre. DRAFT. pgs 28-9.*

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The experiences across the regions discussed — Africa, Arab States and Latin America and the Caribbean — suggest some general areas where specific activities are needed to solidify the space and create the enabling environment required for the continued and conducive engagement of civil society. These include making sure to:

- Select strategic initiatives to demonstrate to governments the value-added of having civil society engaged in the policy process. Social policies that are popularly backed — by government as well as stakeholders — are always a good choice, particularly when they require and benefit from local level interventions.
- Establish platforms for partnership that can be institutionalized. For example, if the government has made combating child mortality a priority, the establishment of community committees to do health advocacy and outreach work would create the institutional base for consolidating and expanding the partnership into other areas.
- Improve the timely exchange of information and communication between government and civil society partners. Try to set up a regular forum for discussions between members of government and civil society. It may take the form of a taskforce or committee meeting or involve a broader exchange, such as outreach events or town-hall meetings. If the government is not open to an extensive dialogue, then working with a few CSO networks can help to expand the reach and representation of these efforts. Also encourage the government to set a timetable for releasing reports and data related to the country's development. This calendar should be published regularly (every quarter) and distributed in the local language(s).
- Determine ways to sustain and secure the commitment of CSOs over the long term. If the government is willing — and if CSOs have the skills and capacity required for it — select activities that engage civil society stakeholders in each step of developing an MDG-based strategy (see Table 4.1). An organization that has been involved in national visioning exercises and setting the country's development targets will likely be interested in tracking the progress. Also segmenting monitoring activities is another option for securing the commitment of CSOs because it helps to delegate responsibilities to a specific organization related to its sector of expertise or area of interest. By increasing the commitments of CSOs, caution is needed not to cause fatigue or disillusionment. If too much is asked or not enough progress results, the government may find it difficult to maintain its partnership in monitoring activities with civil society.

### Step Two: Engage with specific issues and groups

By agreeing with CSOs on specific monitoring functions, it is useful to select civil society organizations that have a respected trajectory of engagement on the topics to be tracked. Targeting the right stakeholders can be done by drawing on previous work related to civil society mapping and stakeholder analysis (as covered in sections 1 and 3 of this course). A focused engagement strategy is useful for partnering with the best actors, sustaining their commitment and leveraging their experience and expertise.

CSOs work on sector issues and represent interest groups that are not always included in the decision-making process. If the skills are in place, these CSOs are useful monitoring partners because they will enrich the evidence available on the current state of development outcomes and their impacts on — or exclusion of — specific social groups. By engaging with civil society organizations that represent these voices and interests, an increased level of accountability and equity are promoted on the part of government and the policies chosen.

When initiatives and interventions are related to a specific sector or group, it is important to engage with CSOs that work with the topic and beneficiaries in question. While this may seem an obvious conclusion, too often monitoring mechanisms set up for tracking progress on specific issues fail to include the groups that are most impacted by them. In the case of Latin America, a review of 11 country MDG reports found that indigenous peoples — despite typically suffering from increased vulnerabilities and lower levels of development progress — were largely excluded from the MDG monitoring and reporting process.<sup>58</sup>

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58. For more information, see: MDG Reports and Indigenous Peoples: A Desk Review. No. 2. Secretariat of the UN Permanent Forum on Indigenous Issues. March 2007.



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Overcoming this disconnection involves determining entry points that allow groups to successfully contribute to different phases of the monitoring process — from indicator selection and survey design to data collection and the validation of results (see Box 4.8 and Annex 4.2).

### BOX 4.8: WORKING WITH VULNERABLE GROUPS TO MONITOR DEVELOPMENT OUTCOMES

To effectively engage marginalized groups — such as indigenous peoples, internally displaced persons and refugees, and minority groups — in monitoring activities, some of the following steps may help:

- **Capacity development:** Training must be provided to excluded communities as well as their local leaders. In designing the training, sensitivities are needed to identify the obstacles that are preventing their effective participation and determine entry points for mitigating the structural challenges.
- **Advisory committees and task forces:** These bodies create a structure for regular engagement (see “step one”). For example, in Kenya the UN Indigenous Peoples Advisory Committee advises the UNCT on indigenous issues and how to reflect these in key programmatic initiatives.
- **Forums:** Similar to a task force or committee, forums open a dialogue with decision makers. However, the discussion is more broad-based and provides the space necessary for the entire community (or those who wish to join) to be involved in expressing its concerns and priorities. A common type of forum is a “social audit” to assess public management and service delivery.
- **Data Collection:** There is consistently a lack of quality data available on marginalized peoples, as few countries collect disaggregated information by ethnic groups on human development measures such as life expectancy, infant mortality, literacy and school enrollment rates. In collecting this information, communities should be engaged in designing the surveys and gathering the data. Communities are also very critical for tracking changes in environmental conditions (deforestation and land degradation) and health outcomes (HIV/AIDS) given the proximity to and impact of the issues. (For more information on local data collection, see Section 3, “3. Localizing the Targets and Understanding the Context”).
- **Tailoring of targets and indicators:** Common measures and concepts related to tracking the MDGs — whether on poverty, women’s empowerment and the environment — are often inappropriate and not significant for indigenous peoples. When the MDGs are tailored, indicators should reflect the local concepts, based on meaningful consultation.

*Source: Consolidated Reply: Indigenous issues in MDG-based PSRPs. Poverty Reduction Network and MDGNet. 26 July 2005. UNDP.*

In Central Europe, group representatives from the Roma minority were trained as interviewers to ensure that their concerns were being reflected in a survey of vulnerable groups in five countries (Bulgaria, Czech Republic, Hungary, Romania and Slovakia). Similarly, a participatory poverty assessment (PPA) used in Uganda invited a range of stakeholders — from slum dwellers to vendors — to assess whether their interests and needs were reflected in policy designs and funding allocations. In the case of water and sanitation policies, groups were asked to qualitatively rate the services and fee structure. In South Africa, child rights groups were invited to monitor the effectiveness of public spending on related policies as well as whether a new special court set up for children and rape victims was fulfilling its function.

Certain key factors and characteristics should be considered when selecting organizations to partner with in monitoring efforts. Since each represents specific group and sectoral issues, it is important to understand who may want to get involved and the nature of their constituencies. Different actors may include:

- Professional networks of service providers (healthcare workers, textile associations or teachers unions).
- Issue-based advocacy groups.
- Religious and other social networks (faith-based organizations and associations, racial and/or ethnic-based clubs, tribal and/or village associations, etc.).



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To narrow down the possibilities and understand what they will bring to the table, questions to ask and answer include:

- Does the organization have any political affiliations or ideological ties? While there is value of having formal political affiliations, if the monitoring is to be seen as independent, the parties involved must meet the same criteria.
- Is the organization part of a larger network? If it is, further analysis must be given to its management and funding structure (i.e. does it have the capacity to engage in activities)?
- How is the organization structured? If the organization claims to represent a particular group but lacks members among its staff and directorate, the partnership may result in a less than effective engagement.
- Does it have a central office in the capital or principal city(ies)? Working with organizations that have a greater reach is sometimes necessary, depending on the issues (i.e. rural development) and activities (i.e. performance monitoring). At the same time, a CSO based in the capital may have some of the leverage and skills needed for formalizing a role for civil society and gaining access to the information required for tracking the country's development progress.

Engaging with particular CSOs also means knowing who and how many stakeholders to involve. In the case of performance monitoring — where volunteers often are drawn from the community — it is important to narrow the range of actors. Questions should attempt to address:

- How many people are necessary for the monitoring activity?
- What is the time commitment expected?
- What level of expertise is required? How will these requirements be specified as part of the selection process?
- How will the organization find volunteers (i.e. newspapers and other media, flyers, village meetings, recruitment kiosks, etc.)?
- How will the CSOs that are organizing the process encourage people to volunteer?
- What will volunteers' duties include? Where will they work? What resources will they require to complete their assigned tasks?
- How will the CSO ensure that volunteers uphold the integrity of the project? Will they sign a code of conduct? What are the consequences for a volunteer's improper conduct?
- Will there be a group t-shirt, hat or badge that they can wear to show that they are working on a project with the organization?
- How will the organization reward volunteers for their work? How will it make them feel involved in the project?

As these questions signal, when it comes to monitoring — or any of the activities that contribute to achieving an MDG-based national development strategy — civil society engagement must be pursued as part of the process and the product. The involvement of civil society in the different phases of monitoring (the product) should be equally used as a mechanism for building civic engagement and empowerment (process) among social groups and different sectors in the country. As contexts and stakeholder capacities will vary, it is best to review the array of activities that are possible and to pick and choose accordingly (see the "Read More" section and Annex 4.5 and 4.6 for ideas).

### Step Three: Translate monitoring activities into advocacy

Active and on-going monitoring on the part of civil society can trigger revisions and changes in policies where deficiencies are demonstrated. In this sense, monitoring is not only about getting information on what has happened — i.e. literacy rates under the government's new education policy — but the ability to communicate and voice one's views in order to change what has happened (i.e. advocate). To make this linkage, CSOs should initiate dialogue with other stakeholders — i.e. government authorities, parliamentarians, private service providers, etc. — in the areas where they are conducting monitoring activities in order to best leverage their efforts into advocacy initiatives.

Empirical data (qualitative and quantitative) gathered from tracking results can be used to advocate for policy shifts. For example, a survey conducted by the Civil Society for Poverty Reduction (CSPR) network in Zanzibar showed that although the government had offered free water services for many years the services reached only a third of the citizens. Based on the results of the survey, the Association of NGOs in Zanzibar (ANGOZA) launched an advocacy campaign that resulted in the government modifying its water policy and increasing its outreach efforts to scattered settlements.<sup>59</sup>

To use the results of CSO monitoring effectively, start by outlining the objectives and groups targeted for outreach. The following five (5) questions can serve as a guide for setting out a potential advocacy strategy and determine which data to include and how:<sup>60</sup>

1. What is the main message to convey with the findings? Can it be explained in three to five statements?
2. Which actors do the groups conducting the monitoring hope to influence? Are they in government? Private sector? The international donor community?
3. What is the response desired from the target audience? What actions are wanted? What actions are possible?
4. When will the findings be most useful to the target audience? When is the best time to disseminate them? Prior to budget deliberations? In advance of an agreement with international financial institutions?
5. How should information be presented? A detailed report? A two-page summary? Oral briefings with officials?

As can be seen from these questions, specific skills are needed to effectively translate monitoring results into advocacy campaigns — yet few civil society actors often have them. CSOs must be able to understand how to identify, access and interact with relevant local and national policy-makers. They must also know how to present the outcomes of their monitoring efforts in a way that is simple, clear and easy to understand and which uses a coherent message.

CSOs must also understand timing and when are the crucial moments during the policy process to advocate and lobby their counterparts. Responsiveness will vary at different times and will depend on how the message is delivered and to whom. Table 4.2 offers a brief overview of when openness may be highest and for which groups.

59. See: Civil Society Engagement in Monitoring Poverty Reduction Strategies and Progress Towards the MDGs: Good Practices and Lessons from Africa. UNDP Johannesburg Regional Service Centre. DRAFT. pg. 24.

60. See: Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit 2: Parliamentary — Civic Collaboration for Monitoring Poverty Reduction Strategies. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish).

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### Read More:

- Beyond the Numbers. Understanding the Institutions for Monitoring Poverty Reduction Strategies, by Tara Bedi, Aline Coudouel, Marcus Cox, Markus Goldstein and Nigel Thornton. World Bank. 2006.
- Citizen Report Card Surveys: A Note on the Concept and Methodology. Social Development Notes: Participation and Civic Engagement. No. 91. World Bank. February 2004.
- Measuring Up to the Measurement Problem. The Role of Statistics in Evidence-Based Policy-Making, by Christopher Scott. Paris 21. 2005.
- Participatory Monitoring and Evaluation: Learning from Change. IDS Policy Briefing. Issue 12. November 1998.
- Participatory Monitoring of PRS and Pro-Poor Expenditure in Selected Districts and Areas of Ausha Region, Tanzania. Hakikazi Catalyst. Tanzania. 2004.
- Poverty Reduction, Decentralization and Community-Based Monitoring Systems, by Celia M. Reyes and Lani E. Valencia. Poverty and Economic Policy Network (PEP). ADB. 2003.
- PRSP Monitoring in Africa, by Erin Coyle, Zaza Curran and Alison Evans. PRSP Synthesis Note 7. ODI and DFID. June 2003.
- Sleeping on Our Own Mats: An Introductory Guide to Community-Based Monitoring and Evaluation, by the Community-Based Evaluation Team. World Bank. 2002.
- The World Bank Participation Sourcebook. World Bank. 1996.

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**TABLE 4.2: TAILORING AN ADVOCACY STRATEGY: LEVELS OF RESPONSIVENESS BY GROUP(S)**

PARTY TO BE REACHED (AND WHY)	WHEN MOST RECEPTIVE TO A MESSAGE	TAILORED FORMATS FOR MESSAGE
<b>Government</b> (Makes policy)	<ul style="list-style-type: none"> <li>• In preparing a PRSP or the Annual progress Report</li> <li>• During development of budget</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Executive summary</li> <li>• Private meeting</li> </ul>
<b>Parliament</b> (Enacts policy)	<ul style="list-style-type: none"> <li>• As parliamentary committees are considering budgets or relevant legislation</li> <li>• When there is oversight interest on an issue</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Executive summary</li> <li>• Private meeting</li> </ul>
<b>Media</b> (informs policy makers and voters)	<ul style="list-style-type: none"> <li>• When there are events warranting media coverage of a related issue (such as a major conference in the capital city)</li> <li>• When there has been a recent scandal regarding a related issue</li> <li>• When the message is delivered by a personality who typically attracts a lot of media attention</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Press release</li> <li>• Press briefing</li> <li>• Taped footage</li> <li>• Live interview</li> </ul>
<b>Public</b> (Votes)	<ul style="list-style-type: none"> <li>• During elections</li> <li>• When officials are scheduled to be in their district</li> <li>• When not distracted by other events</li> </ul>	<ul style="list-style-type: none"> <li>• Radio or television public service announcement</li> <li>• Public meetings</li> <li>• Pamphlets, public information materials</li> </ul>
<b>Local NGOs</b> (inform policymakers)	<ul style="list-style-type: none"> <li>• Anytime (preferably with enough advance notice to work the information into their own advocacy efforts)</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Executive summary</li> <li>• Calls from local monitors</li> </ul>
<b>Donors</b> (Fund development efforts)	<ul style="list-style-type: none"> <li>• When developing country assistance strategies</li> <li>• Before making funding decisions</li> <li>• Before annual IFI missions</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Executive summary</li> <li>• Private meeting</li> </ul>
<b>International NGOs</b> (implement development programs)	<ul style="list-style-type: none"> <li>• When implementing or designing programs</li> </ul>	<ul style="list-style-type: none"> <li>• Full report</li> <li>• Executive summary</li> <li>• Private meeting</li> </ul>

Source: *Strengthening Parliament Involvement in the Poverty Reduction Strategy Process and the Millennium Development Goals (MDGs). Toolkit 2: Parliamentary* — Civic Collaboration for Monitoring Poverty Reduction Strategies. UNDP and NDI. 2004. (Available in English, French, Russian and Spanish).

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### 3. CONCLUSION

Monitoring and evaluation efforts — at the national and local level — should take the evidence collected on development progress and use it to make more responsive policies that ensure the country is on track to achieve its MDG targets. In this way, monitoring and evaluation take us back to the first step of designing an effective and inclusive MDG-based strategy — and the beginning of this course.

While the role of CSOs in the planning and implementation phases of policies has become increasingly recognized, this section has highlighted the challenge posed by not having established more formalized channels to encourage and sustain their involvement in monitoring and evaluation activities.

Interestingly civil society is often better suited than their government counterparts to carry out monitoring and evaluation work. At the national level, CSO and affiliated networks may have the reach that government partners lack for identifying gaps and failures in service delivery. At the local level, community organizations may be more closely connected with beneficiary groups targeted for policies and better placed to monitor changes resulting from interventions. Moreover, civil society may be considered a more legitimate actor for leading monitoring activities. By being outside the state apparatus, CSOs can have the added advantage of being viewed as impartial, independent and more representative of citizen interests.

As this section has shown, getting CSOs engaged in monitoring and evaluation efforts is not an easy process and relies on changes in political space, organizational practices and participant skills. Information must be accessible and actors must be able to understand it.

A basic background in statistical principles is only the beginning. Learning must be continuous and occur at various points during the monitoring process. It must also reflect the different skills needed to use different tools, such as for community scorecards, public expenditure tracking, participatory assessments and MDG reporting.

Another key input to training efforts are initiatives that help to create a framework for institutionalizing the involvement of CSOs. Civil society participation varies greatly among countries, ranging from membership in watch-dog committees and ad hoc monitoring bodies, to the production of reports and studies (i.e. analyzing policies and disseminating results). In all these different forms, what makes their involvement productive is having informal and formal channels for engagement.

While less data intensive roles exist — such as leading surveys and validating government findings — they still rely on specific skills which may not be common among civil society stakeholders. Rather than being an obstacle, capacity development should be seen as an objective for making monitoring and evaluation efforts more inclusive and, in turn, more effective.

#### Read More:

- A Handbook for Trainers on Participatory Local Development, by S.P. Jain and Wim Polman. FAO. 2003.
- Influencing Poverty Reduction Strategies: A Guide. Oxfam. 2002. (Available in English, French and Spanish).
- MDG Toolkit. Module 3. Activity 2. Mobilizing Stakeholders to Monitor MDGs. UNDGO. 2005.
- Monitoring and Evaluation Capacity Development in Africa. Selected Proceedings from a Seminar and Workshop. Development Bank of South Africa, African Development Bank and World Bank. Johannesburg, South Africa. 25 -29 September 2000.
- Monitoring and Evaluation Modules: Manual. UNAIDS. 2002.

## LEVELS OF MONITORING: ROLES, RESPONSIBILITIES AND CHALLENGES

Involving civil society in the monitoring of development outcomes — particularly at the local level — requires a real transformation in the types and source of data used. For local monitoring to occur, global and national indicators cannot be a replication of each other (see Section 3). The reason is largely technical:

- Often disaggregated data is not available at the local level for many of the indicators that are being collected nationally and internationally (as in the case of the MDGs). Without comparable data, it is impossible to set a baseline or monitor progress.
- Some of the indicators that are used globally and nationally cannot be calculated at the local level because how they are computed. The maternal mortality rate, income poverty line and other poverty measures require specific data and population sizes (per 100,000).
- Local communities do not have — and should not necessarily have — the capacity or the resources to undertake surveys to compute nationally and globally comparable indicators.

For monitoring MDGs, these challenges become starker as you move from the global to local level. Take MDG 1 and target 1 which aim to monitor progress on reducing extreme poverty:

### At the global level:

- The indicator is the percentage (%) of population whose income is less than one dollar per day (US\$1/day).
- It is usually computed internationally by the World Bank and is based on national household budget surveys, which are adjusted according to purchasing power parity (PPP) to allow for international comparability. The periodicity of surveys impacts the availability of data. Usually, surveys are done every four to five years and then updated or adjusted annually or biannually.
- Civil society stakeholders usually make only a modest contribution to the survey process. Statistical offices undertake the surveys and poverty assessment (mostly) in coordination with international agencies. Civil society stakeholders can assume limited roles, such as survey enumerators or to assist in the design of the questions. However, the nature of the survey and indicators being monitored limits involvement and, in turn, the disaggregation of the results.

### At the national level:

- The US\$1/day measurement can be adopted if it is applicable and relevant for the national context (mostly least developed countries - LDCs). However, a national poverty line (or more than one) is usually produced, and this line is considered for national policy purposes the benchmark for monitoring progress.
- The national poverty line is calculated according to monetary or non-monetary indicators. Since it should be more reflective of the country, it should allow for capturing disaggregated results.
- Monitoring a national poverty line can be more easily undertaken by national entities with the possible contribution of non-governmental actors. Civil society organizations are more likely to get involved in monitoring if the data collection process is less complicated and a non-monetary poverty line is being used.

### At the local level:

- National poverty lines are not meant to be measures of poverty at the local level. They have limitations at lower administrative units since they are not relevant for all levels. Local actors (i.e. municipalities, CSOs, CBOs, etc.) have to address poverty at the local level (i.e. village, neighborhood, town) as part of their mandate and programme of activities.

## Annex 4.1

- Regional disparities lead to a variety of different priorities across regions. An adequate set of indicators and/or indices have to be agreed on through a participatory process that reflects the local context. It should be manageable and understood by local actors who should be capable of monitoring progress using a variety of tools (quantitative and qualitative). Quick surveys, interviews, meetings and general poverty observatories are approaches that can be used to monitor progress on a yearly or quarterly basis.

### **At the group level:**

- CSOs can and have to play a major role in monitoring and evaluation at this level, especially those organizations that have national reach and sectoral specializations.
- Indicators have to be clearly defined in relation with the characteristics, needs and priorities of each group. Intermediate indicators are commonly used that align with tracking progress on the national targets.
- For example, it is easy to calculate, determine and monitor what proportion of the national poverty line (the cost of living) is the official minimum wage or the wage rate for unskilled workers. In doing such work, it also allows civil society (i.e. trade unions) to play an important role in the process.

### **At the individual level:**

- Locally-based CBOs, committees, branches of government bodies and other actors can expand monitoring to the grass roots level to address specific beneficiary groups within the community.
- Data on the community helps these actors to prioritize their actions and interventions. Since a national poverty line is often not relevant, a local development index can be created that reflects the characteristics of the community as a whole.
- Indicators have to be identified with wider participation of the local population. Many tools can be used: consultations and meetings, focus groups, interviews, quick surveys, etc.
- Indicators must be accepted by the community, understandable, easily measured and monitored, and adapted to allow for the monitoring of subgroups and individuals. Local civil society actors must be able to integrate monitoring activities as part of their daily practices.
- For example, in a community where most of the population is living below the national poverty line, proxy measures are needed for monitoring progress. A participatory process can help to identify families with high risk profiles: the head or members of a household that have a disability, the number of children who are not enrolled in school, and/or the number of children (under 15 years of age) who are working.
- Indicators might include the number of working children from the community, the number of children leaving school in the village or the number of people suffering from a disease (like HIV/AIDS, malaria, tuberculosis, etc.).
- Local actors, including CBOs, can easily monitor this indicator using simple observation and reporting. In the case of enrollment rates, local school reporting can capture changes by looking at the number of children who are attending at the beginning of the school year and comparing it with figures throughout the year.

## CIVIL SOCIETY MONITORING OPPORTUNITIES IN THE POLICY CYCLE

Note: The following table sets out the different stages that typically characterize a PRSP process. At each phase, it breaks down the activities, actors, roles and reasons for including participatory monitoring mechanisms.

STAGES OF THE PRSP PROCESS	ACTIVITIES	KEY ACTORS	SPECIFIC ROLE OR ENTRY POINTS FOR CIVIL SOCIETY	HOW PARTICIPATORY PROCESSES CAN HELP
<b>ANALYTICAL &amp; DIAGNOSTIC WORK</b>	<ul style="list-style-type: none"> <li>LSMS, HBS, MDGRs, PPAs (Research to deepen understanding of poverty — reflecting diversity (gender, age, ethnic/regional groups, etc.)<sup>1</sup>)</li> </ul>	<ul style="list-style-type: none"> <li>Govt. (National Statistics Offices, Ministries)</li> <li>Civil Society</li> <li>WB and other donors</li> </ul>	<ul style="list-style-type: none"> <li>Conduct PPAs</li> <li>Independent policy</li> <li>Micro-level action research</li> <li>Public awareness of results to stimulate public interest.</li> </ul>	<ul style="list-style-type: none"> <li>Participatory research captures the multi-dimensional nature of poverty and diverse group needs to provide insights for policy-makers</li> <li>Participatory action research is empowering for the poor and can initiate community driven action</li> </ul>
<b>POLICY DESIGN &amp; FORMULATION</b>	<ul style="list-style-type: none"> <li>Choosing poverty reduction objectives</li> <li>Analysis of impact of various policy/public expenditure options (including social impact assessments)</li> <li>Defining the strategy — identifying public actions with most impact on poverty (based on MDGs)</li> </ul>	<ul style="list-style-type: none"> <li>Govt.</li> <li>Civil Society</li> </ul>	<ul style="list-style-type: none"> <li>Ensure priority needs of poor are addressed in policies</li> <li>Assess sectoral submissions for their focus on MDGs</li> <li>Ensure adequate investments to community concerns</li> <li>Public awareness of government policy</li> <li>Participate in preparation of detailed implementation plan</li> <li>Participate in determining indicators for monitoring outputs and impacts</li> </ul>	<ul style="list-style-type: none"> <li>Participatory poverty reduction impact analysis of policies can generate deeper understanding than when done only by officials and experts</li> <li>Negotiations between different national stakeholders can lead to broader ownership and a widely accepted consensus</li> <li>Negotiations of roles and responsibilities in implementation and monitoring helps to institutionalize a participatory process</li> </ul>
<b>APPROVAL</b>	<ul style="list-style-type: none"> <li>Broad-based approval at country level</li> <li>Formal approval by WB &amp; IMF Boards</li> <li>Loan negotiations</li> </ul>	<ul style="list-style-type: none"> <li>Govt.</li> <li>Civil Society</li> <li>WB/IMF</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate wide dissemination and discussion of PRSP</li> <li>Lead consultations with constituencies and public</li> </ul>	<ul style="list-style-type: none"> <li>Provides a mechanism to secure public approval and ownership</li> </ul>



## Annex 4.2

STAGES OF THE PRSP PROCESS	ACTIVITIES	KEY ACTORS	SPECIFIC ROLE OR ENTRY POINTS FOR CIVIL SOCIETY	HOW PARTICIPATORY PROCESSES CAN HELP
<b>IMPLEMENTATION (AND MONITORING)</b>	<ul style="list-style-type: none"> <li>Public expenditure management, sector planning and interventions, public service delivery, capacity development, local development planning processes</li> <li>Agreement on roles and responsibilities with govt. and local service providers</li> <li>Monitoring of Implementation</li> <li>Feedback to revise strategy and enhance future effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Govt.</li> <li>Civil Society</li> <li>Donors</li> </ul>	<p>Participate in:</p> <ul style="list-style-type: none"> <li>Developing the medium-term expenditure framework (MTEF)</li> <li>Sector planning (budget and expenditure tracking, participatory monitoring of spending and service delivery, monitoring planning at local level)</li> <li>Mobilizing communities for participation in local development planning, implementation and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Negotiations of roles and responsibilities can generate agreed standards for performance, transparency and accountability</li> <li>Participatory research can enhance people's awareness of their rights and strengthen people's claims</li> <li>Participatory monitoring of effectiveness of policy measures, public service performance and budgeting can contribute to efficiency and empowerment of the poor</li> </ul>
<b>MONITORING OUTCOMES AND EVALUATING IMPACT</b>	<ul style="list-style-type: none"> <li>LSMS, HBS, MDGRs, PPAs</li> <li>Combining both qualitative and quantitative research to assess development changes and impact of policies over PRS period.</li> </ul>	<ul style="list-style-type: none"> <li>Govt.</li> <li>Multi-stakeholder groups</li> <li>Civil Society (formal and informal)</li> <li>IMF and WB (Joint Staff Assessments, Annual Progress Reports, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Lead qualitative policy impact monitoring</li> <li>Organize and participate in participatory poverty assessments</li> <li>Conduct MDGR updates</li> <li>Publish results and facilitate wide discussions for input in PRS review</li> </ul>	<ul style="list-style-type: none"> <li>Participatory evaluations can bring to bear the perceptions of actors at different levels and their experiences with the strategy</li> </ul>

\*LSMS refers to Living Standards Measurement Survey and HBS is the acronym for Household Budget Survey PPAs (Participatory Poverty Assessments) and MDGRs (MDG Reports) are described in more detail in this section.

## Annex 4.3: Facilitation Materials

### WORKING GROUP EXERCISE: IDENTIFY AND DEVELOP MONITORING SKILLS

**Introduction** - This working group exercise should help to explore and discuss the multiple areas for engagement available for civil society to engage in monitoring activities.

**Exercise** - This activity is highly interactive and driven by participants' identification of issues of concern. It also involves role-playing in order to open participants to the different ideas and perspectives of different actors. Given this aim, it should be done in small groups to allow for discussion and include participants representing a range of interests. If a large number of participants are involved, it is best to mix and divide them into smaller groups.

**Time Frame** - 60 minutes (can be adjusted depending on how much time is given for discussion of questions)

**Participants** - Small group (15-25) activity. Participants should be drawn from multiple stakeholder groups or one organization.

**Objectives** -

- To identify areas for action that leverage CSO skills and capacity.
- To understand the different phases of monitoring and where (and when) they can be done — and by who.
- To build a common framework for collective engagement in the different phases of monitoring.

**Output** – The activity should produce a clearer understanding of the entry points available for civil society to become engaged in different components of the policy process. In this case, the focus is on the budget cycle although it could be replaced by a different phase of policy-making.

**To begin:**

- Using a white board or large sheet of paper, the facilitator should draw the budget cycle and enumerate the different steps. The process should be participatory, with participants encouraged to contribute their ideas and to explain what each step involves.
- Discuss with participants where the entry points are to engage with governments on monitoring the MDGs. Questions will be raised on:

how to determine the sectors to work in;

which groups are more likely to become engaged;

how to form alliances and partnerships; and

what the obstacles are for participating in the process.

- The facilitator should lead the question and answer session to discuss each of the points above.

Another option, if the group is larger, is to select a moderator from among the participants to help facilitate — or even lead — the session. As responses are given, they should be catalogued and written on large sheets of paper or flipcharts placed around the room.

- After all the answers are listed, the facilitator should take one or two of the topics and help to lead a role play exercise on how to engage civil society in monitoring this component of the process.
- When done, the recommendations should be noted and follow-up work planned for a more formal training event with civil society that draws on the areas outlined.

*Adapted from. MDG Monitoring and Statistical and Economic Literacy. A Manual for CSOs, by Edith Makandi Wanjohi. UNDP. 2007. DRAFT.*

## Annex 4.4: Facilitation Materials

### WORKING GROUP EXERCISE: ASSESSING ACCESS TO INFORMATION

**Introduction** - A baseline can help to determine what changes have happened as a result of policies and initiatives to improve citizens' access to information – a critical input for conducting monitoring activities. Table 4.3 shows an easy tool for assessing the current context. Known as the quick assessment, the output can be used as a key input for conducting a more in-depth situational analysis depending on time and resources. To answer the questions, participants should draw on published documents and any previous consultations done with government and civil society counterparts.

**Exercise** - The activity can be repeated multiple times with different civil society stakeholders to help cover all the questions and complete the mapping. Alternatively, the same sub-set of questions could be asked to all the groups to help trace out the different dimensions of the problem for different stakeholders.

Prior to the activity, review the questions contained in Tables 4.3 and 4.4 (see below). Based upon the profiles of the participants to be involved, choose the questions best suited for the audience.

**Time Frame** - Three hours

- First Session: 120 minutes (60 minutes per list of questions).
- Follow-Up Session: 60 minutes (discussion)

**Participants** - Small or large group activity.

**Objectives** -

- To have civil society members assess the current state of access to information.
- To account for power relationships and factors that may be affecting the feasibility and effectiveness of civil society monitoring.
- To identify the areas for improvements as well as the current obstacles.

**Output** - The main product of this activity should be the completion of baseline assessment of development progress on a particular topic: the access to information. The first part of the analysis should consider four dimensions: political, socio-economic, technical and the role of external partners. The second set of questions is structured to look at overarching frameworks: the legal and regulatory environment, the independence of the media and the level of access to information. It is important to note that the thematic focus of the quick assessment can be adopted and changed to reflect other areas of concern.

Once the assessment is completed by the group, the draft should be finalized and shared with other country counterparts for validation and to promote ownership.

**To begin:**

- Divide participants into small working groups of between five and ten people.
- Each group will be given a list of questions drawn from those found in Tables 4.3 and 4.4. Each list should not include more than 15 questions.
- Ask groups to select a rapporteur to take notes and report back to the plenary.
- Give each group one hour to discuss the questions among themselves. For each question, they should provide a consolidated response that reflects the consensus of the group.
- When time is up, ask each group's rapporteur to present their responses for four of the questions that are most relevant. No more than one of the questions should come from each of the categories: political, socioeconomic, technical and external actors. A written copy of the responses should also be presented to the facilitator.

## Annex 4.4: Facilitation Materials

- **Hint:** If the group is large, either reduce the number of questions to be reported or eliminate this step.
- A follow-up session will be determined to review all the different groups' contributions. The rapporteurs (with the assistance of the facilitator if needed) will be required to consolidate each group's responses into a single write up that addresses each of the four categories. This report will be presented and validated by plenary members during the follow-up meeting.
- Depending on time and the related activities, the completed quick assessment should be finalized within two weeks of the first meeting. In some cases, it might be able to be done the same or next day.

**TABLE 4.3: A QUICK ASSESSMENT OF ACCESS TO INFORMATION**

<b>POLITICAL</b>	What is the human rights situation? How transparent /open is the bureaucracy? Is there a vibrant civil society? To what extent is the legislative and policy environment conducive to the free flow of information and expression legislation in place and is there a political commitment to it? What are the underpinning political and/or economic power relationships?
<b>SOCIO-ECONOMIC</b>	What are the societal factors that may affect access to information and communication? What are the relevant power relationships, e.g. gender, religion, class, age, etc? What are the literacy rates? What languages are being used?
<b>TECHNICAL</b>	What is the state of the infrastructure? What kinds of technology (traditional and modern) are available and used across different sections of society and across different parts of the country (rural/urban)?
<b>EXTENDED ACTORS</b>	Who are the significant bilateral and multilateral donors active within the sector? Who are they working with and in what areas? Who are the significant service providers - nationally, locally, globally based? Who are the main civil society actors? To what extent is the private sector/business community active? What are the actors doing in this sector

## Annex 4.4: Facilitation Materials

**TABLE 4.4: QUESTIONS FOR CONDUCTING A SITUATIONAL ASSESSMENT**

<b>Legal and regulatory environment for freedom and pluralism in information</b>	What is the existing legal framework for freedom of expression and the right to information – is legislation in place supported by regulations and other implementation mechanisms? Are the legislation/regulations too restrictive? How was the legislative framework developed? What is the existing legal framework for the media? (Ownership structures, control of broadcasting and printing, freedom of expression status, protection of journalist)?
<b>Strengthening independent and pluralistic media at national and local levels</b>	What are the types of media outlets? What type of medium is the most widely used across different sections of the population (rich, poor, woman, ethnic groups) and regions? What are the existing technical resources and capacities of the media? What is the content of the media (nationalised lens)? What are the key characteristics of journalists (number, level of training, security)? Are there multiple sources of information? Does the generator of the information have a bias that would affect the accuracy/neutrality of the information? Do the intended receivers of the information determine the production of information? What kinds of mechanisms are used to share information (formal – e.g. mass media) or informal mechanisms?
<b>Promoting the right to raising awareness on the right to official information</b>	Is the information in a relevant form? Is the information easy to understand by the target group? Is there a “disconnect” between the intended target group and that target group receiving information? Are the means for accessing information relevant and appropriate? Are the rural groups disadvantaged from accessing information? Are women especially disadvantaged from accessing this information? Is there a charge for the information? Is this fee reasonable? Are the means for accessing information relevant and appropriate to poor people? Is information available in local languages?
<b>Communication and democratic dialogue mechanisms</b>	What kinds of mechanisms exist to communicate views and opinions? What kinds of mechanisms are being used to communicate views and opinions? Do channels exist for vulnerable groups to voice their views and in their native language? Who is listening? Who is responding? How effective is the media in serving this purpose? Are the intended targets of the information actually using the information? Is the intended target group empowered to use the information?
<b>E-Governance and related ICT initiatives</b> What types of ICTs are used to facilitate the four support areas described above? To what extent do poor and rural groups have affordable access to new ICTs (internet, mobile telecommunications, info kiosks etc.)? Do vulnerable groups, and relevant intermediaries, have the opportunities to acquire the technical capacities to utilize emerging technologies? Is there a legislative framework to facilitate cost effective and open use of the internet or does the existing policy seek to control access and use? To what extent is relevant public content available in local languages and user-friendly format? What are the kinds of e-government initiatives being promoted? To what extent do national/inter-national CSOs use ICTs in their public/policy advocacy work?	

Source: Access to Information: Practice Note. UNDP. October 2003. <http://www.undp.org/policy/docs/policynotes/a2i-english-final-4649027220103883.pdf>.

## Annex 4.5: Facilitation Materials

### WORKING GROUP EXERCISE: CREATE THE CONTEXT FOR SUSTAINED CSO INVOLVEMENT - PHOTOGRAPHS

**Introduction** - Photographs have the ability to quickly get attention and the message out. The media (news-papers, magazines, television) uses images to attract viewers and communicate ideas. This activity should be used with this intention and carried out to encourage participants to explore and experiment with social issues using the camera as their medium. It also can be used for advocacy and outreach purposes as well as.

**Exercise** - The following activity can be used as a way to engage with civil society stakeholders — whether an organization, community and/or individuals — to help capture and track their development priorities over a sustained period of time. Discussions and visual demonstrations (i.e. photographs, drawings, posters, pictorial symbols, etc.) are simple yet effective techniques for engaging a broader constituency in monitoring development progress. Asking people to voice whether services are being delivered or to photograph their development concerns (i.e. lack of water and wells, electricity, schools, healthcare, etc.) helps to juxtapose official data and findings with the on-the-ground reality. In this way, it provides an effective and qualitative monitoring tool to complement other sources of information.

**Time Frame** - Open

**Participants** - Community members, an organization's members or staff, a worker's collective, a civil society task team or advisory group, etc.

**Objectives** -

- To provide civil society stakeholders with a means to document their concerns
- To complement a more formal monitoring activity with additional, qualitative evidence
- To stimulate the engagement of social groups and/or individuals that may be excluded from participating in monitoring activities due to unforeseen barriers (language, education levels, resources, time, etc.)

**Output** - The activity should help to collect qualitative findings on whether service delivery or other policy initiatives are being as (in)effective as official data suggests. The duration of the exercise can be adjusted to the context and framed to complement related monitoring activities.

- For example, disposable cameras could be distributed to participants (either families or small groups if the resources are limited) during a village or town forum that has been organized as part of a broader initiative, perhaps a participatory poverty assessment.
- At the end of the discussion, the ground rules would be outlined, explaining to citizens that they have until the next meeting to take photos about what poverty means to them in their community.

The activity may last a few hours or couple of days - or perhaps even a week or month. The period should reflect the objectives and allow participants enough time to reflect and document their concerns (as well as the organizers to develop the pictures). Digital cameras in cell phones are equally useful — and quicker.

With the phase of taking photos completed, the processed photos would be incorporated into the monitoring activity. Options for using them include:

- Grouping the photos by issue and displaying them at a subsequent meeting organized to discuss a development-related issue — i.e. service delivery of water, road projects, spending on community schools, etc.
- Using the photos as visual evidence of the status of service delivery for a social audit.
- Including the photos in the production of a monitoring report, such as on the MDGs.
- Using the photos to catalogue a problem or the implementation of a policy.
- Posting or publishing the photos for citizens (nationally and/or locally) to disseminate information on development issues.

*Adopted from: Participatory Learning and Action. Critical Reflections, Future Directions. Issue 50. IIED. October 2004. See pg. 196-203.*

## Annex 4.6: Facilitation Materials

### WORKING GROUP EXERCISE: UNDERSTANDING LOCAL INDICATORS OF WEALTH AND WELFARE

**Introduction** – This activity involves the running of a local survey on perceptions of community wealth and welfare in order to set a baseline for measuring progress and changes – as well as to assess perceptions of quality of service delivery.

**Exercise** – The activity works well for working groups and/or committees that have been established to monitor policy implementation and impacts. It also can be used as a non-traditional method for conducting a community scorecard. Enumerators can use a modified structure for sampling households and/or citizens on their perceptions. Drawing on the enumerator to explain different welfare and wealth conditions, the simple diagram — a line with no writing — permits groups that otherwise might not have been engaged due to barriers to be involved in the process.

**Participants** - Small group activity (15-25 people) or population sample.

#### Objectives -

- To set a baseline for understanding local indicators of wealth, health, education, governance, the environment and women's empowerment, as well as other related development objectives.
- To engage members of civil society in assessing their development context.
- To define and delineate concepts about community and citizen welfare and wealth — and the factors that impact and change them.

**Output** – The activity should result in the production of a community level baseline based on assessment of local perceptions. It can be done either as part of a village or town hall meeting or as a more formal process such as a workshop or survey involving community members. The key is to have a range of local citizens representing different interests and groups. The other prerequisite is to keep the number of participants limited or each group (the activity can be run simultaneously using multiple groups).

To begin the activity:

- Place a line almost the length of a floor or room (about six feet or 80 meters in length). Either divide or ask people to divide into smaller groups at the extremes at either end of the line.
- Designate one end as positive (or good) and the other as negative (or bad). Some visual indication can be used (a "+" or a "-" as well as smiley and frown faces to indicate good and bad, respectively).
- By calling out different issues — good health and bad health, good diet and poor diet, good water service and water service — participants are asked to align themselves along different positions on the line that fall between these two extremes.
- Each person is asked to say why they are there. This can be done by placing a colored dot on the line.
- Hint: Prior to beginning, assign colors to teams or individuals.
- A similarly colored post-it note or card is used to describe why they decided to place themselves there.
- They are then asked how they would move up the line toward the positive end. The responses must be actions that either they or someone else can take.
- They also are asked to describe the situations that would cause them to shift backwards.

## GLOSSARY

**Administrative Data:** Data derived from administrative records of procedures such as birth registration, school enrolment, business registration, or measles immunization.

**Advocacy:** The promotion of activities or policies in defense of the interests of a particular group.

**Baseline:** A starting point for measuring performance and evaluating results. It allows two important comparisons to be made: real development progress against national objectives and targets, and national development objectives against the global MDGs. The baseline is part of an overall situational analysis that considers the country's political, demographic, economic, and historical trends.

**Capacity:** The ability of individuals and organizations or organizational units to perform functions effectively, efficiently and sustainably. Part of a continuing process where human and institutional resources are essential.

**Civil Society Organization (CSO):** A non-state actor whose aims are neither to generate profits nor to seek governing power. CSOs unite people to advance shared goals and interests, including (but not limited to) ethnicity and religion; shared professional, developmental or leisure pursuits; environmental protection; and/or human rights. They comprise the full range of formal and informal organizations within civil society: non-governmental organizations (NGOs), community-based organizations (CBOs), indigenous peoples' organizations (IPOs), trade unions, and social movements and coalitions.

**Community-Based Organizations:** Based in a geographical community, a CBO is dependent on its own resources, democratically organized and aims at the self-help development of its members.

**Cross-Sectoral:** Involving more than one thematic or administrative area. Synonymous with "multi-sectoral".

**Customize:** To adjust MDG targets and indicators to reflect the country-specific situation and national development priorities — i.e. adaptation, not mere adoption of the global goals. Adaptation is best achieved through a consultative process involving major stakeholders. For indicators, this means using the best available official data sources to measure progress toward agreed targets. Also known as to "contextualize".

**Decentralization:** The restructuring of authority to produce a system of co-responsibility between institutions of governance at the central, regional and local levels. Functions (or tasks) are transferred to the lowest institutional or social level that is capable (or potentially capable) of completing them. There are four main types: political, fiscal, administrative, and divestment (or market).

**Disaggregated Data:** Data related to population sub-groups defined by sex, rural or urban residency, age or any other attribute. Help to explore and understand development patterns across and within diverse population groups.

**Evidence-Based Policy-Making:** Refers to a policy process that helps planners make better-informed decisions by putting the best available evidence at the center of the policy process. Evidence may include statistics, academic research, historical experience, evaluation of practical application and "good-practice" information.

**Goals:** Express an objective to be achieved. Usually, they are non-technical statements that cannot be quantified. Goals do not describe a process — rather they refer to end products and results.

**Indicators:** Variables used to measure progress towards a target and overall goal. They are a means for measuring results against what has been projected and seeing what actually happens against what has been planned in terms of quantity, quality and timeliness.

**Integrated Planning:** Process by which governments consolidate plans and development strategies into a coherent framework stressing coordinated, collaborative and mutually-supportive interventions, whether sectoral or cross-sectoral in nature, to improve policy cohesion, efficient resource use and long-term effectiveness.



## Section 5

**Local Governance:** A set of institutions, mechanisms and processes through which citizens and civil society groups can articulate their interests and needs, mediate their differences and exercise their rights and obligations at the local level. Building blocks include: citizen participation, partnerships among key actors, capacity of local actors across all sectors, multiple flows of information, institutions of accountability and a pro-poor orientation.

**Localization:** Describes the process of designing (or adjusting) and implementing local development strategies to achieve the MDGs (or more specifically, to achieve locally adapted MDG targets). Through this process, nationally-defined targets are adapted to meet the development needs and priorities of specific communities.

**MDG Costing:** A process of determining what is needed in terms of financial resources to reach the MDG targets to provide a quantitative basis for defining anti-poverty strategies and programmes, as well as for forecasting needs and gaps and for mobilizing additional resources.

**Monitoring:** A continuing function that aims primarily to provide programme or project management and the main stakeholders of an ongoing initiative with early indications of progress, or lack thereof, in the achievement of its objectives, often measured against specific indicators and/or benchmarks.

**National Development Strategy:** A comprehensive planning framework designed to accomplish nationally-defined and consensually-set development objectives, priorities and targets. In the long term, usually implies a strategy of five, 10, 15 or more years. In the medium term, the period covered is usually two-to-three years.

**National Vision:** A long-term consensus on the future course of development.

**Needs and Capacity Assessments:** A tool that draws out information about people's varied needs, raises participants' awareness of related issues, and provides a framework for prioritizing development needs.

**Outcomes:** Actual or intended change in conditions that interventions are intended to support. It describes a change in development conditions between the completion of outputs and the achievement of impact.

**Outputs:** Tangible products (including services) of a programme or project which are necessary to achieve its objectives.

**Participation:** Taking part in an activity. Effective participation means individuals have an adequate and equal opportunity to voice their concerns and to express their preferences.

**Performance Budgeting<sup>61</sup>:** A process of planning and measurement to support targeted infrastructure and service delivery. From the local government perspective, the challenge is to optimize all financing sources; utilize all means of infrastructure and service delivery; and select a process that measures the economy, efficiency and effectiveness of that delivery.

**Policy-Making Instruments:** Instruments that indicate or provide the strategy for achieving development priorities as spelled out in national development documents.

**Priority Setting:** Refers to a process in which a country determines the key areas of focus or drivers towards its development goals and targets.

**Public Services:** Services generally provided by the government that help improve people's standard of living. Examples are public hospitals and clinics, good roads, clean water supply, garbage collection, electricity and telecommunications.

**Sectoral Strategy:** A policy framework for the medium and/or long term, which has been adopted by a government as a plan of action for a particular area of the economy or society. Strategies can include policies for agriculture, education, health, industry, trade and transport.

61. Source: "Performance Budgeting — Technical notes to support its development in Armenia". UNDP Armenia. 2004 [http://mdg-guide.undp.org/files/Module%203.2/Armenia\\_Applying%20Performance%20Budgeting.doc](http://mdg-guide.undp.org/files/Module%203.2/Armenia_Applying%20Performance%20Budgeting.doc). Also see: "Achieving Results. Performance Budgeting in Least Developed Countries". UNDCF. August 2006. [http://www.undcf.org/english/local\\_development/docs/thematic\\_papers/pbb/UNCDF\\_pbb-July2006.pdf](http://www.undcf.org/english/local_development/docs/thematic_papers/pbb/UNCDF_pbb-July2006.pdf).

## Section 5

**Stakeholder:** People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; national or local government; legislative or administrative bodies; donors and other decision makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment.

**Sub-National:** A political and administrative sub-unit, which includes regional, provincial, state, district or municipal level divisions.

**Tailoring:** Process of adjusting MDG targets and indicators to more accurately reflect and measure the country-specific situation and national development priorities — i.e. adaptation, not mere adoption of the global goals.

**Targets:** Individual, observable achievements directly related to a goal.



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