



## **Capacity Building Workshop**

**April 10 - 13, 2002**

**Econiche House  
Cantley, Quebec**

Interagency Coalition on AIDS and Development  
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**Capacity Building Workshop**  
**April 10 - 13, 2002**  
**Econiche House**  
**Cantley, Quebec**

**Overall Objective:**

The participants will strengthen their capacities in order to contribute to international HIV-AIDS activities. They will be introduced to working in development as partners with the private sector, governments departments and agencies such as Health Canada, International Affairs Directorate and the Canadian International Development Agency and their executing agencies (EA). The participants will also acquire the basic tools to attain results and make a difference as a partner in the development process as well as an effective cross-cultural partner.

*At the end of this workshop, the participants will be able to:*

1. Describe the process of getting into partnership with the government departments, non-governmental organizations and/or private sector firms.
2. Identify some key aspects of cultural differences and their impact on development in order for them to engage knowingly in a cross-cultural collaboration that suits the needs and purposes of both partners and their organizations.
3. Master enough of the Results Based Management (RBM) approach to design and manage their own programs or projects in ways which are congruent/consistent with their values and approaches as a development manager/agent.

## PROGRAM

### Capacity Building Workshop

- 19:00 **Introductions and welcome**
- 19:15 HIV/AIDS and the Global Context:  
Peter Busse, International Consultant  
(previously the director of NAPWA in South Africa)Mr. Peter Busse
- 21:00 Wrap up for the day

### **Thursday April 11, 2002**

- 08:45 Introduction to the day  
L Announcements
- 09:00 Canada's international role in HIV/AIDS issues  
Representative,  
International Affairs Directorate  
Health Canada
- 09:30 Introduction and overview of the Canadian International Development  
Agency (CIDA)

Mr. Richard Beattie, Director

Youth Action Division (YAD), CIDA

- ↳ Development Assistance Trends
- ↳ Priorities
- ↳ Description of the CIDA Branches
- ↳ Funding sources
- ↳ Partnership Branch eligibility criteria
- ↳ CIDA Request for Proposal (RFP) process

*(Mid-morning break at 10:30)*

12:00 Lunch

13:00 CIDA's AIDS policy and strategy

Christopher Armstrong, Officer

Policy Branch, CIDA

14:00 Development NGOs / Private Sector firms: An exploration of possible linkages and programming support

and programming support

Description of NGO Development Assistance environment and discussion of possible linkages

Simultaneous presentations:

Group One in 2<sup>nd</sup> Floor Boardroom

Group Two in Dining Room: Presenters switch groups after 45 minutes

**Group One:**

Zainab Amery, Program Development Co-ordinator

And

Sonia Mirchandani, HIV/AIDS Specialist

World University Service of Canada (WUSC)

**Group Two**

Lori Jones, Director of Special Projects and Programs  
Canadian Society for International Health (CSIH)

15:45 Break

16:00 Simultaneous presentations:

**Group One:**

Ron Cross, Program Officer,  
Seeds of Survival Program  
Unitarian Service Committee of Canada

**Group Two:**

Morag Humble  
Health & Social Development Specialist  
Agriteam

16:45 Wrap up for the day

Evening: Videos  
Networking

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Facilitator: Judy Mathews

Host: Rosemary Forbes

## PROGRAM

### Capacity Building Workshop

#### Friday, April 12, 2002

- 08:30 Introduction and presentations  
Program/Objectives/Expectations
- 08:45 Some key principles for an effective partnership in development.  
Clarifying interests and purposes
- 09:00 Three levels of access to a culture  
    ↳ The iceberg → The visible and invisible aspects
- 09:30 Cultural differences  
Exercise: "Managing Differences in Partnerships"  
    ↳ Analysing in small groups
- 10:15 Break
- 10:30 Dealing with differences in six stages  
    ↳ Milton Bennett's model
- 11:00 Your organization and the cultural factors in development work.  
    ↳ Some strategies for effective intercultural partnerships
- 12:00 Lunch

13:00 Key principles of Results Based Management  
    ↳ Definition, concepts and terminology

13:20 The results chain and causality  
    ↳ Outputs → linked to the Inputs  
    ↳ Outcomes → linked to the Purpose  
    ↳ Impact → linked to the Goal

Exercise: "Building a chain of results" (in small groups)

15:00 Correction of the exercise in plenary

15:15 Break

15:30 A practical application in one's project or program  
    Exercise: "Outcome and Impact; Purpose and Goal" (individually)

16:00 Discussion (peer support)

16:30 More information on Project Design, Management, the Iterative Approach,  
    Monitoring, Learning, Reporting and "Making a difference"

17:00 Wrap up for the day

### **Saturday, April 13, 2002**

08:30 Review of the previous day

09:00 A practical application in one project or program  
    ↳ Guidelines for program design

- L Summary of the art of writing results
- L The SMART criteria
- L Identifying outputs

09:30 Exercise on a chosen development project (in small groups)

10:00 Break

10:20 Introduction to risks and hypothesis and to developing indicators

- L Assumptions about values, beliefs, contexts

- L Quantitative and qualitative indicators

11:15 Feedback and evaluation by peers

12:00 Lunch

13:00 Evaluation by the facilitators in plenary

13:30 Tying it all together: Critical issues in working with RBM, across cultures and in AIDS development projects and programs: gender issues, partnerships, impact of AIDS on all development projects, economy and more...

14:30 Evaluation

14:45 End of workshop

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Facilitators: Johanne Bourbonnais and Michael Hope-Simpson

Host: Rosemary Forbes



Thinking of day one and two of this workshop.

Something that surprised me is:

regulators are more at risk of making errors rather than not.

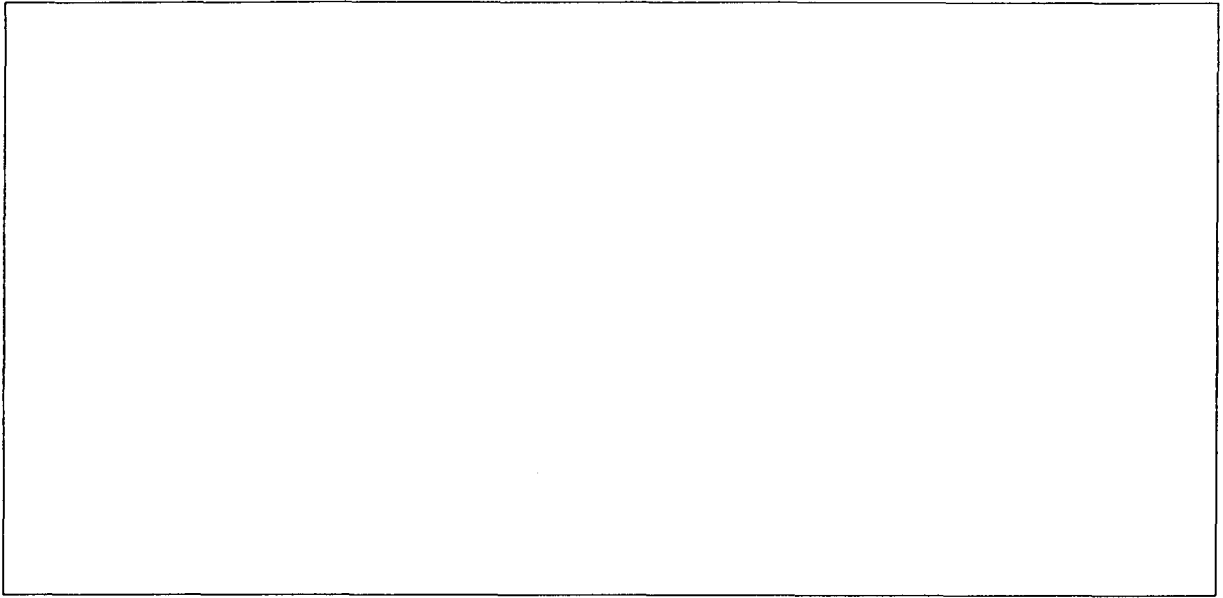
Something very interesting is:

that development is not viewed as damaging to those being developed.

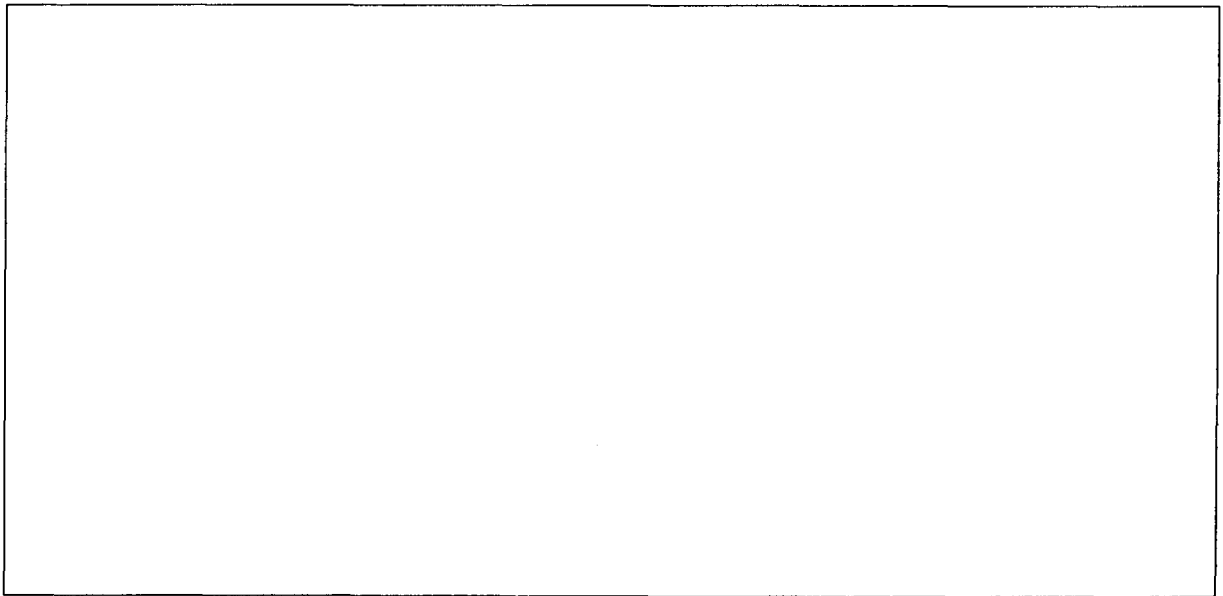
I see possibilities with:

that all entities can compete as low profits as we cooperate together.

My individual objectives in relation to this program are:



My organization's objectives in relation to this program are:



*Nurses - View What Health*

# A CULTURE

An interconnected mass

Visible  
Part

of  
ways of  
doing

Ways of life  
Laws and customs  
Institutions  
Methods  
Techniques  
Rituals  
Language

of  
ways of  
thinking

Norms  
Rôles  
Ideologies  
Beliefs  
Philosophy

Hidden  
Part

of  
ways of  
feeling

Values  
Tastes  
Attitudes  
Desires  
Assumptions  
Expectations  
Myths  
Etc.

learned, shared and transmitted  
by a collectivity which  
recognizes itself in it

Archetypes

## Basic principles for a strong partnership:

In our view, becoming a participative organization is a question of culture. In that perspective, we would like to take a closer look at culture and its importance in the creation of new forms of institutions.

*↳ Culture - Culture*

### **Culture as an Iceberg**

Draw an Iceberg

Exercise

In silence, on this sheet, holding the pen together, draw a ...



Debriefing:

What are the difficulties encountered?

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What could we learn from them?

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What are the elements of an effective cross-cultural partnership?

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**5 key principles in partnerships**

Yours

And then look at the DAC principles

# The Emerging International Consensus on the Principles of Aid Effectiveness

Source: Strengthening Aid Effectiveness, CIDA, June 2001.  
(New Approaches to Canada's Intercultural Assistance Program)

## **II. The evolution of development cooperation**

### **a) The evolution of development thinking**

The roots of development cooperation—in its official incarnation—can be found in European reconstruction. During this phase, the focus of the International Bank for Reconstruction and Development—the World Bank—was on reconstruction, not development. However, with the end of the Marshall Plan and of large-scale assistance to Europe, the Bretton Woods institutions, the UN, and industrialized countries turned their attention to development in the emerging independent states of the developing world.

Early efforts to support development in developing countries were strongly influenced by European reconstruction and theories about growth that underestimated the complexity of development, particularly its social dimensions, and that placed too much faith in the importance of infrastructure and capital formation. These efforts reflected as well the absence of any significant body of evidence on what made aid effective in the developing world. Until that time, the involvement of industrialized countries in the developing world had been characterized more by efforts at colonial exploitation than by initiatives to support their drive for self-reliance and prosperity.

This early focus on economic growth began to shift as it became clear that European reconstruction and one-dimensional theories about development did not suit circumstances in the developing world. Throughout the 1960s and 1970s, greater attention was paid to poverty and to the social dimensions of development. However, the 1970s were also characterized by oil-price shocks in 1973 and 1979 which threw developing countries off-track. The recycling of petrodollars in the 1970s led to overborrowing—or overlending—and allowed for increased government spending in many developing countries and the rise of large, inefficient state enterprises. This contributed directly to the debt crisis which overshadowed development thinking in the "lost decade" of the 1980s, and led to a strong emphasis on structural adjustment.

Reform of macroeconomic policies, government downsizing, trade liberalization, and reliance on the market characterized the so-called Washington Consensus of the 1980s. During this period, the World Bank and the IMF began working more closely together, with the IMF heavily involved in setting the development—or policy—agenda for developing countries, and the World Bank providing structural-adjustment lending.

The Washington Consensus provoked considerable debate within development circles. Supporters argued the reforms it put forward were essential, and that it was better to reform sooner rather than later. Critics charged that the Washington Consensus paid insufficient attention to the social aspects of development and the institutional weaknesses within developing countries. Adjustment policies also often failed to take into account the political implications of reform and the risks these policies posed for a country's stability. Development under the Washington Consensus was seen as overly economic in orientation and characterized by excessive conditionality and the absence of real country ownership. These criticisms mounted throughout the 1980s. Towards the end of the decade, there were increasing calls for "adjustment with a human face," which meant renewed attention to the



social dimensions of development and a somewhat less restricted view of the proper role of the state in society. Attention to the broader dimensions of development was strengthened as well by a series of UN conferences throughout the 1990s that dealt with such issues as gender equality, human rights, population, social development, and the environment.

## **b) The evolving role of partners**

This evolution in development thinking has also been accompanied by a tremendous growth in the number of organizations and institutions involved in international cooperation. Initially, development programming was largely dominated by government-to-government relations and by the actions of large international organizations, such as the UN and the World Bank. Over time, however, a wider range of partners—in the South and the North—became involved. These partners include non-governmental organizations, the private sector, universities and colleges, labour unions, and a variety of professional associations.

A particularly striking phenomenon over the past several decades has been the rise of civil society in both developed and developing countries—what the North-South Institute calls a "global associational revolution"—and its growing involvement in international cooperation. In Brazil, there are more than 60,000 such organizations in Sao Paulo and Rio de Janeiro alone. India is estimated to have more than 2 million citizens' associations. In Canada in June 1999, there were nearly 78,000 registered charities, as well as an estimated additional 100,000 legally incorporated not-for-profit organizations, and perhaps 870,000 grass-roots associations—more than a million civil-society organizations in all.

These organizations are playing an increasingly important role in public life, within their home countries and beyond their national boundaries as well. These roles can take many forms. Non-state actors—NGOs, businesses, universities, and colleges—are a major means by which development programs are implemented, making them essential to the delivery of donor assistance. But their role extends well beyond the delivery of goods, services, and programs. Within donor countries, they are strongly engaged in efforts to raise public awareness of development and to pressure governments to commit greater resources to international cooperation. Partner organizations have long been a source of innovation and creativity for development agencies. Issues that today are seen as mainstream development concerns—for example, gender and the environment—often found their first advocates in the non-governmental sector. Non-state actors, and particularly civil-society organizations, are also playing an increasingly important role in policy development—through advocacy, analysis, and dialogue.

## **c) A comprehensive development model**

Taken together, this evolution in development thinking, along with the involvement of a wider range of institutions and organizations, has led to a richer, fuller appreciation of the complexity of development cooperation. By the middle of the 1990s, a comprehensive development model was beginning to emerge that brought together the experiences of 50 years of international cooperation and the evidence of a growing body of research into development effectiveness. This model

recognizes that there is no single path to development, that many elements need to be considered, and that their relative weight and importance will vary from one situation to another. However, this comprehensive model does bring together a number of shared features. They include:

- a consensus, initially formed within the DAC of the OECD but now also more widely shared, on a set of targets for international cooperation and the principles for effective programming. This consensus is set out most clearly in the OECD's *Shaping the 21<sup>st</sup> Century: The Contribution of Development Cooperation*, a 1996 document which has been endorsed by the G-7, the UN, the World Bank, the IMF, and 77 developing nations; and
- a convergence of views on effective approaches to development programming.

The targets that make up one element of this broad agreement are known as the **international development goals**. They are based on the outcomes of a series of world summits in the 1990s. The international development goals, which are set out in *Shaping the 21<sup>st</sup> Century*, are:

- to reduce by one-half the proportion of people living in extreme poverty by 2015;
- to achieve universal primary education in all countries by 2015;
- to show demonstrated progress towards gender equality by eliminating gender disparity in primary and secondary education by 2005;
- to achieve a reduction by two-thirds in the mortality rates for infants and children under 5 and a reduction by three-fourths in maternal mortality by 2015;
- to provide access through the primary health-care system to reproductive health services for all individuals of appropriate ages by 2015; and
- to implement national strategies for sustainable development by 2005.

In addition, the 1995 World Social Summit in Copenhagen agreed to a commitment whereby donor countries would target 20 percent of their aid to social development in countries that committed 20 percent of their national budgets to the social sector.

Although poverty reduction is listed explicitly among these targets, it clearly occupies the place of first among equals. The centrality of poverty reduction to development cooperation is also reflected in World Bank and UN statements, and in the approach adopted by a number of other donor agencies. While the international development goal of poverty reduction reflects a quantitative measure for poverty, there is growing attention paid to the more qualitative aspects of poverty. For example, the World Bank's 2000 *World Development Report*, which again underlines the need for a focus on poverty reduction in aid efforts, looks at a number of non-economic dimensions of poverty, such as a lack of education, poor health, powerlessness, discrimination, vulnerability, and fear. It highlights three areas where donors should direct their poverty-reduction efforts:

- expanding opportunity for the poor by promoting growth that helps the poor, improves their access to the marketplace, and builds up their assets, such as land and education;
- empowering them—both women and men—to shape decisions about their own lives, and removing discrimination based on gender, race, ethnicity, and social status; and
- helping to improve their security against sickness, economic exclusion, violence, and natural disasters.

Another important lesson has been to take into account the role of gender in poverty—more specifically, how women and men can experience poverty differently, and the kinds of discriminatory practices that make women more vulnerable to poverty than men.

The **principles for effective development**, which are an important element of the comprehensive model, are more fully elaborated on in *Shaping the 21<sup>st</sup> Century*. They are also reflected in Canada's 1995 foreign-policy statement, *Canada in the World*. They include:

- **Stronger partnerships** through the development of compacts that identify the responsibilities of developing countries and their external partners, as well as those shared by all, are crucial.
- Through **local ownership**, development strategies must be developed by recipient countries—their governments and their people—and must reflect their priorities, rather than the priorities of donors. This implies a strong focus, where needed, on strengthening the capacity of developing countries to plan and manage their own development. Local ownership is seen both as a way to ensure that donor efforts respond to local priorities, and that programs or initiatives supported through development programs will be sustainable over time, particularly once donor investments wind down.
- **Improved donor coordination** with recipient countries that bear the main responsibility for coordinating their development cooperation is needed, although external partners also have a strong role to play in ensuring their aid programs work in complementary fashions. In cases where capacity is weak, donors—bilateral and multilateral—would continue to encourage the use of regular fora for coordination and to ensure local participation.
- **A results-based approach** with improved monitoring and evaluation of development programs is needed.
- **Greater coherence** in the "non-aid" policies of industrialized countries can have profound effects on the developing world—for example, policies on trade, investment, and technology transfer.

This DAC consensus on targets and development principles is supported by a growing convergence of views on the most effective **programming approaches** for development cooperation. These new approaches are based on a more holistic view of development that stands in contrast to earlier models which tended to focus on narrower aid strategies:

- **Striking a balance:** A balance must be struck in terms of where development efforts are targeted. Clearly, it is important to work at the level of governance and policy to ensure the broad setting for development is sound. This means, for example, looking at areas such as fiscal management and macro-economic policies. It is also important to focus efforts directly on the poor—for example, by strengthening their productive assets and improving their access to land and credit. It is also essential to ensure that sound institutions and systems are in place to implement policies and deliver services in fair and equitable ways that benefit the poor.

This has influenced the work of institutions that have traditionally been known for their preoccupation with macro-level policies alone. In the case of the IMF, this has meant working not only at the level of policy reform, but looking as well at measures to reduce poverty and ease the burden of adjustment on the poor. This approach is embodied as well in the approach to poverty set out in the World Bank's 2000 *World Development Report*.

- **Timing:** Timing is critical, particularly when change is being fostered in both the political and economic realms. For example, capital account liberalization should not be undertaken in the absence of sound systems for financial regulation. Similarly, large-scale privatization needs to be supported by sound marketplace regulation. The same holds true in the political arena. Experience has shown that democratization cannot be achieved simply by holding elections. The conditions that allow democracy to flourish and be sustained also need to be established. In some cases, this first requires the negotiated end of conflict. It also requires the development of the conditions for democracy, such as building civil-society capacity and removing the barriers to participation, the development of the rule of law, and respect for human rights.
- **Governance:** The broad setting for development must be sound. Governance is particularly important; that is, the way a country is governed—the soundness of its laws, regulations, and institutions—has a profound effect on development success and the effectiveness of aid investments. The importance of governance to aid success has been demonstrated most compellingly in the World Bank's 1998 research report, *Assessing Aid*, which showed that good governance and a sound policy environment were the most important determinants of aid effectiveness and development progress.
- **Engaging civil society:** This comprehensive model also recognizes the importance of engaging civil society in all aspects of development. One of the clearest lessons of development experience is that participation must be an integral feature of the selection, design, and implementation of development interventions. A healthy civil society—one that reflects a wide range of interests, including those of marginalized groups—helps make informed participation possible and gives voice to those who are often underrepresented. It is also an important element in supporting democratization and improved governance in developing countries, and in those countries in Central and Eastern Europe that are emerging from decades of statism and central planning.
- **Building capacity:** Experience has demonstrated the critical importance of building capacity if development is to be sustainable. Past development programming—for example, in infrastructure—often tended to concern itself with resource transfers, such as providing funds for roads, schools, and other essential infrastructure. While these transfers could provide the physical infrastructure needed to provide a range of services, the absence of capacity development may mean that effective delivery of these services cannot be sustained once

donor support is withdrawn. In contrast, approaches based on capacity development have involved a fundamental shift of priorities, often towards the more intangible and long-term dimensions of development, such as training, learning, institutional strengthening, and the establishment of sound and equitable decision-making systems in government.

This comprehensive development model enjoys wide acceptance among international organizations—international financial institutions (IFIs) and the UN—and bilateral donors, as well as the developing world. Efforts are now being made by some bilateral donors, UN agencies, and IFIs to put the model into practice within their project portfolios, as well as through a number of new program approaches, such as the World Bank's Comprehensive Development Framework (CDF) and Poverty Reduction Strategy Papers (PRSPs), and the UN's Development Assistance Framework, as well as in programming instruments like sector-wide approaches (SWAs).

For example, the Comprehensive Development Framework draws together the principles for effective programming and is based on a holistic approach to development. PRSPs also create comprehensive frameworks for development that complement the CDF process, contribute to improved donor coordination, and help strengthen local ownership. Programming instruments, like sector-wide approaches, offer donor agencies a specific way to translate these holistic approaches into practice by allowing for investments across a broad programming sector, rather than in individual projects. SWAs, and similar approaches, are also based on the principles of effective programming, particularly local ownership and development coordination.



## Notes: My Critical Incident

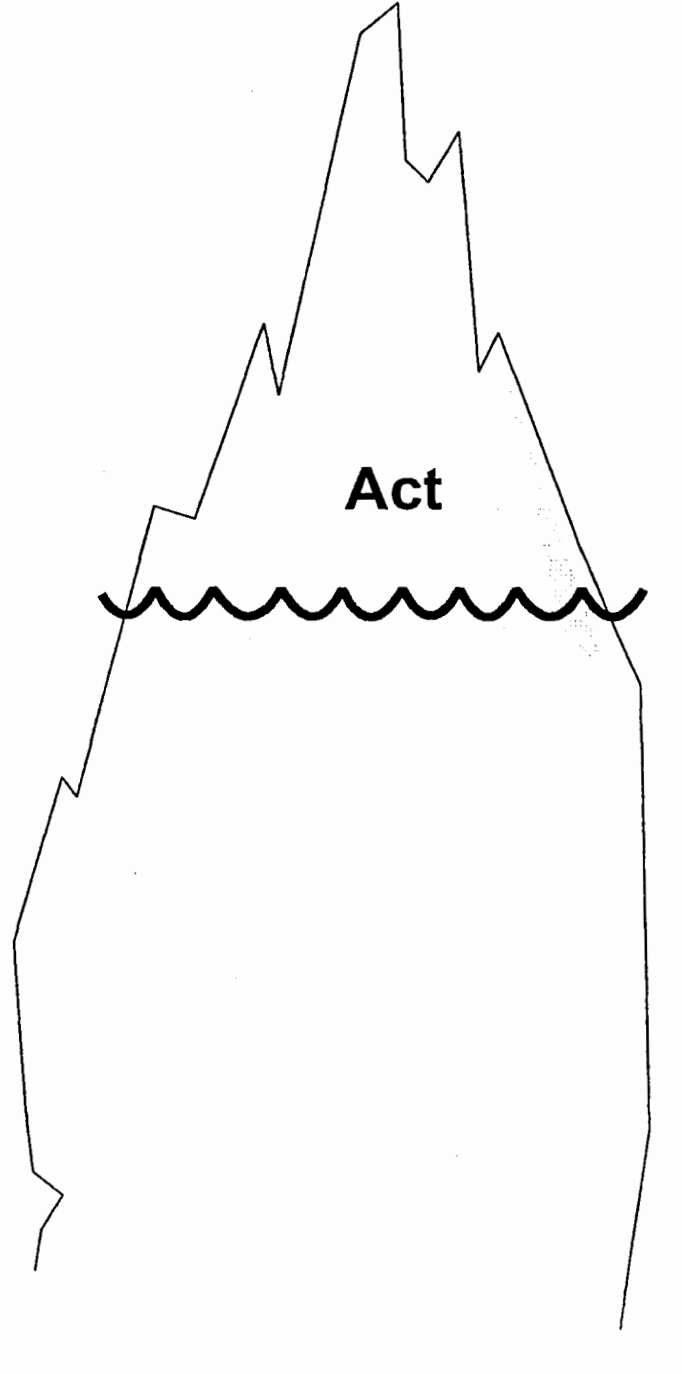
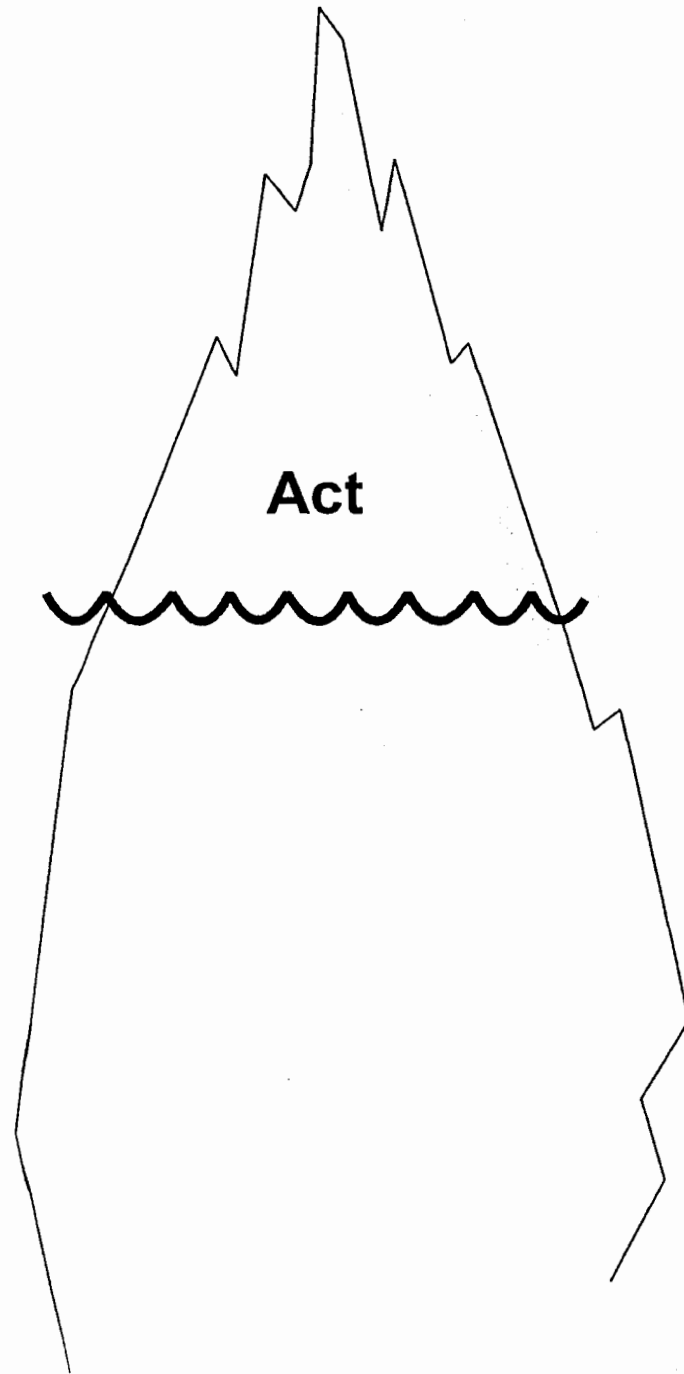
# Technique for Intercultural Decoding

*A prerequisite for communication*

Decoding allows one to go below the surface of one's own culture. "*Decoding*" consists of exploring the cultural Iceberg of a person to look for their manners "of thinking" and manners "*of feeling*" which are what creates their manner "*of acting*".

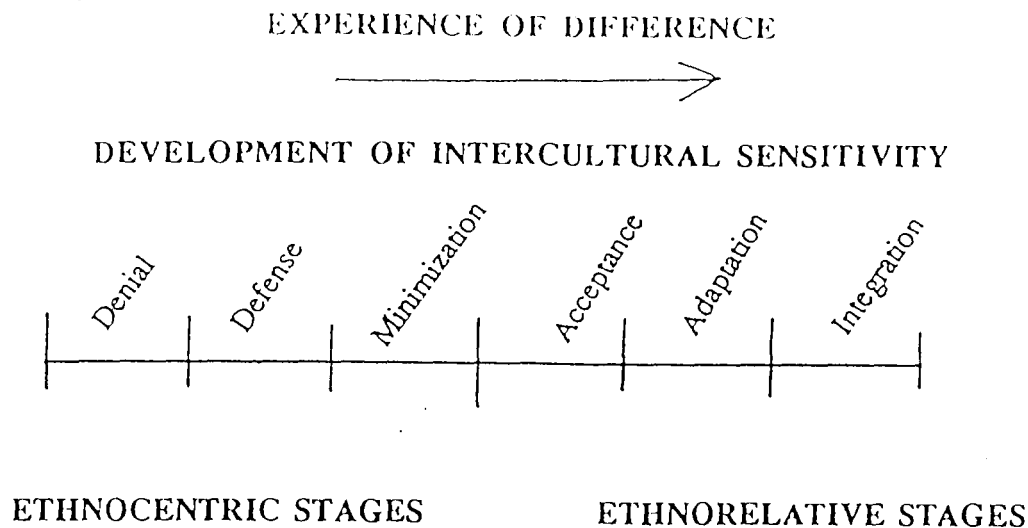
What the  
Canadian partner  
thinks and feels

What the  
local partner  
thinks and feels





# A DEVELOPMENTAL MODEL OF INTERCULTURAL SENSITIVITY



## I DENIAL OF DIFFERENCE

The inability to construe cultural difference. Indicated by benign stereotyping (well-meant but ignorant or naive observations) and superficial statements of tolerance. May sometimes be accompanied by attribution of deficiency in intelligence or personality to culturally deviant behavior. Tendency to dehumanize outsiders.

1. **Denial/Isolation:** Isolation in homogeneous groups fails to generate either the opportunity or the motivation to construct relevant categories for noticing and interpreting cultural difference.
2. **Denial/Separation:** Intentional separation from cultural difference protects world view from change by creating the conditions of isolation. Some awareness of cultural difference may yield undifferentiated broad categories, such as "foreigner" or "Asian" or "Black."

### Activities to Move Learners to Next Stage:

- Address learner anxieties in existing categories, but limit time
- Demonstrate the experience of difference through films, slides, art, music, dance, etc.

## II DEFENSE AGAINST DIFFERENCE

Recognition of cultural difference coupled with negative evaluation of most variations from native culture—the greater the difference, the more negative the evaluation. Characterized by dualistic "us/them" thinking and frequently accompanied by overt negative stereotyping. Evolutionary view of cultural development with native culture at the acme. A tendency towards social/cultural proselytizing of "underdeveloped" cultures.

3. **Defense/Denigration:** Cognitive categories for construing cultural difference are isolated by evaluating them negatively, thus protecting world view from change. (e.g., "I know Americans have a different culture, but everything about it proves what barbarians they are.")
4. **Defense/Superiority:** Existing cultural world view is protected by exaggerating its positive aspects compared to all other cultures. Any neutral or positive statement about another culture may be interpreted as an attack.

5. **Defense/Reversal:** Tendency to see another culture as superior while maligning one's own. Dualistic thinking is identical; only the poles are reversed.

**Activities to Move Learners to Next Stage:**

- Develop a strong support group
- Educate learners to recognize existing diversities in their culture group (Learning Styles, Myers-Briggs, etc.)
- Create experiences unrelated to culture-learning to accomplish shared goals through teamwork
- Create opportunities for affective bonding over shared emotional issues

### III. MINIMIZATION OF DIFFERENCE

Recognition and acceptance of superficial cultural differences such as eating customs, etc., while holding that all human beings are essentially the same. World view is protected by attempting to subsume difference into familiar superordinant categories. Emphasis on the similarity of people and commonality of basic values. Tendency to define the basis of commonality in ethnocentric terms (i.e., everyone is essentially like us, "just be yourself").

6. **Minimization/Physical Universalism:** Emphasis on commonality of human beings in terms of physiological similarity. (e.g., "After all, we're all human!")
7. **Minimization/Transcendent Universalism:** Emphasis on commonality of human beings as subordinate to a particular supernatural being, religion, or social philosophy. (e.g., "We are all children of God, whether we know it or not.")

**Activities to Move Learners to Next Stage:**

- Use trained, selected cultural informants in structured methods
- Explore values and beliefs of their cultural systems
- Contrast their culture with other cultures through demonstrated interaction

### IV. ACCEPTANCE OF DIFFERENCE

Recognition and appreciation of cultural differences in behavior and values. Acceptance of cultural differences as viable alternative solutions to the organization of human existence. Cultural (but not moral or ethical) relativity. The beginning of ability to interpret phenomena within context. Categories of difference are consciously elaborated.

8. **Acceptance/Behavioral Relativism:** All behavior exists in cultural context. Ability to analyze complex interaction in culture-contrast terms.
9. **Acceptance/Value Relativism:** Beliefs, values, and other general patterns of assigning "goodness" and "badness" to ways of being in the world all exist in cultural context.

**Activities to Move Learners to Next Stage:**

- Develop complex, in-depth values analysis for contrast cultures
- Prepare learners for cultural adaptation through homestays, drop-offs, simulations and role plays requiring cross-cultural empathy

**V. Adaptation to Difference.** The development of communication skills that enable intercultural communication. Effective use of empathy, or frame of reference shifting, to understand and be understood across cultural boundaries.

**10. Adaptation/Empathy:** Ability to consciously shift perspective into alternative cultural world view elements and act in culturally appropriate ways in those areas.

**11. Adaptation/Pluralism:** Internalization of more than one complete world view. Behavior shifts completely into different frames without much conscious effort.

**Activities to Move Learners to Next Stage:**

- Prepare learners to understand their own development, and to learn-how-to-learn autonomously
- Use cultural informants in unstructured formats

**VI. Integration of Difference.** The internalization of bi-cultural or multicultural frames of reference. Maintaining a definition of identity that is "marginal" to any particular culture. Seeing one's self "in process."

**12. Integration/Contextual Evaluation:** Ability to use multiple cultural frames of reference in evaluating phenomena. Similar to "contextual relativism" in Perry's terms.

**13. Integration/Constructive Marginality:** Acceptance of an identity that is not primarily based in any one culture. Ability to facilitate constructive contact between cultures—for one's self and for others. Participation to some extent in a "marginal reference group," where other marginals rather than cultural compatriots are perceived as similar.

**Activities to Move Learners to Next Stage:**

- Use individuals at this stage as resource persons
- Provide theoretical frameworks for constructing the multicultural identity
- Develop a peer group of multicultural persons

References:

Bennett, Milton J. "A Developmental Approach to Training Intercultural Sensitivity." *International Journal of Intercultural Relations*. 10.2 (1986): 179-196.

Bennett, Milton, J. "Towards Ethnorelativism: A Developmental Model of Intercultural Sensitivity (Revised)." Education for the Intercultural Experience. Ed R. Michael Paige. Yarmouth, ME: Intercultural Press, in press.

To receive a copy of these articles, write: The Intercultural Communication Institute, 8835 SW Canyon Lane, Suite 238, Portland, Oregon 97225.

Rev. 9/93

**Intercultural Communication Institute**  
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503-297-4622

*List of Knowledge and Skills*  
*of "Learning to be*  
*Interculturally Effective while Abroad"*

Centre for Intercultural Learning, CFSI

August 15, 2001

Based on the Profile of an Interculturally Effective Person:  
Canadian Foreign Service Institute, 2000

List of Knowledge and Skills of  
"Learning to be Interculturally Effective while Abroad"

Centre for Intercultural Learning, CFSI  
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Service Institute, 2000

Adapted so as to conform to the format used by St. Francis Xavier University,  
Diploma in Adult Education

A. Introduction

This document was created to be used in a needs analysis tool for Canadian High Commissions and Embassies. Its list of areas of knowledge and skills below are numbered to correspond to the 30 core competencies of the Profile of an Interculturally Effective Person (IEP): Canadian Foreign Service Institute, 2000. These are grouped under the 9 major competencies of the same study.

B. The Skill and Knowledge Areas

1. Adaptation Skills: to develop the ability to cope personally, professionally and in a family context with the conditions and challenges of living and working in another culture.

1.1 - able to cope effectively with the stress of culture shock and ongoing challenges of living in another culture

1.2 - able to enjoy and be enriched by living and working abroad

1.3 - able to change behaviour (in some ways) in order to enhance acceptance in the new culture

2. An Attitude of Modesty and Respect: to develop modesty about my culture's answer to problems; respect for the ways of local culture; humility about my knowledge of the local context; and a willingness to learn much and consult with locals before coming to conclusions on issues.

2.(as above) - able to learn more and consult with locals before coming to conclusions on issues

2.1 - able to demonstrate in attitude and behaviour a respect for the local culture

2.2 - able to behave in a way which demonstrates humility

2.3 - able to maintain an ability to take initiative and promote change when called for by the assignment while not losing the importance of humility

3. Understanding the Concept of Culture: to develop an understanding of the concept of culture and the pervasive influence it will have on life and work abroad.

3.1 - to know (conceptually) some ways culture affects all people and societies

3.2 - to know some of the influence of my own cultural conditioning and how some values of my culture may cause difficulties in the host culture

4. Knowledge of the Host Country and Culture: to build knowledge of the host country and culture and try constantly to expand that knowledge.

4. / 4.1 - able to continually expand my knowledge about the host culture

4.2 - know some background in the history, geography, social mores, customs and socio-economic conditions etc. of the host country relevant to my assignment

4.3 - know about the local organizations I work with: the political processes, organizational and national, and local management practices

5. Relationship Building: to develop good relationship building skills, both social/personal and professional.

5.1 - able to socialize harmoniously and productively with host nationals and co-workers

5.2 - able to facilitate cultures to work together harmoniously in a task-functional way

6. Self Knowledge: to increase knowledge of my own background, motivations, strengths and weaknesses.

6.1 - know my own culture and some ways my own cultural background shapes how I think, feel and react to people and events

6.2 - know my strengths and weaknesses with regard to overseas living and working

6.3 - able to recognize and manage my own reactions to ambiguity

6.4 - know my own management and work style

**7. Build Skills in Intercultural Communication:** to build the skills of an effective intercultural communicator.

7.1 - able to convey thoughts, opinions, expectations in a way that is understandable yet culturally sensitive

7.2 - able to participate in local culture and language without fear of making mistakes

7.3 - able to establish shared meanings with local people, so that what is said is understood by foreigners and locals in the same way

7.4 - know a sufficient amount of the local language so as to be able to demonstrate interest in the people with whom I work and interact

7.5 - able to empathize with, not just understand intellectually, how locals see the world

**8. Organizational Skills:** to build skills in improving the quality of organizational structures, processes, and staff morale, and of promoting a positive atmosphere in the workplace.

8.1 - able to find the balance between adapting to local behaviour and norms and maintaining my own cultural norms, identity and values

8.2 - able to build personal and professional networks of local, national and international stakeholders

8.3 - able to build consensus (common ground, shared understanding) between locals and foreigners by reconciling the perspectives of the various cultures so that all feel that they are contributing usefully

8.4 - able to remain focussed on the task to be achieved while managing cultural and organizational resistance

8.5 - able to assess the balance of competing (political) forces in an organization and its environment

8.6 - able to be professionally resourceful and effective with a different level of support and resources than accustomed to in the home country

**9. Personal and Professional Commitment:** to develop a high level of personal and professional commitment to the assignment and the life experience in another culture.

9.1 - able to contribute in some ways to the local community / host country and not solely to the welfare of my own organization or self

9.2 - know my own motivations and expectations regarding the assignment and personal life abroad

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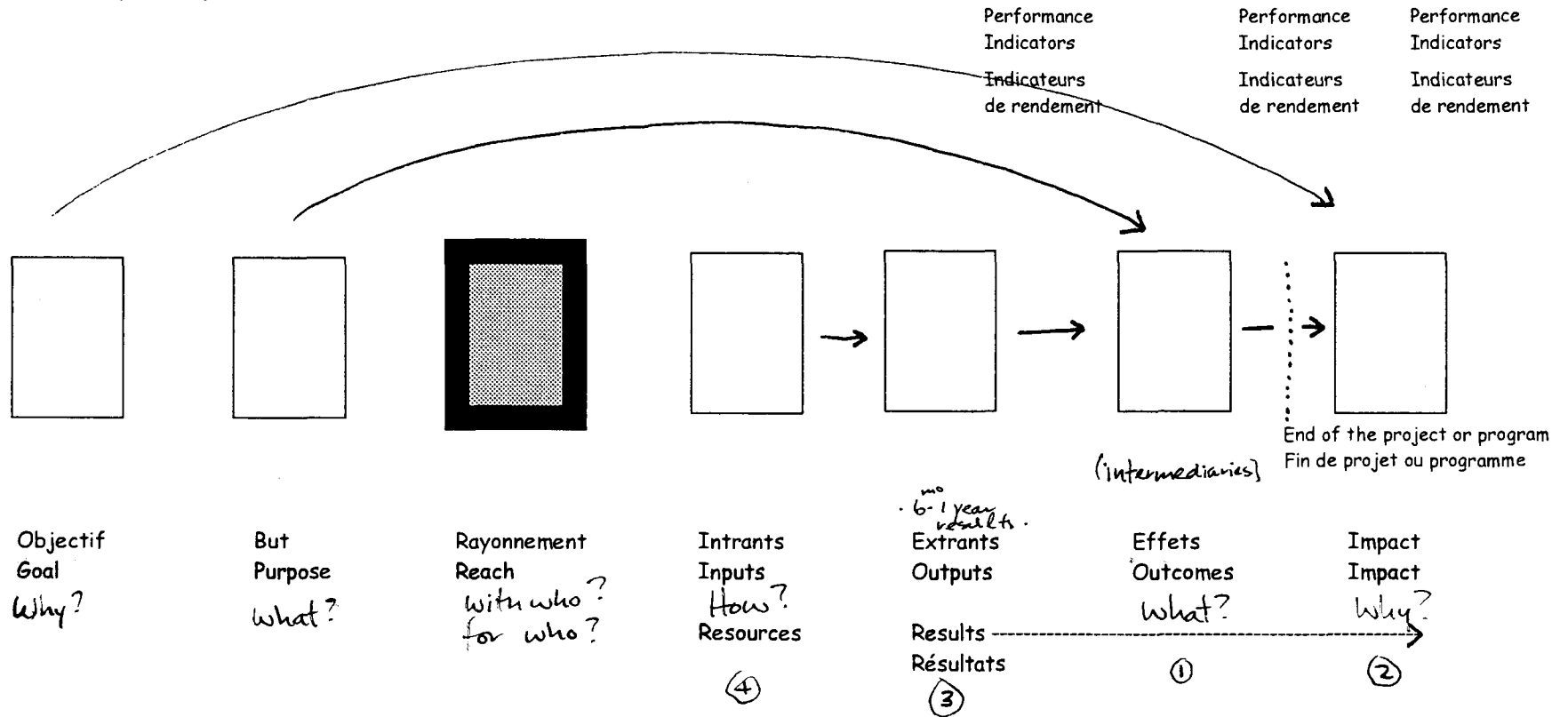
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# Results Based Management (RBM)

## Gestion axée sur les résultats (GAR)

Michael Hope-Simpson - May 2000



### RBM Terminology - English and French and...

Goal	Purpose	Reach	Inputs	Outputs	Outcomes	Impact
Objectif	But	Rayonnement	Intrants	Extrants	Effets	Impact

Activities  
↑  
Resources

Michael\boxes.wpd

① agree on outcomes  
② then agree on indicators

Excerpts

from:

" TRAINING WORKSHOP  
INTRODUCTION TO  
RESULTS-BASED  
MANAGEMENT "

PREPARED BY  
C.A.C. INTERNATIONAL  
FOR  
RESULTS-BASED MANAGEMENT DIVISION

## 2. RBM POLICY AND PRINCIPLES

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### RBM POLICY AT CIDA

The 1993 OAG Report identified the need to:

- Clarify strategic policy framework
- Establish a results-oriented and accountable style of operation
- Improve internal management procedures and practices
- Improve transparency of results reporting.

CIDA is committed to improving the impact of its work and to achieving greater efficiency and effectiveness in attaining that impact. CIDA launched its Corporate Renewal initiative in 1994 with these aims in mind. CIDA's adoption of results-based management (RBM) as its main management tool will allow it to systematically address these commitments.

CIDA has always pursued development results. The RBM approach will assist CIDA in its efforts towards continuous improvements in results-orientation, focus, efficiency, and accountability. RBM will also be an important element in CIDA's continuous development as a learning organization.

### CHARACTERISTICS :What is results-based management

By result we mean:

*A RESULT IS A DESCRIBABLE OR MEASURABLE CHANGE  
RESULTING FROM A CAUSE AND EFFECT RELATIONSHIP.*

By results-based management, we mean:

1. Defining realistic expected results, based on appropriate analysis.
2. Clearly identifying program beneficiaries and designing programs to meet their needs.
3. Monitoring progress towards results with the use of appropriate indicators.

4. Identifying and managing risks.
5. Increasing knowledge by learning lessons and integrating them into decisions;
6. And reporting on results achieved and the resources involved.

Notes:

## THE PRINCIPLES

The implementation of RBM is based on six principles.

*Three of them represent the basics of this new policy:*

### **1. Partnership**

RESULTS-BASED MANAGEMENT AND PARTICIPATORY DEVELOPMENT APPROACHES ARE COMPLEMENTARY.

For RBM to be a success, expected results must be mutually defined and agreed upon by all major stakeholders through a consensus building process.

Mutually agreed upon results can enhance stakeholders sense of ownership and subsequent commitment to continuous performance monitoring, annual performance appraisal and management for results.

Participation can improve the quality, effectiveness and sustainability of development action.

### **2. Accountability: Sharing Responsibility for Results**

Participation is a key element of accountability in the implementation of a project. The stakeholders will accept to be accountable if decision and management authority is clearly defined and agreed upon.

CANADIAN PARTNERS, DEVELOPING COUNTRY PARTNERS AND CIDA ARE SHARING RESPONSIBILITY FOR RESULTS ACHIEVEMENT, INCLUDING HOW RESULTS ARE PLANNED AND REPORTED.

CIDA program management dovetails with corporate responsibilities for results at the program level.

CIDA project managers are primarily accountable for the overall achievement of project results. They must ensure that project partners plan for and produce cost-effective results and that reports on results indicate clearly what progress is

being made and when CIDA needs to take action to enhance results.

**Canadian partners** (Executing agencies, NGOs, NGIs, institutions, etc) are mainly accountable to implement development processes by providing high quality services. This means that executing agencies are accountable for the implementation of the activities leading to the attainment of results at the **output level**. They are also responsible for managing the risks and ensuring that the conditions are met to produce **the outcomes**. They are also responsible of informing CIDA on the factors of success and obstacles that occurred while implementing the project.

**Developing country partners** are accountable for ensuring that planned results are relevant to development priorities, and those processes are appropriate for the context. They are also accountable for their own contributions to the attainment of the results identified by all the stakeholders.

### **3. *Transparency***

It is now deemed necessary that results reporting be transparent. That is why it is important to clearly identify the expected results and the corresponding indicators so that results are measurable. The implementation of a Measurement Performance Framework will generate data that will be used in the preparation of better-documented reports that will be used for efficient decision-making.

*The three other principles are related to the implementation of RBM at CIDA:*

### **4. *Simplicity: Make it simple***

The RBM approach implemented by CIDA must be easy to understand and simple to apply. Too much complexity in the data collection system and performance measurement is the major obstacle to the efficient implementation of RBM. It is better to start with a limited number of results statements and indicators in order to better measure and monitor the expected results.

### **5. *Learning by doing***

CIDA will implement RBM on an iterative basis, refining approaches as we learn from experience. Practical experience, often based on the trial and error approach, is a

necessary exercise for capacity development and for improving the implementation of RBM methods and tools.

## **6. *Broad Application***

CIDA will apply the RBM approach to all its programs and projects. All new projects will be designed on the basis of a Performance Framework identifying results related to the objectives of CIDA program in the country. On-going projects (that did not complete mid-term implementation stage) should be adapted to RBM requirements.

## 1. WHAT IS RBM

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### What is RBM?

RBM is a team-based and participatory approach to management that seeks to focus an organization's or project's effort on expected results

### RBM can make a difference when?

- results are mutually defined and agreed upon;
- a participatory approach ensures buy-in, commitment and a common understanding of what a project or program is trying to achieve;
- iteration and flexibility allowed to change strategies during mid-stream to ensure development results are achieved.

## 2. WHAT IS A RESULT?

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Results are consequences of actions taken to meet certain purposes.

*" An effect arising from something"*

*" The success or benefit obtained from a course of action"<sup>1</sup>*

**A RESULT IS A DESCRIBABLE OR MEASURABLE CHANGE  
RESULTING FROM A CAUSE AND EFFECT RELATIONSHIP**

**Two major elements to remember:**

The notion of **CHANGE** which involves a visible transformation in the group, the organization or the society or country where CIDA works.

The notion of **CAUSALITY** illustrating the cause and effect relationship between an action and the results achieved.

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<sup>1</sup> The Webster Encyclopedic Dictionary



A result should be:

- S** Specific (it should specify the nature of the change, the target groups, the target region, etc.)
- M** Measurable (it can be measured by using indicators)
- A** Achievable (it is realistic)
- R** Relevant (it is an answer to the identified need)
- T** Time bound (it can be achieved in the time frame of the project)

The statement of results should illustrate the type and level of human transformation that occurred from CIDA's intervention in a given context, such as:

- An improvement (in the health conditions)
- An increase (of the revenues of a given group or community)
- An increase (in the Gross National Product)
- A strengthening (of the capacities of local NGOs)
- An increase (in the girls' scholarship rate)
- A reduction (in the infant mortality rate)
  
- Or it can illustrate a transformation in the attitudes, practices or behaviour of a given group (Adoption of contraceptive methods by the women of a region, and acceptance of control-birth methods by the men).

There are two types of results:

### **1. Operational results**

These results are the administrative and management product achieved by a program or project.

### **2. Developmental results**

These results demonstrate the transformation that occurred in a program or project. They correspond to the **Outputs, Outcomes, and Impact** of CIDA's intervention in a developing country. These three levels of results form the Chain of results.

## **2. WHAT IS A RESULT CHAIN?**

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A results chain is a logically linked set of results, some immediate, others more distant. Results at each level aggregate to produce the results at the next higher level. The results chain includes:

- Immediate results called **OUTPUTS** that are the consequences of completed activities.
- End-of-project results called **OUTCOMES**, which are the consequence of the achievement of a set of outputs.
- A long-term result called **IMPACT**, that is the logical consequence of the achievement of the outcomes.

Example:

The expected results in a basic education project could be the following:

IMPACT : **Improved** quality of the basic education system.

OUTCOMES : **Increased** number of children attending primary school in the district who complete the primary level of education.

OUTPUTS : **Enhanced** school curriculum in primary schools in the targeted district.

**Increased pedagogical capacities** of teachers.

**The parents are sensitised** to the importance of sending their children (more specifically girls) to primary school.

**Increased number of female teachers** at the primary level.

### 3. WHAT IS THE EXPECTED REACH OF THE PROJECT OR PROGRAM?

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The Reach refers to the groups who will benefit directly from, or be affected by, the results of the project. According to the nature of the project, it refers to:

- the Southern partner organization (governmental or non-governmental)
- other organizations or institutions involved in the thematic of the project
- intermediary organizations (NGO, local or regional association, consulting firm) and their clientele
- direct beneficiaries
- other project stakeholders

For each of the identified target groups, it is important to determine:

- **Gender desegregation:** 50 female teachers among the 125 teachers identified.
- **Who, within these groups,** will benefit from the project or will be involved directly in project activities (for example: 125 teachers from 15 primary schools in the province X who will receive training on new pedagogical methods).

The **Why** expresses the expected result related to the orientations of the local Government and with CIDA Strategic Programming Framework for the country.

The **What** expresses the developmental results at the level of the Outputs and the Outcomes that the project tries to achieve.

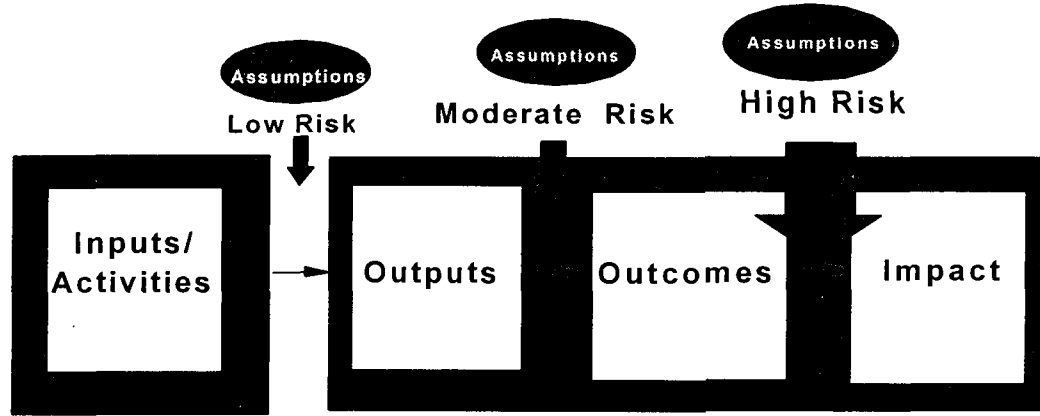
The **How** expresses in which way (through what type of resources and activities) the project will attain the expected results.

The **With Whom** specifies the Reach.



## 5. ANALYSING THE LEVEL OF RISK

### *Risk Analysis*



Decreasing Management Control →

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## Risk level

For each assumption identified, it is important to specify the expected level of risk, based on the analysis of the context.

Risk analysis determines the probability that the identified conditions will not be present. The level of risk is rated **high, medium** or **low risk**.

Generally, the assumptions related to the transformation of the activities into outputs, present a low level of risk, considering that managers have a greater control on the achievement of the activities.

The assumptions related to the transformation of the outputs into outcomes present a higher level of risk, considering that various elements may interfere on the achievement of results, throughout project implementation.

It is considered as normal, that the assumptions ensuring the transformation of the outcomes into impact present an even higher level of risk, since these assumptions are related to the context and often involve investments external to the project.

### For example:

**Assumption:** The parents who were sensitised to the importance of sending their children to school, and more specifically girls, will have the financial resources to do so.

**Risk:** Considering the analysis of the context, the stakeholders must determine if this condition presents a high, medium or low risk.

## WHY IS RISK ANALYSIS IMPORTANT?

You may want to consider strategies that can reduce your level of risk;

Resources may also need to be reallocated to reduce risk or to ensure the sustainability of a project.

## 6. BALANCING THE THREE R'S (REACH, RESOURCES, RESULTS)

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After identifying the expected results, reach and available resources, it is important to examine strategic trade-offs:

- Are the expected results realistic considering the targeted beneficiaries and the available resources?
- As a consequence:
  - Should we decrease coverage of beneficiary groups (for example: the number of beneficiaries or the number of regions of intervention) or should we increase it in order to achieve better results?
  - Can resources be increased, decreased, or reallocated?



### 3. DEFINITION AND SELECTION OF PERFORMANCE INDICATORS

- not too many

#### WHAT IS AN INDICATOR?

- evidence of results -

(not necessarily results but evidence of results)

**An indicator is a "pointer" that helps you to measure progress towards achieving results.**

There are two types of indicators: quantitative indicators and qualitative indicators

## Types of Performance Indicators

■ Quantitative statistical measures:

- Number of
- Frequency of
- % of
- Ratio of
- Variance with

■ Qualitative judgments or perceptions:

- Congruence with
- Presence of
- Quality of
- Extent of
- Level of

"results" are - outputs  
- outcomes  
- impact

"bank of indicators" in proposal  
then use appropriate ones

Some examples:

Quantitative indicators	Qualitative indicators
1. Number of women in the decision-making positions	1. Level of satisfaction of the beneficiaries.
2. Comparative (women and men) rate of employment in the public sector	2. Quality of the service provided.
3. Ratio of men and women in decision-making positions in the Government	3. Perception of men on women's participation in the local Committee.
	4. Coherence between the management tools developed and the absorptive capacity of the beneficiaries.

Often, qualitative indicators may be quantified. For example, we may quantify the number of people *very satisfied*, *moderately satisfied* or *unsatisfied*, with the service provided. Although, the level of satisfaction remains a subjective indicator.

**BASIC PRINCIPLE:**

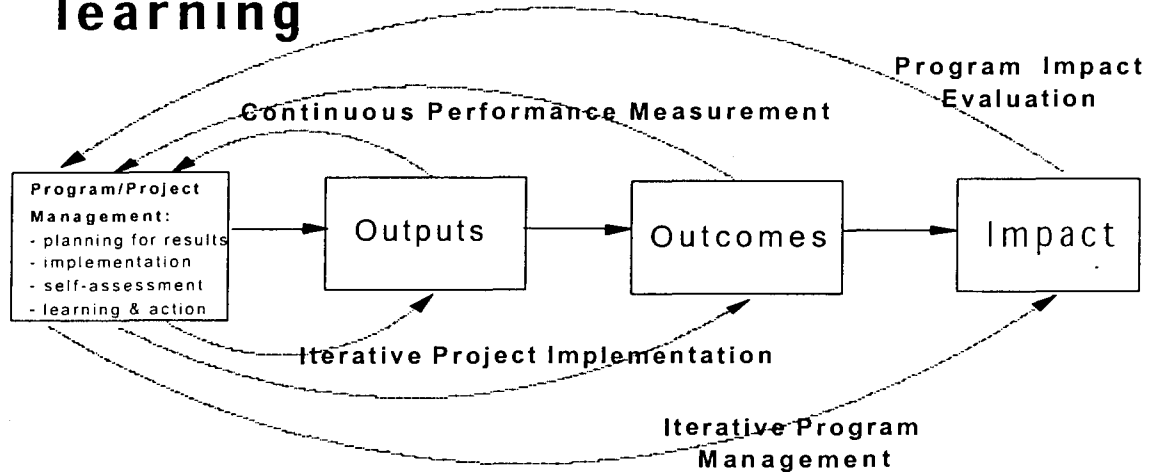
The indicators must be developed in a participatory fashion including all major stakeholders, whenever possible.

**SELECTION CRITERIA:**

1. **Validity:** Does the indicator allows you to be precise in measuring the results (quantity, quality, timebound)
2. **Reliability:** Do the indicators measure **trends over time** (for example: the absenteeism rate of children in primary school may vary according to the time of the year, in relation with the calendar of agricultural activities)? To be reliable, the information must always be collected at the same time period.
3. **Representativity:** Do the indicators provide a desegregated information by sex, age group, etc.)?
4. **Simplicity:** Is the information available and will it be feasible to collect and analyse it?
5. **Affordability:** Can we afford to collect and analyse this information?

**3. USING PERFORMANCE  
INFORMATION TO ENHANCE  
ORGANISATIONAL LEARNING**

# Use performance information to enhance organizational learning



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## List of CIDA RBM Documents

*Results-Based Management in CIDA: An Introductory Guide to the Concepts and Principles*, CIDA, Results-Based Management Division, Performance Review Branch, January 1999.

*Guide to Project Performance Reporting: for Canadian Partners and Executing Agencies*, CIDA, Results-Based Management Division, Performance Review Branch, May 1999.

*Lessons Learned from Implementing Results-Based Management (RBM) in CIDA*, CIDA Results-Based Management Division, Performance Review Branch, June 1998.

*Framework of Results and Key Success Factors*, CIDA Results-Based Management Division, Performance Review Branch, July 1999.

## PERFORMANCE MEASUREMENT FRAMEWORK

Source: Canadian International Development Agency  
Performance Review Division, March 1998

<b>Performance Framework</b>	<b>Performance Indicators</b>	<b>Data Sources</b>	<b>Collection Methods</b>	<b>Frequency</b>	<b>Responsibility</b>
Impact (Program)					
Outcomes					
Outputs					
Reach					
Resources					

***Project or Program Self Monitoring Tool, Centre for Intercultural Learning, Canadian Foreign Service Institute***  
 (Michael Hope-Simpson, Revised May 2000)

The following are a series of topics and questions to gather performance information, either from individual team members or as a “brainstorm” in a group or as a team:

<p><b>Expected Results:</b></p> <p><i>What are the expected results? (Take one result at a time from the project or program plan)</i></p>	<p><b>Performance Indicators:</b></p> <p><i>For this result, what are the performance indicators?</i></p>	<p><b>Summary of Activities</b></p> <p><i>What are the main activities which have been done during this period which are related to this result and to this aspect of the project design?</i></p>	<p><b>Progress and Achievements Toward Expected Results</b></p> <p><i>Considering all of these activities, what in your estimation has been achieved? What progress has been made toward the achieving the results which you expected to achieve?</i></p>	<p><b>Variance From Planned</b></p> <p><i>What (if any) significant differences are there between what you planned to achieve during this period and what you actually achieved? What are the main reasons for this difference?</i></p>	<p><b>Lessons Learned, Conclusions, Recommendations</b></p> <p><i>Are there any significant lessons learned or conclusions to be drawn from the experience in this period? Are there any recommendations to be made to Partners or to CIDA?</i></p>

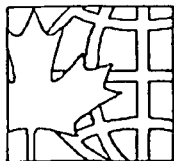
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## PLANNING FOR INTERNATIONAL PARTNERSHIPS

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### GOAL SETTING EXERCISE

<b>Time Frame</b>	<b>Goals:</b> What specifically do you want to accomplish?	<b>Actions:</b> What specific steps do you plan to take to achieve these goals?	<b>Challenges:</b> What might you do to hinder the achievement of your goals?	<b>Challenges:</b> What challenges in your work environment will you have to overcome?	<b>Overcoming Challenges:</b> What can you do to realistically overcome these challenges?
<b>Time Frame</b>		<b>Actions:</b>	<b>Challenges:</b>	<b>Challenges:</b>	<b>Overcoming Challenges:</b>
<b>Time Frame</b>	<b>Goals:</b>	<b>Actions:</b>	<b>Challenges:</b>	<b>Challenges:</b>	<b>Overcoming Challenges:</b>
<b>Time Frame</b>		<b>Actions:</b>	<b>Challenges:</b>	<b>Challenges:</b>	<b>Overcoming Challenges:</b>



## Lessons Learned for Achieving Learning and Developmental Results in Cross-cultural Technical Exchanges

### Basic Principles:

1. Involve the learner - ask your guests what they would like to learn about / see
2. Build a good relationship
3. Provide direction and resources as needed
4. Two way exchanges - their context and our context
5. Make reference to back home application through asking questions:
  - How does your guest see how this could be applicable in their context?
  - What constraints to application do they see?
6. Periodically review progress with them, and see what new questions have arisen (back to number 1)





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## Case Study #6: Using Performance Data to Manage for Results - Canada's International Immunization Program Phase II Institutional Cooperation Division, Partnership Branch

### I. Project Description and Performance Framework

### II. Using Performance Data to Manage for Results

### III. Lessons Learned

#### **I. Project Description and Performance Framework ↑**

The Canadian Public Health Association (CPHA) was chosen to be the executing agency for Canada's International Immunization Program (CIIP). Phase II was launched in response to the 1990 World Summit for Children. In this program CPHA guided 29 Canadian partner NGOs in carrying out 60 projects in 28 countries, with local partner NGOs. Its five year budget of CIDA support was \$30 million (1991/92-1997).

CIIP2's goal was to assist with achieving sustainable immunization coverage by strengthening primary health care systems. The program's objectives were:

To increase the capacity of Canadian and overseas NGOs to design, implement and manage effective primary health care projects that strengthen and sustain primary health care systems;

To strengthen programs of immunization as one component of primary health care systems;

To strengthen primary health care projects through emphasizing community participation, human resource development and the increased participation of women in development; and

To increase Canadians' knowledge and awareness of CIIP2 activities in sustaining and improving immunization and primary health care.

Partnership, capacity building, sustainability and gender equity were

key development themes. Key stakeholders in the program were national and local governments, UN agencies, and community-based organizations. Projects were managed and administered through the Canadian NGOs who worked with local partners in the host country.

CIIP2 never developed an LFA but expected results were implied in the program's stated goal and objectives. The CIIP2's approach to performance measurement was comprised of several components:

- front-end project design, including a project Baseline Health Status Report against which
- future progress could be measured;
- annual plans, and annual and semi-annual narrative reports which all addressed specific objectives and results with indicators;
- use of "core indicators" common to all projects, to give some quantitative view of programme-wide results;
- use of "budget mapping" that linked core program activities to budget expenditures.

The monitoring system was computerized and the data collected (financial, statistical/quantitative and narrative/qualitative) was linked to day-to-day project management. At a program level, the core indicators were added up on a semi-annual basis.

## **II. Using Performance Data to Manage for Results ↑**

CIIP2 began to experiment with RBM even before officially requested to do so by CIDA. Close attention was paid to setting up strong financial monitoring and accountability at the beginning of the program, which was then linked to broader performance monitoring in one computerized system. This linkage is highly attractive; but the difficulties that CIIP2 met with the performance monitoring are noted below, and the management information system became quite large, with a cost beyond the finances of many NGOs and a heavy demand on staff for data entry.

The front-end Baseline Health Status Reports were useful experiences and helped in understanding the progress of the projects. The actual changes in health status were not easy to measure, though, and were due to many other local influences besides the project. Thus the analyses of change could only be used as general indications.

The most useful approach was the project-specific annual planning and reporting using results, quantitative where possible. This is a managerial function that requires experience, and much was learned at all levels of CIIP2 from the commitment to use it. The effect was that activities in each project were designed more to link to objectives and observable results, and progress was more clearly seen.

Progress was reported via specific project objectives, some with some indicators. Both statistical and narrative reports were then compiled and analyzed by the CIIP2 program staff and were discussed with partners. They also discussed how to adjust activities, and the objectives and indicators, to ensure outcomes would be achieved. The performance reports were used mainly for corrective management, not for quantitative assessment of success/failure.

The "core indicators" were to show the unity of the whole program and provide something that could be "added up". They were designed with active partner input, and came out as 26 core indicators mainly in training-days, community committees formed, and technical or logistical support for immunization. These were clear quantitative indicators, but it can be seen that they were mainly at the input and activity level rather than outcomes of the program: not really performance indicators. Some were indeed created at the outcomes level, e.g. immunization coverage, but then they could not be measured very well and were not so attributable to the projects. In sum, core indicators were quite problematic; but they were still useful for project planning and management to a degree.

The "budget mapping" used project activity reports (in standardized categories) together with expenditure data to examine whether percent achievement of activities or outputs was proceeding in synch with the percentage utilization of that activity's budget. This provided the basis for project and CPHA staff to identify more precisely where adjustments were needed to improve project performance.

### **III. Lessons Learned ↑**

#### **Partnership**

The program was successful in getting full buy-in for the use of performance data from all Canadian partners through the gradual introduction of the above approaches. It was part of an intensive, helpful partnership approach by CPHA, that included frequent consultation and mutual learning sessions. The work on performance measurement was made quite transparent to the partners, and they had access to the relevant print outputs of the system.

#### **Simplicity**

Although CIIP2 sought to measure performance in terms of outputs, and even outcomes and impact, indicators turned out to be elusive. Both at the project and core program level, the clearest indicators were those of input and activities. Collection of baseline data in the key output areas was needed for measuring progress, but it was difficult to obtain. It was not really possible to portray project progress towards outcomes in immunization levels and health status based on performance data reports. The use of core indicators at the

program level was an ambitious effort by CPHA, and was useful to a degree, but showed how difficult program-level performance is to address. Even case studies and the CIIP2 evaluation had difficulty assessing achievement of program objectives and impacts. The program objectives could have been designed in a more results-oriented way; and the whole program logic (or LFA) could have facilitated performance measurement more; but this was not an emphasis in 1991. In any case, there were no standards against which to compare, for this kind of community-level program. Consistent use of a relatively small, precise set of quantitative indicators suited to the health sector, and close to the activity level, seems the most effective way to proceed.

### **Learning By Doing**

The program started to set up performance measurement systems early in its life-cycle, taking an approach of learning by doing it. Training and capacity-building with staff and project partners was included. CPHA staff were committed to the vision of a comprehensive performance measurement system and made active efforts to experiment and follow through on the tasks involved. The whole performance measurement dimension of CIIP2 was perceived by the partners as a positive learning experience. However, this took a very heavy input from CPHA staff.

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