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CAPACITY DEVELOPMENT PLAN

Support for Effective Cooperation and Coordination of Cross-border
Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana
& Dawa, and Kenya-Somalia-Ethiopia (SECCCI) -T05.491 (T005)

Final Report

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I. THE SCOPE OF THE CAPACITY DEVELOPMENT PLAN

1. Introduction

The proposed Capacity Development Plan is based on the findings of the capacity gaps in needs assessment and planning as well as on the stakeholders' mapping and analysis. The Capacity Development plan is formulated for the following four functional capacities:

- Capacity to engage stakeholders in needs assessment and cross-border development planning processes
- Capacity to identify and assess needs related to cross-border development needs
- Capacity to translate the needs into the formulation of Conflict Sensitive and Gender sensitive development plan
- Capacity to monitor, evaluate and report to stakeholders

The capacity development plan will not be limited to the development of the capacity in the four functional capacities; it will elaborate on the requirements for an effective and successful plan.

The topics of the training will be formulated for the most important capacity gaps that need to be addressed. A proposal of priority tailored trainings will be prepared to facilitate and consolidate the participatory development of local border area development plans in a number of thematic areas such as Cross-border conflict, peace and security; Gender equality, youth and development; Minority groups, mobility, migration and displacement; Health, water and sanitation; Agriculture and pastoral livelihood, trade and transboundary resources. The capacity development plan that will be proposed would prioritize the interventions to be undertaken and according to a time frame.

2. Summary of capacity gaps in needs assessment and planning

The capacity gaps of relevant organizations in needs assessment and planning have been assessed through the following functional capacities:

- (1) Capacity to engage stakeholders
- (2) Capacity to identify and assess needs
- (3) Capacity to translate the needs into the formulation of a development plan
- (4) Capacity to monitor and evaluate

The most important capacity gaps that need to be addressed under each of these four functional capacities are summarized for clusters II and III as follows. The gaps are presented in cluster II as an average of percentage of respondents with partially developed capacity, as all respondents (except one INGO) are public offices. In cluster III, the data are presented both as an average of respondents and per type of stakeholders (Public office, NGO, CBO and INGO). It should be noted that for cluster III, the data per type of stakeholders are mentioned only for those stakeholders with percentages exceeding the cluster average.

(1) Capacity to engage stakeholders

Capacity gaps in stakeholders' engagement and mobilization	Percentage of stakeholders with Partially developed capacity				
	Average cluster 2	Average cluster 3	NGO	Public Office	INGO
Ability to mobilize stakeholders in the preparation of a strategic plan	75				
Ability to mobilize stakeholders in the preparation of a development plan	75	34.6			55.5

(2) Identification and assessment of needs

Capacity gaps in needs assessment		Percentage of stakeholders with Partially developed capacity (%)				
		Average cluster 2	Average cluster 3	NGO	Public office	INGO
Conducting a needs assessment	Leading and conducting a needs assessment		69.2	85.7		
	Conflict/Gender Sensitive, baseline assessments	85	42.3	57.1	50.0	
Design of the methodology of a needs assessment	Capacity to collect secondary data	75	34.6	71.4		
	Skills in qualitative, participatory research methods	85	38.5	71.4		
	Capacity in designing the tools for primary data collection	75	34.6	42.9	37.5	
Data analysis and data sharing	Data management and analysis	85	73.1	85.7		
	Sharing data in cross-border areas	80	54	57.1		55.6
	Sharing the findings of an assessment with the public		42.3		62.5	44.4
Other related capacity gaps	Technical and sector expertise	85	38.5	42.8		
	Understanding of cross-cutting issues, such as gender and environment	90				

(3) Translation of the needs into the formulation of a development plan in cross-border areas

Capacity gaps in development planning		Per cent of stakeholders with Partially developed capacity				
		Average cluster 2	Average cluster 3	NGO	Public Office	INGO
Programme/ Project design	Skills in the formulation of development programmes and project design	85	53.8	57.1		
	Formulation of programmes in conflict affected environments		53.8			55.6
Strategic planning	Use of SWOT analysis in strategic planning		34.6		37.5	
	Capacity of the organization in strategic planning	75				

Development planning	Implementation of results-based management planning through SWOT analysis	80	42.8	57		44.5
	Capacity of the organization in evidence-based development planning	75				
	Capacity to use SWOT analysis in development planning		46	57.1	50	

(4) Monitoring and evaluation

Capacity gaps in M&E	Per cent of stakeholders with Partially developed capacity				
	Average cluster 2	Average cluster 3	NGO	Public office	INGO
Capacity to monitor and evaluate	75				
Ability to integrate Conflict related issues in monitoring and evaluation		30.8		37.5	
Ability to prepare the terms of reference for external mid-term and final evaluation of the plan/projects		34.6		37.5	

3. Training proposals to address the priority capacity gaps

The following table consolidates the capacity gaps that will be addressed in a number of proposals of priority tailored training in the four functional capacities.

Proposals of priority tailored training	Capacity gaps
Stakeholders' engagement and mobilization	Ability to mobilize stakeholders in the preparation of a strategic plan and a development plan
	Sharing data in cross-border areas
	Sharing the findings of an assessment with the public
Conducting a needs assessment	Leading and conducting a needs assessment
	Conflict/Gender Sensitive, baseline assessments
Secondary data and research	Capacity to collect secondary data
	Skills in qualitative, participatory research methods
Design of the tools of a needs assessment: primary data	Capacity in designing the tools for primary data collection
Data management and analysis	Data management and analysis
Project design and formulation	Skills in the formulation of development programmes and project design
	Formulation of programmes in conflict affected environments
Strategic planning	Capacity of the organization in strategic planning
SWOT analysis	Use of SWOT analysis in strategic planning
	Capacity to use SWOT analysis in development planning
Planning for disaster and crisis response	Cross-border capacities for early warning, preparedness, mitigation and response to disasters
Facilitators for Moderating Dialogues	Capacity of peace committee members in moderating dialogues

Planning, Monitoring and Evaluation	Capacity to monitor and evaluate
	Ability to integrate Conflict related issues in monitoring and evaluation

The training proposals will be therefore developed for the following courses:

- Engagement and mobilization of stakeholders in needs assessment and development planning
- Conducting a needs assessment
- Design of the tools of a needs assessment: secondary data
- Design of the tools of a needs assessment: primary data
- Data analysis and data sharing
- Project design and formulation
- Strategic planning
- SWOT analysis
- Planning for disaster and crisis response
- Facilitators for Moderating Dialogues
- Planning, Monitoring and Evaluation

4. General guidelines followed in the training approach/methodology

The training program proposals should rely heavily on action learning methods of instruction, whereby relevant functional action learning exercises are intensively processed for each functional aspect of the program. This is different from the traditional lecture discussion methods because it maximizes the use of the latent creativity, accumulated experiences and disciplines of the participants. Full and active involvement and commitment from each participant are required. The trainers will serve only as facilitators, motivating the participants and providing specific guidelines whenever needed.

The training strategy should involve the following dimensions:

- The usage of a hands-on practical participatory approach. This approach will link concepts and theories to specific practical situations and encourage analytical and critical thinking and cooperative learning through group work.
- The training has to be complemented with the provision of user- friendly work tools and procedures manuals, the provision of guidance/coaching to the organization and the formation of peer support groups.
- Special emphasis should be given to contributing towards building a learning culture within trainees' environment.
- Special ice breaker has to be designed and implemented to facilitate trainees' integration & learning. This exercise will help the group members get acquainted with each other's.
- A free expression forum should be introduced whereby trainees are provided with an opportunity to reflect on specific ideas related to their work.
- An instant evaluation tool should be used to assist participants in giving their feedback to trainers at the end each training session.
- A comprehensive evaluation questionnaire has to be filled by participants at the last session of the workshop, whereby, they provide their inputs.

II. PROPOSALS FOR PRIORITY TAILORED TRAINING

A. Stakeholders' engagement and mobilization in needs assessment and development planning

1. The rationale

The main capacity gaps identified are related to the ability of the Organization to mobilize stakeholders in the preparation of a strategic plan as well as in the preparation of a development plan. There is a need to enhance the capacity of stakeholders in community level consultations and engagement which is critical in effective project implementation while avoiding the provision of ready-made solutions to communities. The community, in fact, needs to be involved in local planning and in the identification of priorities particularly when providing support to marginalized people. Organizations need also to communicate effectively their plans to stakeholders, as lack of information could lead to failed interventions. The involvement of all stakeholders in the future should become a practice in the work of the organizations (sub-national entities and CSOs). It should guide the design of future projects in local development planning, so that the project activities could better benefit community members.

The mid-term review of UNDP project: “Cross – Border Cooperation between Ethiopia and Kenya for Conflict Prevention and Peace Building in Marsabit-Moyale Cluster (2018-2021)” stresses the importance of involving directly the local civil society organizations (CSOs) extensively in order to fully realize technical knowledge transfer and thus enhance sustainability. Besides the local governments, the community should be engaged in the identification of the beneficiaries receiving support, particularly the most vulnerable ones¹.

At community level, stakeholder identification and analysis form the foundation for participatory planning processes, capacity building and effective programme implementation.

2. Training objectives

- To identify the Organization's key stakeholders and their concerns and expectations, and to explore how they influence the Organisation;
- To enhance capacity of the participants in identifying the Organization' allies and opponents when taking a course of action;
- To provide the participants with tools to explore how an organization can bring new supporters to its position.

3. Key content

1. Define stakeholders. By stakeholder, we mean groups or persons who:

- Are directly or indirectly affected by the Organization's interventions in local planning and development processes in the three cross-border clusters.
- Have interest in the Organization's interventions.
- Have the ability to influence the outcome of these interventions, either positively or negatively.

¹ UNDP, Mid-term review of UNDP project: “Cross – Border Cooperation between Ethiopia and Kenya for Conflict Prevention and Peace Building in Marsabit-Moyale Cluster (2018-2021)”

- Can actively influence the outcome of the process.

There are two groups of stakeholders:

(1) The primary stakeholders: are those ultimately affected, either positively or negatively by the Organization's interventions in local planning and development processes.

(2) Secondary stakeholders: are the 'intermediaries', that is, persons or organizations who are indirectly affected by these interventions.

2. Explain to participants that stakeholders on any given issue will broadly fall into the following categories:

- Unmovable Opponents
- Opponents
- Uncommitted and uninvolved
- Uncommitted and involved
- Allies
- Hard-core allies

3. Identify and categorize the relevant stakeholders in the three cross-border clusters by priority. Conduct a stakeholders' analysis that will look at:

- The interests of stakeholders' in the Organization's interventions
- The extent to which they will be directly or indirectly affected by these interventions
- The interest they can have on the interventions

The analysis will provide the basis from which to build the Organization's stakeholder engagement strategy.

Divide the participants by groups of 4-5 per group, in order for them to identify the relevant stakeholders for a specific issue.

4. Explain to participants that one of the ways to conduct the stakeholders' analysis is the use of the "Power Analysis" Matrix. The purpose of the Power analysis is to find out the extent to which the stakeholder has the ability to change the direction of the project, the extent to which it can persuade/force others in decision making and its ability to have an impact by bringing a change or result to the cross-border development processes.

Ask the participants to fill in the matrix by preparing the table for the issue identified above and indicate under each column the relevant characteristic.

Power Analysis Matrix

Stakeholders	Relevance to the organization's proposal	Power Ability to change the direction of the project	Support	Influence	Score

	Support Uncommitted Oppose	High Medium Low	Positive Neutral Negative	High Medium Low	

5. Assess relevant stakeholders and identify their positions towards the Organization's interventions/initiative/proposal

Explain to participants that in order for an organization's interventions to succeed, it needs to partner with a number of organizations and form coalitions by identifying the strong allies, the potential allies, the "uncommitted" stakeholders and the opponents. The organization can be more effective if it understands its opponents' reasoning and whether there is anything that can be done to persuade opponents to change their opinions, or at least neutralize their influence on the change the organization wants to pursue.

Ask the participants to work again by groups and identify positions and potential positions of stakeholders and find the means to influence them, by filling in the below "Stakeholder grid". The "Stakeholder Grid" is a useful mapping tool to situate who is important to the organization's interventions/ policy goal and where to exert influence in order to achieve the objectives.

Actors to influence	Support	Neutral	Negative	Arguments to influence	Assessment

B. Conduct a conflict sensitive needs assessment

1. The rationale

Conducting a gender/conflict sensitive needs assessment was found to be one of the main capacity gaps among sub-national entities and NGOs. Needs assessment is essential for programme planning, monitoring and evaluation, and accountability. The development of the capacity of stakeholders in needs assessment is a prerequisite for the design and the formulation of programmes/projects, as some organizations plan without undertaking such an assessment, particularly when funding is easily secured.

The implementation of a gender/conflict sensitive needs assessment methodology through dialogue and collaboration between stakeholders at local level will help in the identification of risks, needs and resources, the prioritization of risks and needs, and the identification of possible responses to solve them. This should be undertaken through the participation of the community as a whole in the assessment including the sub-national entities, civil society and private sector.

2. Training objectives

At the completion of the training course, the participants will be able to:

- Define the scope and rationale of the assessment
- Identify the users of the assessment and decide on the assessment products
- Formulate an assessment methodology
- Organize and manage the assessment
- Analyze the findings of the assessment

3. Key content

Step 1: Define the purpose of the assessment

Explain to the participants the need for the organization to be clear about the purpose of the assessment. The assessment may cover a wide range of issues or limited and specific issues, depending on its purpose. In order for the organization to define the purpose of the assessment, it needs to:

- Provide the rationale for the assessment
- Define the scope
- Identify the users of the assessment
- Decide on the assessment products

The rationale for the assessment

Provide the following examples of possible rationales of an assessment:

- Identify and respond to the major problems the target group/sector faces
- Identify constraints in a specific sector
- Take a pro-active approach to advocating for improvement of the conditions of the local communities
- Respond to a new dynamic in the policy environment

Define the scope of the assessment

Explain that the scope of an assessment refers to how much of the selecting specific issues the organization wishes to assess. The organization is to undertake an in-depth survey on relevant issues.

Ask the participants what issues need to be considered in the survey in order to assess the extent to which the target group/sector are affected by the current challenges.

In addition to survey, the organization needs to carry out a mapping of the external environment which will help the organization identify the opportunities and threats and design the best strategy when addressing its priorities. The assessment of the external environment should cover: a stakeholders' analysis and the analysis of the factors affecting the organization strategy and policy: political, economic, social and technological factors².

² This is developed in a separate training proposal

Identify the users of the assessment

The assessment will be used by the relevant organizations which are the primary audience. However, there are likely to be other key audiences (secondary audience) that should be taken into consideration when designing the assessment, such as:

- Government: National and sub-national entities
- NGOs and CBOs
- Community members
- International donor and development agencies

Assessment products

It is important to be clear about the products the assessment will produce:

- Detailed and/or summary assessment report.
- Use the findings of the assessment to formulate a strategic and a development plan

Step 2: Formulate an assessment methodology

Basic principles

When designing needs assessments, there are some basic principles that one should keep in mind:

- The methods used are valid: Use standardized procedures for collecting and analyzing data. Compare similar data from a variety of sources. This should lead to accurate data and sound conclusions.
- The methods are transparent: Make the methodology public and include the key stakeholders in the discussion around the design and the process of the assessment.
- The coverage is adequate: The scope should reflect the scope and nature of the planning exercise needed.
- Gender is to be considered: Take into account the different needs, vulnerabilities, capacities and perspectives of women and men.
- Coordination with other organizations working in the same area of intervention and participation in joint data collection processes where appropriate.
- Sharing of the findings of the assessment with stakeholders

The assessment methods³

Brief the participants about the assessment methods that can be applied and discuss each of the following methods:

- Review of the literature which involves a careful analysis of past assessments that have been done
- Surveys
- Focus group discussions and other forms of consultations

³ Training proposals on Primary and secondary data are developed in separate training courses

- Case studies
- Expert consultations

Step 3: Organize and manage the assessment

Clarify that the Organization needs to identify who will do the assessment and ensure the assessment processes are properly managed. This would require the organization of the resources and the management of the assessment process.

Organization of the resources: mobilize the human, financial and technical resources

- Human resources: This refers to the people who will direct, manage and carry out the assessment
- Financial resources: prepare a budget that outlines the costs of the assessment
- Technical resources: bring in specialists who can guide and support the assessment

Management of the assessment process: Necessity to designate the management team who will take part in the assessment:

- Steering committee: to oversee the assessment procedures and give guidance to those who are directly involved in the assessment.
- Assessment director: This is the person who is in charge of the assessment
- Assessment team
- Other stakeholders, such as government and private sector who can participate in the assessment

Step 4: Analyze the findings of the assessment

Due consideration should be given to the way in which the Organization analyses the findings of its assessment. Findings can be interpreted and used in different ways. Thus, it is important to be clear about this process and ensure it produces the results that were anticipated when the purpose of the assessment was defined.

Brief the participants about some useful processes to include when analyzing the findings of an assessment:

(a) Validation workshops: present the findings to a range of key stakeholders in order to discuss and validate them

(b) Categorizing and prioritizing findings: It is possible that the assessment will produce a long list of issues or concerns that need to be addressed. It might also be useful to categorize this list of findings into various categories, such as:

- Those that are concerned with specific sectors
- Those that are concerned with government policy
- Those that are concerned with types of stakeholders targeted by the assessment

(c) Turning assessment findings into the formulation of a plan of action and the identification of short, medium and long-term responses to the assessment findings.

C. Secondary data and research

1. The rationale

The organizations in the clusters face serious gaps in their ability to collect secondary data and conduct the relevant research when participating in a needs assessment exercise or in the formulation of a development plan. The organizations relate the weak capacity to the lack of qualified staff as well to limited human and financial resources. The importance of developing the capacity of the organizations in this area stems from the fact that in order to make a case for a specific issue to be addressed, they have to base and support their arguments by up to date and relevant evidence. The proposed training course will help organizations to identify areas for research and identify from other resources what they have identified as key constraints on a specific issue that need further research.

2. Training objective

The purpose of the course is to help participants to identify issues that need further research and identify sources for the research.

3. Key content

1. Explain to the participants that research is needed when there is not enough information and evidence as well as a comprehensive understanding of the constraints faced by specific target groups/communities/sectors with the view to present the case to decision makers and which may require specific interventions or policy or regulatory change to solve the specific constraints.

2. Explain the role of research in the preparation of the case:

- Understanding why the issue is a problem for the target group/sector;
- Understanding the scale and impact of the issue on the target group/sector;
- Understanding how specific interventions or changing the public policy or regulation will help the target group/sector and also understanding how change might impact other stakeholders.

3. Explain to the participants that the organization needs to undertake further research to build a comprehensive understanding of the issue. This should include: Understanding the root causes of the issue(s); Considering the implications for the target group/sector and for other stakeholders also; Consideration of the possible solutions to the identified constraint(s) and the likely implications of each for the target group/sector and for the other stakeholders.

4. Indicate to the participants that they may need to collaborate with other organizations and universities or research institutions at the very start of the research in order to share the work and gain from the expertise of each of these organizations.

5. Indicate the various sources of information that are available from government sources (i.e. statistical data from the relevant statistical office), national, regional and international organizations (i.e. IGAD, Economic Commission for Africa, United Nations agencies, other development agencies, donors, etc.).

6. The next step will be to categorize the information and summarize the most pertinent aspects into a working paper. This will help in the identification of information gaps that can be complemented with the collection of primary data.

D. Capacity development of stakeholders in the design and collection of primary data

1. Rationale

The findings of the capacity gaps in needs assessment show that most stakeholders have low capacity in designing the tools for primary data collection, leading and conducting a needs assessment and in integrating conflict/gender sensitive issues in the assessments. The other main gap in needs assessment is related to data management and analysis and which will be dealt with in a separate training proposal. Capacity development in needs assessment will include the capacity to design surveys and the capacity to conduct focus groups.

2. Designing surveys

Objectives

The purpose is to assist organizations in the design of surveys related to specific target groups/sectors and prepare the closed and open-ended questions. The course will also provide the organizations with an overview of the rationale for surveys and how they can structure ways to carry them out.

Key content

1. The following issues should be addressed to the participants in the training course:

- Why it is important to carry out surveys and what we try to achieve from surveys.
- Importance to have a clear goal for the survey: to gather information and opinions about needs or constraints faced by a target group/sector.
- Ultimately, the information gathered will help the organization to advocate to governments policies and programmes that could meet the needs of the target group/sector.
- Importance to decide on the approach to be used in the survey: Is the survey targeting all organizations/beneficiaries or just a sample? Is it precise in terms of the information the organization is seeking? Is it short enough to ensure sufficient responses but long enough to gather the information the organization requires?

2. The main factors that need to be considered in order to write effective questions:

- Questions should be direct and straightforward
- They should be simple and short and start with the easy ones
- They should be specific in order to avoid wider interpretation
- They should be clear
- They should be structured in a logical sequence and ease the respondent into the process

3. Two kinds of questionnaire could be used in a survey: closed or open-ended questionnaire. Each of these questionnaires has its advantages.

Closed questions

- Can address a relatively large sample
- More easily analyzed
- Can be more specific, thus more likely to communicate similar meanings
- Require less time from the interviewer

Open-ended questions

- They allow for more information
- They allow for obtaining extra information and can be used more readily for secondary analysis
- They cut down on error by eliminating the option of simply not reading the questions and just "fill in" the survey with all the same answers

4. The questionnaire needs to be tested among a small number of respondents to assess if it can generate sufficient information and to make sure questions are understandable for respondents.

5. There will be a need to complement the survey with semi-structured interviews and case studies that will be conducted with a small number of respondents.

3. Using Focus Groups

Objective

The purpose of the training course is to enhance understanding of the participants on the benefits of a focus group and the ways it should be handled and to enable them to identify the specific issues to be addressed.

Key content

1. Participants will be introduced to the concept of a focus group and its benefits. The focus group is a form of qualitative research in which a group of people are asked about their perceptions, opinions, beliefs and attitudes. It has several benefits:

- A large amount of information can be collected in a relatively short time;
- Focus groups are more flexible than set questions and can be used to complement other forms of research, e.g. surveys and questionnaires;
- They can be a tool to validate results of a survey;
- They encourage group interaction;
- They can be used to ascertain the nature and depth of a constraint/needs.

2. The success of the focus group(s) will be dependent on successful recruitment of participants. Selection may depend on the constraint/needs. The ideal group will have about 10 participants to enable full participation of everyone. It would also depend on the role of the facilitator and which is to maintain the focus of the group on the constraint under discussion.

E. Data management and analysis

1. The rationale

The findings of the capacity of stakeholders in needs assessment confirm the serious gaps faced by most of the stakeholders in managing, processing and analyzing data and information collected through primary and secondary data tools. Developing the capacity of stakeholders in data processing and analysis was also a recommendation formulated by stakeholders in the stakeholders' mapping exercise.

2. Training objectives

The overall aim of the training is:

- To build the knowledge and skills of the participants – technical and management staff - in the methods and tools of Data management, analysis and reporting.
- To enable participants to use the data in the analysis of the needs of target groups/sector and more particularly to enable them to lead emergency response information management (conflict, drought, climatic changes, etc...).

3. Key content

1. Introduce the participants to the broader concepts of emergency response and cluster coordination in cross-border areas where information management plays a vital role.

The objectives of this introduction are to:

- Provide participants with an opportunity to exchange knowledge and experiences and to network among each other in an effort aimed at creating a common ground in the area of crisis management;
- Introduce participants to the emergency response programme cycle, coordination and response planning process;
- Assist participants in understanding the principles of Information Management Cycle;
- Expose participants to techniques and methods of information collection, to generate up-to-date general and cluster specific information and to identify minimum information and indicators required;
- Emphasize the importance of Information management coordination with stakeholders i.e. government counterparts, UN and international organizations, NGOs, donors, media and public.

2. Enhance participants' capacity in the use of available information to produce basic analysis products using spread sheets, Geographic Information Systems and Visualization tools.

The objectives are to:

- Build the knowledge and skills of participants in the usage of methods and tools of information processing and analysis;
- Provide participants with hands on training on how to produce basic visual products and infographics;

- Introduce to participants the Geographic Information Systems (GIS) and how to produce basic analytical maps using commercial and open-source software;
- Assist participants in applying methods and tools to identify gaps, problems, and reduce the uncertainty associated with decision making

3. Information management and communication strategy

The objectives are to:

- Institutionalize information management services within relevant organizations to support effective emergency/crisis response;
- Introduce participants to appropriate, relevant and effective communication strategies;
- Build participants capacity in writing purpose-specific reports and public messages using data collected and analyzed.

F. Project design and formulation

1. The rationale

The findings of the capacity gaps assessment reveal that organizations (both sub-national entities and CSOs) lack the skills required to use the findings of a needs assessment into the design and formulation of programmes/projects particularly in conflict affected environments. They lack, in fact, the knowledge of the basics of project management methodologies (Project Cycle Management – PCM and Results-Based Management – RBM) as well as the ability to conceptualize the project and produce a road map to its implementation.

2. Training objectives

At the completion of the course, the participants will be able to:

- Understand the importance of project design and formulation and the challenges faced in this regard;
- Learn about the principles, components and basics of project design and formulation
- Learn about Project Cycle Management;
- Design a project theory of change and results framework;
- Prepare an action plan
- Prepare a budget

During the course, the participants will be requested to work by groups to develop concrete project proposals that are relevant to their work.

3. Key content

Step 1: Situation analysis

1. The formulation of a project proposal starts with the preparation of the situation analysis. Request the groups of participants to undertake the situation analysis using the problem tree approach in case the

participating organizations didn't conduct any needs assessment on a specific thematic area/sector. Point out that that this approach cannot be considered as a substitute to the surveys which are much more comprehensive and effective than the problem tree approach.

2. Explain that the problem tree is an approach that helps to identify the causes of the core problem and its effects on the targeted community/sector, and to derive the objectives from the problem tree diagram. This will help the participants to visualize the "cause-effect" relationship in a problem tree diagram.

3. The problem tree approach consists of identifying the major problems faced, the CORE problem among the major problems, the major causes that led to the core problem and the effects caused by the core problem. The major causes and effects will then be summarized into the Problem Tree Diagram.

4. The "Objectives analysis" should be then undertaken and which consists of restating all negative conditions of the Problem Tree into positive conditions, which are desirable, and realistically achievable; deleting causes which cannot be converted into achievable objectives; and finally examining the "Means-and-Ends" relationships thus derived to assure the validity and the completeness of the Objectives Tree. The Core Objective, Means, and Ends of the Objective Tree are thus identified.

Step 2: The RBM Results Chain

1. The "results": goal (overall objective), outcomes (specific objectives) and outputs are derived from the objective tree. A 'result' is defined as a measurable development change resulting from a cause-and-effect relationship. Results Chain is a representation of the causal or logical relationships between inputs, activities, outputs, outcomes and impact.

2. Explain that a Goal is the broad development impact to which a program/project contributes at a national or sectoral level.

3. Explain that Outcome/objective is the intended or achieved short-term and medium-term effects of an intervention's outputs. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact. More specifically, an outcome is the expected benefits to the target group(s). Outcomes normally relate to changes in institutional performance or behaviour among individuals or groups. Outcomes cannot normally be achieved by only one agency and are not under the direct control of a project manager. An outcome should be measurable using indicators. The outcome should be SMART—specific, measurable, achievable, relevant and time-bound.

4. Explain that outputs are the direct/tangible results (good and services) that the project delivers, and which result from the completion of activities. They must be achieved with the resources provided and within the timeframe specified. It is important to define outputs that are likely to make a significant contribution to achievement of the outcomes. They are largely under project management's control. The outputs should be SMART—specific, measurable, achievable, relevant and time-bound.

Step 3: The Result Matrix

1. A Results Framework is the program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions. Results Matrix is a tool used to systematically

plan the collection of information for monitoring learning and reporting. It helps in tracking the achievement of results.

2. The results matrix with outcome and output levels is presented in the template below:

The Results Matrix with Outcome and Output Levels

Goal					
	Indicators, Baseline, Target	Means of Verification	Risks and Assumptions	Role of Partners	Indicative Resources
Outcome 1 :					
Output 1					
Output 2					
Outcome 2					

3. Present the definition of the main components of a Results matrix:

Indicators	Indicators can be quantitative or qualitative. They allow the verification of changes produced by a development intervention relative to what was planned. Indicators tell us how intended results will be measured and whether (and how far) these results have been achieved.
Baseline	The baseline is the situation at the beginning of a programme or project that acts as a reference point against which progress, or achievements can be assessed
Target:	The target is what one hopes to achieve.
Sources of information	Are the persons, beneficiaries or organizations from whom information will be gathered to measure results.
Assumptions	Assumptions are the variables or factors needed to achieve the results. Assumptions should be stated in positive language.
Risks	Risk corresponds to a potential future event, fully or partially beyond our control that may (negatively) affect the achievement of Objectives
Role of partners	Should describe the different partners, whether they are government or a specific ministry, donor, NGO or any other implementing agency that might be responsible for the achievement of a given output and impact.
Indicative resources	Resources needed to implement the program/project

Step 4: Preparation of an action plan

The action plan is to include:

- All steps/activities necessary to achieve the outputs
- The time frame to implement each activity
- The party or person responsible of the implementation of the activity
- The inputs/costs required to carry out the activity

Step 5: Preparation of the budget

The cost includes human resources (time spent by staff and experts), materials, transport, etc...The cost of each activity is to be then incorporated in the overall budget.

G. Strategic planning

1. The rationale

The lack of capacity of most stakeholders in strategic planning has been a major constraint in conducting cross-borders development planning. The most important gaps in strategic planning have been in several areas: the translation of the findings of a needs assessment into the formulation of a strategic and development plans, the ability to ensure ownership by the local community of the local development interventions, the ability to mobilize stakeholders in the preparation of a strategic plan, the use of SWOT analysis in strategic planning and the preparation of an action plan.

2. Training objectives

The proposed training course aims to support organizations in the formulation of a concrete, relevant and feasible strategic plan with the participation of relevant stakeholders. In the course, the participants work together, with the support of a facilitator, to formulate the main components of a strategic plan: vision, mission, strategy, goals, objectives and related indicators, plan of action and a corresponding budget.

3. Key content

(1) The Mission

Objective

To enable participants to formulate the mission statement of their organization and relate it directly to the vision and values

Elements of the mission

The mission statement should comprise the following four elements:

- Purpose: A short description of the end result an organization seeks to accomplish
- Beneficiaries: A description of the beneficiaries we intend to serve
- Approach: A description of the primary means used to accomplish the purpose
- Values: A list of the values that guide the work of the organization

(2) The Vision

Objective

To enable participants to formulate a vision statement for their organization on the basis of the their internal capacity and the situation analysis

Elements of the vision

The vision is the starting point for any strategic framework. It is something that guides an organization in its work and gives the direction to the organization's future, for the next 5-10 years. The vision of an organization should be based on two kinds of survey: the organizational capacity assessment and the target groups/sectors needs survey (this can be done as part of the preparatory work explained below).

(3) Values and value statements

Objective

To increase understanding of participants about the importance of values in the work of an organization and their impact on stakeholders. The values of an organization are what it believes is the right way to do things; it is the way to deal with members and other stakeholders and value them. Value statements have little meaning should the staff of an organization not demonstrating these values in their work and behaviour.

(4) Preparatory work for the formulation of a strategic plan

A preparatory work needs to be done before starting the process of strategic planning. The process is to be based on a real understanding of the external environment and on the assessment of the Organization capacity, strengths and weaknesses. There are two important tasks that should be done in order to facilitate the strategic planning process:

- A review of the Organization's work and internal functioning (organizational capacity assessment), which will help the organization to address the main organizational gaps without which it will be not able to tackle the priorities and achieve therefore the vision. The review should also look at the impact, effectiveness and efficiency of the work of the organization and on the way the work is being carried out.
- Needs assessment survey which will help the organization identify the main constraints faced by the target group/sector and therefore the priorities that should guide its work in the next 5-7 years. The survey will also provide an assessment of the services needed by the target group/sector.

There would be therefore a need to support the organization in these two surveys, or alternatively, the organizational capacity gaps assessment and the needs of the target groups could be undertaken, in a participatory approach, in the training course.

(5) SWOT analysis as preparation for the strategic planning process

Objectives

- To identify the internal strengths and weaknesses of an organization, as part of the organizational capacity assessment
- To identify the opportunities and threats in the external environment through the PESTEL assessment

What is SWOT analysis?

The SWOT analysis provides a framework to plan for the future, using your strengths to support your goals and objectives, your weaknesses that need to be strengthened, and the opportunities you need to take and the threats to be addressed.

While strengths and weaknesses are factors that are internal to the organization and can be addressed within the organization, opportunities and threats are external to the organization and provide challenges to the organization, and are addressed through the PESTEL analysis (Political, Economic, Social, Technological, Environment and Legal factors). When assessing the external environment, there will be a need to carry out a stakeholders' analysis, since stakeholders have the power to influence the organization's agenda positively or negatively⁴.

Use of the findings of SWOT analysis in strategic planning

The following questions need to be answered from this strategic planning process:

- How can we build on our strengths to improve our service delivery to members?
- What can we do to take advantage of the opportunities?
- How can we use our strengths and the opportunities to reduce the threats facing the organization?
- How can we use the opportunities to reduce or neutralize our weaknesses?

The results of the SWOT analysis can be used in the formulation of the overall goal and strategic objectives. SWOT analysis will help in deriving and prioritized the strategies:

- Strengths – Opportunities (S-O) strategies pursue opportunities that are a good fit to the organization's strengths.
- Weaknesses – Opportunities (S-O) strategies overcome weaknesses to pursue opportunities.
- Strengths – Threats (S-T) strategies identify ways that the organization can use its strengths to reduce vulnerability to external threats.
- Weaknesses – Threats (W-T) strategies establish a defensive plan to prevent the organization's weaknesses from making it highly susceptible to external threats

	Opportunities	Threats
Strengths	Strengths – Opportunities (S-O) strategies Strengths – Opportunities (S-O) strategies pursue opportunities that are a good fit to the organization's strengths.	Strengths – Threats (S-T) strategies Strengths – Threats (S-T) strategies identify ways that the organization can use its strengths to reduce vulnerability to external threats
Weaknesses	Weaknesses – Opportunities (S-O) strategies	Weaknesses – Threats (W-T) strategies Weaknesses – Threats (W-T) strategies establish a defensive plan to prevent the organization's

⁴ SWOT analysis and stakeholders' analysis are presented in detail in separate training proposals

	Weaknesses – Opportunities (S-O) strategies consist of taking actions to minimize the Organization's using the opportunities identified	weaknesses from making it highly susceptible to external threats
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(6) Formulation of strategic goals, strategic objectives and action plans

(a) Formulation of strategic goals

Objective

To enhance capacity of participants in the formulation of strategic goals and in relating the goals to the SWOT analysis

Key elements

Step 1: Explain to the participants that goals are related to the vision of the organization and are more specific than the mission statement. They address strategic issues. The goals are directly related to the core problem identified in the situation analysis and the results of SWOT and PESTEL analysis. They indicate the general changes that will take place in the organization as a result of the strategic planning process. Goals describe the desired end result. The strategic priorities identified above as a result of the SWOT and PESTEL analysis would be considered as the goals of the organization.

Step 2: Clarify that goals should meet certain criteria in order to be considered goals and not strategic objectives:

- They should clarify the vision and mission
- They address the core problem identified in the situation analysis (SWOT and PESTEL)
- They address the gaps between the current and the desired level of service
- They are achievable in a relatively long-term period, at least 5 years or more (up to 10 years)

(b) Formulation of the strategic objectives

Objectives

1. To enhance the capacity of the participants in identifying the strategic objectives in order to achieve the goals, by turning the strategic priorities into strategic objectives

2. To enhance their capacity in applying the SMART criteria and in formulating the indicators of success for the objectives

Key elements

Step 1: Explain that strategic objectives are means to achieve the goals.

By achieving the strategic objectives, the organization would be able to contribute to the achievement of the goals.

Step 2: Explain that objectives should follow the SMART criteria:

- They should be **specific**: they reflect specific accomplishments rather than specific activities; an objective should reflect the target the organization wants to achieve
- They should be **measurable**, which means that the attainment of the objective can be confirmed and assessed on the basis of indicators of achievement
- They should be **attainable**: in other terms, they can be achieved if they are consistent with the available resources
- They are **result-oriented**: objectives should specify a result
- They are **time-bound**: a timeframe to achieve the objectives needs to be specified

(c) Preparation of action plans

Objective

To understand the relation between strategic objectives and action plans, and on how to turn strategic objectives into action plans.

Key content

1. The action plan is to include:

- All steps/activities necessary to achieve the strategic objectives
- The time frame to implement each activity
- The party or person responsible of the implementation of the activity
- The inputs/costs required to carry out the activity

2. List the steps (activities) necessary to achieve each of the strategic objectives in the template below (table 1). The activities need to be realistic taking into consideration the limited human and financial resources available to the organization. They should be sequenced in a logical order.

3. Time frame: Each activity should be indicated with a start and end date.

4. Responsible party/person: Specify the party or person who will be responsible to implement each of the activities.

5. Calculating costs: Include the cost for each of the activities. The cost includes: human resources (time spent by staff and experts), materials, transport, etc...The cost of each activity is to be then incorporated in the overall budget.

6. Incorporate all strategic objectives, indicators and activities in an action plan as per below template.

Action plan

Goal I	Activities	Time frame	Party or person responsible	Costs/inputs
Objective 1 Indicators				
Objective 2 Indicators				
Objective 3 Indicators				

H. SWOT Analysis

1. The rationale

The capacity of conducting SWOT analysis and the use of SWOT in programmes/projects design and formulation, sectoral analysis, strategic planning and development planning is considered as one of the major weaknesses of organizations operating in cross-border areas,

2. Training Objectives

- To identify the internal strengths and weaknesses of an organization
- To identify the opportunities and threats in the external environment through the PESTEL assessment

3. Key content

1. What is SWOT analysis? The SWOT analysis provides a framework to plan for the future, using your strengths to support your goals and objectives, your weaknesses that need to be strengthened, and the opportunities you need to take and the threats to be addressed.

While strengths and weaknesses are factors that are internal to the organization and can be addressed within the organization, opportunities and threats are external to the organization and provide challenges to the organization, and are addressed through the PESTEL analysis (Political, Economic, Social and Technological analysis). When assessing the external environment, there will be a need to carry out a stakeholders' analysis, since stakeholders have the power to influence the organization's agenda positively or negatively.

2. Strengths and weaknesses

Strengths: To determine the strength of an organization, some of the following questions may be asked:

- What do your beneficiaries appreciate the more about your services?
- What does your organization do better than others in the same field of your work?

- What resources (human and financial resources) do you have at your disposal than other organizations operating in the same field do not?

Weaknesses: You can use the same principle to determine the Organization's weaknesses:

- What do your beneficiaries dislike about the Organization or its services?
- What problems or complaints are often mentioned to the Organization?
- What the Organization can do better?
- What are the obstacles/challenges the Organization faces in the provision of its services?
- What are the challenges faced in terms of human and financial resources?

3. PESTEL Analysis: PESTEL analysis which identifies the opportunities and threats in the environment consists of the assessment of the following external factors :

P: Political
 E: Economic
 S: Social
 T: Technological
 E: Environment
 L: Legislative

Analyze political climate

Political climate consists of political factors, laws and regulations that may affect the operation of the Organization and its ability to induce change and influence government. Political factors include the attitudes of the various relevant ministries/ sub-national entities, and civil servants towards the issue under consideration, in addition to the priorities of the government in view of the current political situation of the country.

Analyze economic factors

Economic factors such as income growth, government spending, policy towards unemployment, etc..., have impact on the operations of the private sector as well as on the economic resilience of the communities, particularly those relying on agriculture, pastoralism and trade across borders. Does the employment policy of the government encourage job creation? How cross-border trade and livelihoods are affected by inflation, depreciation of the currency?.

Analyze social factors

The importance of the social factors stems from the fact they can influencing people's choices and which include the beliefs, values and attitudes of the society. Social factors could include unequal income distribution, social unrest due to economic slowdown, poor education, etc... The Organization is to take into consideration the social beliefs and attitudes (ethnic tensions, for example), and its interventions should not be misinterpreted as favouring an ethnic group over another one.

Analyze technological factors

Advances in technology can have a major impact on the Organization policy: impact of new technologies - the Internet, mobile phones, and the increasing advances in computing and computers. Also poor internet speed, outdated technology poor communication networks, etc... can constitute areas where the Organization can advocate for change. Technological change may have impact on new ways of providing the services and new ways of communicating with the communities.

Environmental Factors

These factors have become important due to the increasing scarcity of raw materials, pollution, doing business as an ethical and sustainable organization, etc... They relate to the influence of the surrounding environment and the impact of ecological aspects. They include climate, recycling procedures, carbon footprint, waste disposal and sustainability.

Analyze legal factors

Legal factors include laws and regulations that are affecting the operation of the Organization and relevant stakeholders in cross-border areas. Organizations must understand what is legal and allowed within the areas they operate in. They also must be aware of any change in legislation and the impact this may have on their operations.

I. Planning for disaster and crisis response

1. The rationale

To effectively respond to critical incidents (violence, drought, etc.), communities and organizations need to plan ahead of time, so they are prepared to respond to these unfortunate events. Disaster risk management, preparedness and effective response, in fact, is one of the seven key priority intervention areas highlighted in the Inter-Government Authority on Development (IGAD) 15-year regional strategy (2012-2027) for reducing vulnerability and strengthening drought resilience in arid and semi-arid lands. Such an intervention area was also given priority in cross-border projects in the Horn of Africa. In fact, one of the specific objectives of the “Cross-border integrated programme for sustainable peace and socioeconomic transformation: Marsabit county, Kenya, and Borana and Dawa zones, Ethiopia” (2017-2022) is to ensure cross-border capacities for early warning, preparedness, mitigation and response to disasters.

2. Training Objectives

The overall aim of the training is to build the knowledge and skills of the participants – technical and management staff - in crisis contingency planning, resource needs assessment and mobilization planning, to enable participants to lead emergency response for disaster and crisis.

This training will focus on how to organize effectively and quickly at a time of high stress so that groups are better prepared to respond to the emotional needs of those affected by a critical incident. Participants will leave the workshop with a clear understanding of how to implement their own crisis response team and plan for their specific environment.

3. Key content

The training consists of two parts:

- Crisis contingency planning
- Development of disaster and crisis response strategies to specific crisis scenarios in the three clusters

Part 1: Crisis contingency planning

Objectives

The objectives of the Crisis contingency planning course are to enable participants to:

- Understand the need of crisis contingency planning.
- Identify the major components of crisis contingency planning
- Understand the relation between contingency planning and incident response planning, disaster recovery planning, and business continuity plans

Main topics

- Types of crisis that may affect the cross- borders areas in the three clusters
- Understanding the need for contingency planning
- Major elements of contingency planning
- Major steps in contingency planning
- Concept of incident response planning
- Concept of disaster recovery planning: plan for disaster recovery, crisis management and recovery operations
- Concept of business continuity plans: establish continuity strategies, plan for continuity operations and continuity management
- Regional and international experiences in crisis contingency planning

Part 2: Development of disaster and crisis response strategies to specific crisis scenarios in the three clusters

The ***objectives*** of this second part of the course are to enable participants to:

- Apply the contingency planning on specific crisis situation in the clusters
- Develop response strategies to various scenarios and plan for resources needed, human, materials and financing resources

Main topics

- Case studies in emergency response strategies developed in the Horn of Africa and other countries
- Analysis of various scenarios using the case studies
- Preparation of contingency planning on specific situations in the clusters
- Development of monitoring and evaluation framework for the response strategies

J. Building capacity of facilitators for moderating dialogues with emphasis on Peace committees

1. The rationale

Cross-border conflict, peace and security is the most important area in which the majority of stakeholders is involved in cross-borders needs assessment and planning. One of the stakeholder's mapping exercise recommendations is the importance of giving special consideration to the facilitation of dialogue in cross-borders areas as a means for peacebuilding. It is justified by the fact that conflict mitigation and peacebuilding efforts oriented towards local communities should start with increasing dialogue among peace committee members who may come from different cultural groups and in increasing their awareness on the root causes of conflict. Peace committees across borders, in fact, suffer from poor capacity as well as from segregation among members of the committees. There is also a need to enhance the capacity of religious and community leaders in the field of peacebuilding and local development, as these leaders can play an effective role in influencing the community especially in conflict mitigation and reconciliation. To build the capacities of peace committees, identify and address the root causes and impact of cross-border and inter-ethnic conflicts is one of the specific objectives of the "Cross-border integrated programme for sustainable peace and socioeconomic transformation: Marsabit county, Kenya, and Borana and Dawa zones, Ethiopia" (2017-2022).

With further training and proper facilitation, as well as better engagement through various models such as volunteerism, peace committees can become more effective instruments of peace building and social cohesion. Particular attention should be given to training women from existing structures on mediation and link them to Early Warning Early Response (EWER) systems to enhance their role as peacebuilders and connectors and to empower them to disseminate peace messages in their households and communities⁵.

Peace requires ongoing work and maintenance. Key actors need to have the skills and ability to work with a large variety of actors, forums, and institutions to bridge potential divisions and maintain relationships. Building capacity amongst these institutions via dialogue, mediation, negotiation and confidence-building will develop skills for getting consensus on sensitive issues, contribute to social capital, and nurture a more resilient society⁶.

2. Training objectives

- To facilitate a process of economic, political and social cohesion inclusive of all communities in cross-border areas
- To identify, select, capacitate and train a group of dialogue facilitators from the peace committee members as well as religious and community leaders, who can moderate and actively support cross-border dialogue in conflict mitigation and peacebuilding.

By the end of this course, participants will be able to:

- Distinguish dialogue from other conflict resolution processes;

⁵ PACT, Collaboration in Cross-Border Areas of the Horn of Africa Region: the Southwest Ethiopia-Northwest Kenya Border (PACT with EUTF funding) – 2017-2020

⁶ PACT, Collaboration in Cross-Border Areas of the Horn of Africa Region: the Southwest Ethiopia-Northwest Kenya Border (PACT with EUTF funding) – 2017-2020

- Determine when cross-borders community-based dialogue is an appropriate process to manage a conflict; and
- Design a cross-border community-based dialogue process in their own geographical and social context.

3. Key content

This course introduces participants to dialogue as a practical and effective process for advancing conflict transformation and peacebuilding in communities in cross-border areas. The focus of the course is on designing and implementing a relevant, sustainable, and meaningful dialogue process. Topics covered include:

- Definition of dialogue;
- Principles that guide the community-based dialogue process;
- Considerations for designing, monitoring, and evaluating a dialogue process; and
- Stakeholders in a dialogue process – their roles and motivations

The training course will provide concepts and tools to enable participants to:

- Understand how to use dialogue to address conflict and promote dynamic communication;
- Understand the difference between dialogue and debate;
- Successfully convene and design dialogues to ensure the right people participate.

A key element of the SECCCI/UNDP is to ensure sustainability. The in-depth training will build upon the basic facilitation skills and expose the trainees to modern methods for dialogue facilitation, including in-depth coaching and on-the-job facilitation training. The trainings will aim to strengthen and enhance the participants' methodological competencies. This would include learning how to design, promote and conduct a good quality dialogue process and pave the way for open, honest communication, flexible cooperation and new shared actions. More particularly, the main elements of a training course should include:

- Principles of dialogue ethics (respect of opinions of others; consensus finding; acceptance of feedback; etc)
- Dialogue facilitation methods
- Dialogue facilitation skills
- Challenges during the facilitation of a dialogue
- Framing and devising a dialogue project
- Design of the dialogue concept, preparation and organisation of the dialogue

A central element of the conceptual approach is also to support the dialogue facilitators in developing a sustainable structure to ensure that they can provide sustainably dialogue facilitation services. This includes supporting the establishment of a potential network of sub-national dialogue facilitators.

K. Planning, monitoring and evaluation

1. The rationale

The capacity gaps in needs assessment and planning confirms there is clear gap in the capacity of stakeholders in setting up a monitoring and evaluation system and in conducting M&E related to their projects and interventions. There are, however, some initiatives that have supported stakeholders in monitoring, but these initiatives are limited to very few thematic areas/sectors. One example is the project entitled: “Collaboration in Cross-Border Areas of the Horn of Africa Region: the Kenya-Ethiopia-Somalia Border, Building Opportunities for Resilience in the Horn of Africa (BORESHA)” which is implemented in cluster 2 and 3 by the Danish Refugee Council and funded by the European Union (2017-2020). The project supported the Village Savings and Loans Association (VSLA) in setting up a monitoring system to track VSLA performance and monitor progress and in building the capacity of VSLA in monitoring through the Group Quality Assessment Tool and Data Accuracy Assessment Tool⁷.

The capacity of stakeholders in M&E is to be developed in all of the thematic areas: Cross-border conflict, peace and security; Gender equality, youth and development; Minority groups, mobility, migration and displacement; Health, water and sanitation; Agriculture and pastoral livelihood, trade and transboundary resources. Such capacity will enable the stakeholders to improve efficiency, draw lessons learned from experience and adjust/improve the delivery of services. This part will focus on development of capacity in monitoring, as evaluation is usually conducted by an external independent party.

2. Outline of training on Monitoring

The proposed training will consist of enhancing the understanding of participants on the linkages between planning, monitoring and evaluation, the RBM results chain and the results matrix, the preparation of a monitoring plan, the collection of data and the preparation of a monitoring report.

(1) Understanding the linkages between planning, monitoring and evaluation

The main objective of the training is to increase understanding of the stakeholders on the linkages between planning, monitoring and evaluation, and more particularly understanding the difference between results-based management and management for development results.

Results-based Management: Planning, monitoring and evaluation come together as Results-based Management (RBM). Existing plans are regularly modified based on the lessons learned through monitoring and evaluation, and future plans are developed based on these lessons. Both RBM and Monitoring are an ongoing process. The lessons from monitoring are discussed periodically and used to inform actions and decisions.

Management for Development Results: While result-based management (RBM) approaches focus more on internal results and performance of organizations, Management for Development Results (MfDR) which applies the same basic concepts of RBM, focusses on changes in the development conditions of people. Managing for development results (MfDR) is a management strategy that focuses on using performance

⁷ Delegation of the European Union to the Republic of Kenya, Annex 1- Description of the Action: Collaboration in Cross-Border Areas of the Horn of Africa Region: the Kenya-Ethiopia-Somalia Border, Building Opportunities for Resilience in the Horn of Africa (BORESHA)”

information to improve decision-making. MfDR involves using practical tools for strategic planning, risk management, progress monitoring, and outcome evaluation.

(2) The RBM results chain and the results matrix

The participants will be introduced to the Results Chain (vertical chain in the logical framework) which is a representation of the causal or logical relationships between inputs, activities, outputs, outcomes and impact. They will learn how to formulate the results as SMART: Specific, Measurable, Achievable, Relevant and Time-bound.

As to the horizontal chain of the logical framework, known as the results matrix, the participants will learn on how to track the achievement of results and to systematically plan the collection of information for monitoring learning and reporting. The main components of a results matrix are the formulation of SMART indicators related to the outputs, outcome and impact, the establishment of the baseline and the determination of the target with the sources of information, and finally the assumptions and risks.

(3) The monitoring plan and collection of data

Each organization involved in planning in cross-borders should have a monitoring plan, which has to be formulated at the planning phase. The participants of the training course will learn about the main components of a Monitoring plan and which consist of the indicators for each of the outcomes and outputs, the baseline and target data for each of the indicators, the methods of collection of the data, the party in charge of the collection of information, the target group targeted by the data collection and the frequency of the data collection (as per below template).

Monitoring plan

Goal					
	Indicators, Baseline, Target	Methods of collection of data	Who collect the information	Groups targeted by the data collection	Frequency of the collection of data (when the data will be collected)
Outcome 1:					
Output 1					
Output 2					
Outcome 2					
Output 1					
Output 2					

The methods to be used in the collection of the primary data and which will be detailed in a separate training proposal include: Semi-structured interviews, Focus groups, Surveys, Workshops or roundtables and field visits.

(4) The preparation of a monitoring report

The data collected should feed into the preparation of a monitoring report, which measures the achievement of results against their related indicators. The purpose of a monitoring report is to inform stakeholders of project progress (against what was planned), constraints encountered, lessons learned, and any significant remedial action required. The report also aims to document any changes in the plans and promote transparency and accountability.

A monitoring report should monitor progress according to the following criteria: continuous relevance of the program, its effectiveness, efficiency and sustainability. The table below presents a proposed general template for a monitoring report

Proposed general template for a monitoring report

Description of the program <ul style="list-style-type: none">• Briefly describe the main outcomes and outputs of the Program/project• How the program relates to the organization strategy• Indicate the target groups of the program• Main international and national implementing partners involved, their specific roles and responsibilities in project implementation and their interaction with the organization
Progress made/results
Relevance: Ensure the program is still relevant with changing context and realities in the ground
Effectiveness <ul style="list-style-type: none">• Extent to which outputs are being delivered as planned and are of good quality• Progress made in achieving the outcomes• Indicate the extent to which the program is still meeting the needs of the target groups• Indicate to what extent the planned benefits are being delivered and used by the target groups• Indicate any constraints faced by the program in achieving the planned results
Efficiency <ul style="list-style-type: none">• Indicate the main activities undertaken for each of the outputs and the extent to which they are being implemented on time• To what extent inputs are being provided on time and within budget
Sustainability <ul style="list-style-type: none">• Identify constraints that may affect sustainability of the program• Identify factors which would promote or threaten the maintenance of achievements after the completion of external assistance (technical assistance and funding)
<i>Future work plan</i> <ul style="list-style-type: none">• Constraints and factors preventing the achievement of outputs and outcomes• Lessons learned during implementation

- Priority actions planned for the subsequent reporting period to overcome constraints, build on achievements, and use the lessons learned during the previous period
- Indication of major adjustments in the strategies, targets or key outcomes and outputs
- Indicate any change required in the budget

Recommendations

Formulate recommendations to be made to the top management.

III. REQUIREMENTS FOR AN EFFECTIVE CAPACITY DEVELOPMENT PLAN

1. Organizational change: a requirement for capacity development and its sustainability

Capacity gaps assessment covered the gaps of stakeholders in the identification and assessment of the needs and in the formulation of development plans. To be effective, the capacity development responses/plan should encompass and go beyond the development of capacity in these two fields (needs assessment and planning). The capacity development plan should include the strengthening of the organization in terms of governance, leadership, mutual accountability mechanisms, decision making process, institutional reforms and policy and legal framework.

Individuals, in fact, may develop their capacities in the form of knowledge, skills and attitudes. It is only when such skills are widely shared with others in the organization, the capacities become embedded in processes and incorporated in the culture of the organization, thus ensuring sustainability of the capacity development. Creating a culture of specialization and continuous learning within the organizations will also contribute to the institutionalization of the built capacities.

For that purpose, there will be a need to develop the capacity of the relevant organizations at the organizational level, since organizational capacities include individuals and team capacities. An organizational assessment would be needed to identify the organizational capacity gaps in governance that would need to be addressed.

This does not mean, however, to conduct such an organizational assessment for all stakeholders, but only to a few who are better placed to play the role of hub. The purpose is to enable them through training of trainers to support the organizational capacity development of all relevant stakeholders.

2. Forming consortia or coalitions among organizations as a means to enhance capacity development

Cross-border cooperation among organizations is limited particularly among sub-national entities in view of the political challenges faced between countries in the region, though there are some initiatives by local CSOs to cooperate together in cross-border interventions. The importance of building coalitions/consortia among organizations operating in cross-border areas stems from the fact that with decentralization and devolution policies in place, the need for cooperation between economically and culturally linked border regions has emerged as one of the most important area-based development strategies for strengthening regional cooperation that promotes peace and sustainable development. This would require enhanced cooperation among relevant organizations through joint programming, interventions and resources sharing. The promotion of coalitions/networks or the formation of consortia among few organizations will enable the stakeholders to better meet the needs of communities, as community expectations go often beyond the mandate of individual stakeholder or beyond its limited resources.

What is a coalition?

Coalitions are defined as structures of formal collaboration underwritten by a common vision and objectives. Coalitions are formed to carry out joint or coordinated activities. They can either be a time-bound or open-ended partnering to achieve a common purpose. They allow organizations to combine resources, knowledge and experience, avoid duplication of efforts, develop capacity of the less experienced

coalition members, present opportunity for permanent partnership, and by acting in concert, increase the power of their voices in the public sphere to effect positive change.

Managing coalition partners

A coalition/consortium, however, has to overcome possible weaknesses resulting from difficulties that may be faced in achieving consensus, sharing decision-making and balancing interests among its members. For effective coalition building, the members of the coalition should be willing to make some compromises. But in order to compromise, they need to trust each other. Strong relationships are needed to sustain complex discussions and sometimes difficult decisions; they are also needed to mitigate risks related to the disclosure by a member of the coalition of information that is inconsistent with that disseminated by the Organization or making of commitments on behalf of the coalition without having obtained prior agreement.

Prior to building the coalition, the Organization should make an assessment of the potential partners in order to be able to manage efficiently and effectively the coalition. The assessment should cover: the mandate of the potential partners, their type and size, their strengths and weaknesses and their relationship with the Organization. The assessment will help the Organization in designing the coalition communication strategy which is based on building trust among the partners and on strengthening the relationships among all levels.

Support coalitions in the adoption of a shared vision among relevant stakeholders

Effective capacity development in planning would require the formulation of a shared vision among relevant stakeholders with regard to various issues related to cross-border, particularly peace and security, mitigation of conflict between different ethnic groups.

The adoption of shared vision among members with common values and principles has to be bottom-up approach where all members contribute to the vision and to a 3-5 year strategy. This would require from the coalitions to avoid partisan political positions by maintaining autonomy and neutrality.

Relevant experiences in the Horn of Africa

It would be essential to learn from the experiences of other consortia operating in the Horn of Africa. One of the consortia has been formed for the implementation of EUTF funded project: “Collaboration in Cross-Border Areas of the Horn of Africa Region: The Southwest Ethiopia- Northwest Kenya border (2017-2020)”. The partners of this consortium are three INGO's Vétérinaires Sans Frontières Germany (VSFG), Mercy Corps and VITA; and three local NGOs: Turkana Pastoralist Development Organization (TUPADO), Community Initiative Facilitation and Assistance (CIFA), Ethiopian Pastoralist Research and Development Association (EPARDA). The consortium is working with larger and similar humanitarian as well as development programs funded by different donors and implemented in collaboration with various stakeholders. Each of the consortium partners has an area of expertise which will be harnessed to bring synergistic effect in implementing this action. In addition, this consortium brings in the added value of operating in different geographical scopes hence reaching out to more target groups. The consortium has a coordinating structure led by a consortium coordinator alongside the consortium MEAL officer to help in the management of partner interventions at regional, national and field level, give progressive updates and

strategic direction. Technical leads are formed based on the different expertise by each organization for the purpose of technical backstopping of interventions as required⁸.

Another example is the consortium led by Pact (INGO) in the implementation of the EUTF funded project: “Regional Approaches for Sustainable conflict Management and Integration (RASMI) - Collaboration in Cross-Border Areas of the Horn of Africa Region: the Kenya-Ethiopia-Somalia Border”. In addition to Pact, the consortium consists of four entities, each one has specific role in the project: The Inter-Africa Group (IAG), Mandera Women for Peace and Development (MWFPD), Integrated Development Focus (IDF) and Network for Peace and Development (NEPED)⁹.

3. Creation of an online platform

Though serious efforts have been undertaken in cross-border coordination, there are still gaps in a coordinating mechanism where sharing of information can happen as several organizations work in silos without cooperating with others. The creation of an online platform would also support capacity development. The platform would allow for coordination of capacity development interventions that would be initiated by various organizations with the purpose of avoiding duplications which could lead to competition between stakeholders and to a wastage of resources. It would also enable the various organizations to share ideas and express their needs in capacity building, thus maximizing the benefits of training for all stakeholders.

4. Creation of core units on capacity-building

The creation of core units on capacity development will contribute to a more effective and sustainable capacity development interventions. A core unit could be formed by several organizations which have a capacity in a specific specialized area (such as M&E, strategic planning, governance, human resource management, financial management, needs assessment, etc...). Mapping of skills in capacity-building among organizations and the formation of core units will be the first step. This would be followed by building the capacity of these units as part of a Training of Trainers programme. The units will be therefore in charge of supporting the various stakeholders in capacity development. This would contribute to decrease in reliance on external assistance and will thus contribute to the sustainability of the capacity development plan.

⁸ Collaboration in Cross-Border Areas of the Horn of Africa Region: the Southwest Ethiopia- Northwest Kenya border (EU funded) – 2017-2020

⁹ Pact, “Regional Approaches for Sustainable conflict Management and Integration (RASMI) - Collaboration in Cross-Border Areas of the Horn of Africa Region: the Kenya-Ethiopia-Somalia Border”.

IV. TIME FRAME

It is proposed to implement the capacity development plan in 14 months for the three clusters. The duration of each training course is estimated to take one month. Three training of trainers (TOT) course will be also implemented in all the proposed training. Each TOT will be conducted for 3 or 4 of the courses as indicated in the chart below. The TOT will be addressed to the core units that will be formed as indicated above.

Training proposals	MONTHS													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
1. Stakeholders' engagement and mobilization														
2. Conducting a needs assessment														
3. Secondary data and research														
4. Design and collection of primary data														
TRAINING OF TRAINERS OF THE CORE UNIT (1-4)														
5. Data analysis and data sharing														
6. Project design and formulation														
7. Strategic planning														
8. SWOT analysis														
TRAINING OF TRAINERS OF THE CORE UNIT (5-8)														
9. Planning for disaster and crisis response														
10. Facilitators for Moderating Dialogues														
11. Planning, Monitoring and Evaluation														
TRAINING OF TRAINERS OF THE CORE UNIT (9-11)														

