CISCOS
- Part 5

**CISCOS
Collaborative Planning
and Development Toolkit**

Connecting inclusive social planning,
community development and service
provision for persons with disabilities / CISCOS

Connecting Inclusive Social Planning, Community Development and Service Provision for Persons with Disabilities / CISCOS

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Introduction

Introduction

As outlined in the CISCOS Manual, planning processes differ from the daily routine. They must be actively initiated and professionally coordinated to be effective and successful. When it comes to planning for the inclusion of people with disabilities at the local level, planning processes become even more complex and political. Intended changes usually affect the interests of various actors in a municipality or district including local government and administration, civil society and the private sector.

Successful local planning processes, therefore, require an effective dialogue and collaboration between different stakeholders. These stakeholders often have different interests with regard to the planning subject. They are embedded in different organisational structures, processes, rules and rituals and used to different planning routines. Considering this background, dialogue and collaboration processes in local governance settings differ from similar processes within organisations. Planning and managing change processes towards inclusive municipalities and districts must take into account this diversity of stakeholders. Reaching agreements on joint objectives and contributions to be provided by stakeholders requires negotiation processes in a system of collaboration. Decisions taken via hierarchy and line management are not an immediate option for such collaboration systems. Therefore, managing change and respective planning processes requires structural knowledge and planning capacities. This includes knowledge of specific tools to assist successfully initiating and implementing a planning process in a municipality or district.

The CISCOS approach towards local planning processes is structured by the planning circle introduced in the CISCOS Manual. This toolkit introduces practical tools for each stage of the planning circle. Building on the theoretical and conceptual framework of the CISCOS Manual, these tools can assist stakeholders or members of initial coalitions for change in the structured initiating, planning and implementation of planning processes in their mu-

nicipalities or districts. However, it is important to note that the initiation and implementation of planning processes goes far beyond the pure application of a set of tools. These tools should only be used as supportive instruments in a comprehensive process design that requires a broader understanding. The tools help to reduce complexity, enhance evidence and focus on relevant details, consequently allow a more systematic approach of the planning subject and field. This toolkit is not intended to provide a complete toolbox for local level planning processes but rather offers a selection of tools to support the different stages of the CISCOS Planning Loop (see Figure 1).
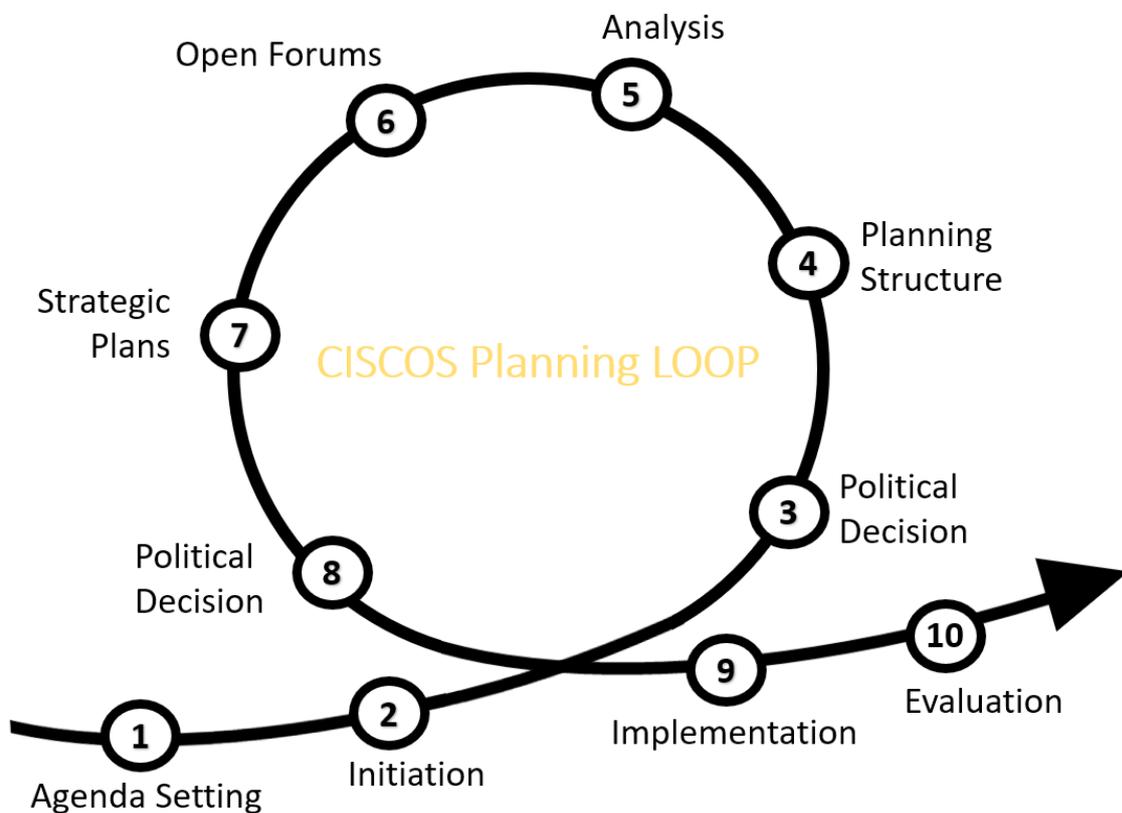
Figure 1. CISCOS Planning Loop

Tools

Tool 1
Building a Group of Promotors for Change[1]

Learn how to bring together like-minded actors for change including resources, professional expertise, political power and networks that might assist in initiating a change process and putting it on the local political agenda.

1. What is the group of promotors for change?

Local planning projects on inclusive districts or municipalities do not arise by chance but need to be pro-actively initiated by individuals in the context of their daily work flows. Therefore, it is helpful to bring together like-minded actors within a district and municipality that share interests and perspectives with regard to the subject of change in an envisaged planning process. These actors should be highly committed to the subject of change and dedicated to jointly initiating and implementing a planning process. They can form an initial group of promotors for change including resources, professional expertise, political power and networks that might assist in promoting a change process in order to put it on the political agenda of a district or municipality. This initial group can provide leadership throughout a change process if it is founded on a solid basis.

2. How to form the initial group of promotors for change

Step 1. Exploring the field and creating joint ideas in an informal setting

Guiding Questions

- Who shares common goals?
- Where is there commitment and trust for joint action?
- Who can help to clarify and specify goals?
- Who can support the implementation of the envisaged change process?

A first step for building an initial group of stakeholders for change is to engage in informal dialogue with potential actors relevant to the initial group in order to explore the environment of an envisaged change process and its influencing factors. Some well-known actors in a district or community could be obviously relevant while others could be hard to identify. In order to find out more about potential actors, their relevance as potential members of the initial group and the dynamics of the social environment, it can be helpful to conduct a stakeholder mapping (see Tool 2) and classify stakeholders through the interest-influence grid (see Tool 3). Starting an informal dialogue with relevant actors, engaging them in preparatory conversations and motivating action is a key starting point. The joint discussion and further development of ideas creates ownership and commitment to an envisaged change process. Hence, the first step is about creating and specifying joint ideas together with relevant actors in an informal and non-binding setting. This will help to build trust and commitment as well as create a clearer picture of a common goal and the change process ahead.

It is also important to discover if there are opportunities for political or other kinds of high-level support in the district or municipality and how to gain this support for the initial group of promotors for change. High-ranking people from the district or municipal assembly or from any stakeholder organisation can support a change process by assuming patronage without being directly involved in the technical details of the process.

Step 2: Forming the initial group of promotors for change

Guiding Questions

Which actors are crucially needed to initiate the change process?

Who are the individuals with the power and capacity to drive the change?

What could enhance key actors' ownership and commitment?

What should the first meeting of the entire initial group look like?

The initial group should be comprised of a select few individuals dedicated to an envisaged change process that fully respect and trust each other. This group should be characterised by a feeling of collective responsibility for the envisaged change process. Therefore, personal engagement is very important. The initial group of promotors should be more than a structured gathering of delegates from relevant organisations, it should be comprised of highly and intrinsically motivated individuals pursuing a common goal.

The initial group must make sure that the envisaged change process will be included on the political agenda of the respective district or municipality. Members of the initial group should therefore have a sound understanding of the complexity of the political arena. They need to have the capacity to act within the framework of local politics and local governance and the ability to connect the local political field and the wider community of relevant actors with regard to the change process. The initial group will eventually need to build up a broader group of promotors in order to strengthen support for their goal. It will be their role to organise the communication and participation of all actors relevant to the change process. This works best when the initial group includes individuals who are trusted by this extended group of relevant actors.

The degree of experience with regard to collaboration processes of diverse stakeholders could vary among potential members of the initial group. Therefore, it may be necessary to reinforce their knowledge of how to engage in collaborative planning processes. Both for

the initial group of promotors for change and the extended group of relevant actors, it is important to notice that the power and capacities of relevant organisations and individuals to voice their interests and perspectives on a change subject could be diverse. It is therefore important for the initial group to discuss how these actors can be strengthened and included in the envisaged change process.

3. How to work with and benefit from the initial group of promotors for change

Building an initial group of promotors for change is not always an easy task and can sometimes take a considerable amount of time. However, it is of crucial importance to invest this time as the quality of trust and commitment of this initial group builds a key success factor for an envisaged change process in a district or municipality. The initial group of promotors for change has the potential to build and maintain the legitimacy of a change process as it represents a variety of stakeholders and is perceived as acting in the public interest. This can be of particular importance because legitimation through hierarchy is usually limited in collaboration processes.

It is fundamental to invest in this group and keep it stable, as it provides an important source of energy throughout the entire change process. The group is in charge of organising collective leadership and mobilising the wider group of stakeholders supporting the envisaged change process. If it turns out that the initial group disbands during the change process, it is always worth going back to this stage, even during the implementation of a change process, in order to rebuild this core group of promotors for change.

Tool 2
Stakeholder Mapping

Gain a better understanding of the social and institutional landscape in which a particular change process is planned to be initiated. Identify and analyse all individuals and organisations that hold a potential stake in that process.

1. What is stakeholder mapping?[2]

Participation and collaboration in local planning processes requires identifying and analysing all individuals and organisations that hold at least a potential stake in a particular change process to be brought about. Before engaging with potential stakeholders, it is very helpful to gain a better understanding of the social and institutional landscape in which a particular change process is planned to be initiated. Creating a stakeholder map is a key starting point for many further planning steps and may be useful at various points throughout a change process.

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2   The description of this method is inspired by The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) (2015)
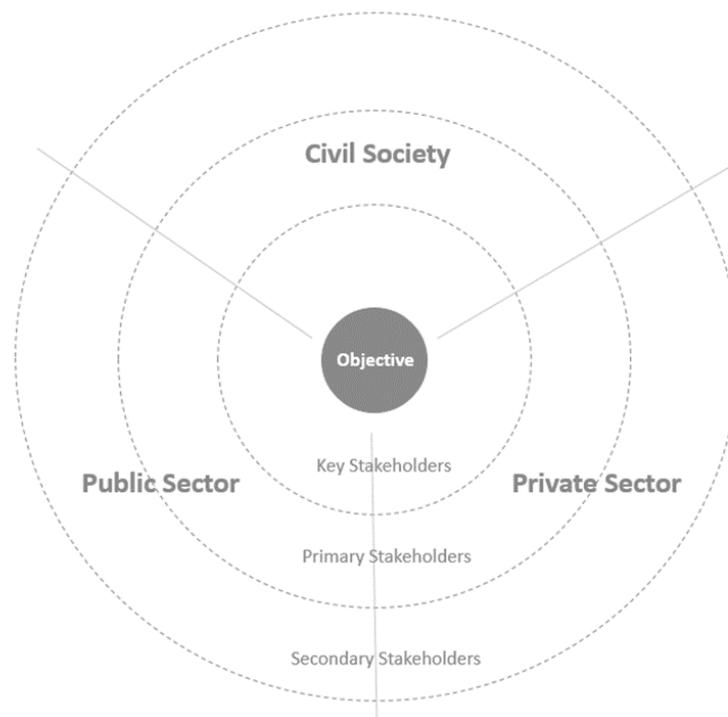
Figure 2. Own illustration inspired by GIZ (2015)

It can help you to understand the surrounding collaborative system and create a realistic picture of the current situation. A good stakeholder map helps to identify and visualise the relevant project stakeholders and provide information on their relationships. It facilitates the analysis of existing relationship patterns and helps to understand where collaboration might be already happening and thus can build a basis for designing an engagement strategy. Like other analytical methods, the stakeholder map provides a snapshot and should be reviewed periodically, to take into account the (sometimes sudden) change in status and relationships of stakeholders over time.

2. The process of stakeholder mapping

Setting

Creating a stakeholder map is best done in a group of core stakeholders aiming to initiate a particular change process.

Facilitation

Creating a map of stakeholders in a group works best when using a pinboard or flip chart. The basic structure can be prepared on the pinboard or flip chart in advance. Workshop materials like markers, cards and pins will facilitate creating the map and allow flexibility during group discussions.

Procedure

Different characteristics will help to assess stakeholders and place them in the stakeholder map. Stakeholders can be characterised as key stakeholders, primary stakeholders, secondary stakeholders and veto players, depending on their importance with regard to the key issue of the map. Key stakeholders are able to use their skills, knowledge and power position to significantly influence the change process towards the objective pursued. Primary stakeholders are directly affected by the change process, either as beneficiaries, or because they could gain or lose power and privilege as a result of the change process. Secondary stakeholders are indirectly or temporarily involved in the change process. All three can be veto players if they are able to veto the change process or if a pursued objective cannot be achieved without their support.

- **Step 1.** Define the scope of the stakeholder map. What do you want to achieve using the stakeholder map? A stakeholder map can be prepared for a comprehensive change process or for specific aspects of this process. In any case, the objective and key issue needs to be clearly formulated. The group of people who will be involved in the map must also be defined.

- **Step 2.** Brainstorm a general list of the most relevant stakeholders. They might already be active in the field of intervention or potentially interested in cooperation and able to make an intervention succeed or fail. Stakeholders can be both organisations and individuals. However, even in stakeholder organisations, it is crucial to identify the correct individual. If an interest-influence grid has been prepared, the stakeholders are already identified and can be inserted into the stakeholder map.

- **Step 3.** Include the stakeholders in the map. Different groups can be used for different stakeholders (key, primary, secondary). The size of the groups can be used to estimate the influence of the respective stakeholder with regard to the objective and the key issue of the map. Veto players can be marked with a V. The distance between stakeholders on the map can be used to indicate how close their relationship is.

- **Step 4.** Represent relationships between stakeholders. Different symbols can be used to illustrate the relationships.

———	Solid lines symbolise a close relationship: frequent contact, information exchange, overlapping interests, coordination, mutual trust, etc.
------?------	Dotted lines symbolise a weak or informal relationship. A question mark can be added where the nature of the relationship is not yet clear.
═══════	Double lines symbolise alliances and cooperative partnerships that are formalised contractually or institutionally.
———▶	An arrow symbolises the dominance of one actor over another.
——⚡——	Lines crossed by a bolt of lightning symbolise relationships marked by tension, conflicting interests or other forms of conflict.
——‖——	Crossed lines symbolise relationships that have been interrupted or damaged.
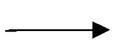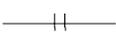
Figure 3. Illustration based on GIZ (2015)

3. How to make use of the results

Creating a stakeholder map is a key starting point for planning and coordinating various dialogue and collaboration processes. It provides useful information throughout a change process and is therefore worth monitoring and updating from time to time.
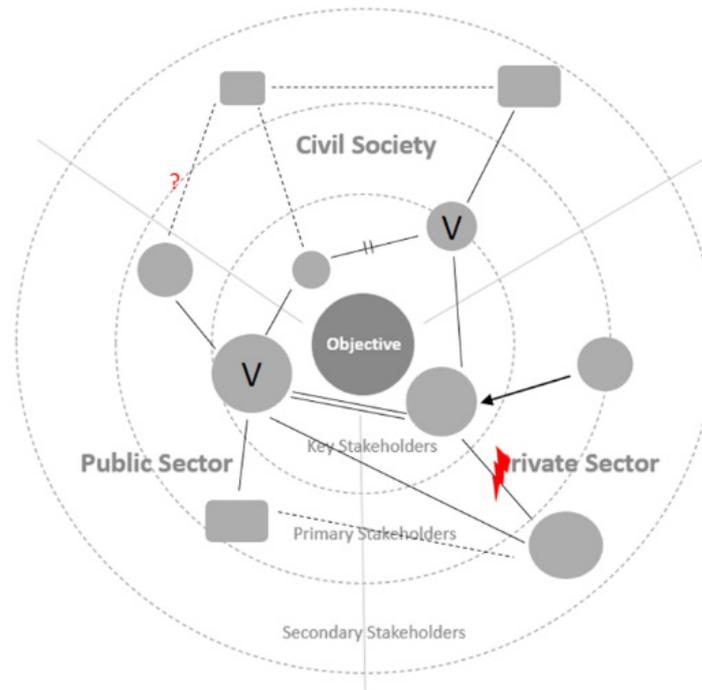
Figure 4. Own illustration based on GIZ (2015)

Being informed about existing relationships and the nature of those relationships, power constellations and dependencies enables drawing conclusions and formulating hypotheses on the stakeholders positive and negative influences on a change process. It offers insights into actual and potential alliances and conflicts and thus provides crucial information for strategic decisions on further planning. Moreover, the map reveals information gaps and participation deficits. It reveals any lack of information on the actors and relationships between actors, therefore showing where further information needs to be obtained. It also helps to correct or specify preconceptions concerning individual actors and the relationships between them.

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Tool 3
The Interest-Influence Grid

Develop a strategic view of the stakeholder landscape by identifying the particular interests and influences in the change process of key stakeholders.

1. What is the interest–influence grid?[3]

Participation and collaboration in local planning processes requires identifying and analysing all stakeholders relevant to a particular change process to be brought about. The interest-influence grid can assist in developing a strategic view of the stakeholder landscape in your particular field. It helps to discern both the degree of interest as well as the influence and power of your key stakeholders. This will be particularly helpful in understanding who should be fully engaged in the change process, who might need to be empowered to become actively involved and whose interest might need to be raised. The interest-influence grid supports awareness and a clear understanding of who the influencers, promotors and opposers of a particular change process are.

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3   The description of this method is inspired by Kuenkel et. al (2011).
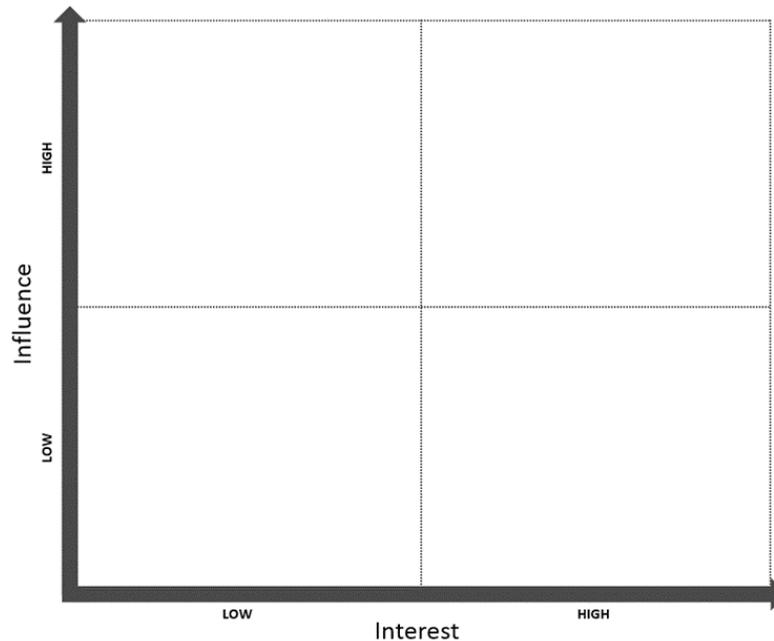
Figure 5. Own illustration inspired by Kuenkel et al. (2011)

It builds a basis for a discussion to assess the level of interest of different stakeholders in the objectives of a particular change process and the influence they might have on achieving these objectives. In order to successfully use this method, it is crucial to begin with a clearly defined objective of the change process. The results of this method represent a snapshot and should be reviewed periodically, in case the status of stakeholders changes over time.

2. How to use the grid

Setting

Using the grid is best done in a group of core stakeholders aiming to initiate a particular change process. The assessment of influence and interest is made by individual estimates within this group of core stakeholders. However, diversity and experience in the core group will raise the quality of the assessment.

Facilitation

Filling in the grid in a group works best when using a pinboard or flip chart. The grid can be prepared on the pinboard or flip chart in advance. Workshop materials like markers, cards and pins will facilitate filling in the grid and allow flexibility during group assessment discussions.

Procedure

- **Step 1.** Brainstorm a general list of the most relevant stakeholders. They might already be active in the field of intervention or potentially interested in cooperation and able to make an intervention succeed or fail. Stakeholders can be both organisations and individuals. However, even in stakeholder organisations, it is crucial to identify the correct individual.

- **Step 2.** On the interest-influence grid (see Figures 5 and 6) classify stakeholders according to their influence on a particular change process and their interest in it. It is important to position the stakeholders on the grid where they are based in a realistic assessment, not where they should be. It is helpful to mark who is or might be an advocate or supporter and who you expect to be a critic and opposer of the particular change process.

- **Step 3.** Discuss and consolidate the results with the group and interpret your key stakeholders. How do they feel about the particular change process? It might be necessary to gather additional information if there is a lack of knowledge of the interest and influence of one or more key stakeholders. You must also work out how best to engage key stakeholders, and how to communicate with them. Discuss potential influences on changing stakeholder positions on the grid, if necessary. How can powerful stakeholders be convinced to support the change process? How can stakeholders with little influence be supported?

3. How to make use of the results

This step will result in a more strategic view of the stakeholder landscape. It will provide background strategic information on how best to engage key stakeholders, and how to communicate with them. The following information on the four stakeholder categories of the grid will help to successfully manage this final step.

- **High influence, highly interested stakeholders.** These stakeholder organisations or people should ideally be fully engaged. The initiators of a particular change process should make the greatest efforts to get them on board.

- **High influence, low-interest stakeholders.** The importance of engaging these stakeholders depends on the importance of having them directly involved in the change process. They should definitely be kept informed. Ideally, it is possible to gain their interest. If they must play an active role in the change process, all efforts should be made to raise their interest.

- **Low influence, highly interested stakeholders.** Stakeholders in this category can often be very helpful with the details of a change process as there is a specific reason for their high interest. They might be directly affected by the change process or advocacy groups. They could have important information, perspectives and experiences, but lack the capacity to present and defend their interests effectively. Depending on their importance to a change process, they should be informed, supported and engaged in the change process because they can become important supporters.

If essential for acting successfully, raise their interest

Engage

Do not engage (at least, not at the beginning)

If important to engage, strengthen their capacity to get heard

Influence

HIGH

LOW

LOW

HIGH
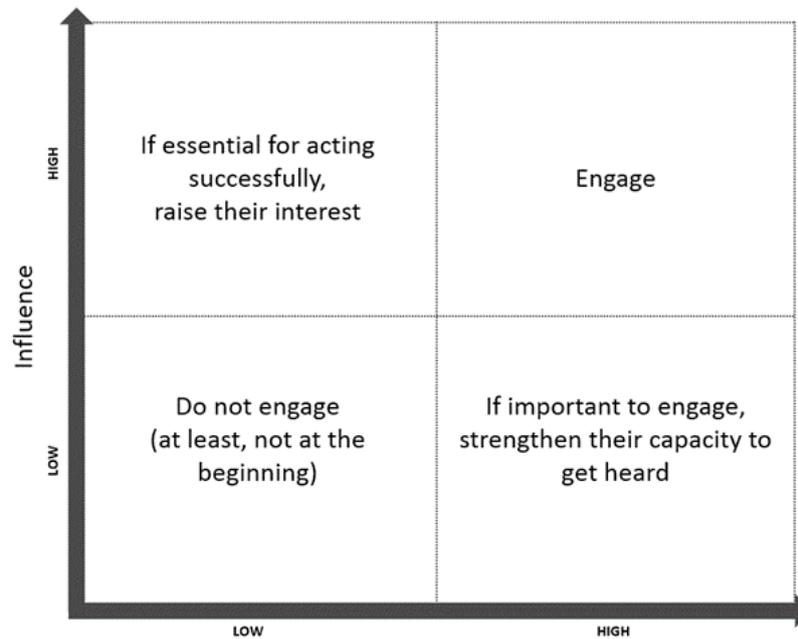
Figure 6. Own illustration inspired by Kuenkel et al. (2011)

- **Low influence, low-interest stakeholders.** These stakeholders do not need to be engaged, at least not at the beginning of a change process. Nevertheless, they should be considered as being part of the stakeholder landscape and monitored, particularly because their status might change during the process.

An inclusive and transparent approach with regard to stakeholder management usually builds support, commitment and ownership. Stakeholders can be engaged in different ways at different stages of a change process. This can be realised through gathering information, consultation, dialogue and practical cooperation. It is not possible to involve all stakeholders from the beginning, but strategic gradual involvement during the change process might be helpful or needed.

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Tool 4
Effective Agenda Setting

Find out more about the composition of local political agendas. Learn how to successfully put a topic like the inclusion of people with disabilities on the political agenda of a local parliament.

What is effective agenda setting?

Agenda setting is a process in which certain public problems are identified, recognised and defined, and specific solutions or alternatives are generated, considered, and attached to these problems. In many instances, effective agenda setting is the starting point of change processes in districts or municipalities. However, the composition of the local political agenda is in itself a highly political process in which various governmental and non-governmental actors and coalitions compete for serious attention to a specific issue. How do you deal with this complex interplay of political interests and successfully put a topic like the inclusion of people with disabilities on the political agenda of a local parliament? As introduced in the CISCOS Manual, the composition of the local agenda is influenced by a variety of factors. Being aware of and considering these factors at the initial stage of a change process supports placing the inclusion of people with disabilities on the local agenda more effectively in order to initiate a sustainable change process in a district or municipality.

How to support effective agenda setting

The checklist below provides guidance, introducing three categories of factors for effective agenda setting. These are attention attractors that deal with the visibility and recogniti-on of a specific issue, key attributes for policy options that look at the connectability of a specific issue to the local policy discourse, and critical factors in the politics stream that consider external blocks and drivers that might impact the agenda setting process. The

list should be understood as an initial orientation within the complex process of agenda setting. It makes no claim to be a comprehensive guideline for successful agenda setting on the local level.

Attention attractors

- Consider budgetary concerns and show realistic options to fund the required change process.
- Organise feedback from the public, experts and local decision-makers on the current situation and past or current programmes related to the subject of change supporting the argumentation for the relevance of the required change process.
- Refer to existing problem indicators that provide qualitative and quantitative evidence on local public problems related to your subject of change.
- Link the subject of change to focusing events if possible.

Key attributes for policy options or alternatives to make it on the agenda

- Show the linkage of the proposed change initiative to local but also regional, national and supranational policies (e.g. the UN CRPD, Agenda 2030/SDGs, European Disability Strategy national action plans, decentralisation policies or other local development plans and existing local government statutes).
- Make sure the proposed change process is consistent with the current values of policymakers and the dominant political ideology (e.g. human rights, citizen participation, social sustainability) or point out respective linkages.
- Make sure the proposal for a change process appears to be fair and efficient by being relevant to a large number of people (e.g. accessibility and universal design measures that are relevant to many people with disabilities as well as elderly people and families with prams) and show how a solution can benefit a majority of people in the district or municipality.
- Show options for the equitable sharing of costs among responsible actors if possible (effectiveness and efficiency).

- Be concrete with regard to the technical feasibility of implementation (e.g. define inclusion for the local context, be precise about what needs to be done and give a precise definition of the target group and beneficiaries of the change initiative).

- Develop scenarios on future constraints. What might the impacts of the change process be in the future and what might put constraints on the implementation of your initiative from a mid and long-term perspective?

(c) Critical Factors in the politics stream

- Mobilise similar interests, build coalitions and try to settle conflicts to find a consensus. Often this will be reached by bargaining rather than based on the actors' goodwill or a unilateral concession.

- Consider the public mood and national or regional events that could determine how issues are prioritised at the local level and could become highly relevant with regard to the right timing for initiating a change process.

- Organise political forces for your subject of change. Well organised political forces with power and influence from financial resources or existing systems can significantly impact local policy issues.

- Consider key personnel changes in government and their potential effect on your change process. Large-scale administration changes can alter the broader policy landscape. Small-scale changes can affect the implementation of policy solutions as the people in charge change.

- Be aware of responsibilities, jurisdictions and potential struggles relevant to your change process. Jurisdiction can become a crucial issue, if not clarified, or if the department in charge has more important current issues on the agenda, or if the current jurisdiction frames a topic in a way that hinders putting it on the agenda more prominently. For example, disability inclusion as a topic of social affairs can only hinder the implementation of accessible public infrastructure in areas under a different jurisdiction.

How to make use of effective agenda setting

The above checklist provides guidance on how to consider relevant aspects with regard to attention attractors, key attributes and critical factors in local policymaking. The guideline can be used as a basis and structure for discussing these issues with the group of actors striving to put the inclusion of people with disabilities on the local agenda. These discussions will enable a more comprehensive and in-depth understanding of the political context in which the intended change process is to be brought about. The outcomes of these discussions should be documented in writing in order to use them together with outcomes from using other tools to strategically prepare the agenda setting of your change initiative.

Tool 5
Developing Scenarios[4]

Find out how to explore various options for action enabling you to plan for an uncertain future and possible circumstantial changes. Understand the impact of different factors and potential decisions made during a change process.

1. What are scenarios?

A scenario is a more or less comprehensive set of assumptions usually proposed by an initial group of actors in a change or planning process that describes possible future developments. These assumptions are then used to develop a forecast with regard to different strategical options or to test a strategy, plan or decision made. This usually happens by jointly reflecting on the possible impacts and outcomes of an aspired change process and a strategy or plan developed for this process. Developing scenarios means simulating the future and jointly assessing how the group would respond to different situations that might occur. Such simulations or scenarios can create valuable insights into understanding the impact of different factors and potential decisions made during a change process. Simply put, developing scenarios supports change initiatives to explore various options for action enabling them to plan for an uncertain future and possible circumstantial changes.

Developing scenarios is a strategic planning tool that allows initiatives to jointly capture a range of possibilities for action, and evaluate relevant factors and their effects on future developments. Considering this background, scenarios are approximations based on the existing knowledge and experience of the participants who devise them.

2. How to develop scenarios

Setting

The development of scenarios benefits from the dialogic exchange of different knowledge, experiences and perspectives within an initial group of actors aiming to initiate a change process. Diversity in the core group will thus raise the quality of scenarios and the analysis of options for action. This could be conducted as part of an initial workshop.

Facilitation

Developing scenarios in a group works best when using a pinboard or flip chart. The scenario rating grid (see Figure 7) can be prepared on a pinboard or flip chart in advance. Workshop materials like markers, cards and pins will facilitate the process. Handouts of relevant documents can offer support by providing necessary background information (e.g. stakeholder map and interest-influence grid).

Procedure

Defining scenarios in an initial group of actors can be done in a five-step process outlined below.

- **Step 1.** Define the thematic area, the objective and the time frame. What should be achieved and what time frame are you considering? This will set the framework for developing and testing possible scenarios.

- **Step 2.** Gather information on key factors, trends, and uncertainties that affect future developments in the area of concern and may affect the aspired change process and fulfilling the objective.

  These factors could include:

  - Socio-economic, political and institutional trends in the area of concern;

  - Important action strategies and plans of different relevant actors;

  - Possible events that may significantly affect future developments.

  All relevant factors identified should be collected in a list.

Importance / Impact

HIGH

LOW

Factors rather unlikely to come to pass but that would have high impact	Top factors that definitely must be taken into account due to high impact and probability of occurrence
Factors that are rather unlikely to come to pass and that would have little effect from a present perspective	Factors that are largely known but have little or no impact on the change process

LOW   HIGH

Probability of occurrence

Figure 7. Rating factors (Own illustration)

- **Step 3.** Rate the identified factors in terms of their importance and the probability that they will occur. The two guiding questions for this step are: how big would the impact of each factor be and how certain or uncertain is its estimated occurrence? The grid above can facilitate group discussion and rating.

  It is important to base the assessment on evidence rather than supposition. Once the rating has been done, it is helpful to list the factors in order of priority, with the most significant factor at the top of the list.

- **Step 4.** Develop scenarios around the most relevant factors. Starting with the top factor, formulate two coherent, plausible visions of the future in the form of two contrasting scenarios; a best-case scenario A and a worst-case scenario B based on currently identifiable trends and ideas about the future. Develop a story of the possible future situation around each that is plausible (that can happen), coherent (that is logical) and credible (that can be explained). Document these scenarios in writing or illustrate them with images on a pinboard or flip chart. Do the same for each of the most relevant scenarios.

  As an additional step, it is possible to develop and discuss a third probable scenario that could describe an ideal balance or middle course between the two extreme scenarios A and B.

- **Step 5.** Draw conclusions and use the scenarios for strategic planning and decision making. The conclusions drawn from the scenarios developed should be discussed in the group and thoroughly documented. These can be used in the further planning of a change process and provide key information for the application of other methods.

3. How to make use of scenarios

Scenarios help to make sense of an uncertain future and make better decisions. Developing scenarios challenges the assumptions you naturally tend to make about the situation in which the strategies and plans you make will be implemented. It helps to get a feel for the conditions that will shape the area of concern in the future. Developing and discussing alternative scenarios with an initial group of actors in a change process allows you to foresee more unknowns and uncertainties that may come to pass. The conclusions drawn from the scenarios inform and raise the quality of further planning steps allowing strategic planning interventions that make positive use of and counteract or mitigate the impact of different external factors.

Therefore, the results should be well documented and used throughout the planning process. This can help to develop, assess the resilience and decide on strategic options for the planning and coordination of a change process. However, it is important to keep in mind that these scenarios are always based on the limited knowledge and experience of a selected group of individuals. Their development is based on a snapshot of a specific point in time and while conditions constantly change, a new factor could fundamentally alter the situation at any time.

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Tool 6
Devise and Decide on Options[5]

Explore the available options of a change process to decide on a preferred option more systematically. Develop alternative strategic approaches and come to an informed and conscious decision on the most adequate strategic focus.

1. What are options?

When starting to think about a change process and ways of initiating and implementing such processes, the question of strategic options automatically arises. This tool will help you to explore available options and decide on a preferred option more systematically. Structured discussions with relevant actors on the strategic possibilities of planning and implementing a change process build the basis of developing thorough strategic options. This helps to jointly develop alternative strategic approaches and come to an informed and conscious decision on the most adequate strategic focus at a specific point in time.

The discussion of strategic options should be based on the identification of key challenges of the aspired change process. If those have not been discussed and documented thus far, it makes sense to do so before developing strategic options. Having a clear picture of the current situation in the area in which change is to be brought about builds an important precondition for developing strategic options.

This tool aims to foster out of the box thinking that avoids replicating blueprints and instead finds the most promising options to enable and coordinate change, considering

the current situation, to fulfil the objectives of the change initiative. It should help define a clear strategic profile instead of building activities on a blurred mix of strategic ideas.

2. How to devise options

Setting

The tool is best used in a group of diverse core stakeholders from different organisational backgrounds. With regard to the setting, it is important to create an open atmosphere that enables creative thinking and sharing ideas that go beyond the status quo.

Facilitation

Workshop materials like pinboards, flip charts, markers, cards and pins will facilitate formulating and documenting ideas. An external facilitator can help structure the process and allow participants to fully focus on the exploration of strategic options.

Procedure

- **Step 1. Review the current situation.**

    As a first step, it is helpful to share all existing information on the current situation in the area in which change is to be brought about and discuss current challenges and drivers for the aspired change process. This can be done through a presentation on existing information followed by a plenary discussion.

- **Step 2. Creative talks in small groups.**

    This next step allows smalls groups, ideally with participants from different backgrounds, to discuss and brainstorm initial ideas for strategic options. These small group discussions should give every option proposed a chance, no matter how unrealistic or unfeasible an idea may seem at first glance. When giving feedback on proposals inside the groups, it is not allowed to use the word "but", only "and", in order to avoid nipping innovation in the bud.

- **Step 3. Visualise ideas for a gallery of options.**

  Following the creative talks, the small groups should document their ideas on a pin-board or flip chart. Each proposal should consist of a heading, keywords on main cha-racteristics and a symbol that represents the idea. All proposals will then be presented to the plenary in a gallery of options.

- **Step 4. Consolidate and describe strategic options.**

  In the final step, ideas should be consolidated as there are usually a couple of intersec-tions and opportunities for combining proposals. A final selection of options should in-clude realistic proposals that are more or less on the same level of abstraction in order to be comparable. Finally, each option should be described in more detail with regard to processes and potential work packages, resources needed and important actors and documented in an overview table, allowing the detailed comparison of the proposals.

3. How to decide on an option

Based on the overview table of strategic options, a joint decision on a strategy must be made. A closer look at the relevant criteria to assess available options is necessary. This should cover advantages and disadvantages as well as concrete assumptions and risks with regard to the implementation in order to determine the most promising option.

As a first step, the assessment criteria must be defined, taking into account the information on the current situation previously gathered and discussed. The assessment criteria should be discussed and agreed on by the relevant stakeholders involved. Assessment criteria can include aspects of:

- Effectiveness with regard to the subject of change;
- Feasibility with regard to both existing capacities and resources as well as potential opportunities and threats from the environment in which change is to be brought about;
- Sustainability of results in the environment in which change is to be brought about;
- Observability and measurability of results;

- Risk and probability of success;

- The amount of resources needed.

The operationalisation of the criteria must make sure that each criterion is scalable. In order to make the results of the assessment comparable, it has proved helpful to document them in an overview table.

	Criterion A	Criterion B	Criterion C	...
Option 1				
Option 2				
...				

Figure 8. Example of an assessment overview table

In the next step, the criteria need to be discussed option by option. The results should be documented in the overview table. In order to discuss and evaluate the options, they can be jointly classified in an effectiveness risk grid (see Figure 9) that supports direct comparison.
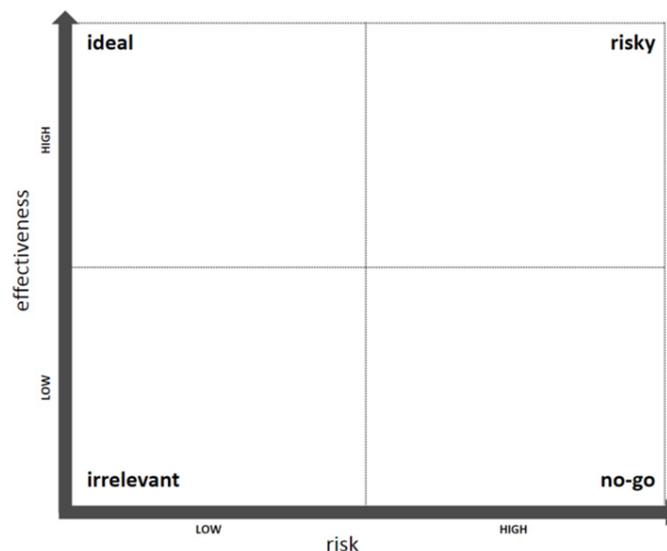
Figure 9. Example of an ideal-risk grid

Completing the grid should be based on the results documented in the assessment overview table. This step includes further discussion and negotiation by those involved and facilitates a final agreement on the ranking of proposed options.

Finally, a decision must be taken. In some cases, it could make sense to combine certain elements of different options in order to better address identified potentials and risks. In case not all relevant actors have been involved in the development of strategic options, a set of the most viable options can be presented for a decision at a later stage.

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Tool 7
Effective Advocacy at the Local Level[6]

Learn how to advocate for the perspectives, voices, rights and needs of citizens, particularly those living in vulnerable conditions, to be heard and addressed by local decision-makers. Find out how to use advocacy as part of your change initiative in a municipality or district, along with other components.

1. What is advocacy?

Engaging as many people as possible in fact-based advocacy on the implementation of the UN CRPD in a municipality or district can be a crucial factor for local decision-makers to put this topic on their agenda as a cross-cutting issue. This aims to ensure that budgets, policies, regulations, services and practices of a municipality or district meet the requirements of the UN CRPD. Advocacy at the local level describes any action by an individual or group that speaks in favour of or argues against a cause or pleads on behalf of others with the aim to influence decisions within political, economic, and social institutions or those relevant to the municipality or district. It usually involves convincing institutions to correct an unlawful, unfair or harmful situation affecting people in the community. Advocacy seeks to ensure that the perspectives, voices, rights and needs of citizens, particularly those living in vulnerable conditions, are heard and addressed by local decision-makers, especially with regard to decisions that directly affect their living conditions. Changes can be brought about through persuasion, compromise, or political and legal action. Advocacy is often used as part of a change initiative in a municipality or district, along with other components and becomes necessary when routine activities to bring about change in a municipality or district prove insufficient.

6   The description of this method is derived from the Community Toolbox (2018)

2. How to set up an advocacy plan

Setting up an advocacy plan helps to clarify both the goals and specific steps of advocacy as part of the planning and implementation of a change process in a municipality or district. This helps to spot potential difficulties ahead. The advocacy plan can be incorporated into existing operational documents of a change initiative like the operational plan and the monitoring framework. For some change initiatives, advocacy activities may account for a significant proportion of the entire set of interventions defined in an operational plan.

Setting

An advocacy plan is best made by the group of key promoters of a change initiative.

Facilitation

Developing an operational plan in a group works best when using a pinboard or flip chart. Workshop materials like markers, cards and pins will facilitate the development process and allow flexibility during group assessment discussions. If experience among participants is limited or the advocacy objectives turn out to be ambitious and complex, it might be helpful to work with an external expert to develop the advocacy plan.

Procedure

- **Step 1. Understanding the issue.**

  Initiators of a change initiative usually have a sound knowledge of the issue of change, why it is important, the respective history or development path and potential future opportunities. Notwithstanding the existing knowledge and expertise, it is important for those involved to ensure a common level of knowledge and inform themselves of the background of the change issue and the way it affects the municipality or district as a whole as well as specific relevant actors in particular. This includes:

  - Knowing how people in the municipality or district feel about the issue, who is pulling the strings, the existing coalitions and who might lose out or benefit from the aspired change process;

- Having arguments to convince people that the issue is important and worthy of continuous support;

- Persuading allies to join the change initiative by presenting them with facts that cannot be ignored or contradicted;

- Knowing why opponents are taking their position, and what interests they may have to do so;

- Knowing what needs to be done and having viable, fact-based and realistic approaches at hand to change the situation;

- Knowing which strategic style of advocacy could work in the given situation;

- Being sure of relevant facts with regard to the change initiative and being able to present them in public unprepared and spontaneously.

This knowledge will build the basis for developing an advocacy plan. Therefore, it makes sense to take time to investigate the above issues, by desk study of relevant documents and systematically engaging in informal talks with different actors in the municipality or district.

- **Step 2. Defining advocacy goals.**

  For an advocacy initiative to be successful, it is crucial to define specific goals and if necessary, split them up to make them manageable. It might make sense to split them into long-term goals to be reached at the end of the advocacy initiative, medium-term goals that provide building blocks and benchmarks towards the long-term goals and short-term goals that provide early benchmarks and immediate steps.

  Each of the goals defined should ideally be:

  - Specific, with regard to what exactly should change and how;

  - Measurable, to be able to track the process, e.g. by including a baseline and a target value;

  - Achievable, not too ambitious and realistic within the timeframe and resources available to avoid disappointment and discouragement;

  - Relevant to the objectives of the aspired change process in a very direct way to avoid losing sight of the overall goal;

- • Timed with a date set for completion;

- • Challenging without being unrealistic.

- **Step 3. Planning and operationalising the goals.**

  a) **Micro-strategies and activities**

  Even if the advocacy plan is a strategy itself, it is important to develop micro-strategies for reaching the different goals of the plan. This includes questioning how to make the best use of allies and how to produce the kind of change wanted in relevant decision-makers and potential opponents. Such strategies can come from friendly persuasion to confrontation and open conflict, for example, public awareness campaigns, capacity development workshops for key actors, speaking up for policy change at city council meetings, organising public protest campaigns or even blockades at the entrances of relevant institutions. The choice of micro-strategy also depends on the existing knowledge of the target community and what might work. To develop a better understanding of relevant actors and their interrelations it can be helpful to apply tools like the stakeholder map or the interest-influence grid. Once the micro-strategies have been defined, they must be broken down into practical activities.

  b) **Resources and assets**

  Once the advocacy goals and activities are defined, an inventory of the resources needed to implement these activities can be conducted in terms of organisation, financial resources, facilities, allies etc. to see which resources already exist. Advocacy does not necessarily need substantial financial resources over a long period of time but rather resources including people and networks acting as door-openers, multipliers or change agents to support an advocacy initiative.

  c) **Responsibilities**

  Once the micro-strategies and activities are agreed on, it is important to allocate a responsible person for each defined activity. This person will be responsible for coordinating the implementation.

d) **Community support (and opposition)**

In order to assess potential support in the municipality or district, make a list of expected allies and opponents with regard to the advocacy goals. Who might share the objectives and could become a coalition partner? Who might be an opponent and must be considered when implementing activities?

Whose behaviour do you plan to change and who can help to foster that change? Sometimes it is simply a matter of understanding the complex interest structures and interlinkages in a municipality or district. Expected opponents could also be allies under certain circumstances, while those thought to be allies may oppose the efforts of a change initiative. Therefore, it is strongly recommended to take this step seriously and carefully plan around community support. Even if the targets of advocacy are often institutions or groups, it can be easier to focus activities on one individual who could serve as a multiplier or who has decision making power in the target institution.

- **Step 4. Document and review the plan.**

As a final step, the plan should be carefully documented. Figure 10 gives an example of the structure of an advocacy plan. The final document should be jointly reviewed in order to verify the completeness and check the overall consistency and coherence. As stated above, advocacy activities can also be included in the operational planning process of a change initiative and advocacy activities can also be documented as part of an operational plan.

Goals	Targets / Agents	Support / Opposition	Strategies	Action Steps	Resources & Assets	Responsi- ble	Timeframe
	Targets (people) of change: Possible agents of change:	Allies: - ... - ... - ... Opponents: - ... - ...	A: ... B: ...	A1: ... A2: ... B1: ... B2: ... B3: ...	Personnel: Budget:		

Figure 10. Template Advocacy Plan

3. How to organise effective advocacy

The decision to allocate major resources to advocacy must be carefully considered. Advocacy work can be glamourous but may also become very uncomfortable, particularly if confrontation and conflict are involved. If an advocacy strategy or approach does not work out the way it was planned to, this might result not only in the advocators failing personally, but since they could also do so in public, discrediting the cause and potentially worse conditions for the initiative. However, advocacy does not necessarily have to be confrontational. Careful planning of strategy, tactics and activities is the key to success and should therefore be taken very seriously. The best time to start planning for an advocacy campaign is:

- When direct experience or preliminary research shows that goals cannot be achieved in any other way;
- When the group of actors implementing a change initiative is sure they have (or will have) the capacity to see it through;
- When there is enough enthusiasm and energy to last even if the advocacy process becomes long and uncomfortable.

Bibliography

Community Toolbox (2018): Organizing for Effective Advocacy. University of Kansas, Lawrence. https://ctb.ku.edu/en/organizing-effective-advocacy

Tool 8
Example Draft Resolution to Pass the Local Parliament

Find an example of a draft resolution on the development of a local strategy for the implementation of the provisions made by the UN CRPD.

Resolution

Parliamentary Printing Matter 12/2012

I. **Public session.**

4. **Agenda for district committee only.**

4.1 **Implementation of the UN Convention on the Rights of Persons with Disabilities (CRPD). Further procedure for the development of a supplementary regional action concept for the district of X.**

Draft Resolution

The district committee decides:

(1) The district of xxx is committed to the following objectives, the strategy and action planning of the UN Convention on the Rights of Persons with Disabilities, the national action and implementation plans, as well as the regulations on inclusion, integration and participation of the State of xxx.

(2) The district chief executive is requested, in a transparent planning and information process with the involvement and participation of representatives of cities and municipalities of the district, including people with disabilities and their families as well as regional actors, to conduct an inventory of the existing

inclusive structures, offerings and services in the region (inclusion report), a target/actual comparison and develop a regional action plan.

(3) This planning process is to be accompanied by both a steering committee of the parliamentary groups of the district and representatives to be nominated by the conference of mayors. The district administrator is asked to contact the chair of the conference of mayors and invite the cities and municipalities to participate. The parliamentary groups of parties A and B each send two members and deputies, the parliamentary groups of parties C, D, E and F each send one member and one deputy to this working group.

Result

Adopted unanimously by vote.

Tool 9
Building a Steering Group

Learn how to build and run a steering group to organise key actors and enable them to steer a change process successfully.

1. What is a steering group?

At its core, a steering group is an instrument used to organise key actors and enable them to steer a process successfully. Steering differs from managing. While managing gets the job done, steering defines the exact nature of the job. It is the role of a steering group to clearly define the purpose and vision of a process and to monitor the implementation. Opinions are brought together in the steering group, which promotes transparency and facilitates critical questions and discussions on key aspects of a change process. The steering group can take over the role of central networking in a change process. In addition to an operational decision-making and controlling function, the group has a communicative and political function. The steering group is a body that deliberates, provides strategic oversight of a process, advises and makes key decisions.

The steering group provides an official point of contact in a change process. Therefore, it should also be responsible for actively shaping internal and external communication during the process. In addition, the group should strategically link the process to existing policies and strategies at local as well as higher political levels and change processes in related areas running in parallel.

2. How to set up a steering group

- **Step 1. Find the right members.**

  The steering group should include those actors with high commitment and determina-

tion to implement the process successfully. Steering groups are typically composed of key project actors with a measurable interest and influence in both the change process and the committee itself. The composition of the steering group can be organised in different ways. For example, participants can be determined or elected by a relevant group, the distribution of seats can be predefined with regard to different interest groups or other characteristics. The group can include sceptics or only promoters of the process. While a high degree of diversity in the steering group can complicate discussions and decision-making, it can enable and simplify implementation and the conviction of sceptics and opponents further down the line.

In general, the size of the steering group should be kept as small as possible to facilitate effective decision making and minimise internal conflicts. Sub-committees can be set-up to address specific issues that might require different expertise and levels of participation if required.

- **Step 2. Define the mission of the steering group.**

  While the overall mission to steer the project is fixed by definition, the meaning of steering can vary widely based on factors like the scope of responsibility, the authority (e.g. executive or advisory body), the complexity of the process to be steered and the deliverables needed to support and steer a successful process. Considering this background, it is important to define the mission of a steering group clearly and in more detail.

- **Step 3. Break down the mission and get organised.**

  Setting up an agreement on the work of the steering group can be helpful. The agreement should be any kind of official document that includes the mission and specifies how the steering group will be organised and how it will operate in order to improve effectivity, minimise conflict and set expectations.

Even the best composition of actors will not be able to work effectively without organised structure and leadership. Therefore, every steering group needs a chair and clearly defined communication and reporting relationships. Roles and responsibilities must also be clearly defined and allocated to set realistic expectations for performance and participation.

3. How to run a steering group

The effectiveness of a steering group, amongst other factors, depends on the perception of its work by those involved in the process. The more visible the members of the steering group and their activities are, the more likely they are to be addressed as a central organ within the process. The better the information and the more insightful the decisions of the steering group are, the higher are the chances of successful management of the change process. In turn, effective management promotes the overall acceptance of the change process by those affected by it and in the municipality or district in general.

Therefore, a steering group should accompany a change process at regular intervals and particularly around important milestones (e.g. workshops, consultations, presentation of mid-term results and drafting documents). The steering group should also meet regularly in order to institutionalise its working structures and processes.

Tool 10
Agreements in Stakeholder Dialogues[7]

Get to know different formats of joint agreements to partly formalise the commitment of all actors involved. Find out how to strengthen cohesion and cooperation and give orientation to a cooperative development process.

1. Why are agreements needed?

If the decision on the implementation of a participative process on the development of an implementation plan of the UN CRPD has passed local parliament, the development process must be organised in a cooperative setting. As mentioned before, cooperation and decision making in cooperative settings must be made possible through formally structured cooperation and negotiation considering the different interests and power constellations of those involved.

While dependency arises from joint interests and the fact that the objective cannot be achieved by a single actor on its own, affiliation remains a voluntary commitment.
In an ideal case, the commitment of all actors involved is to a certain extent formalised by a joint agreement. This can strengthen cohesion and cooperation and give orientation to a cooperative development process.

2. How to set up agreements

An agreement can be a formal document that describes the scope of the commitment of the actors involved in the process. Agreements on cooperation should be developed

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7   The description of this method is derived from Kuenkel et. al (2011)

jointly and consensually by the actors involved. It should reflect the form of cooperation and be based on mutual respect and equality. While it does not need to be legally binding, it should clearly show and convey the commitment agreed on. As far as it refers to working structures, these should ensure optimal representation of the interests of all actors involved. The wording of agreements should be easily and correctly understood by all actors involved and not require legal language.

The list below introduces selected types of agreements from less to more formal in nature.

- **Declaration of interest.** An opportunity to show interest in cooperating in a collaboration.
- **Agreement on the next steps.** A way of consolidating and agreeing on the process ahead (helpful during the early stages of cooperation processes).
- **Commented on documentation of meeting results.** Documentation to be sent to all actors involved for commenting on. A form of agreement that makes meeting results transparent.
- **Minutes of the meeting.** A pragmatic form of process and results documentation creating commitment and cohesion on a low level.
- **Declaration of participation.** A way of showing commitment internally and externally that can be preceded by an agreement on membership principles or rules.
- **Joint declaration of cooperation.** This shows a commitment to cooperate and can be communicated only between actors involved or be made public.
- **Joint operational plan.** Agreed detailed planning of the cooperation process.
- **Agreements on steering structures.** Defined terms or references for the steering and representation of actors involved in the steering process. This can include a definition of decision-making responsibility.
- **Memorandum of Understanding (MoU).** This consolidates a cooperation commitment and can include detailed paragraphs on the form of cooperation.
- **Joint press statement.** This makes cooperation public and is a way of showing commitment.

- **Cooperation contract.** This is legally binding and specifies roles and responsibilities, resource contribution and allocation, duties and obligations.

3. How to use agreements

In addition to strengthening dialogue and cooperation, agreements can offer guidance and provide support in situations of conflict. The type and level of detail of an agreement depends on the envisaged process. The more binding such agreements are, the more important it is to make sure that they are officially supported by the management level of the organisations represented. Quite often the scope and quality of commitment develops during a cooperation process. Sometimes the need to formalise cooperation is low at the beginning but increases further along in the process. Therefore, it is also possible to increase the formality and liability of an agreement step by step during the process if necessary.

Bibliography

Kuenkel et. al (2011): Stakeholder Dialogues – Key Concepts and Competencies for Achieving Common Goals. A practical guide for change agents from public sector, private sector and civil society. Potsdam: Collective Leadership Institute

Tool 11
Assessing Participation

Find a framework for assessing the participation of persons with disabilities in local planning and decision-making.

The CISCOS Manual Study Text A4 offers perspectives and concrete dimensions that provide a framework for assessing the state of the participation of people with disabilities in a local entity. These elements are combined in the assessment tool[8] below that can be used to conduct an assessment. It offers basic perspectives and guiding questions for each of the dimensions of participation introduced in the CISCOS Manual. The guiding questions can usually be answered with a brief description of the current situation in a municipality or district. However, perspectives might differ between different actors in the municipality or district. The added value of the assessment is based on these different perspectives of the current situation which should be considered.

Key dimensions and guiding questions to assess participation
- Dimension A - Culture of participation and collaboration
- Dimension B - Statute of the local government
- Dimension C - Committees and structures of political representation or advocacy
- Dimension D - Participation beyond formal structures
- Dimension E - Commissioner for matters relating to the rights of persons with disabilities
- Dimension F - Self-representation

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8   The design of the assessment tool is inspired by Rohrmann, A., Schädler, J., Kempf, M., Konieczny, E., & Windisch, M. (2015). Inklusive Gemeinwesen Planen. Eine Arbeitshilfe (2. veränderte Auflage). Düsseldorf: Ministerium für Arbeit, Integration und Soziales des Landes Nordrhein-Westfalen.

Dimension A - Culture of participation and collaboration

a) Basic Objective

Institutions of representation of interests and participatory procedures are embedded in the municipality or district in a comprehensive culture of participation in various fields of action.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- What experiences have there been with the participation of citizens in the municipality?
- Is it possible to win over different social groups for participation procedures?
- Are the participation procedures open-ended without pre-fixed expectations?
- How are the results of participatory dialogue processes integrated into the political decision-making process?

Dimension B - Statute of the local government

a) Basic Objective

In order to systematically include the interests of people with disabilities, the municipality or district has issued a statute that builds on the previous experiences of participation and strengthens the representation of interests of people with disabilities.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- Is there a statute to regulate the consideration of the interests of people with disabilities?

- If so, does the statute encourage the participation of people with disabilities in local development and decision-making processes?

- Are groups of people with disabilities who struggle to voice their interests in political negotiations and decision-making processes taken into account?

Dimension C - Committees and structures of political representation or advocacy

a) Basic Objective

In the municipality or district, there is an effective and accepted representation of the interests of people with disabilities.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- How are the interests of people with disabilities represented in decision-making processes?

- Are there any bodies, organisations or associations that claim to represent the interests of people with disabilities?

- What are the reasons for the fact that there is or is not a disability advisory board or a comparable committee in the municipality or district?

- Is there a reason to discuss opportunities of self-representation of people with disabilities in the municipality or district?

Dimension D - Participation beyond formal structures

a) Basic Objective

For different groups of people with disabilities, there is experience with further forms of participation (e.g. specific projects) in addition to the formal participation structure.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- Is there experience of the participation of people with disabilities outside the formal participation structure (e.g. in neighbourhood or district development planning or traffic planning)?

- Can people with various needs with regards to communication formats (easy language, sign language or documents accessible to blind people) also participate in local decision-making processes?

- Do events take place in accessible places?

- Are people supported by special institutions or services that encourage them to participate in decision-making processes?

Dimension E - Commissioner for matters relating to the rights of persons with disabilities

a) Basic Objective

Equal participation and opportunities of people with disabilities in the municipality or district are promoted by a Commissioner for matters relating to the rights of persons with disabilities or other focal persons and professional advice to the administration on disability-related issues is ensured.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- How does the local administration ensure that the interests of people with disabilities are taken into account in all measures and decisions?
- Who is available as a focal person when people with disabilities seek advice, make suggestions or have complaints?
- How are self-representation bodies in the municipality or district supported?

Dimension F - Self-representation

a) Basic Objective

The field of self-representation in the municipality or district is publicly visible through reporting, events and cooperation with the municipality or district. It is recognised and promoted by those with political responsibility as an important area of citizen participation.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

Assessment of the basic objective

c) Guiding Questions

- Is self-representation and its activities and offers known in the municipality or district?
- Do self-representing groups have the possibility to articulate their concerns in public?
- Do self-representing groups receive recognition and support from politics and administration in the municipality or district?

- Is there any support for the organisation of self-representation in the municipality or district?

- Are representatives of self-representation involved (not only formally) in political decision-making processes and bodies?

Tool 12
Assessing Awareness Raising

Find a framework for assessing local initiatives on raising awareness of the rights of persons with disabilities.

The CISCOS Manual Study Text A4 offers perspectives and concrete dimensions that provide a framework for assessing the state of awareness-raising of the rights of people with disabilities in a local entity. These elements are combined in the assessment tool below that can be used to conduct an assessment. It offers basic perspectives and guiding questions for several dimensions of awareness-raising introduced in the CISCOS Manual. The guiding questions can usually be answered with a brief description of the current situation in a municipality or district. However, perspectives might differ between different actors in the municipality or district. The added value of the assessment is particularly based on these different perspectives of the current situation which should be considered.

Key dimensions and guiding questions to assess local awareness-raising[9]

- Dimension A – Local mainstreaming concepts
- Dimension B – Awareness-raising in or by public institutions, services and organisations
- Dimension C – Public awareness-raising campaigns and events
- Dimension D – Individual competencies in dealing with social diversity in everyday life
- Dimension E – Municipal public relations
- Dimension F – Networks and interaction arenas

9   The design of the assessment tool is based on Rohrmann, A., Schädler, J., Kempf, M., Konieczny, E., & Windisch, M. (2015). Inklusive Gemeinwesen Planen. Eine Arbeitshilfe (2. veränderte Auflage). Düsseldorf: Ministerium für Arbeit, Integration und Soziales des Landes Nordrhein-Westfalen.

Dimension A – Local mainstreaming concepts

a) Basic Objective

Inclusion and diversity are fixed components in municipal planning strategies and action concepts. A comprehensive mainstreaming approach has been established.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- Is human diversity an issue at the municipal level?
- Are experiences of discrimination and disadvantage made public and discussed in the community?
- Are there positive examples of how diversity is dealt with in the community?
- How is human diversity integrated strategically, consistently and sustainably into local action?

Dimension B – Awareness-raising in or by public institutions, services and organisations

a) Basic Objective

Public institutions, services and organisations adapt to the diversity of the different people who demand their services and reflect this diversity in the composition of their staff. An open, friendly and equal approach to citizens includes people with disabilities and is attentive to their specific needs.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How is the mutual interaction between employees within the public services and organisations structured?
- How is discriminatory behaviour and bullying dealt with in public institutions?
- What is taken into account when hiring new staff?
- What principles are anchored in the mission statements of organisations and institutions?
- How do public institutions, services and organisations adapt to the diversity of their users?

Dimension C – Public awareness-raising campaigns and events

a) Basic Objective

Public campaigns and events promote awareness of the need to recognise social heterogeneity and thus sensitise a broad social base to the various concerns and needs of people with disabilities.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- Have public awareness-raising campaigns (e.g. action days or award ceremonies) already been organised?
- Do public events draw attention to discrimination?
- Are there experiences with art and culture events focusing on inclusion?

Dimension D – Individual competencies in dealing with social diversity in everyday life

a) Basic Objective

There is a great commitment and a targeted range of offers to learn how to deal with diversity (e.g. disability). Effective measures and programs lead to the training and further development of inclusive thinking and acting, whereby the handling of human diversity becomes a natural core competence. This particularly applies to groups of people whose activities are publicly effective.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How are inclusive values communicated in the community?
- Have there already been training and further education measures (e.g. conferences, seminars or committees) to raise awareness?
- How were these assessed by the participants?

Dimension E – Municipal public relations

a) Basic Objective

Local public relations promotes the recognition of the skills, merits and abilities of all people and is committed to ensuring that respectful representations of social diversity are reflected in the local media.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How are people with disabilities represented in the local media?

- Do people with disabilities speak for themselves in the local media?

- Is social diversity reflected in the employment structure of the media editorial offices?

- How is the public relations work of the municipality structured with regard to the recognition of people's abilities, merits and skills?

Dimension F – Networks and interaction arenas

a) Basic Objective

Clichés, fears and prejudices are reduced by means of structured meeting spaces. Getting to know each other and communicative exchange at eye level leads to sensitive and just togetherness.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How are encounters between different people with and without disabilities ensured?

- Are there networks and interaction arenas (e.g. virtual chat rooms or district cafés) where inhibitions are reduced and interpersonal contacts established?

Tool 13
Assessing Accessibility

Find a framework for assessing the accessibility of local infrastructure and communication.

The CISCOS Manual Study Text A4 offers perspectives and concrete dimensions that provide a framework for assessing the state of accessibility in a local entity. These elements are combined in the assessment tool below that can be used to conduct an assessment. It offers basic perspectives and guiding questions for several dimensions of accessibility introduced in the CISCOS Manual. The guiding questions can usually be answered with a brief description of the current situation in a municipality or district. However, perspectives might differ between different actors in the municipality or district. The added value of the assessment is particularly based on these different perspectives of the current situation which should be considered.

Key dimensions and guiding questions to assess accessibility[10]

*   Dimension A – Planning accessible infrastructure
*   Dimension B – Accessible housing
*   Dimension C – Accessible information and communication
*   Dimension D – Participation of citizens and initiatives to analyse barriers

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10 The design of the assessment tool is based on Rohrmann, A., Schädler, J., Kempf, M., Konieczny, E., & Windisch, M. (2015). Inklusive Gemeinwesen Planen. Eine Arbeitshilfe (2. veränderte Auflage). Düsseldorf: Ministerium für Arbeit, Integration und Soziales des Landes Nordrhein-Westfalen.

Dimension A – Planning accessible infrastructure

a) Basic Objective

Accessibility is established as a design principle in essential areas of community life. This includes the design of residential areas, central traffic routes, public buildings and private facilities of general interest as well as the dissemination of information.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How is the planning for the implementation of accessibility in different areas (housing, transport, cultural or public facilities, barrier-free information technologies, etc.) organised?
- Which actors are involved?
- Which actors can still be included?

Dimension B – Accessible housing

a) Basic Objective

Coordinated and constructive cooperation of all responsible persons ensures that sufficient barrier-free living space is available for people with disabilities.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How is barrier-free living space provided in the municipality?
- How is knowledge about this collected?

- What are the plans for housing adaptation?

- How are experiences regarding the housing needs of people with disabilities and age-related care needs determined and included?

Dimension C – Accessible information and communication

a) Basic Objective

The municipality ensures that information is accessible to all. This refers to information in written form (documents, notices, etc.) or information in digital form (online). If necessary, there is also the possibility of using a sign language interpreter. All administrative staff are regularly informed about barrier-free documents and communication aids. Both the design of websites and the communication, information and participation opportunities in the planning groups are regularly checked for accessibility.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How accessible is municipal information to citizens with impairments of all kinds (people with learning difficulties, hearing or visual impairments or multiple disabilities)?

- What communication aids are already available?

Dimension D – Participation of citizens and initiatives to analyse barriers

a) Basic Objective

The municipality encourages its citizens to point out barriers and promotes initiatives to analyse and overcome barriers.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How are barriers identified in the community?
- What measures are there to analyse barriers?
- How are citizens and initiatives involved?

Tool 14
Assessing Services

Find a framework for assessing local service networks for people with disabilities.

The CISCOS Manual offers perspectives and concrete dimensions that provide a framework for assessing services in a local entity. These elements are combined in the assessment tool below that can be used to conduct an assessment. It offers basic perspectives and guiding questions for several dimensions of service provision introduced in the CISCOS Manual. The guiding questions can usually be answered with a brief description of the current situation in a municipality or district. However, perspectives might differ between different actors in the municipality or district. The added value of the assessment is particularly based on these different perspectives of the current situation which should be considered.

Key dimensions and guiding questions to assess local services[11]

- Dimension A – Cooperation of stakeholders
- Dimension B – Collaborative planning of services
- Dimension C – Person-centred planning of services
- Dimension D – Linking individual and local participation planning
- Dimension E – Subordination of specialised services
- Dimension F – Consulting network

11 The design of the assessment tool is based on Rohrmann, A., Schädler, J., Kempf, M., Konieczny, E., & Windisch, M. (2015). Inklusive Gemeinwesen Planen. Eine Arbeitshilfe (2. veränderte Auflage). Düsseldorf: Ministerium für Arbeit, Integration und Soziales des Landes Nordrhein-Westfalen.

Dimension A – Cooperation of stakeholders

a) Basic Objective

There is intensive cooperation between service providers, representatives of people with disabilities and their relatives, rehabilitation organisations and local authorities, in order to jointly plan the development of adequate support services.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How are the actors cooperating with regard to the development of support offers?
- Who determines the forms of cooperation chosen?
- Are there dominant actors?
- Is there openness for innovative approaches?
- How is the participation of people with disabilities ensured in the development of support services?

Dimension B – Collaborative planning of services

a) Basic Objective

Service development is not focused on the individual service, but on the interaction of services in line with individual support needs. This avoids the risk of being segregated and enables a self-determined life.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- How is the existing service structure evaluated?
- How are new services planned?
- What are the basic principles of service planning?
- How are agreements among stakeholders made?

Dimension C – Person-centred planning of services

a) Basic Objective

Individual service planning focuses on the development of an individually helpful arrangement that enables a self-determined life to the highest possible level. The existing services and facilities are able to respond flexibly to individual needs.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- In which areas has individual service planning already been introduced?
- Are transitions in the life course and the need for support in different areas of life taken into consideration by service planning structures, processes and routines?
- Is individual service planning oriented to existing offers or is it possible to develop new, individual service arrangements?

Dimension D – Linking individual and local participation planning

a) Basic Objective

The results of the individual support and participation planning are systematically evaluated in order to identify and address supply gaps and development needs in the community.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- Are conclusions drawn from the individual planning processes for further development of services in general? Who would be responsible for this?
- In which existing structures and/or committees could the linking of individual and local participation planning take place?
- Which local stakeholders could be involved?

Dimension E – Subordination of specialised services

a) Basic Objective

A subordination of specialised services is systematically applied. Services and institutions focus on supporting access to the general infrastructure of the individual's living environment.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- Can people with disabilities use the services and facilities for the general public, if necessary with assistance?
- Do you see the avoidance of creating special services for people with disabilities if such services are offered in parallel for the general public?

- Is there any cooperation between services and institutions of disability assistance and services for the general public in order to promote the inclusive design of services in the community?

Dimension F – Consulting network

a) Basic Objective

Local counselling and contact points work together in a counselling network for the local community to facilitate access to all support offers for people with disabilities.

b) Assessment Grid

Correct	Rather correct	Rather incorrect	Incorrect	Not relevant

c) Guiding Questions

- Is it easy for beneficiaries in the municipality to obtain information about support options?
- Can the professional actors get an overview of the services offered by all the institutions and self-help groups in the municipality?
- Do different counselling and contact points work together so that people seeking support receive a suitable support offer?

Tool 15
Enabling Dialogue

Find out how to effectively initiate, organise and facilitate participatory stakeholder dialogues. Learn more about key elements of successful stakeholder communication.[12]

Dynamic stakeholder dialogues enable networks of interested and committed people. Sophisticated stakeholder dialogues are characterised by the following aspects:

- The stakeholders involved are prepared to assume joint responsibility for a desired change process;
- All actors involved are prepared to talk to each other and work together beyond intellectual or political worldviews;
- All actors involved are committed to a common, greater goal beyond individual interests;
- The desired process of change is jointly managed.

However, stakeholder dialogues are fragile processes that often depend on the ability of the initiators and moderators to shape the dialogue and ensure the involvement of all stakeholders. The commitment of individual stakeholders depends on various factors such as a common goal, perceived benefits, the risk associated with non-participation, connection to overarching objectives, cooperation interests or a genuine interest in change.

Engagement and common objectives often develop over time and are not always clear at the beginning of the dialogue. Both aspects require constant attention. The clarification

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12   The description of this method is inspired by Kuenkel et. al (2011).

of a common goal is not a one-off planning step, but an ongoing process that ensures the continuous participation of different stakeholder groups.

Moderators of stakeholder dialogues initiate, coordinate, moderate and implement stakeholder dialogues in conjunction with other persons. This requires a number of skills including:

- Moderation of the different points of view in the exchange;
- Acting in complex contexts and unknown structural conditions;
- The productive handling of conflicts, crises, protests and obstacles;
- Willingness to take risks and remain flexible on an ongoing basis;
- The ability to motivate stakeholders to pursue a common goal;
- The ability to celebrate success as a joint achievement.

Moderators of stakeholder dialogues are people who communicate and collaborate with different stakeholders in a constructive and impact-oriented way. They do not necessarily have to be neutral but can belong to a stakeholder group involved in the change process. However, they must be open to other perspectives, be able to mediate between different interests if necessary, and ensure that all interests are considered. They promote communication, facilitate creativity and cultivate and build relationships.

Abilities of successful moderators of stakeholder dialogues

    Promote the core idea of a stakeholder dialogue to all relevant dialogue partners.

- They must be able to understand the interests and internal logic of different stakeholders in order to win them over to dialogue;
- They should inspire participation by understanding and addressing different needs.

    Communicate a common goal or develop one together with the group.

- They must understand and communicate the benefits of dialogue for all involved;
- They should support the participants in defining a common objective.

    Promote a climate of trust among the dialogue partners.

- They must embody the commitment that they expect from others;

- They should build trusting relationships with all stakeholders;

- They must be as impartial as possible, without losing sight of the common goal;

- They need to be transparent about the process, the approach and the desired impact;

- They must ensure that stakeholders can contribute their views, be heard and respected.

Network between existing and potential dialogue partners.

- They form the nodal point in the network and facilitate and moderate communication.

Communicate inside and outside the network.

- They should facilitate internal communication as well as the external communication with the public.

Bibliography

Kuenkel et. al (2011). Stakeholder Dialogues – Key Concepts and Competencies for Achieving Common Goals. A practical guide for change agents from public sector, private sector and civil society. Potsdam. Collective Leadership Institute

Tool 16
Dialog Formats

Get to know different dialogue formats that can be used to make a change process as participative as possible.[13]

A. Future Conference

Scope: planning of measures and action plans.

Targets: consensus or involvement of all stakeholders.

Stakeholders involved: all relevant stakeholders.

Future conferences serve to obtain a balanced assessment of future developments or ideal images through the involvement of all relevant actors or groups. This assessment can then be used as a basis for short or medium-term action. The method relies on participation in order to create generally recognised frameworks and thus secure the support of all relevant actors. Such a conference requires a timeframe of one to three days. In addition, the participation of the most important stakeholders must be ensured in order to achieve the goals.

The idea is to obtain a generally recognised consensus as a basis for further work by working in small groups (phases 1 and 3) and subsequently reflecting in the plenum.

A future conference usually takes place in several phases (Burow 2008).

1. **Reflection on the past.** A timeline shows the high and low points from the history of the organisation, institution or community.

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13   The description of these methods is inspired by MAIS NRW (2011)

2. **Analysis of the present.** Mind maps are used to visualise expected future challenges. Strengths and weaknesses regarding the identified challenges will be worked out.

3. **Development of future plans.** The participants create diverse images of the desired future.

4. **Working out commonalities.** Commonalities that connect all participants will be clarified. Development tasks and goals, that all participants wish to carry out with commitment, are identified.

5. **Planning concrete measures.** At the end of the process, concrete action plans are worked out, specifying responsibilities and binding schedules.

The future workshop method must be distinguished from this. However, it is similar to the method presented here.

B. Social Space Conference

Scope: networking and communication.

Targets: networking of planning and spatial reference.

Involved actors: sectoral planning, planning area management, actors of the social area.

Social space conferences can be offered as plenary events or in the form of round tables. They can serve as information about the activities and plans of the political-administrative system and enable a dialogue with a large number of citizens, with the administration or political mandate holders there to answer questions. The exchange of opinions, needs and attitudes is at the forefront of such conferences. In addition, experts from politics and administration have a forum to present and discuss their ideas and solutions regarding a measure. District conferences are public events and have no limits on the number of participants. Like all participatory methods, they strengthen the legitimacy of administrative action.

A social space conference should be held regularly. Not only citizens, administration and politicians should take part, but all actors who are interested or important for the process

of social planning (e.g. independent agencies). The conference supports the implementation of planned measures but also contributes feedback and suggestions on the planning and is thus an important component of the spatial reference of modern social planning. The conference should be organised by a manager.

The management team is responsible for the administration and thus acts as an interface between stakeholders and planning in the administration.

In general, the method is comparable to the district conference. The social space conference can be considered as such but it is institutionalised within the framework of modern social planning in the sense of this handbook and its corresponding specifics.
The objective is to bring the results to the social planning conference.

C. Open Space Conference

Scope: participative processing of a framework topic.

Targets: the genesis of ideas and proposals and derivation of concrete projects.

Actors involved: open to all citizens.

The basic idea of the open space conference is an open and relaxed atmosphere for everyone. Above all, space should be created for creative and unexpected solutions. Accordingly, the number of participants and the duration of the conference is very flexible.

Only one theme will be defined by the organisers. This will be explained in the plenum and the (usually) five basic rules of the conference will be announced.

- Mobility is key. Leaving and changing working groups is allowed and desired if a participant cannot learn or contribute anything more.
- Whoever comes is the right person.

- Whatever happens, that is the only thing that can happen.

- Whenever it starts, that is the right time.

- Gone is gone.

Working groups are then initiated freely and topics are recorded in a central place. While the plenum is moderated, the working groups divide up freely in terms of procedures, breaks, etc., but usually within a given framework.

The results of the working groups are documented and made accessible to all. As a rule, the initiator of the group is responsible for this. Subsequently, important points of the discussion are picked out and discussed in the plenum. Plans and planned work steps are also presented. At the end, a documentation process for all participants takes place.

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Tool 17
Theory of Change

Learn how to think critically about what is needed to bring about a desired change. Get to know a method to clearly describe and structure a change process and develop a joint understanding of what needs to be done.[14]

1. What is a theory of change?

Theory of change is a method that can be used to think critically about what is desired to bring about a social change. A sound theory of change helps to clearly document a joint understanding of an aspired change process. It depicts strategic options and orientation for how to bring a change process about and illustrates a progressive sequence of causally interdependent results that form a change process. A theory of change is a simplified representation of reality based on assumptions of how change can be brought about. Even if it cannot represent the full complexity of a change process, it helps to make it tangible, describable, discussible and at least partly plannable. A theory of change improves the quality of strategic planning by clarifying the areas that interventions will address and providing guidance for the joint steering of a change process. A theory of change, therefore, lays the foundation for strategic steering and monitoring within the change process. As far as a theory of change is jointly developed with key stakeholders, it helps to ensure that the aspired change is compatible with the structure, processes and culture of the social environment of the change process.

14   The description of this method is inspired by Anderson (2006) and GIZ (2015)
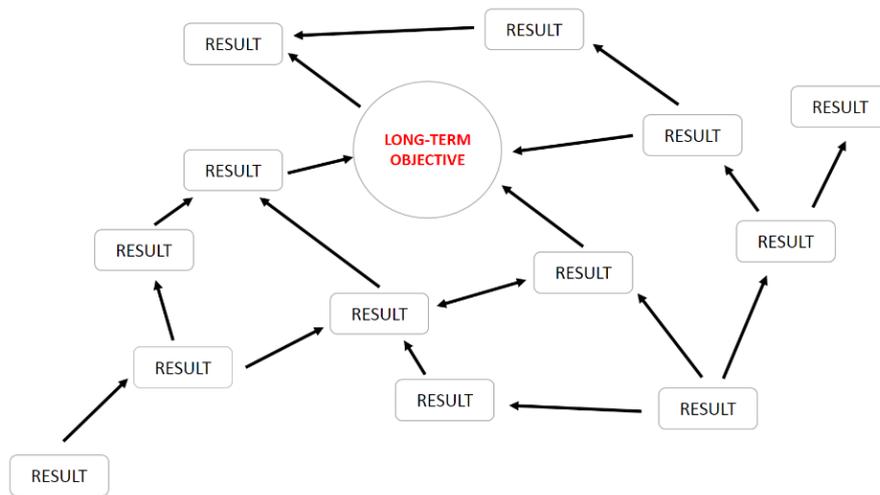
Figure 11. Pathway of Change. Own illustration inspired by Anderson (2006) and GIZ (2015)

2. How to create a Theory of Change?

Setting

Developing a theory of change is best done in a group of core stakeholders aiming to initiate a particular change process. The development process needs the collective ideas and experience of a diverse group.

Facilitation

Developing a pathway of change works best when using pinboards. Workshop materials like markers, cards and pins will facilitate and allow flexibility during the developing process of the pathway. Visualised outcomes of a previous analysis (e.g. stakeholder map) can support discussions.

Procedure

- **Step 1.** Identify the long-term outcome of the change process. Cooperation partners should analyse the area of social concern that the change process wishes to influence. The analysis can be based on the results of a previous analysis (e.g. interest-influence grid and stakeholder map). It is important to make sure that all participants are on the same page with regard to a clear definition of the long-term outcome they hope to

achieve through the change process. The definition should be realistic and as specific as possible in order to allow structural thinking about what needs to be done, to build a consensus about what is important in terms of programming, and to develop a valid monitoring system for the change process. Most change processes have objectives with various components. Thinking about how to reach these will be greatly improved by unpacking large objectives into smaller components.

- **Step 2.** Develop the intended change process as a pathway of change. This step builds the centrepiece of the theory of change approach. It aims to identify all results that are preconditions related to the ultimate objective and crucial milestones of a change process. The pathway of change map is a skeleton illustrating the relationships between the results (preconditions) and the overall objective, as shown in Figure 1. Details can be added successively to create a comprehensive theory of change.

  The pathway only depicts results in the form of outcomes, accomplishments, states and changes. Activity related questions such as what needs to be done to achieve the overall objective are not relevant at this point and thus should be ignored in this step. In short, verbs are not allowed at this point. The process of creating the pathway of change is backwards mapping, starting with the overall objective at the end of a change process. Participants must walk backwards in their minds questioning the preconditions of the results at each step, again and again.

- **Step 3.** Operationalise the results in the pathway of change through indicators. This step will help to bring to light important assumptions about the change process in order to make them tangible, describable and discussible. The aim is to develop indicators that will be used to track progress and document success within a change process. The basic question to find a solid indicator for each of the results is: what evidence will be needed to show that this result has been achieved? The answer to this question will help to find adequate indicators. Developing indicators requires creative thinking about the best way to document success with regard to an aspired result. It is important to figure out the following:

a) Who or what is expected to change and thus builds the target population to be tracked with the indicator?

b) What is the current status acting as the baseline to be used to measure successful change?

c) What is the target threshold to be crossed in order to proclaim success on an aspired result?

d) How long will it take for the target population to reach the threshold of change on the indicator?

These key issues should be included in the formulation of an indicator. It is important that indicators are specific with regard to the result and match the point in time that the result will occur.

- **Step 4.** Define the interventions required to bring about results in the pathway of change. This step requires thinking generally about what strategies are needed to reach the overall objective via the results identified in the pathway of change. The core group of stakeholders should think about how each of the results that they feel they can influence the pathway of change will be achieved by taking realistic and feasible actions. There might be results that can be reached without any additional intervention by achieving a related precondition. In most cases, however, a particular intervention that may be larger or smaller will be required for each result.
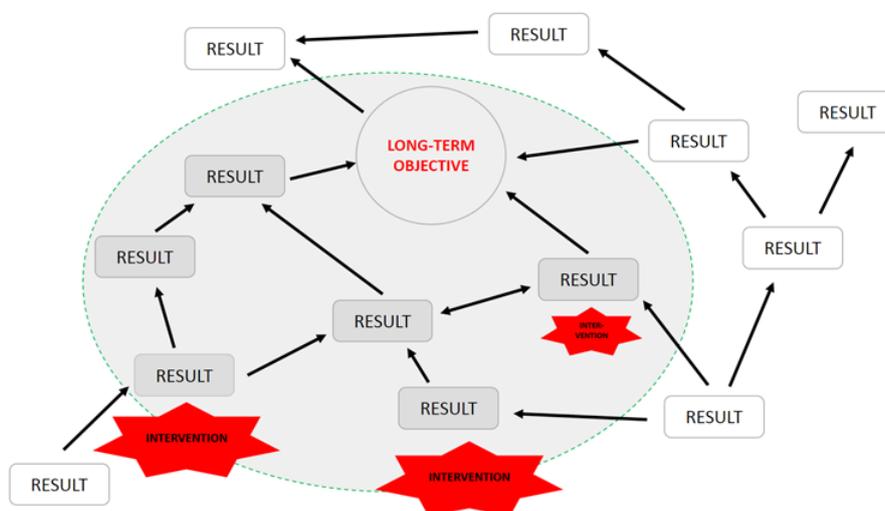

Figure 12. Pathway of Change. Own illustration inspired by Anderson (2006) and GIZ (2015)

It is important to manage expectations by distinguishing between outcomes that the core group of stakeholders can do something about and those that might be beyond their scope of action and influence. This can be marked as the system boundary in the pathway of change, as shown in Figure 12 by the green dotted circle.

- **Step 5.** Articulate underlying assumptions about the pathway of change. Various assumptions of the stakeholder group have been silent guides in the development process of the pathway of change, present in their minds but not voiced so far. Putting these assumptions on the table to be examined, critiqued and agreed by the group is a crucial step in proving their accuracy and improving the quality of the pathway of change. Developing intervention strategies on the basis of wrong assumptions is not likely to bring about the aspired overall objective. All assumptions should be written down in a poster or another document in order to be able to reflect on them. Assumptions can focus on necessary preconditions to reach the result and be based on evidence from academic research or scientific theory, practice examples or more general assumptions on the social environment in which a change process is to be brought about. All of these assumptions should be up for discussion and validation.

3. How to use a theory of change?

A theory of change requires stakeholders to be precise about the overall objective of a change process and how to achieve it. It strongly supports conceptual clarity in the planning of interventions and the steering of a change process. The theory of change can be used to guide the planning of interventions in order to avoid implementation mistakes. It raises new questions for stakeholders to consider while developing a strategy and already includes concrete results and indicators that build the skeleton for an operational plan. Moreover, it allows stakeholders to challenge the underlying logic of future intervention while everything is still on the pinboard.

It is important to keep in mind that the theory of change is a snapshot of a specific point in time. Therefore, it is important to have a look at the theory of change and the particular

pathway from time to time in order to make sure that the foundation for planned interventions is still valid. This particularly concerns the assumptions documented during the development process.

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Tool 18
Operational Plans

Find a guideline on how to set up an operational plan for the day-to-day coordination and steering of a change process. Find out how to systematically link the strategy level to the implementation of practical activities on the ground.[15]

1. What is an operational plan?

Operational planning is the link between policies or strategic/action plans and the implementation of practical activities on the ground. In short, operational plans translate strategy into practice. At a certain point in planning, strategy must be linked to the practical operations of the relevant actors in a district or municipality. Objectives and desired outcomes need to be further differentiated and specific implementation arrangements with the actors involved must be made once the strategy of a change process has been defined. An operational plan is a framework for day-to-day management and coordination, often in a one-year timeframe.

Operational plans break down larger objectives into complementary sets of specific activities, providing milestones for implementing strategic objectives. Good operational plans provide detailed clarity on exactly what needs to be done, who is in charge, who needs to be involved, when the deadlines are and what resources are needed and available. Operational planning therefore means making final key decisions on the output process within a change process. The operational plan is ideally based on a theory of change.

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15   The description of this method is inspired by Shuey et al. (2016) and GIZ (2015)

It is important to be aware of the difference between operational plans and action plans or strategic plans. Action plans or strategic plans involve setting a directional framework for an organisation or relate to a specific topic or thematic field. In the public sector, such plans are usually policy documents that set directions and priorities for governance within a specific field or sector according to the priorities and objectives of relevant stakeholders. Such action plans or strategic plans do not determine the implementation of specific measures in detail. Operational plans generally encompass day-to-day actions that need to be performed in order to successfully execute a strategy or action plan. Hence, the purpose of the operational plan is to identify the activities to be carried out in order to achieve strategic objectives and provide all actors directly involved in the change process with a clear picture of their tasks.

2. How to set up an operational plan

Setting

Operational planning is not the task of managers or planning professionals. The best operational plans, and certainly the ones most likely to be implemented, are those developed together with the people who will carry them out and those who should benefit from their outcomes. However, operational planning with diverse actors involved can be demanding due to the variety of cultures and planning methods people are used to from their organisational backgrounds. At the same time, joint operational planning helps to intensify cooperative relationships by developing a common approach, ensuring transparency on implementation processes between the actors involved and building a binding framework for joint action based on commitment and ownership.

Operational planning should be done in a workshop with people who are involved in the strategic development of a change process as well as the people who will be responsible for the coordination and implementation of specific measures. Those concerned with the desired outcomes of a change process should also be given the opportunity to participate. The group of people involved should be as big as necessary but also as small as possible to

keep the complexity of the process to the minimum. Therefore, participants for this process should be carefully selected.

Facilitation

Developing an operational plan in a group works best when using a pinboard or flip chart. A template of the operational plan can be prepared on the pinboard or flip chart in advance. Workshop materials like markers, cards and pins will facilitate filling in the template and allow flexibility during group assessment discussions. For adding specific details and for more comprehensive and complex operational plans, it is helpful to prepare a digital template that can be jointly discussed and filled by projecting it onto the wall.

Procedure

- **Step 1. Have a closer look at the strategy and define work packages.**

  Operational plans translate strategy into action. Therefore, the first step of operational planning is to carefully review the strategy. This can be a theory of change or (if available) a strategic plan or action plan for the district or municipality. The following questions will guide you through this first step.

  - What are the main overall objectives and targeted results?
  - What are the strategic priorities for the period being planned?
  - What kind of interventions are needed to achieve these strategic priorities?
  - Which work packages can be defined based on the activities previously discussed?

- **Step 2. Define milestones and activities.**

  The second step aims at breaking down the work packages defined in step one into milestones and concrete activities to be implemented during the planning period. Milestones that determine an interim result indicating that a work package or set of activities is completed must be agreed on and concrete activities should be defined. If the operational planning is based on a theory of change, preconditional results defined in the pathway of change can support the definition of milestones.

- **Step 3. Allocate responsibilities.**

  Once the milestones and activities are agreed on, it is important to allocate a responsible person for each activity, milestone or field of action defined in the operational plan. A responsible person does not necessarily need to carry out the entire implementation alone, but will be the one responsible for coordinating it, keeping it on track and reporting back to a monitoring mechanism.

  In cases of large-scale programmes, responsibilities might be only defined on the level of milestones or work packages. A more detailed planning will be done by those responsible for the implementation of each of the milestones or work packages.

- **Step 4. Set timelines and resources.**

  In order to enable those responsible to carefully plan and monitor the implementation of activities, timelines and fixed deadlines for the implementation of activities and the completion of milestones must be defined and agreed on. The timelines give order to the many tasks that need to be completed and set priorities for those involved in implementation.

  While not every activity requires financial resources, most will to some extent. This can include staff costs, administration costs or equipment. Therefore, financial planning should allocate resources to each activity. This is key in order to make sure that the implementation can be realised according to the plan. If financial resources restrict the implementation, further funding needs to be arranged. If this is not possible, activities or even strategic priorities should be adapted in order to bring them in line with the resources available. Inadequate allocation of financial resources for the implementation of a change process significantly increases the risk of failure.

  In addition to financial resources, human resources including the people needed for the implementation of activities due to their knowledge, power or networks should be taken into account and named.

- **Step 5. Document and review the plan.**

    As a final step, the plan should be carefully documented. Figure 13 gives an example of the structure of an operational plan. The final document should be jointly reviewed in order to verify the completeness and check the overall consistency and coherence.

3. How to use an operational plan

Figure 13: Example - Operational Plan

The operational plan provides a management tool for the everyday coordination and implementation of a change process.

In order to include the plan in the daily workflow, it is important to share it widely among those involved in the implementation and refer to the plan and its details when discussing implementation issues. Experience shows that it can be helpful to integrate the plan into daily work processes, for example facilitating meetings within the structure of the plan. Most importantly, the operational plan builds the foundation to set up and use a monitoring framework for the aspired change process. Last but not least, it is important to consistently update the operational plan. In order to successfully guide the implementation of a change process, the operational plan must be regularly reviewed and adapted according to monitoring results.

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Tool 19
Action Plans

Find a guideline on developing and implementing an action plan for the implementation of the UN CRPD at the local level.[16]

1. What is an action plan?

Across the globe, the ratification of the UN CRPD by States Parties has promoted the drawing up of action plans for its implementation at all political levels. Action plans provide an opportunity to advance, structure and coordinate the implementation of the UN CRPD.

An action plan is a strategically oriented programme of a government or any other actor in charge. It sets out the problems to be addressed by the plan and defines concrete objectives and measures to achieve them. It also regulates the coordinated implementation, monitoring and evaluation as well as further development of these measures.

Typically, action plans are the result of transparent, participatory and co-creative working processes that are open to the public.

The UN CRPD obliges States Parties to take appropriate, effective and targeted measures to comply with and implement the rights of the Convention shortly after ratification (UN 2006, CRPD Article 4). Even if the UN CRPD does not require a state to organise compliance and implementation through an action plan, in several articles it sets out the existence of state programmes, concepts and strategies for its implementation (ibid. Articles 4, 8, 26, 31). It requires all signatory states, at all levels to pursue a recognisable and planned policy that respects, protects and implements all rights enshrined in the UN CRPD.

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16   The description of this method is derived from DIMR (2010)

2. How to develop an action plan

Action plans are usually the result of several years of work. This process can be divided into four phases: initiation and preparation, development, implementation and monitoring, and evaluation and follow-up or further development.

Existing plans are often further developed at regular intervals on the basis of the findings gained through systematic monitoring and in the evaluation phase. They can also be replaced by follow-up plans or even more comprehensive strategies.

All governmental and non-governmental bodies called upon to implement the UN CRPD should be involved in drawing up an action plan, as should the people directly or indirectly affected by its implementation. For example, Article 4(3) of the UN CRPD stipulates that people with disabilities, including children with disabilities, must be closely consulted and actively involved (principle of participation).

Participation presupposes that planning processes and interim results are transparent and accessible. People with disabilities may not be discriminated against or disadvantaged within this heterogeneous group (principle of non-discrimination). All forms of disability must be equally considered in their entire spectrum and gender aspects must also be taken into account.

The design of an action plan can differ according to its objectives and the level and context it is implemented in. However, action plans in general should meet some basic requirements outlined below.

a) **Linking back to the convention**

An action plan must be based on the normative requirements of the UN CRPD. The objectives and measures should be closely linked to the provisions of the UN CRPD and correspond to the international obligations of the States Parties under the Convention. For example, statements in an action plan on education must not contradict Article 24

of the Convention. An action plan should clarify which objectives, measures and control and evaluation mechanisms relate to which parts of the UN CRPD.

b) **Overall responsibility**

The implementation of the UN CRPD should be seen as a participatory and learningoriented process in which, under the political leadership of local governments, relevant local actors develop their pathway towards an inclusive district or municipality. The implementation of the UN CRPD is a task for society as a whole. It is therefore important to consider existing action plans relevant to the local level and the inclusion of people with disabilities. However, it is important to note that local governments should be recognised as the principal legitimate agent to coordinate such local development processes.

Action plans at the local level should link back to existing policies, strategies or action plans at other levels. Action plans should be a high-level management task. The highest level of decision-making and responsibility in a district or municipality should be involved in drawing up and implementing the plan.

c) **Transparency, participation and non-discrimination**

The principles of transparency, participation and non-discrimination should be observed at every stage of the working process. An action plan should therefore be a public document in every respect. Even if the district or municipality is responsible for the implementation of the UN CRPD, important decisions and priorities should be discussed as broadly as possible and formulated in such a way that they can be supported by many actors.

A participative approach motivates more relevant stakeholders to support the implementation. Moreover, it shows a clear commitment of the local government to UN CRPD implementation.

d) **Baseline assessment**

It is important to address specific local problems and needs and allow sufficient time for careful clarification of which problems should be addressed with a local action plan. The action plan should therefore be founded on a baseline assessment of the state of

inclusion of people with disabilities in the district or municipality. In order to generate a comprehensive understanding of current local challenges, it is important to consider the opinions of different actors including civil society and particularly persons with disabilities about problems and their possible explanations.

The results of this assessment should be integrated into a clear definition of key challenges in all areas addressed by the action plan and for which it sets out measures. This status analysis is an essential precondition for defining objectives and creating a common understanding of the actors involved. A solid baseline is a prerequisite for being able to determine future progress.

e) Comprehensive approach

An action plan should cover as many areas of life protected by the UN CRPD as possible with regard to the indivisibility and interdependence of human rights. It should not exclude individual areas or difficult or controversial issues. This does not mean it is impossible to set priorities or develop and establish step-by-step fields of action. However, in doing so it must be clearly guided by the provisions of the UN CRPD.

Nevertheless, quick successes in implementing the action plan in urgent, particularly important problem areas are highly desirable in motivating all those involved. Accordingly, ambitious goals to be achieved in the short term should be set in these areas.

The planning process should make use of the results of other existing fields of planning in order to link to existing findings, structures and processes in the district or municipality in a meaningful way. Existing guidelines and, if necessary, professional support and moderation can assist in planning. Several feedback loops with relevant actors in the district or municipality should be included when formulating objectives. It can be helpful to pro-actively engage which successful others in order to learn from existing practices.

f) Clarity and verifiability

An action plan should offer a clear orientation for action, but also be designed in such a way that the respective degree of target achievement can be measured and verified at any time during the implementation of the plan.

It is therefore important that the plan contains not only a definition of key challenges but also clear guidelines on the target status. It should clarify which specific objectives are to be achieved when and which interim objectives are to be achieved with which concrete measures and by when. Objectives and measures must be recorded with adequate indicators if it is not possible to measure them correctly. Measures should be assigned to a specific budget and it should be indicated who is responsible for the implementation of specific activities. Budget issues must also be clarified and the plan should specify who should be reported to and for what periods.

g) Mechanisms for review and further developmen

An action plan should contain mechanisms for quality and result control as well as definitions for its future development. The individual measures should also determine how, when and by whom the progress achieved should be monitored and evaluated. It is helpful to set up an advisory body to critically accompany the coordination, review and further development of the action planning process.

In order to fulfil their responsible function, such bodies must be equipped with the necessary human and financial resources. It also makes sense to set up a memorandum of understanding that clarifies the role, competences and functioning of such bodies. The local government should lead the coordination, monitoring, evaluation and follow-up process, amongst others through binding reporting mechanisms to the local parliament.

3. How to implement an action plan

The better coordination structures and review mechanisms are drawn up, the easier it will be to successfully implement the action plan. The following points provide guidance for the implementation process.

✓ **Include political bodies from the start.**

It is important to inform the political bodies at an early stage and in accordance with the rules of decision-making obtain political approval. Therefore, winning supporters from as many local political parties as possible should be an important early-stage activity. Obtai-

ning a decision by the parliaments to implement a local action plan will be a key precondition.

✓ **Set up a heterogeneous advisory committee.**

The composition of the advisory committee should be heterogeneous. This will allow it to develop its potential towards strengthening cooperation between the local government, administration and civil society. It is particularly important to try to involve difficult actors. This committee should enable cooperation in the preparation and implementation between heterogeneous groups of actors. It will be crucial to ensure that the advisory committee works continuously and fulfils the planned tasks.

✓ **Ensure a strong coordination body.**

With regard to coordination of the implementation, the lead office of the local administration should carefully consider whether or not it has the capacity to take on all the tasks involved in implementing the local action plan. If not, it might make sense to set up an additional coordination unit with the resources needed to work effectively.

✓ **Enable participation.**

To ensure broader participation of civil society and the general public, it makes sense to explore, adapt and use instruments of citizen participation that are already being successfully implemented in other contexts at the local level. When implementing measures, care should also be taken to implement low-threshold measures that allow direct participation of the target groups.

✓ **Maintain effective implementation through regular monitoring.**

Once the implementation phase of the local action plan has started, it is important to regularly monitor the achievement of all objectives and measures included. The results of regular monitoring (e.g. quarterly) should be discussed and linked back to a detailed planning and, if necessary, the implementation planning for specific measures should be adapted.

✓ **Strategically link up with other local policies and representing bodies.**

The impact of the ideas and objectives in various areas of local development can be increased if the local action plan is recognised and integrated into overall local concepts, guidelines and principles. Representatives of the action plan should to be present in all

relevant bodies of local government to increase commitment to the plan and ensure that it is considered in various fields of local planning. It is important to ensure that the themes and objectives of the local action plan are incorporated into municipal planning concepts, such as integration and youth welfare plans and municipal models. The action plan should be well anchored at administrative levels by clearly defining competencies for specific measures.

✓ **Take public relations work seriously.**

Public relations work is a crucial element of implementation and must be taken seriously. A public relations concept should be drawn up at an early stage. It is important to involve community leaders in public relations to raise more attention to the local action plan. Evaluation should be taken seriously in order to achieve the key objectives of the local action plan. It does not start when implementation is complete but from the initial development of an action plan which should already include an evaluation framework.

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Tool 20
Resolution to Pass the Local Parliament

Find an example of a draft resolution on the implementation of a local strategy on the UN CRPD.

Once a local strategy on the UN CRPD has been developed, it is important to pass it back to the political bodies. This serves several purposes in view of the subsequent implementation process. Political bodies serve as forums for additional discussions on key aspects of the strategy. Their main task is to reach a final decision on the implementation of the planned measures by the local parliament and to act as the democratically legitimised coordinator of the local development process.

With regard to final policy decisions, the CISCOS Planning Circle and its elements should be seen as a model. The individual elements are not intended as a strict order to be followed. For example, a good planning structure would involve local politicians and thus maintain a political commitment to the final implementation plan during development. This perspective makes both the planning process and the implementation plan part of the decision-making process. However, a formal political decision on the implementation plan helps to legitimise it vis-à-vis the relevant actors and the public. In this context, it can raise the commitment of key stakeholders to the joint implementation of a strategy towards the development of an inclusive community.

Example of a draft resolution

<div style="border:1px solid black">

<p align="center">Resolution</p>

District Assembly Public Session

Implementation of a local strategy on the inclusion of persons with disabilities

<u>Draft Resolution</u>

The district assembly decides that:

1. Recommendations for action and measures set out in the strategy attached as Annex 1 are accepted to the degree that they relate to the responsibilities of the district;

2. Recommendations and measures that apply to the district's responsibilities, and are based on the recommendations of the UN CRPD, will be implemented step by step, starting with allocated budgets for this year;

3. The implementation of individual measures and the development of the inclusion goals as well as the evaluation of the achievement and the implementation process consequences will be realised through a participative approach and in dialogue and coordination with local self-help groups.

Result

Adopted unanimously by vote.

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Tool 21
Steering Structure

Learn how to set up a steering structure that defines the framework for patterns of communication, interaction, consultation and participation in decision-making as well as the design of work and learning processes during the implementation.

1. What is a steering/implementation structure?

Steering the implementation of a cooperative change process is different from managing an organisation, as each actor involved in maintains its own independent identity and is used to different cultures and logics of leadership, steering and implementation structures based on organisational backgrounds (e.g. local government, civil society, private sector). Therefore, cooperative change processes require tailor-made and transparent steering/implementation structures that should be jointly developed and formally agreed on by all relevant actors involved.

A steering/implementation structure defines the framework for patterns of communication, interaction, consultation and participation in decision-making as well as the design of work and learning processes during the implementation of a change process. It ensures transparency and clarity about responsibilities and roles with regard to steering and coordination tasks.

Steering and implementation structures can take various forms and be more or less formal and bureaucratic depending on the context and the actors involved. They can be simple at the beginning of a change process and adapted to changing steering and decision-making requirements at a later stage. They should facilitate joint action and follow the purpose of furthering the change process as effectively as possible.

2. How to set up a steering/implementation structure

Setting

A steering/implementation structure should be set-up and agreed on by key actors in a meeting or workshop.

Facilitation

Pinboards or flip charts can assist in visualising the development of the structure. If a stakeholder map has been created, the map of actors and further documents on the actors involved in the change process can support the development of the steering/implementation structure.

Procedure

Even if there is no blueprint for the setup of a steering/implementation structure, the following steps might assist in gaining a clearer picture on key steering tasks, responsibilities and processes.

- **Step 1. Identify steering tasks.**

  As a first step, steering tasks should be identified and clearly described. These include aspects of strategy development, coordination of different fields of action, monitoring, communication, resource management or any other aspect in which decisions have to be made in order to keep a change process running. Describing those tasks clearly helps to decide on forms of participation at a later stage, depending on whether the tasks address political, strategic or operational issues.

- **Step 2. Identify participants for the steering structure.**

  To increase ownership and sustainability of a change process, it is desirable to have as many steering and implementation topics as possible.

  The identified steering tasks should then be linked to specific actors involved in the change process and possible participants in the steering/implementation structure. Therefore, a stakeholder map can be helpful.

- **Step 3. Determine the forms and intensity of participation.**

    Different forms and combinations can be determined.

    a) **Steering committees** are usually composed of different actors involved or affected by a planned change process. For members of a steering committee, commitment and the ability to take ownership of the planned change process is key. Ideally, members of a steering committee represent the most relevant stakeholders in the change process. However, official representation without sufficient interest and commitment could threaten the work of the steering committee and therefore must be avoided.

    b) **Secretariats or project management teams** are responsible for professional management. They facilitate the implementation at the operational level and communication between the steering committee and different implementing actors on the ground. Acting as a hub for all matters relating to the planned change process, they are responsible for the day-to-day coordination, operational planning and monitoring, knowledge management, PR and organisation of stakeholder meetings.

    c) **Task forces or expert groups** can provide professional knowledge of specific issues, recommendations and inform decision-making during the implementation of a change process. Task forces or expert groups can be composed of actors involved in the change process, but can also provide an opportunity to include external expertise and neutral positions in the process. It is important for such groups to be endorsed by the steering committee of the planned change process.

    d) **Advisory groups** can be composed of actors who have an interest in but are neither involved nor directly affected by the planned change process. They can include academia and research institutions or representatives that have been involved in comparable change processes.

    e) **Experts** like external consultants can be appointed in order to provide information on specific issues relevant to a change process. Such input should be carefully planned and presented to avoid a feeling of manipulation among the actors involved, especially when it is directly related to conflicting interests.

f) **High-level support** can effectively assist a change process. It can be the officially announced patronage of a high-level person or less formal arrangements like the endorsement of interventions in a change process by the hierarchy of organisations involved.

g) **Round tables and open forums** are also formats for the implementation structure of a change process. They can guarantee broader information, consultation and practical participation in the planning and implementation of a change process. It is important to clearly communicate the level of participation intended by the organisers of such formats to avoid a feeling of alibi participation among participants.

No matter which format or constellation of formats is chosen for a steering/implementation structure, it is important to determine the frequency, time of input and the intended level of participation.

3. How to use a steering/implementation structure

As previously mentioned, there is no blueprint for a steering structure as it must be tailored to the respective change process and the actors involved. Nevertheless, having a transparent steering and implementation structure that is jointly developed by and clearly communicated to all relevant actors involved is of utmost importance to stable long-term cooperation. Particularly in cases of unsettled roles and responsibilities, it should support clarification and prevent conflict. As the requirements on decision-making might change over time, it is helpful to review the structure regularly and adapt it when necessary.

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Tool 22
Monitoring Framework

Learn how to set up a monitoring framework for the implementation of a change process.[17]

1. What is a Monitoring Framework?

To understand why an initiative is bringing about change, it is important to monitor activities and results throughout the change process. This means frequently analysing how activities are carried out and the intended and unintended effects of these activities on the environment in which change is to be brought about.

A monitoring framework is a key tool for the systematic coordination and implementation of change processes based on valid progress data. Monitoring and operational planning are closely interlinked. While the operational plan guides day-to-day implementation, a monitoring framework enables reviewing progress in implementation based on predefined indicators and the discovery of implementation gaps and challenges. As change processes are mostly highly dynamic, coordination on autopilot is not an option. Systematic monitoring allows learning-oriented coordination as it provides information to take corrective action within strategies and operational plans of a change process at any time when required. Therefore, operational planning and monitoring should be an ongoing linked process throughout the implementation of a change process. By documenting progress systematically, a monitoring framework provides information for reporting obligations and

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17   The description of this method is inspired by Tools4Dev (2017) and GIZ (2015)

transparent communication in a change process as well as for the evaluation of a change initiative at a later point in time.

2. How to set up a monitoring framework

Setting

Depending on the complexity of a change process, setting up a monitoring framework will need to be done in a one to two-day workshop. The group of participants should include relevant actors at the strategic and implementation level of a change process. They should have some experience in setting up and operating monitoring frameworks. If experience among participants is limited or the desired change process turns out to be highly complex, it is helpful to work with an external expert to facilitate the workshop.

Facilitation

Developing a monitoring framework in a group works best when using a pinboard. Workshop materials like markers, cards and pins will facilitate the development of the framework and allow flexibility during group discussions on indicators. A digital template that can be jointly discussed and filled in by projecting it onto the wall could also be useful.

Procedure

- **Step 1. Review the strategy.**

  As a first step, the theory of change or similar strategy documents should be jointly reviewed. It is important to fully understand a change initiative in order to be able to set up a monitoring framework. All actors involved in setting up the monitoring framework should have detailed knowledge of the theory of change and objectives as well as key assumptions and interrelations of results. If there is no theory of change or any other strategic document on the desired change process, a theory of change (see above) should be drawn up as a first step.

- **Step 2. Set requirements for the monitoring framework.**

  As a second step, key requirements for the monitoring framework such as interests and expectations, information to be provided by the framework, involvement and responsibilities, resources required and existing monitoring systems of actors involved and their relevance should be discussed.

- **Step 3. Define indicators.**

  Indicators form the core of every monitoring framework as they make progress measurable. An indicator is something to measure in order to decide if a specific aspect of a change process is successful. For example, the number of people with disabilities in the municipality or district formally employed, the number of children with disabilities enrolled in regular schools, or the practical opportunities of people with disabilities to access public services in the municipality or district in which they live. They indicate to what extent a planned quantitative or qualitative change has occurred.

  The indicators that will be used to measure progress and success must be decided.

  A monitoring framework should include at least one indicator for each set of activities, output, result or outcome and the overall objectives of an operational plan, to gather information on the following questions.

  - Which activities are underway and what is the progress?
  - Are the desired milestones and results being achieved?
  - Are the achieved results furthering the change process?
  - What changes occur in the environment of the change process as a result of the intervention?

  If the change initiative is based on a theory of change, it will provide information for setting indicators or already include some.

  Defining a proper indicator should include the following steps:

  a) Chose an activity/output, milestone, outcome or overall objective to measure the progress of;

  b) Formulate the indicator;

  c) Define what exactly should be measured;

d) Define a baseline and target value including a timeframe in which the target should be achieved;

e) Name a source of verification that states exactly how the indicator should be measured.

f) Define how often the indicator should be measured.

g) Specify who is responsible for measuring the indicator, avoiding people who might have a conflict of interest.

Box 1. Developing good indicators

Good indicators should:

✓ Be relevant for and thus directly related to the activity, output, result/outcome or objective they measure;

✓ Be formulated and defined as specifically as possible, including the exact survey question or calculation, allowing consistent repeated measurement of the indicator;

✓ Contain a baseline and target value as well as a timeframe to enable visible progress;

✓ Have realistic target values that are achievable within the timeframe and with the resources available;

✓ Be accurately measurable with the available resources;

✓ Be based on existing data or standard indicators where possible, to avoid costly assessments;

✓ Be qualitative if this appears to be the best way to measure results/outcomes.

- **Step 4.** Set up the monitoring framework. The indicators defined in step three should be included in a detailed monitoring framework for the entire timeframe of the change process. All available information from previous steps (see example of a monitoring framework in Figure 14) should be included in this framework which can be an Excel document, a web-based tool or any other chart format suitable to systematically document monitoring information. On this basis, the monitoring instrument should structure and coordinate the data collection process and the systematic documentation of progress that informs the coordination of a change process and allows systematic steering decisions.

3. How to use a monitoring framework

Level	Indicator	Definition What exactly is measured?	Baseline What is the current value?	Target What is the target value?	Source of verification How will it be measured?	Frequency How often will it be measured?	Responsibility Who will measure it?	State of implementation What can be reported on the state of implementation?
Overall objective	Overall objective indicator 1					Annually		
	Overall objective indicator 2					Bi-annually		
	Overall objective indicator 3					Bi-annually		
Result / Outcome 1	Outcome indicator 1: *Local government staff applies increased knowledge on inclusive planning*	Application of new knowledge/skills acquired through trainings	0	60% of training participants	Qualitative assessment	6 month after training		
Output 1.1	Output-Indicator 1.1: *Number of local government staff trained*		0	100	Signed participant lists	quarterly		
Activity 1.1.1	Activity-Indicator 1.1.1: *Trainings for local government staff on inclusive planning*		0	5	e.g. Protocols, Agendas, Curricula	quarterly		
...								
Result / Outcome 2								
Output 2.1								
Activity 2.1.1								
...								

Figure 14. Example of a monitoring framework

The monitoring framework should become part of the daily tools of those involved in the coordination of a change process in order to provide the relevant actors with the information required for making decisions that will drive progress of the change process.

Therefore, the framework must be actively used and considered in all aspects of coordination and decision-making including the points below.

- Monitoring information must be collected and entered into the monitoring framework routinely (often quarterly).

- Monitoring information should be analysed by those in charge with regard to the degree to which the objectives and indicators of the change process have been achieved. This will enable conclusions to be drawn on whether the strategic approach and practical interventions appear to be adequate and effective.

- Findings of the analysis must lead back to operational planning and decision-making and build the basis for adapting or changing activities or strategic priorities if necessary.

- Findings should be used as a basis for documentation, reporting and communication with all relevant actors involved in the change process.

- The documentation of the monitoring builds an important basis for evaluation.

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Tool 23
Evaluation

Get to know evaluation designs and how to learn from evaluations.

What are evaluations?

Evaluations relate to a clearly defined subject. They can include political processes or programmes and interventions, such as a plan to develop an inclusive community and its implementation process. Evaluations are usually carried out by experts on the basis of precisely defined and transparent criteria that refer explicitly to the object being evaluated. For the collection and evaluation of information, objective empirical data collection methods and comparative procedures are used. In this way, professional evaluations differ from everyday evaluations. Even though the evaluation is based on standards of empirical social science, it differs in its clear reference to practice and exploitation and its claim to produce directly usable results for the improvement of social practice.

Evaluations can pursue different goals at the same time including the following.

a) Acquisition of knowledge or learning.

  - Rational basis for steering decisions; quality of the process; acceptance of the intervention in the field; cause-effect relationships between intervention and change; short, medium and long-term effectiveness.

b) Exercising control.

  - Status of the achievement of objectives; effectiveness and efficiency of implementation; acceptance and sustainability of effectiveness.
    Even if evaluations do not primarily serve to monitor implementation, they usually generate information on the extent to which the actors involved fulfil agreed tasks

and obligations and whether their capacities are sufficient to do so. Thus, evaluation usually also has a control dimension.

c) Creating transparency and opportunities for dialogue in order to drive developments forward.

- Any results of evaluations provide information that can be used for the further development of processes. Disclosed outcomes can foster dialogue between stakeholders and promote learning processes for further cooperation and process design.

d) Legitimisation of measures implemented.

- Evaluation results can legitimise processes and interventions by generating information about which means were used to provide which services and thus what effects were achieved. For example, the effectiveness and efficient use of financial resources can be represented. Evaluation after the completion of a process or an intervention can also provide insights into its sustainability.

How are evaluations organised?

What should be evaluated by whom on the basis of which criteria and with what purpose? These questions are usually the initial starting point of an evaluation. Evaluations that focus primarily on development or learning are often carried out internally. Evaluations relating to knowledge and control are carried out externally and internally. If evaluations serve legitimation, they are usually commissioned externally in order to achieve a high degree of objectivity and credibility. With regard to the planning of inclusive communities, it must be decided on a case-by-case basis to what extent a planned evaluation should address these objectives.

A decision must also be made as to when the evaluation should take place. Evaluations can relate to different phases of a planning and change process. In the CISCOS planning cycle, evaluation is the last step at the end of an implementation process. An evaluation carried out after the completion of such a process (ex-post evaluation) has the task of recording and evaluating the effects of the planning and change process, identifying cause-

and-effect relationships and examining the sustainability of the process. Evaluations can also refer to the phase of process development including its conceptualisation and planning (ex-ante, input or pre-formative evaluations). Their task is then to examine the material, personnel, institutional, financial and theoretical framework conditions of a planning and change process and thus provide important information on the design of a planning and change process.

With regard to the cyclical planning concept of the CISCOS approach and also in practice, evaluations often combine both functions. The evaluation of the effects achieved represents an analysis of the initial situation for the next planning term and recommendations from the evaluation represent important guidelines for a subsequent planning process.

It is also possible to carry out evaluations during the implementation phase of a planning and change process in order to support the control of such processes (on-going or formative evaluations, often also referred to as accompanying research). This can be useful in addition to accompanying monitoring, especially for longer and more complex processes. While monitoring focuses more on routine issues and serves to monitor the implementation status, evaluation enables a deeper analysis of the effects of a planning and change process and focuses more on cause-and-effect relationships. Evaluations also look at the overall concept of a planning and change process and check plausibility and quality. Formative evaluations pursue similar goals to implementation research. Since the development of an action plan on inclusive community development should cover various planning levels (general development planning, sector planning, field-related planning) and all areas of life, supporting the planning and change process with accompanying research could make sense.

Overall, there are numerous evaluation approaches and a series of guidelines for the organisation of evaluations.

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Tool 23
Conflict Sensitive Approach

Learn how to bring different standpoints and viewpoints closer together and prevent existing conflicts from escalating and spreading.[18]

What does conflict sensitivity mean?

Conflict sensitivity is a process that helps prevent existing conflicts from escalating and spreading. It helps to bring different standpoints and viewpoints closer together.

Any conflict that arises can only be understood in its own unique context and circumstance, so resolving the conflict is only possible by understanding this context. If the context changes, it is necessary to change the proposed solution. The conflict-sensitive approach, as a partially preventive measure, allows the impact of any change in the context to be monitored. Therefore, it is important to incorporate this approach into the entire cycle of any change process. Effective conflict management is part of the change management challenge.

This approach is based on the do no harm principle, developed in the early 1990s as part of the Local Capacities for Peace Project. It was similar to the work developed under the Peace and Conflict Impact Assessment (PCIA) project.

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18   This tool has been developed by Appia Capacity (2018)

How to use the conflict sensitivity approach

Following the do no harm approach, we can identify three areas that will facilitate the process of change in order to reduce and manage conflicts. Understanding the conflict is possible by analysing the dynamics of the actors' operation, the individual conflict factors and peace factors, the connecting and divisive tendencies, and the logic of the intervention. This is further facilitated by exploring the interaction between intervention/change and context by understanding the impact of change on each connecting and dividing tendency. Strengthening the connecting elements during the program will also help reduce divisive tendencies.

A conflict analysis framework (by Appia Capacity adapted from International Alert)

Profile

- What is the political, economic and socio-cultural context?
- What are the emerging political, economic and social issues?
- What conflict-affected or conflict-prone areas can be identified in this context?
- Is there a history of violent conflict?

Causes

- What are the structural causes of conflict? What are the socio-cultural causes?
- What topics can be considered as secondary causes, triggering primary causes?
- What are the trends in the conflict? What are missed opportunities for resolution?
- What spark could contribute to the escalation of conflicts?
- What new driving factors contribute to sustained conflict dynamics?
- What driving factors could contribute to peace?

Actors

- Who are the main actors?

- What are their needs, interests, positions, goals, fears, capacities and relationships?

- What specific issues are men and women facing (adults and youths)?

- What local capacities for peace can be identified?

- What actors can be identified as spoilers? Why? Is it intentional?

Dynamics

- What are the actual trends of the conflict?

- What are the windows of opportunity?

- What scenarios can be imagined from the context (or scenarios made by actors)?

Actors mapping exercise (by Appia Capacity adapted from Swisspeace)

Actors are individuals or groups involved in the context who are: perpetrators or victims, beneficiaries or non-beneficiaries of the activity.

- **Step 1.** Identify the groups or individuals that play a role in the conflict or context and in the programme. Write their names on post-it notes and put them on a large poster.

- **Step 2.** Discuss the relations between different actors (strong ties or alliance with blue lines, conflicted relations or tension with red dotted lines, etc).

- **Step 3.** Include those links on the poster and specify causes where relations are tense. Consult your completed map and analyse what you see.

  - Do you identify actors and relationships that you were not aware of?

  - Do you see tensions and conflicts that you were not aware of?

  - What are the relationships between the actors involved in the programme and other actors?

- Where does your organisation stand? Who do you talk to easily? Who is hard to reach? Who should you foster a relationship with?

Mapping is not enough, it is crucial to discuss the map in order to learn from it.

- **Step 4.** Based on the actors map, select conflicting actors.

- **Step 5.** Per actor fill in the matrix with accurate details (more detail will give a sharper analysis).

- **Step 6:** When the matrix is complete, discuss and analyse your understanding in groups.

  - Do you see details that you were not aware of before?

  - Do you identify common ground between actors beyond positions?

  - Do you identify trade-off opportunities between actors' interests?

  - Can you follow the different actors' rationales? Is there a logic in their perception of others?

  - Can you better understand the motivations of the actors?

  - What lessons can be learned?

Tool A. Actors analysis matrix

Definitions

- Position: holding on to a fixed idea of what you want or what you say you want.

- Interest: what you really want.

- Need: what you cannot do without (why you really want it).

Actor	Position	Interests	Needs	Fears	Perception of others	Behaviour	Capacity for collaboration and peace
Actor 1							
Actor 2							

Tool B. Synthesis matrix (actors, issue, interests)

Actor / Issues	Issue 1	Issue 2	Issue 3
Actor 1			
Actor 2			

Analysis of dividers and connectors (by Appia Capacity)

Definitions

- Dividers: elements that pull people apart, reinforce tensions, disagreements and the escalation of violence.
- Connectors: elements that gather people together, strengthen coexistence and dialogue and unite parties in conflict.

Areas	Dividers	Connectors
Systems and institutions		
Attitudes and actions		
Values and interests		
Experiences		
Symbols and events		
Presence of resources		

Questionnaire to identify connectors and dividers in the context (by Appia Capacity adapted from CDA)

Analysing division factors and sources of tension

Systems and institutions	How do the different groups differentiate from each other? What social structures are seen as unfair by the groups? What institutions are being questioned? Which exacerbate tensions?
Attitudes and actions	What attitudes are able to turn individuals against each other and can you identify them? What actions, carried out by individuals or groups, are causing tensions?
Values and interests	What cultural, philosophical and religious values differentiate the groups and which stimulate tensions? What diverse interests are these groups targeting? What opposing interests are perceived by the groups?
Experiences	What historical experiences leading to tensions have the groups had? What historical experiences do people mention when discussing the differences between the groups?
Symbols and events	What symbols are used by the different groups to express their own identity? Which are used for expressing tensions? What events (holidays, national days) are important for each group's identity? Which are perceived as creating tensions?
Presence of resources	What resources cause conflict?

Analysing connecting factors and local capacities for peace

Systems and institutions	What do the different groups have in common according to them? What has the potential to connect (political inclination, ethnic origin, socio-economic status, life-style, religious belonging)? What social organisations unite the groups or could unite them? What institutions are shared and challenged by none of the groups? Which stimulate cooperation?
Attitudes and actions	What attitudes able to unite individuals can be observed? What actions are carried out together by individuals or groups and therefore indicate common interests?
Values and interests	What cultural, philosophical and religious values do the group share, and which suggest unity? What common interests do groups target?
Experiences	What historical experience coming from a time of peaceful coexistence does the group share? What experience can be mentioned to designate common interests between groups?
Symbols and events	What symbols do the groups have in common to express their own identity? What events (holidays, national days) are important for the different groups in their identity? Which are perceived as having a unity characteristic?
Presence of resources	What resources help collaboration?

Bibliography

Appia Capacity (2018). Impacting (De)Polarization Through Conflict Sensitive Program-
ming. Workshop guidelines.