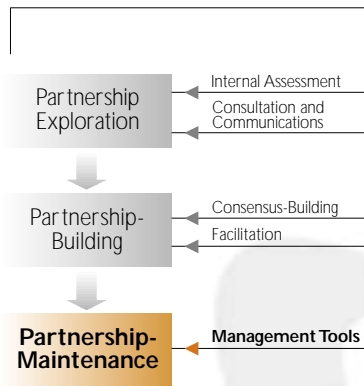


# MODULE 7 Management Tools



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## MODULE 7

### Management Tools

#### Purpose

This module builds capacity for participants to move a partnership from the stage of an outline agreement to practical implementation. The module focuses participants on planning, adapting and monitoring as they proceed through the tri-sector partnership process. The emphasis is on using three practical tools (a workplan, a SWOT analysis and a monitoring checklist).



Small-scale gold mining, Venezuela

#### Sessions

The module is designed to last **one-day** and is divided as follows:

##### Session 1 - Planning Partnerships (p. 7-3)

- introduction to 'workplans' as a partnership management tool
- developing a draft workplan

##### Session 2 - Adaptive Management (p. 7-6)

- exploring the concept of adaptive management
- application of a SWOT analysis as a tool for adaptive management

##### Session 3 - Monitoring Partnerships (p. 7-9)

- using an evaluation checklist as a tool for monitoring and evaluating partnerships

## Applications

The skills developed through the application of the management tools in this module are required throughout the partnership development process. In particular, these skills are needed to move from the stage of partnership building to the implementation of agreements.

As with any development process, the implementation of partnership arrangements will be influenced by changing internal and external circumstances. To effectively respond to these changes and ensure that the objectives of the arrangements are ultimately met, workplans must be flexible and the management approach adaptive. Adaptive management involves a periodic assessment of what factors influence effectiveness and efficiency. Workplans can then be altered to capitalise on positive influences and mitigate the negative. In this module, SWOT analysis is adopted as an adaptive management tool.

Monitoring and evaluation is relevant at all stages of the partnership development process. In the exploration phase, for example, it is important to evaluate the costs and benefits of entering into partnership and to monitor the effectiveness of the consultation process that is taking place to find prospective partners. During the implementation of partnership agreements, systems of evaluation and monitoring can improve the performance of the partnership, helping to change its direction or bring it to closure.

In the context of partnership maintenance, a formalized monitoring process can be applied and adapted to generate two types of outcomes (1) progress reports - the preparation of periodic monitoring reports; and (2) full evaluations - more mechanistic and detail both the process and impact of the partnership over time.

## How to Use This Module

This module is designed for participants who have brokered an existing partnership and are looking to implement or evaluate the arrangements. Practical application of the tools presented in this module is key. As such, the activities of the module should be 'clinic-based', with the trainees own partnership arrangements serving as their case-materials.

### Useful Materials for Training

- ▶ Overhead Projector
- ▶ Flip-chart paper
- ▶ Marker pens
- ▶ Masking tape/tack
- ▶ Post-It Notes (large)

# Session 1 - Partnership Planning

## Aim

*The aim of this session is for participants to understand the importance of taking a partnership agreement or MoU and turning this into action. Using established partnership agreements (or MoUs, charters, outline workplans, etc.) as a basis, the objective of this session is for participants to complete a detailed joint workplan.*

## Learning Objectives

- to introduce joint workplans as a valuable tool in the management of partnerships;
- to understand the importance of transforming an MoU, charter or other form of partnership agreement into a practical workplan; and
- to develop a draft workplan based on the participants' 'real world' case-material.

## Guidance For Trainers

**1. Concept of Workplans** - In plenary, briefly introduce the notion of workplans as a tool for managing the implementation of a tri-sector partnership arrangement. Invite participants to share personal experiences with the development of

workplans and, from their experience, to identify what was successful or unsuccessful about the workplanning process.

## 2. Translating Partnership

**Agreements to Workplans** - Using *Handout 5.3* (Example MoU - Module 5) and *Handout 7.1* (Example of a Workplan) discuss the key components of a workplan for implementing a partnership arrangement. Review the workplan in detail, defining and discussing the individual components (responsibilities, resources commitments, timeline, supervision, etc.) Discuss the strengths and weaknesses of the case-example. Invite participants to identify other categories that would be beneficial to include in a workplan and compare to *Handout 7.2*.

## 3. Developing Draft Workplans

- For the remainder of the morning, ask participants to break into work groups (or as individuals if more appropriate) and using their own MoU or other form of partnership agreement, to develop a draft workplan for their partnership. Encourage participants to seek assistance from one another. Offer the workplan worksheet (*Handout 7.2*) as a guide for the workplan or allow each group/individual to develop their own framework. Reconvene in plenary and discuss the process and outcomes.

# Example Workplan of Initial Tasks for the Construction and Management of a Health Centre

Drawn from: Las Cristinas Gold Mine, Placer Dome (MINCA), Venezuela

TASK	DATE	RESPONSIBILITIES - COORDINATION
Establish the Construction Committee that will organise the building of the health centre.	Monday 03.04.00	MINCA
Establish the Implementation and Supervisory Committee that will assist the Construction Committee in organising and supervising the building of the centre.	Monday 03.04.00	The indigenous and creole communities will select their representatives and form the Committee
Initiate the construction of the health centre.	Monday 03.04.00	Mayor's Office, MINCA, Government of Bolivar State, the army, the communities - MINCA will coordinate.
Establish the Executive Committee that will manage the health centre	Monday 03.04.00	The community will select its candidates from a list HMRV: Will choose its local representative (Sunday, 26/03/2000) Las Cristinas Health Group will choose the remaining members of the Executive Committee, based on the community's list of candidates
Carry out First Civic Campaign in the communities	July 2000	HMRV with support from the communities, MINCA and other institutions
Finalise the construction of the health centre	Saturday, 15.07.00	The Mayor's Office, MINCA, the communities, Government of Bolivar State - MINCA to coordinate
Finalise the installation of equipment to enable emergency, outpatient and medical observation services to begin.	Tuesday 01.08.00	HMRV, MINCA, the communities, other institutions- HMRV to coordinate
Inauguration of the health centre	August 2000	HMRV, the communities, MINCA

## Workplan Worksheet

Activity	Date	Partner(s) Role	Resources/ Commitments	Responsibility/ Coordination

# Session 2 - Adaptive Management

## Aim

*The aim of this session is for participants to understand the principles of and necessity for adaptive management and to illustrate a process for assessing the effectiveness of the workplan. In this module, a SWOT (internal strengths and weaknesses; and external opportunities and threats/risks) has been adopted as a management tool.*

## Learning Objectives

- ▶ to understand the concept of adaptive management; and
- ▶ to demonstrate the application of SWOT analysis as an adaptive management tool.

## Guidance for Trainers

### 1. Concept of Adaptive Management

Ask the participants (in small groups or plenary) to quickly (10 minutes) brainstorm what could go wrong in the implementation of the workplans that they developed in Session 1. They should identify both internal problems (e.g. lack of resources or not completing tasks on time), as well as external problems (e.g. lack of effectiveness of activities and political instability). Capture their ideas on

flipchart paper. Then ask the participants to describe what they would do to respond to the problems identified. Debrief.

### 2. Introduction to SWOT Analysis -

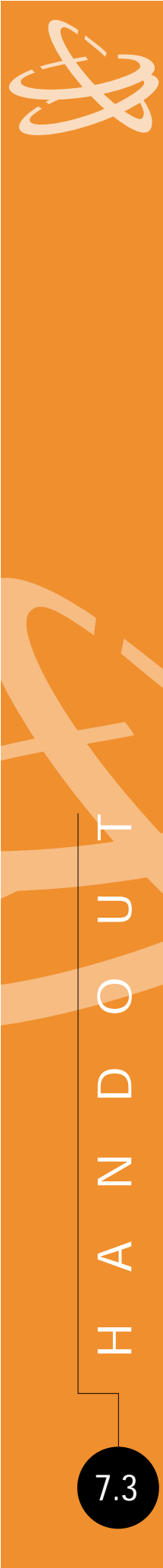
Using *Handout 7.3*, introduce the principles of a SWOT analysis. (20 minutes)

### 3. SWOT Analysis as an Adaptive Management Tool -

In plenary, using the SWOT analysis for the Sarshatali Coal Mine Project, India (*Handout 7.4*), and with reference to the case-example on this project given in Module 1, demonstrate the application of a SWOT analysis as an adaptive management tool by asking the participants to answer the following:

- ▶ How can the external threats and weaknesses identified be overcome?
- ▶ What would add strength to the partnership?





## Principles of SWOT Analysis

A **SWOT** analysis helps find the best match between the trends in the external environment and the internal capabilities of the partnership.

### **Strength -**

is a resource or capacity the partnership can use effectively to achieve its objectives

### **Weakness -**

is a limitation, fault or defect in the partnership that will keep it from achieving its objectives.

### **Opportunity -**

is any favourable situation (change or trend) in the partnership's environment that will enhance the partnership's ability to achieve its objectives.

### **Threat -**

is an unfavourable situation (barrier, constraint) in the partnership's environment that potentially damages the partnership's ability to achieve its objectives.

In general, an effective strategy is one that takes advantage of the partnership's opportunities by employing its strengths and wards off threats by avoiding them or by correcting or compensating for weaknesses.

# SWOT Analysis of the Sarshatali Coal Mining Project Partnership

The objective of this SWOT analysis is to draw out the lessons for effective partnership management from the experiences of the partners, ICML (the mining company), ASHA and Suchetana (two local NGOs), the District Administration of State Government and 'block level' Panchayat Samity committees in the Livelihood Assessment and Trust-Building Measures (LATM) Partnership. The shared objectives of this partnership have been to:

- complete a Livelihoods Assessment to prioritise social development needs in the Mine Impact Area (MIA); and
- through community participation:
  - identify and implement trust-building measures (institutional strengthening, health camps, emergency water supply etc) during the current period of uncertainty over the future of the mine project;
  - identify, and build capacity to implement, pilot income restoration projects for those most affected by the acquisition of land; and
  - identify development projects that would bring community-wide benefits.

### Strengths

- Partnership 'championed' by senior managers in each partner organisation
- Common social investment objectives agreed at outset
- All 'shared objectives' of the partnership implemented
- Various improvements in quality and sustainability in the design of resettlement and rehabilitation, livelihood restoration and community development
- 'Added value' accrued to each partner, benefits over and above the next best alternative (e.g. outsourcing to NGOs, contracting consultants, 'in-house' implementation by ICML or government authorities)
- Improved upon conventional community participatory approaches in that 'beneficiaries' were transformed into true 'partners' (e.g. contributing resources and accepting risk)
- Provided a platform for cross-sectoral negotiations (NGOs, government, company)
- Improved access of community groups, ICML and NGOs to the District Administration
- Problem-solving more innovative and creative

### Weaknesses

- Absence of independent monitoring for the partnership, its workplan and outcomes
- Because of the contracts needed to transfer funds from ICML to the NGOs, a perception by the NGOs that these contracts, rather than the Memorandum of Understanding (MoU) negotiated between the partners, provided the governance structure for the partnership.
- Poor understanding by the partners of their specific roles and reciprocal obligations, in part a result of conflicting descriptions of roles in the NGO's separate workplans.

### Opportunities

- The social capital and trust built between partners should be utilised to convene future partnerships for other social development areas
- Need for improved local facilitation skills
- Future partnerships need to agree procedures for when to resort to third-party facilitation, its type and status.

### Threats/Risks

- Failure to build capacity of partners to implement their roles in the partnership undermined effectiveness
- Further delays to financial closure for ICML may threaten capability to resource future activities of the partnership

## Session 3 - Monitoring Partnerships

### Aim

*The aim of this session is to introduce the participants to some of the elements that need to be considered when monitoring and evaluating the impact of social partnership in the extractive industries.*

### Learning Objectives

- to review the application and key components of a process for monitoring a tri-sector partnership; and
- to identify the difference between a progress report and a full evaluation.

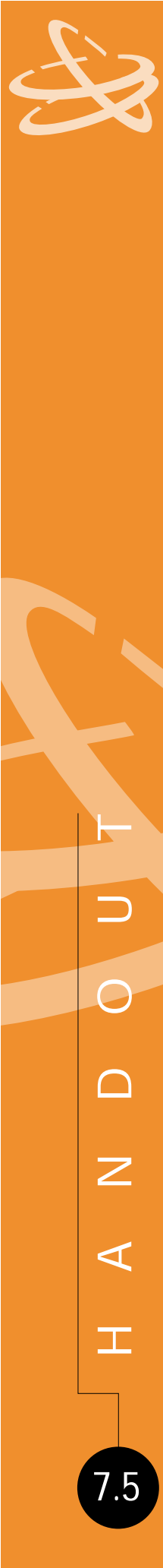


### Guidance for Trainers

#### 1. Introduction of Monitoring

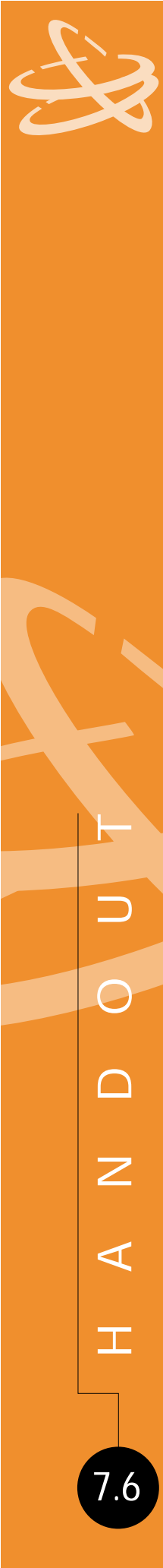
**Checklists** - In plenary, using *Handouts 7.5, 7.6 and 7.7*, review the checklists for evaluating and monitoring partnerships. Have participants identify the different applications of the checklists for progress reports (e.g. less detail, review of only key categories) and for full evaluations (e.g. more formalized, greater detail).

**2. Revisiting Workplans** - In plenary, ask the participants how learning about the management tools for adaptive management and monitoring partnerships would influence the workplan they developed in Session 1. Have participants revisit their workplans and determine where it would be appropriate to include, as defined activities, periodic assessment for adaptive management and monitoring for progress reports and full evaluations.



## Checklist to Evaluate the Partnering Process

- 1. Effectiveness of the process adopted to explore the merits of working in partnership, for example:**
  - how the 'needs' of each party in terms of development impact and business benefit were identified
  - how, for each party, the risks and costs of addressing these needs through tri-sector partnership were weighed against the opportunities and benefits
  - the process of stakeholder consultation undertaken to bring potential partners into dialogue about forming tri-sector partnership
  
- 2. Effectiveness of the process adopted to build consensus between the partners, for example:**
  - the triggers/drivers for each partner that brought them into partnership
  - the steps taken to bring partners together and build multi-party consensus
  - the key actors (e.g. champions/brokers) instrumental in bringing the partners together
  - measures taken to strengthen capacity (institutional and human) to make the partnership work
  - the contribution of resources and the distribution of roles and responsibilities between the partners
  - the measures put in place from the outset intended to manage/maintain the partnership over time
  
- 3. Effectiveness of the actual process of partnership maintenance/management, for example:**
  - the way in which partners actually communicate, make decisions and resolve grievances within the partnership (and with their respective constituents and other parties)
  - the extent of satisfaction in the way the partnership is managed
  - the way in which the partnership responds to changes in the external environment (e.g. economic, political, environmental, security, etc); or internal environment (e.g. changes in key personnel, management champions, etc.)
  - how roles and responsibilities have altered over time.



## Checklist to Evaluate the Functionality of Partnership Structure

1. **Appropriateness of the 'theme' or topic of the partnership** (e.g. the social issue that brought the partners together)
2. **Effectiveness of the overall 'type' of partnership being proposed or implemented** (e.g. knowledge sharing, consultative, informed consent, contractual, etc. - or a combination)
3. **Legitimacy of the partners involved as representatives of their constituents**
4. **Effectiveness/appropriateness of the structural components of the partnership, including:**
  - A) shared vision statement
  - B) shared objectives
  - C) individual objectives of each partner
  - D) other underlying interests (triggers or motivations of each partner for entering into the partnership)
  - E) relevant constitutional rules of the partnership
  - F) geographic boundaries and/or target populations
  - G) key activities and tasks expected of each partner (e.g. workplans, schedules)
  - H) skills and resources committed by each partner including both 'tangible' resources (e.g. finance, human skills, etc.) and 'intangible' (e.g. access to vulnerable community groups, credibility with senior government officials, critical information such as surveys or databases, etc.)
  - I) divisions of responsibility, including accountability, transparency and, where relevant, internal contractual arrangements
  - J) decision-making principles
  - K) grievance mechanism to resolve disputes between parties
  - L) continuous learning mechanism (e.g. periodic progress reports and reflection workshops)
5. **Analysis of the overall functionality of the above structure (e.g. how do the structural components interact?)**



## Checklist to Evaluate Partnership Outcomes and Impact

- 1. Actual benefits delivered through the partnership for:**
  - the participating business;
  - community development; and
  - good governance
- 2. Extent to which the partnership's intended impacts have been met**
- 3. Any unintended/unexpected/spin-off development impacts or business benefits**
- 4. Any negative outcomes of the partnership for communities, government or business**
- 5. Overall, whether there is evidence that the partnership has 'added value' in terms of impact, over-and-above:**
  - other activities taking place at the same time that could have contributed to the impact; and
  - those impacts that would have accrued if the 'next best alternative' had been implemented instead of the partnership (e.g. the company contracting consultants, or outsourcing community development activities to a single NGO).
- 6. Indication of the costs of the partnership measured against the benefits**
- 7. Evidence of institutional change brought about in either the business, government agencies or civil society organisations, including:**
  - institutionalization of the partnership for the long-term (e.g. within operational budgets)
  - changes in micro policy
  - changes in incentive structures, such as staff performance criteria, and reporting requirements
  - changes in the overall attitude and behaviour of NGOs towards business, or business towards NGOs, etc.
- 8. How the key lessons from the partnership are being recorded, reflected upon and disseminated within the partnership (and with the respective constituents and other parties)**

## Key Lessons for Participants

- Do not assume that agreements reached in negotiations between partners will necessarily translate into 'action on the ground'. Joint workplans are critical to consolidate the agreements.
- The structure of a partnership, particularly a complex partnership between company, government and civil society, is bound to change once the partners begin to work together. It is therefore critical for the partners to have the tools necessary to adapt the partnership to changing circumstances. SWOT analysis is one such tool.
- For all types of partners, proving the value of the partnership to senior managers will be important. Periodic monitoring and evaluation of both the process of 'partnering' and the impact of the partnership for business, communities and government may provide the evidence needed.

## Further Reading

Davy, A. (2000) Emerging Lessons for Tri-Sector Partnerships: Review of Four Case-Studies, Working Paper No 3, London: Natural Resources Cluster, Business Partnerships, c/o CARE International UK

Davy, A. (2000) Tri-Sector Partnerships for Social Investment in the Oil, Gas and Mining: Managing Community Expectations, Working Paper No 6, London: Natural Resources Cluster, Business Partnerships, c/o CARE International UK

BPD (2001) Guidelines for Monitoring and Learning from Tri-Sector Partnership in the Extractive Industries, London: Natural Resources Cluster, Business Partners for Development, c/o CARE International UK

Warner, M. (2000) Partnerships for Social Investment in the Sarshatali Coal Mining Project, India: A Case-Study, London: Natural Resources Cluster, Business Partnership for Development, (c/o) CARE International UK