MODULE 5

ENGENDERING ENERGY PROJECT PROPOSAL DEVELOPMENT:
CAPACITY BUILDING OF ENERGY NGOs

INTRODUCTION TO MODULE 5: PROJECT PROPOSAL DEVELOPMENT

'Gender and Energy' is a relatively new field within the area of sustainable development policy. Increasingly, proposal writers have to incorporate gender into their proposals and many donors make the inclusion of gender a condition of acceptance. Therefore, project proposal development in the field of gender and energy will become increasingly relevant for those active in the energy sector.

This module will present the process of project proposal development from a gender and energy perspective. Although much of the knowledge for all types of project proposal development is of a generic character, special emphasis will be put here on project proposal development in the context of gender mainstreaming in the energy sector. Gender mainstreaming means that not only should the content of proposals address gender issues but the process of proposal development should also be gender sensitive.

Aim of the module

To provide the rationale as well as tools and techniques for project proposal development and tendering processes, especially in the field of gender and energy.

Key concepts and ideas introduced in this module:

Project proposal development; tendering processes; gender-aware analysis; objective-oriented project planning; logical framework; Terms of Reference; organisational assessment.

Topics in this module:

- Problem diagnosis;
- Responding to assignments;
- Project identification;
- Gender and organisational profile of organisations implementing energy projects;
- Relevant skills for proposal writing;
- Project formulation;
- Process evaluation and final steps.

Target group:

People working in the field of energy and gender, or intending to work in this field, who want to react to calls for tenders for gender and energy projects or who want to develop project proposals in search of funding for this kind of project.

Time needed to complete the module:

The entire course amounts to five days of study time. However, to accommodate the learning process the course is spread over six days. In the table below the allocation of the units to the different days is shown. Each block represents approximately two hours of study time. It is advisable to have a short break between the blocks in the mornings and afternoons and a longer break between the morning and afternoon sessions.

The light-grey cells are those parts of the course where participants will work on case-practice and other hands-on activities.

	Morning		***Afternoon***	
Day 1			Introduction	Unit 1
Day 2	Unit 2	Unit 2	Unit 3	Unit 5 (ws.)
Day 3	Unit 3	Unit 3 (cp)	Unit 3 (cp)	Unit 3 (cp)
Day 4	Unit 4	Unit 5 (ws)	*Time-off (cultural respite)*	
Day 5	Unit 6	Unit 5 (ws)	Unit 6 (cp)	Unit 6 (cp)
Day 6	Unit 6 (cp)	Unit 6 (cp)	Unit 7	Closure

N.B.: cp means ‘case-practice’, in which small groups work on the same topic, ws means ‘workshop’, which are parallel sessions in which participants work on various skill-building activities. The other activities are plenary sessions with all participants.

Training methods:

The following training methods are used in this module:

- Reading the material: together with a trainer, the theory is read and the trainer explains the content;
- Discussion points: questions relevant to the part of text they accompany; meant to facilitate discussion between participants and the trainer;
- Exercises: tasks that need to be completed individually or in groups and which test understanding of the theory;
- Case-practice: real-life exercises to practice the presented skills and knowledge in relation to an actual case.

Sources:

The sources for this module include ETC training modules on consultancy skills and practices, and training material on rural energy planning developed by the Department for Technology and Sustainable Development, University of Twente and by the East and Southern Africa Management Institute (ESAMI) for SADC TAU.

Structure of the module:

In this module, references are made to other parts of this module and to other modules in the series ‘The Gender Face of Energy’. The terminology used in all modules is consistent. When a reference is made to a “unit”, this means one of the seven units within this module unless another module is specified. A reference to a “section” means that a major subject within a unit is being addressed. These are indicated by a header preceded by a single digit (for example: 1 Responding to a call for proposals). When a reference is made to a “part” of the unit, this usually means a subsection (e.g.1.1 The tendering process).

Basic terminology in this module	
Advocacy	An approach aimed at changing aspects of the current situation by addressing people with influence on the situation.
Call for proposals	The announcement by a funding agency requesting others to send in proposals for a specific assignment.
Community-Based Organisation (CBO)	A private non-profit organisation which is representative of a (part of a) community and which provides services to the community.
Energy services	Includes lighting, cooking, heating and cooling, pumping water, sterilisation, refrigeration, transportation, communication and power for productive purposes. The delivery of these services begins with the collection of primary energy, which is converted into a form suitable for the use.
Engendering	The process of including gender issues in policy, projects, activities and/or documentation, as well as making people more aware of gender issues so they will act in a more gender-sensitive way.
Funding agencies	Organisation who offer assignments. For example: development banks or multilateral aid organisations.
Gender	A concept related to the tasks, roles, obligations and privileges in public and private life of women and men as well as the relationships between them. “Gender” is not the same as “sex”. The latter is determined by biology, whereas the former is shaped by society.
Gender analysis	Research using specific gender tools into the tasks, roles, obligations and/or privileges of men and women in a society, which results in gender-disaggregated data that can be used for project proposal development.
Gender-aware policy	A policy which takes into account the social relationships of women and men as well as the differences in their needs, as opposed to a policy that is gender neutral and implicitly assumes that women or men have the same needs, as well as the same skills and access to and control over resources.
Gender mainstreaming	An approach that ensures that the concerns and needs of women and men are considered in policy formulation, planning and implementation and that policymakers are aware of the needs of women and men in relation to their roles and responsibilities.
Gender relations	The relationship between the genders is defined by the balance of power between men and women to make decisions about and exercise control over their own lives and resources, as well as other family members (eg children’s education). In most societies, men have more power than women. This balance of power is socially determined and are influenced by social, cultural, political and economic expectations.
Gender roles	The roles assigned to men and women by society. Gender roles shape our identity, determining how we are perceived, how we are expected to think and act as women and men.
Gender-sensitive/ gender-responsive	Including gender issues, relations, roles, biases, gender analysis and/or gender tools in a project or process.
Expression of interest	A communication in which an interested organisation contacts the funding agency to indicate its interest in a certain assignment. In this letter, the organisation informs the funding agency about its track record, organisational performance, etc.
Letter of invitation	In a letter of invitation a funding agency invites the (short-listed) organisation to

	send in a project proposal.
Metabolic energy	Human energy, derived from the food we eat; an important energy source for doing many tasks, often full of drudgery, but neglected in energy planning.
Policy	A statement of intent or commitment to act in a certain way by an organisation (e.g. the government).
Short-listing	The process by which a funding agency selects, from the received Expressions of Interest, those organisations which will be invited to submit a proposal.
Terms of Reference (ToR)	A comprehensive list of project conditions set out by the funding agency at the start of the project proposal development process.

UNIT 1: PROBLEM DIAGNOSIS

Aim of the unit:

To introduce the course participants to gender-sensitive approaches to problem diagnosis and project planning for energy services.

Learning objectives:

Having completed this unit, the participant should be able to:

- Explain what gender-sensitive energy problem diagnosis is;
- Explain why it is important to analyse people's energy needs from a gender perspective and gendered roles and relationships before designing a project;
- Describe two types of tools for gender-sensitive diagnosis and analyses;
- Describe the gender-planning framework for energy projects, and its uses in problem diagnosis;
- Explain why diagnosis and analysis is more effective as team work.

Time schedule:

- Total: approximately 2 hours;
- Study of the theory: 30 minutes;
- Discussion points: 30 minutes;
- Exercises: 60 minutes;

Key concepts and ideas introduced in this unit:

gender-sensitive diagnosis; energy services approach; gender matrices/checklists; gender-planning framework.

Topics in this unit:

- Gender-sensitive energy problem diagnosis;
- Tools for gender-sensitive diagnosis;
- Pursuing own project ideas or responding to offers;
- Problem diagnosis as group effort.

1 What is a gender-sensitive diagnosis of an energy problem?

In the past many energy projects have failed due to neglecting gender issues.

In the past, many energy projects have failed, leaving the energy technology that was introduced rusting and unused. The reasons for this have been diverse and by no means easy to summarise. However, some of the more notable reasons for failure have been the neglect of the needs of the people at whom the project was aimed *and* project planners disregarding gender issues.

1.1 Energy services approach

Energy projects are usually aimed at increasing availability of energy services by providing a technology.

Energy projects or interventions are usually aimed at increasing the availability of energy services and/or reducing the cost of such services. A project may, for example, provide solar energy systems for household lightning to a village. However, often there is a gap between the objectives of a project and the needs, with respect to energy services, that people express. People do not say they need solar panels; rather they express their need for safer, more reliable and better quality light in their houses. Further, women are likely to want to put the light in the kitchen and men in the living room or outside. People want the *service* that energy provides, rather than the *technology* that is needed to provide the service.

The energy service approach means that you design a project based on people's needs and priorities, rather than selecting an energy technology.

The energy services approach in project planning means that you – as a project planner – start with an analysis of what the people need; in their own estimation and by their own priorities. Only after a thorough analysis of what the people want should you start thinking about the technology that could provide this energy service. Projects that are planned the other way around – technology before needs – are unlikely to succeed.

Module 2 of this series explains this approach in more detail, and provides tools to analyse the needs of men and women. Module 2 also helps the participant to focus on gender-related issues in the energy services approach. A summary of the role of gender in project planning is given in the next section.

1.2 The role of gender in project planning

Gender should be included in project planning because of the differences in energy needs, outcomes, etc. between men and women.

There are many reasons for including gender issues in energy project planning – besides increasing the likelihood of success in a project by including additional stakeholders. Gender issues should be included because: (i) women have different energy needs than men, and energy solutions for men will therefore not automatically suit women, (ii) women and men are affected differently by different interventions, a project that profits men might easily harm the women in the same community, and – from another point of view – (iii) engendering projects and policy is increasingly becoming a focus of governments, international organisations and NGOs.

Gender objectives are often not mentioned by people in the analysis phase.

However, in an energy services project, women and men might not specify addressing gender issues as an explicit aim of the project. In such circumstances, an energy project planner will have to take gender – and other social, political and economic circumstances – into account when formulating or implementing an energy-project in a community.

In Module 2, Unit 4B, tools are presented to help a project planner identify issues that are important for gender-sensitive project planning. These issues include:

- The tasks that women and men are involved in, and that they want to change;
- The possibilities that energy technology will change the tasks women and men are involved in;
- Current and possible future uses of energy technology in the activities of women and men;
- The use of, and control over, energy resources and technologies;
- Women's and men's preferences for energy technologies;
- The priorities of the women and men involved in the project.

1.3 Gender-sensitive diagnosis of energy problems

The energy services approach starts with a diagnosis of people's needs.

The energy services approach starts with an analysis (or diagnosis) of the needs and priorities of the people at whom the future project is aimed. In this diagnosis, gender issues *should* be included, or even be the main focus in the case of a specific project aimed at improving the gender relationships in a community.

In Module 1 of 'The Gender Face of Energy', the concepts of gender and energy are explained, while Module 2 presents a methodology for integrating gender into the project cycle and Module 3 looks at engendering energy policies. Module 4 focuses on advocacy for gender and within the energy sector. In this module, we focus on the 'how' question – how do we formulate a gender-sensitive project proposal?

This analysis focuses on gender roles and gender relationships.

Gender-sensitive energy problem diagnosis means that, in the diagnosis phase of project planning, *gender roles* and *gender relations* are analysed. Questions that will need to be answered are, for example: what are the traditional tasks of men and women? Which of the tasks of men and women use the most metabolic energy? What are the needs and wants of men and women in terms of energy services? Who makes decisions about which energy technologies will be bought? Will a particular energy technology change women's societal position relative to men's?

The collected data should be gender-disaggregated.

Although, in the last paragraph the phrase "men and women" is used, in gender-sensitive energy problem diagnosis such a phrase would not assume that women and men are 'the same' or as 'being interchangeable'. In fact, all data collected during the diagnosis phase should be *gender-disaggregated*, separated for men and for women in order to capture their different needs and capacities to respond to their circumstances. However, there is often an emphasis on *women and energy* rather than *gender and*

Often there is an emphasis on *women* and energy rather than *gender* and energy, because of women's responsibility for household energy provision and use.

energy because of women's specific responsibility for household energy provision and use.

Discussion point 1.1

This discussion point is meant to refresh your memory if you have followed other modules in this course; and, if not, it is meant to make you aware of the socially created differences between men and women, so as to have the right mindset for this module. Discuss in plenary the following questions (30 mins):

- What are the differences between men and women? Are these differences biological or socially determined (based on cultural or traditional values)? Are these differences shaped by values in society?
- What are the traditional roles and tasks of women and men in your society?
- How do these roles and tasks relate to the use and need for certain energy services? What kinds of energy do men and women usually use?
- Are the current energy policies in your country gender-aware?

2 Tools for gender-sensitive diagnosis

Gender-sensitive diagnosis tools are systematic frameworks for discerning the existing gender situation in a given community, or for assessing what the impact of an intervention – such as an energy project – is likely to be on men and on women. Their purpose is to ensure that differences between the genders are not inadvertently overlooked, and that project choices are made with full recognition of what the differential effects are likely to be on men and on women.

Basically, there are two types of gender-sensitive diagnosis tools:

Diagnosis tools can be gender matrices and gender checklists.

- Gender matrices: tables that compile data on male/female differences, and that are mainly used with quantitative data.
- Gender checklists: sets of questions that help in compiling gender-related data, and that are mainly used to gather qualitative data.

These tools are intended for project planners as a guide for structuring and organising data in a gender-sensitive way.

Two possible tools that may be required for analysing issues for project proposal development are: the problem tree analysis (see Unit 3 of this module and Module 4, Unit 2) and the fish-bone model (see Module 4, Unit 2).

2.1 Steps in the project-planning process

In participatory approaches to project planning, the target group plays a central role in problem definition and prioritisation.

There is no agreed single approach for developing a project proposal, although there are a number of common elements which can be identified:

- Identifying stakeholders: who are involved in the project and who will be influenced by the project?
- Problem analysis: what is the problem and how could it be solved?
- Identifying assumptions and external factors that could negatively influence the project.

However, gender is not automatically integrated in these steps. Therefore, the challenge is to introduce the gender element at every stage, using gender-sensitive diagnosis tools specially designed for energy applications.

Since participatory approaches in project planning have become widely accepted by most project planners, the target group or community tends to play a central role in defining problems and setting project priorities.

2.2 The gender and energy planning framework

The gender-planning framework can be used to design a gender-sensitive energy project.

In Module 2 of 'The Gender Face of Energy' an analytical framework is presented that can be used in planning a gender-sensitive energy project. This framework can be seen as a gender checklist, and can be used in the initial stages of every energy project. The framework is presented in Appendix A of this module.

By completing all the steps in the framework one would have sufficient information to write a proposal.

The framework makes a distinction between energy-only and multidisciplinary projects.

In the framework there is a distinction between *energy technology projects* and *integrated development projects*. The difference between these two is that in the former the intervention is largely focused on the implementation of one or more specific types of energy technology, while in the later the project is aimed at development across a broad range of sectors. A project aiming to provide better energy services in a village, for example, is an energy technology project; while a project aimed at the betterment of the position of women in the same village could be an integrated development project in which energy plays a role.

Tools are developed for the different questions in the gender-planning framework to guide you in the data-collection and processing process. These tools are described and presented in a real-life case in Module 2, and you should refer to that module for a more detailed explanation of the different phases of the framework.

3 Pursuing one's own project ideas or responding to offers?

This course is aimed both at those planning to develop a project proposal and those wishing to answer a call for tenders/ request for assignments.

It is possible that you are following this course because you have identified a specific gender issue in your country's current energy policy that you want to address. Also, you might have certain ideas about the status of women in the energy sector in your country and about ways of improving this. These and other reasons may motivate you to develop a project plan or project proposal that you can send to your board or submit to a funding agency.

Another reason you might have for following this course is that an organisation has published a request for proposals to implement a gender and energy project; an offer that you and your organisation want to respond to. In this situation, you will have to send a project proposal (or tender) to the organisation in response to the *call for proposals*.

Although this module will provide tools and techniques for project proposal development applicable to both situations, the emphasis will be on reacting to calls for proposals.

>> Exercise 1.1: motivations for following the course

>> Exercise 1.2: experiences in project proposal development

Participants specially interested in the policy element of gender and energy, wanting to draw up or influence existing policy in their country, should follow Module 3 ('gender and energy policy'). Those interested in policy or project change through advocacy activities are directed towards Module 4 ('gender and advocacy'). Participants who would like to improve their understanding of gender and energy issues are advised to read (and follow) Module 1 ('concepts in gender and energy').

4 Problem diagnosis as a team effort

Problem diagnosis is generally group work due to the amount of time and resources it requires.

As you might have noticed, the gender planning framework contains many questions. Most of these questions require desk-studies or fieldwork in order to acquire the data to formulate an appropriate answer. All this work will require a lot of time, considerable skills and knowledge and usually – especially if you are wanting to respond to a call for proposals – has to be completed within a limited timeframe. Therefore, almost without exception, problem diagnosis and project proposal activities should be undertaken by teams. Not only are more staff-hours available to do the work, also the available skills and knowledge about gender and energy are usually broader and, within a group, people can check and combine each other's work. A group approach can, furthermore, be motivating and the personal contacts through working in a team often reduce individual stress. However, teamwork requires good coordination.

Problem diagnosis (and project proposal development) therefore should be seen as a group process and the results as the efforts of a group. Group composition will be further addressed in Unit 2 of this module.

>> Exercise 1.3: preferences and experiences

5 Summary and conclusions

Energy projects are usually aimed at increasing the availability of energy services by providing a technology. By using the energy service approach you can ensure that you provide the right technology for meeting the people's demand for energy services. Increasingly, project development is carried out in a participatory way involving the community intended to benefit from the intervention. This approach provides an opportunity for women's as well as for men's voices to be heard about their energy needs.

Gender objectives should be included in project planning because of the differences in energy needs, outcomes, etc. between men and women. Analysis and diagnosis in the energy services approach can easily incorporate gender roles and gender relationships. Collecting gender-disaggregated data is the foundation of gender analysis. The two main tools are gender matrices and gender checklists.

The gender-planning framework can be used to analyse the existing situation and to design a gender-sensitive energy project. The framework makes a distinction between energy-only and multisector projects. To make the most efficient use of time and resources, teamwork is recommended when using this framework.

EXERCISES UNIT 1

Exercise 1.1: motivations for following the course

There are numerous reasons why you could be attending this course. What you will learn from the course depends partly on your own objectives. In this first exercise you will first think about your own motivations and objectives (10 minutes) and after that share your response with another participant (10 minutes). Please save your answers to this exercise for the later course evaluation.

Why are you attending this course?

What do you want to learn during this course?

Which skills do you want to improve during this course?

What do you expect to do with the things you learn after the course?

Have you taken other courses on proposal writing? If so, when and who organised the course(s)? What do you feel was missing from that/those course(s)?

Exercise 1.2: experiences in project proposal development

Project proposal development refers to a broad range of activities. Perhaps you have done some project proposal development in the past, or some parts of the process and, by following this course, you intend to improve your skills in this work. Also, it is possible that this course is your first actual experience in project proposal development and that you are taking it to be prepared for a future project. In this exercise you are asked to write down your experiences (15 minutes) and then discuss them with another participant (10 minutes).

Have you been active in project proposal development? If so, please write down the most recent project. If not, please write down a (possible) future project proposal development process you will be active in.

What positive experiences have you had with project proposal development in the past (e.g. teamwork, knowledge sharing) or if you have yet to be involved in a proposal development process what do you expect to be the positive aspects of the process?

Did you have any negative experiences with project proposal development in the past? (e.g. colleagues were resistant to including gender issues) If so, please describe them:

If you have been active in project proposal development processes, are there things you would do different next time? What are these things?

If you have not been active in project proposal development, what things are giving you cause for concern about being involved in the process?

Was gender incorporated into the proposal development in which you were involved? How easy was the process to incorporate gender issues?

Exercise 1.3: preferences and experiences

In this course, sessions on seven specific sills necessary for successful proposal writing have been included. Each session takes two hours. It may not be possible to include a session on all seven skills. In a five day workshop, there is probably only time to deliver three. Therefore the trainer will need to know your preferences, and know a little about your experience in the subject areas, in order to organise the sessions. In the table below please indicate the three plenary sessions you would like to follow in the Preference column. In the Experience and Objectives column, please indicate what your experience and skills are in the respective subjects (courses you have taken, etc.) related to project proposal writing and what you hope to learn from the session (15 minutes). Please hand the completed form to the trainer.

Session/ subject	***Preference***	***Experience and Objectives***
Identifying appropriate communication skills (alternatives, when to use, strengths and weaknesses) – especially useful for (future) project leaders		
Designing an appropriate approach for data collection (how to collect data, how to use data) – especially useful for (future) subject experts		
Interviewing skills (how to design an interview, holding an interview, using the outcomes)		
Negotiation skills (how to negotiate, skills and best practices, role-play)		
Writing a short CV (what should be included –what not, self-assessment and evaluating other CVs)		
Planning and budgeting (how to develop a good plan and budget, how to use) – especially useful for (future) project leaders and administrative functions		
Proposal writing skills (how to write a well-designed document)		

UNIT 2: RESPONDING TO ASSIGNMENTS

Aim of the unit:

To provide the participants with knowledge about the tendering process and on how to react to calls for proposals.

Learning objectives:

After this unit, the participant should be able to:

- Name the different phases of the tendering process and explain what happens in each phase;
- Explain the meaning of a letter of invitation to tender and what should be done with such a letter;
- Plan a project proposal development process;
- Explain what Terms of Reference (ToRs) are;
- Respond appropriately to given ToRs;
- Explain the roles in a project proposal development team;
- Assess possible partners for project implementation;
- Assess potential assignments offered by funding agencies.

Time schedule:

- Total: approximately 3 hours;
- Study of the theory: 45 minutes;
- Discussion points: 15 minutes;
- Exercises: 120 minutes.

Key concepts and ideas introduced in this unit:

Call for proposals; tendering process; letter of interest; letter of invitation; shortlisting.

Topics in this unit:

- Responding to a call for proposals;
- How to handle Terms of Reference (ToRs);
- Roles in project proposal development;
- Assessing the project market;
- Assessing partners and opponents.

1 Responding to a call for proposals

Project proposal development is often initiated by a call for proposals.

Responding to assignment announcements or calls for proposals is one of the ways the process of project proposal development is initiated. It is important to plan and produce competitive proposals, but a quality proposal is not always enough to be successful. Your attitude towards the funding agency in the process and the approach and methodology you choose can also be decisive in determining success. This unit will provide the participant with skills to enable them to effectively respond to a call for proposals.

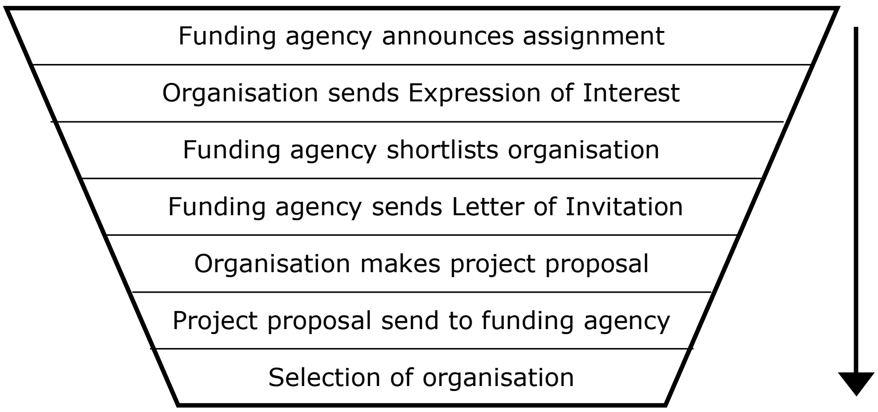
We have used the term “assignment” to cover the different ways in which the proposal development process might be initiated in your organisation. There may be a formal announcement (a call for tender) by a funding agency or you may be approached directly (either as the sole organisation or along with others) to submit a proposal for a piece of work. Although this unit focuses on the more formal method, elements also apply to the informal approach.

1.1 The tendering process

The tendering process covers the stages between an assignment being announced by a financer to the choice of an organisation to do the assignment.

Each funding agency has its own detailed procedures. Figure 2.1 shows some general stages that can be found in tendering processes. The converging trapezoid indicates that the number of active organisations decreases as the process moves from one stage to the next until only one organisation is left. In more simple procedures, organisations submit their proposals for evaluation in direct response to the assignment announcement.

Figure 2.1: the tendering process.



There are two ways in which you can become involved in a tendering process: either by reacting to a general request for proposals offered by a funding agency (open process) or by being known to the funding agency as an appropriate player in the gender and energy field and being approached by the funding agency to react (closed process).

When your organisation is short-listed, you receive a letter of invitation that invites you to hand in a project proposal. A letter of invitation also details the requirements for the proposal.

Sometimes funding agencies will ask for a short organisational profile including your track record in the field of gender and energy. Such a profile can aid them in drawing up a shortlist. Short listing often occurs when a large number of organisations respond to an announcement.

If you make it to the shortlist, you will usually receive a *Letter of Invitation* (LoI) that asks you to forward a more-detailed proposal. The common elements of a LoI are given in Table 2.1. In the left-hand margin alongside the table, an indication is given where the different elements in the LoI are addressed in this module. Always summarise the actual LoI and use it as a checklist before sending in your proposal: are all the elements addressed?

Table 2.1: elements of a letter of invitation

	Elements of a letter of invitation
Background of the project. Where and how to get your information. *(Problem diagnosis, Unit 1 - Sections 1 & 2)*	Brief description of assignment background, financing and objectives.
	Site access particulars and appropriate contacts.
	Selection procedures for received proposals.
	Deadline for submitting proposal.
Characteristics of the tender. *(Assess the competition, Unit 2 - Section 4)*	Timing of contract negotiations and assignment commencement and duration.
	Notification of applicable laws and tax status.
	Instructions on financial and other evidence required.
	The number of firms invited to submit proposals.
Characteristics of the project proposal. *(Writing a project proposal, Unit 2 - Section 1)*	Procedural requirements on proposal layout, validity, disclosures, notifications, language, transmission, distribution and supporting documents (e.g. CVs).
	Evaluation criteria or weightings.
	Attachments including terms of reference, draft contract, background data and format particulars.

After you receive a LoI you can decide whether to proceed with the process or withdraw from the call for proposals. The decision whether or not to proceed will be based on a number of factors such as your capacity and the costs involved in mobilising resources to produce the proposal, and your chances of successfully winning the bid. These issues are discussed in the following subsections.

1.2 Important issues in tendering

Tendering is expensive and time consuming - and assessment whether the investment is worth the effort is essential.

Tendering is an expensive and time consuming process, in which success will depend on having a realistic amount of time available, your own and your organisation's competence, capacity and policy, and the funder's view of yourself and the likely competition. Therefore, because of the significant costs involved, before you respond you should assess whether your investment is worth the effort in relation to your chances of obtaining the assignment.

When you intend to respond to a call for proposals you should be aware of the following issues:

- Success is not purely a function of document quality: it also depends on a number of factors, including the quality of the personnel you intend to use, your relation to the funding agency, your (corporate) past track record (how successful have you been in the past, not only with winning assignments but also with their implementation), and your reputation in respect of gender and energy;
- Not all tendering opportunities provide a fair competition: sometimes a funding agency has a preference for an organisation they have worked with in the past or, alternatively, prior (negative) experiences may reduce an organisation's chances of success;
- Feedback from funding agencies about reasons for failing to win an assignment is not always a fair representation of events. Some funding agencies will give a detailed description of where you didn't meet the criteria; others will be less open about their decisions;
- Networking and informal discussions with the funding agency about the exact criteria and the way these should be interpreted are a part of the tendering process;
- Tendering provides a real marketing opportunity for your organisation: some organisations need to be active in tendering procedures for their survival, for others it is an opportunity to increase their network or project experience.

These issues will be addressed throughout this module. Success factors will be mentioned particularly in Units 3 and 6; in Unit 2 Sections 1.4 and 1.5 look at where despite good preparation, your chances of success are reduced; feedback and evaluation of the process will be addressed in Unit 7; networking and negotiating are discussed in the workshops of Unit 5, and the marketing opportunities of tendering are mentioned throughout the module.

1.3 Planning a project proposal

Planning is essential to organise the project proposal development process.

If you decide to continue with the process and start to actually develop a project proposal, a number of steps have to be taken. These steps are indicated in Table 2.2.

As you can see, there are a number of actions to be taken in the six sequential steps. Therefore detailed and well thought out planning is essential. Experience always helps in making realistic assessments as well as reducing the amount of time needed for each action. In this module, in Unit 3 and Unit 4, you will begin to develop skills and techniques to help improve your project proposal development.

Creativity, in terms of the problem as well in the approach, is required in developing a project proposal.

The steps in Table 2.2 provide a checklist to guide you through the process. However, creativity will also play a central role in the process: not only creativity in terms of coming up with new and interesting approaches to the

Table 2.2: steps in the planning of a project proposal

Step 1 – Logistic Planning	• acknowledge the invitation and indicate your intentions to the funding agency; • analyse conceptually the requirements for the proposal; • assemble a team to develop the proposal; • assign responsibilities and make a workplan; • contact possible partners to confirm their availability.
Step 2 – Research	• assess the funding agency's policies in relation to gender and energy; • travel to the site (if possible) and assess the assignment parameters; • ascertain selection procedures, criteria, funding agency preferences and track record in relation to gender (for example, gender balance in team); • evaluate financial parameters; • accumulate support data for the proposal; • investigate available expertise to fill gaps in your own team's knowledge.
Step 3 – Response Planning	• prioritise the funding agency's policies in relation to gender and energy; • identify budget constraints on response; • marshal support data; • identify personnel to be part of the project team. Give particular attention to the gender balance of the team! • conclude negotiations with *collaborating partners* who will work together with you on the proposal and/or assignment; • develop the methodology and work plans; • review the proposal development responsibilities and schedule.
Step 4 – Development	• agree on proposal format and style; • organise the resources needed to develop proposal; • define the proposal content and the draft text; • finalise content for schedules and plan graphics; • draft the budget (where required); • review progress and adjust schedules as necessary; • review and edit text through a gender lens.
Step 5 – Production	• typing, illustrations, photographs; • translation, proofing and final review; • printing, binding, dispatching and arranging delivery; • notify the funding agency by email/fax of proposal dispatch (particularly if two organisations in different towns/countries.
Step 6 – Promotion and after-care assessment	• presentation to the funding agency (if necessary); • recommendations to the funding agency for future proposals. This is not a standard part of ToRs but some agencies are open to this type of recommendation – sometimes as part of informal debriefing sessions. Recommendations for your own organisation can be included at this stage.
Learning from mistakes	The final step, not officially part of the planning, is to learn from the experiences you had in the process. You should debrief on the outcome within your own organisation: what would you do differently next time? What can be changed and what should stay the same? Unit 7 deals with these kinds of questions.

actual problem, but also in terms of creativity in your methodology for writing the proposal.

>> Exercise 2.1: generate project ideas

1.4 Constraints in the tendering process

Constraints in tendering include: lack of time, lack of resources, lack of capacity within the desired collaborating partners and insufficient knowledge, skills or experience to react.

There are numerous constraints and pitfalls you can encounter in tendering activities. Constraints to tendering can include:

- Time: there may be insufficient time to produce a competitive proposal, for instance due to a lack of staff-hours. Good planning can help you to use the available time effectively (see Unit 5);
- Resources: the research and analysis needed to make a good proposal can be very expensive. If the chances of getting the assignment are low, your organisation could waste valuable resources if it continues with the process. A good insight in your own organisation's capabilities will help you make decisions about this;
- Capacity of collaborating partners: some of the potential partners you would like in the process might be too busy or inadequately equipped to work with you (for example, they might lack gender expertise). If you have a network of organisations you have worked with in the past you should be aware of their capabilities. In negotiations you can identify the capacity of the potential partners;
- Knowledge: your organisation may not have the right knowledge, skills or experience to react, or funding agencies may have the incorrect impression that your knowledge and skills are inadequate or outdated. Marketing the profile of your organisation outside of the tendering process is important to ensure that funding agencies have a positive impression of your knowledge and skills.

1.5 Pitfalls in the tendering process

Pitfalls in the tendering process include: time lags, unsuccessful cooperation in the team, non-compliance with the ToR and language problems.

Some pitfalls in the tendering process are:

- Time lags: delays in communications within your organisation, with partners or with the funding agency might cause you to miss the deadline. A competent team leader and a well thought out workplan help to avoid this;
- Unsuccessful cooperation in the team: individual relationships among team members influence cooperation and coordination in the project proposal development team, sometimes in a negative way. The team leader should not only focus on the project, but also on the personnel;
- Non-compliance with the ToR: To save resources, there is often a temptation to recycle unsuccessful proposals. However, this can mean

that the technical language of the proposal does not match the technical language of the ToR. For example, a ToR asking for projects to address energy-related environmental issues would not assess a stoves project positively that used saving women's time as its justification (no matter how personally sympathetic the evaluator was to your objective), instead the old proposal should be amended to address indoor air issues and environmental degradation from biomass fuel use.

- Language: English-speaking funding agencies often demand a high standard of written English. When there is money available, it is worth hiring either a professional translator or a text editor (depending on the amount of correction needed).

2 How to handle Terms of Reference?

Terms of Reference define the scope of services your organisation will have to deliver to the funding agency if you get the assignment.

In project proposal development, the central element in the preparation of a proposal and in communications with the funding agency is the Terms of Reference (ToR). The ToR defines the scope of services you and your organisation will deliver to the funding agency if you get the project. These services are detailed further in the proposal. The ToR also have a legal character: they are always attached to contracts between the funding agencies and funded organisations. They will also form part of the final evaluation to assess your compliance with the contract.

2.1 Elements of ToR

ToRs at the very least contain the objectives of the assignment and the scope of services and outputs required, as well as the data, services and facilities provided for the organisation.

Although ToRs may vary, the following common elements can be distinguished:

- Background information;
- Objectives of the assignment;
- Scope of services and outputs required;
- Data, services and facilities that will be made available to the organisation that successfully wins the tender.

Each element is now described in some more detail. The *background information* should refer to the questions:

- Why and for whom is the assignment required?
- What are the sectoral and historical perspectives of the subject of the proposed project?
- What is the outline of the existing situation in relation to the subject of the proposed project?

The *objectives of the assignment* should disclose the general purpose of the activity and a list of the principal outputs to be delivered. The latter should enable you to define the immediate targets to be met in the assignment.

The *scope of the services* to be rendered should cover such topics as the geographic area, the categories of services required, and the working relationship with the groups, organisations, institutions and agencies involved. The services required can be detailed together with:

- The phasing required for the assignment;
- Specification of the time required;
- Units of measurement to be used and accuracy required;
- Methodology demands;
- Costs;
- Alternatives or related factors to be considered;
- Regulatory environment.

The description of the services required should concentrate on the tasks to be fulfilled or the results to be attained, but not on the methodology, and should also provide details about the reporting procedure.

The final part of the ToR should be dedicated to the *data services and facilities to be provided to the consultant*. Details of staff, equipment, and technical resources should be given.

2.2 Complying with the ToR

Always comply with the given ToR but try to discuss improvements with the funding agency in advance if you can defend why alterations are needed.

In general, you should always comply with the given ToR in your project proposal. If you develop a project proposal that does not comply with these, you can expect rejection of your proposal by the funding agency. In fact, this is one of the most common causes of a proposal being rejected. For example, if the call is under the general heading of environmental topics, your proposal should not be based on an explicit justification of empowering women through energy projects (although this could of course be an implicit aim of your project).

However, sometimes, during the diagnosis of a problem, you will conclude that the ToR could be improved. This will probably result in a discussion with the team about how faithfully you should follow an assignment. If you are sure alterations to the ToR will improve the project outcome, you should discuss this with the finding agency and, if agreed, indicate any changes in a special section in your proposal (see also Unit 6).

Always ask for clarifications if ToR are not clear.

Also, it is possible that the ToR given by the funding agency are not clear. Do not guess if you are not sure what is meant by the ToR, instead contact the funding agency to clarify their requirements. Funding agencies generally prefer to read proposals that are clear and relevant so they are usually willing to give clarification.

>> Exercise 2.2: analyse ToRs

3 Roles in project proposal development

As noted in the previous unit, project proposal development is a team effort. The project proposal team is made up of the group of people responsible for the development of the project proposal, with each person being allocated a specific role.

3.1 The project proposal team

A project proposal development team has a core group of 3 or 4 people and relies heavily on support from the organisation.

The ideal core team to develop a project proposal generally consists of three or four persons, although large proposals may require more people. Usually such a team is part of a single organisation and therefore should be able to rely on many of the organisation's functions for budgeting, administration and quality control of the proposal.

3.2 Tasks and roles in project proposal development

All tasks undertaken by the team are aimed at developing a project proposal. However, including junior staff in the team also gives an opportunity to build your organisation's capacity.

The main objective of a project proposal team is to develop a winning project proposal. Therefore all tasks should be aimed at achieving this objective. This process can also contribute to capacity building within your organisation. It can give junior staff an opportunity to participate in and to gain experience of proposal development. However, they will need more support during the process than more experienced staff, and young women will often require more encouragement than young men.

Possible tasks within the project proposal team in order to fulfil the steps in Table 2.2 include:

- Coordination of the proposal development process;
- Planning of the proposal development process and planning the proposed project;
- Problem analysis for the proposal;
- Data collection for the problem analysis;
- Communicating with funding agency and possible partners;
- Interviewing key stakeholders and the target group (if possible and relevant);
- Organising and executing a site visit (if possible and relevant);
- Writing the project proposal.

Tools for the construction and assessment of a team can be found in Unit 5 of Module 4.

Within the project proposal team, each person should have different roles or responsibilities. The team as a whole has a shared responsibility: to deliver a competitive, well-defined project proposal. However, the team leader usually has overall responsibility for pulling the proposal together. Another important aspect of the team leader's work is to divide up the tasks and responsibilities at the beginning of the proposal development process. Based on the ToR in Appendix C, Table 2.3 suggests a division of tasks and responsibilities between team members in responding to a call for proposals. Notice that each core member is supported by other core team members and other organisational staff. The team leader can also have a specialist subject role.

Table 2.3 Division of tasks and responsibilities among team members during the development phase of a proposal in response to the ToR in Appendix C

The core team here consists of a team leader, a gender and energy expert, a renewable energy expert and an enterprise development expert.

Task	**Lead Core Team Member**	**Contributing Team Member or Organisation support staff**
Monitoring Plan	Team Leader	Core Team
Project Budget	Team Leader	Finance Department Core Team
Evaluating proposal through a gender lens	Gender and Energy Expert	Core Team
Analysing funding agency's documents for best practices in gender and energy	Gender and Energy Expert	
Selecting renewable energy technologies appropriate for rural Anchellius	Renewable Energy Expert	Gender and Energy Expert Enterprise Development Expert
Formulating Enterprise Development Plan	Enterprise Development Expert	Gender and Energy Expert

4 Assessing the project market

The project market consists of three parties: funding agencies, potential partners and possible opponents.

Three categories of actors can be found in the market related to project proposal development in gender and energy: *funding agencies*, *potential partners* and *possible opponents*. These actors are described below.

An overview of the project market is important in maintaining the viability of any organisation. Assessing the project market involves keeping an up-to-date overview of developments in gender and energy, such as which agencies are funding which aspects of the field and which organisations are active in gender and energy projects. This type of assessment is vital not only at the project proposal phase, but also when seeking new assignments. Such an overview helps to identify funding sources, as well as potential partners and those who will try to compete against you.

Networking plays an important role in assessing the project market. Not only to improve and maintain the relationship with the funding agencies, but also to find potential partners. Information about networking skills can be found in Module 4 on advocacy.

In this section, a methodology that can be used to obtain an overview of the three categories of actors in the project market is presented. Unit 3 will deal with the internal assessment of organisations.

4.1 Assessing funding agencies

The term "funding agencies" is used in this module to mean those stakeholders offering assignments. Funding agencies can be assessed by studying their websites, by contacting local offices, by using your networks such as colleague organisations that may have experience with the funding agency and by contacting reference centres.

Funding agencies offer assignments through a tendering process. They can be assessed by different means, often though personal networks or the internet.

It is difficult to give a comprehensive list of funding agencies interested in the field of gender and energy. Agencies change their areas of interest on a regular basis. The sections below give some examples of organisations that might be interesting as potential funding agencies in relation to gender and energy projects. ENERGIA tries to keep its members abreast of opportunities that arise at the international or regional levels.

Types of funding agencies

All organisations mentioned in this section give direct assignments in fields related to gender and energy, meaning that the executing organisation (the organisation that gets the assignment) is contracted directly by the funding agency to fulfil ToRs. Funding agencies do not necessarily have programmes specifically dedicated to gender and energy. Some agencies will refer to "women" rather than "gender".

There are three types of funding agencies: multilaterals, bilaterals and co-financing organisations. Each of these types has its own characteristics and ways of working.

The first type of possible funding agency is the *multilaterals*. The tendering processes (assignments) they offer are for programmes/projects and for framework contracts. The assignments are usually offered through their websites. Usually a multilateral has regional or local offices (e.g. UNDP residential offices) who can be contacted for information about their work on gender and energy. Multi-lateral agencies also maintain databases of executing/partner organisations in particular fields which it might be possible to consult if looking for an appropriate partner for a programme or project. The rates that you are able to charge for your organisation's work in implementing a project funded by this type of agency can vary with the length of the assignment and the experience of your organisation.

The second type is *bilaterals* or *Development Agencies*. As with multilaterals, their assignments are usually offered on their websites and usually their tendering processes are for programmes or projects. This second type of funding agency also usually has databases of executing and partner organisations for the programme/project. The rates that you are able to charge for your organisation's work in implementing a project funded by this type of agency can again vary with the length of the assignment and the experience of your organisation. The rates that they are willing to accept may be lower than those of the multilaterals.

The third and last group is *co-financing organisations*. Usually their tendering processes are more restricted, which allows for a quicker tendering procedure. They also have databases of potential partner organisations for the programme/project. The rates paid by this last group are usually the lowest of all funding agencies and depend on the length of the assignment and the experience of your organisation.

Table 2.4 gives examples of multilateral and bilateral funding agencies which have supported projects related to gender/women and energy.

Table 2.4: funding agencies known to have been/are active in gender/women and energy.

Multilaterals
United Nations Development Programme – Energy for Sustainable Development (UNDP) (www.undp.org)
United Nations Programme Energy and Environment (www.undp.org/energyandenvironment)
The World Bank Asia Alternative Energy Program (ASTAE) (www.worldbank.org/astae)
The World Bank Energy Sector Management Assistance Program (ESMAP) (www.esmap.org)
Global Village Energy Partnership (GVEP) (www.gvep.org)
Intelligent Energy Europe (IEU) (http://europa.eu.int/comm/energy/intelligent/index_en.html)
Bilaterals
Netherlands Department for Development Cooperation (DGIS)
Canadian International Development Agency (CIDA)
Swedish International Development Cooperation Agency (SIDA)
GTZ-Household Energy Programme (HEP)
GTZ-Programme for Biomass Energy Conservation in Southern Africa (ProBEC)
UK Department for International Development (DFID)
Shell Foundation Sustainable Energy Programme (SEP)

Co-financing organisations such as OXFAM, CORDAID and TEARFUND are not usually directly involved in dedicated energy projects, although many are active in projects for women's practical needs (which may involve an energy component) and those that address gender relationships.

Mediation facilities

Some organisations offer mediation facilities to help you identify tendering opportunities. Usually these organisations are web-based networks.

Some organisations offer mediation facilities for tendering processes, for instance by announcing assignments offered by funding agencies. Below, some examples of web-based mediation organisations are given:

- ENERGIA (www.energia.org);
- Practical Action (formerly known as ITDG) (www.itdg.org);
- Regional and national gender networks (www.genderlinks.org.za, www.awid.org, www.oneworld.net).

4.2 Partners in the tendering process

Cooperation with other organisations or individuals in the tendering process can be beneficial.

Cooperation with other organisations or individuals in the tendering process is always an option either to complement your own skills or for strategic reasons (such as others having a good reputation with the funding agency or success in acquiring projects on gender and energy). Perhaps, for the proposed project, cooperation with others is an important precondition for the funding agency offering the assignment. Organisations or individuals that will work together with the organisation that takes the lead in the proposal development are usually referred to as partners.

Partners are ideally organisations that complement your organisations skills in the project implementation.

Partners can be project beneficiaries or other organisations that will implement elements of the project. Implementing organisations should have complimentary skills to your own: for example, a Community Based Organisation (CBO) able to work in local dialect. Over time, you will build up a network of such organisations. Unit 3 of Module 4 gives more background on assessing your network of partners.

Partners can assist you in the formulation or implementation of a project proposal by providing expertise, knowledge, information and resources. The CBO mentioned above, for example, can help you in carrying out a Participatory Rural Appraisal (PRA) exercise with the local communities and perhaps provide their own existing data about the target region.

>> Exercise 2.3: Assessing partner organisations for project implementation

4.3 Stakeholders who try to resist your project

Projects can raise opposition or objections from other parties. Funding agencies may require you to explain in the project proposal how you intend to overcome resistance.

In a tendering process it is possible to identify two kinds of opponents: other organisations who will send in a rival proposal (discussed in Subsection 4.4) and stakeholders who will try to oppose the project suggested in your proposal. For example, with a solar homes project aiming to train village women to install and repair solar systems, the village men may oppose women’s participation because they consider that technology is men’s, not women’s, business. They could also be concerned about the women having to leave their families for three days to participate in a training course.

Funding agencies might specifically ask in a project proposal for strategies to overcome any resistance from stakeholders. For example, the Logical Framework, which we will meet in Unit 3.2 of this module, requires proposers to assess the risks to project activities. For instance, with the solar homes project referred to above, you might be asked to develop a strategy to overcome village men’s resistance to women’s participation in the project. This could be achieved, for example, by involving men in the project design and by providing training in the village rather than at a distant training centre.

Good project proposals include an assessment of any potential threats to the implementation and strategies to overcome these.

A good project proposal should assess the threats to the implementation of the project even if this is not required by the funding agency.

Discussion point 2.1

Have you encountered men resisting women's involvement in energy projects?

What strategy did you employ to overcome this resistance?

Did you include a strategy that anticipated resistance to women's involvement in the project in your proposal?

If you have not done so in the past, what would you do in the future to ensure, when necessary, that your proposal incorporates such a strategy? (15 minutes)

4.4 Competitors in the tendering process

Competitors submit proposals for the same assignment. Sometimes you can turn them into partners by forming a consortium.

The second kind of opponent is a competitor in the tendering process. Usually your organisation will not be the only one reacting to a call for proposals. Other organisations who submit proposals are your *competitors*. In some cases the funding agency will announce shortlisted organisations, and at other times the funding agency may not be so open about who has been approached or has submitted a proposal.

You may be able to get some idea of the likely competitors by assessing who reacted to similar calls from the same funding agency in the past. Usually a funding agency keeps a record of organisations that have done projects for them. If accessible, such a record can give you an overview of possible competitors. Networking can also keep you informed about likely competitors.

One strategy for dealing with potential competitors is to try to turn them into partners. You could form a consortium to submit a joint proposal. However, whether this is allowed or not depends on the funding agency's rules. Reducing the number of potential applications increases the chances of you being successful, particularly if your "competitor" has strengths lacking in your own organisation. The downside is that your organisation can expect reduced resources from the budget.

Discussion point 2.2

Do you have experiences of forming consortia with competitors?

Were they positive or negative, and why? (15 minutes)

5 Summary and conclusions

The process of project proposal development starts with the offer of a potential assignment by a funding agency/donor organisation. This offer is usually called a *call for proposals*. If the funding agency is using a multi-stage selection procedure, they may request organisations to indicate an interest in the assignment by submitting an *Expression of Interest*. Following this, the funding agency shortlists the organisations that will be asked to deliver a proposal. To indicate that an organisation is shortlisted, they receive a *Letter of Invitation.* In more simple procedures, organisations submit their proposals for evaluation in direct response to the call.

In a LoI the detailed requirements for the proposal are given. These are called *Terms of Reference*. Terms of reference define the scope of services your organisation will have to deliver to the funding agency if you get the assignment.

Always comply with the given ToR but try to discuss improvements with the funding agency if you can defend why alterations are needed. Always ask for clarification if the ToRs are not clear.

Good planning is essential if you intend to be active in project proposal development. The proposal usually has a strict submission deadline and there is a lot to be done!

Project proposal development teams usually consist of three or four people but can draw on support from other staff within the organisation. All tasks undertaken by the team are aimed at developing a project proposal.

The project market consists of three parties: funding agencies, potential partners and possible competitors. There are three types of funding agencies that offer assignments through tendering processes: multilaterals, bilaterals and co-financing organisations. Each of these types of organisations has its own characteristics and the types of gender (or women) and energy projects they will fund.

Some organisations offer mediation facilities to keep you informed about tendering opportunities in gender and energy. Usually these organisations are web-based networks.

Partners are organisations or individuals that will work together with your organisation in developing a proposal.

Competitors, who are often unknown to you, are those organisations trying to obtain the same assignment as you in a tendering process.

Not all stakeholders will support the aims of your project. Developing strategies to overcome resistance is an important part of any proposal.

EXERCISES UNIT 2

Exercise 2.1: generate project ideas

Sometimes a call for tenders is formulated in general development terms such as improving the energy availability in a particular locality. The funding agency is not being prescriptive (for example, specifying installing solar home systems) but instead wants to draw on local expertise with tailor-made solutions. This means you will have some scope in formulating a project proposal based on certain conditions. In this exercise, you will be stimulated to use your creativity to formulate a project based on general data from a village in Sudan. This exercise is to be done in small groups who ideally consist of members of the same or similar organisations. Take twenty minutes to brainstorm about ideas and formulate your projects, and another ten minutes to present them to each other. Did you convince your fellow participants?

In Module 2 of this training course a study is presented about the village of Es Sadda in Sudan. Within your group you are asked to formulate ideas for projects applicable to this situation. Try to base your ideas on the mission statement or important elements of your organisation's policy, for example hardware projects, capacity building, women's empowerment, in relation to gender and energy.

In the box below there is information from the Es Sadda case study in Module 2. A funding agency has made a call for energy projects to bring development to the village. Read the material and identify any energy issues and the gender dimensions.

Women and children (of both sexes) in the village of Es Sadda undertake agricultural work on small family plots and also work as hired labour on large farms after they have finished working on their plots. In the dry season, children are responsible for obtaining drinking water from the *haffir* (a reservoir) or irrigation canals when the former is empty.

Men usually either follow their animals to search for grazing outside the village or work outside the village to earn additional income. Both activities can involve lengthy periods away from the village. When they are living in the village they are responsible for making and earth banking the boundaries of the agricultural plot known as *tarace*. Men are also responsible for building houses and for their repair. Since they are expected to provide their families with adequate finance, men tend to be involved in productive tasks, and women and children in practical tasks to meet household needs. Children and women look after a few animals to provide their families with milk. They are expected to take them to the grazing places and water them. Women are also responsible for the provision of firewood and cooking the family meals.

This division of labour defines the roles of women and children as the provision of subsistence goods and services (food and water) that ensure the survival of the family, and that of men as providing finance to pay for education, health, social obligations and other needs.

Women in the community identified the availability of clean drinking water and a reduction in the drudgery from the collection of firewood as the main issues that would improve their lives. Men identified an increase in income-generating opportunities as their main development priority.

After reading this information, how do you think a project focused on energy services could improve the situation for women (and men?) in the village of Es Sadda? For example, perhaps the provision of solar cookers would reduce women's drudgery caused by collecting firewood. What kind of project would be needed to provide solar cookers? What would be the consequences for the women and men of solar cookers? Ask yourself these sorts of questions about the project you propose.

After a short brainstorming session about the possible projects that could improve the situation for women (and men?) in Es Sadda, please produce a brief discussion on two possible projects that would address a specific gender and energy issue in Es Sadda. In your description, say what the project will involve, who will participate and which gender issue will be addressed and in what way.

Project idea 1:

Description:

Project idea 2:

Description:

>> Exercise 2.2: Analyse ToRs

In this exercise participants assess two fictional ToRs in order to understand their form, contents and appearance. After reading the ToRs, the participants will answer some questions about them. This exercise should take 45 minutes and be completed in pairs. There will be an opportunity to discuss the answers in plenary (15 minutes).

Take a look at the ToRs in Appendices B and C. Then try to answer the following questions:

1. What is the main objective of the "evaluation" ToR (Appendix B)? What has to be done by the organisation winning the assignment?

2. Repeat the above for the "renewable energy" ToR (Appendix C).

3. Which project do you feel more attracted to, and why?

4. What are the main differences between the two ToRs in terms of the following elements?

Type of project:

Type of objectives:

Desired outcome:

Methodology:

Team composition:

5. Do you think the given ToRs are gender-sensitive? Explain your answer.

6. Do you have any suggestions to improve the given ToRs?

>> Exercise 2.3: Assessing potential partner organisations

In this exercise participants will develop criteria to help them select potential partners, with complementary skills to your own organisation, to be involved in project implementation.

This exercise uses the ToR from Appendix C. Each participant will make an assessment of their own organisation's strengths and weaknesses and develop criteria to help identify an organisation to compensate for their own organisation's weaknesses in respect of being able to fulfil the ToR. The exercise should be undertaken in pairs and take 30 minutes (20 minutes answering questions individually, followed by 10 minutes sharing answers with your partner).

1) What are the strong points of your own organisation as regards being able to fulfil the ToR in Appendix C and so give you a good possibility of being awarded the work?

2) What are the weak points of your organisation as regards being able to fulfil the ToR, and so reduce your chances of winning the tender?

3) Based on your answer to Question 2 develop a set of criteria to help you identify and select potential partner organisations that would compensate for your organisation's weaknesses and increase your chances of winning the tender.

Your criteria can be a simple check list or you may prefer to give a weighting to certain criteria over others (e.g. essential, highly desirable, advantageous etc.).

Once you have both completed the above questions discuss your criteria together. Do you have any suggestions for improvement to the criteria?

UNIT 3: PROJECT IDENTIFICATION

Aim of the unit:

To increase the participants understanding of the role of gender in energy project identification, planning, monitoring and evaluation.

Learning objectives:

After this unit, the participant should be able to:

- Describe objective oriented project planning (OOPP) and its elements;
- List the seven steps of the OOPP approach;
- Explain and describe what the Logical Framework is;
- Explain how to engender the Logical Framework;
- Name the phases in the project cycle where the Logical Framework can be used;
- Describe other tools that can be used to engender the project cycle.

Time schedule:

- In total: approximately 9.5 hours
- Study of the theory: 30 minutes;
- Discussion points: 20 minutes;
- Exercises: 90 minutes;
- Case-practice: 7 hours.

Key concepts and ideas introduced in this unit:

Objective oriented project planning (OOPP); Logical Framework; objectively verifiable indicators (OVIs); means of verification (MoVs); Metaplan approach; problem and objective tree analysis.

Topics in this unit:

- Objective oriented project planning: an introduction;
- Logical Framework including gender analysis;
- The engendered project cycle.

1 Objective oriented project planning: an introduction

Objective oriented project planning (OOPP) is a framework for planning and formulating projects.

Objective oriented project planning (OOPP) is a commonly used methodology for planning and formulating projects. The methodology has been designed to respond to the demands from all parties concerned with development projects for a more effective use of funds and greater achievement of development objectives.

OOPP projects are based on problems identified by the community. Therefore, OOPP is part of a participatory approach.

A number of bilateral agencies, for example GTZ and NORAD, and many development NGOs use this methodology as standard practice; one in which the emphasis is on the formulation of projects identified with the help of communities based on real problems as they are perceived by the community. In this way, the projects are considered to address the priorities of the community rather than of outsiders and, hence, are more likely to lead to sustainable solutions to the development problems.

OOPP is part of a participatory approach to development and therefore ideal for gender-oriented projects. The experiences with OOPP in past projects have been positive.

1.1 The OOPP framework

The OOPP framework consists of seven steps, using various methods.

The OOPP methodology uses a framework consisting of a number of steps, divided into two phases (see Table 3.1). Both phases use various methods to operationalise the steps: the first phase uses the Metaplan method and tree diagrams, and the second phase uses the Logical Framework Approach. In this section the framework and the other methods will be described briefly.

The Logical Framework Approach is often required by funding agencies.

As the Logical Framework Approach is often demanded by funding agencies (e.g. DFID) as part of a project proposal – even when the proposal need not be formulated through an OOPP methodology – this method will be described in some detail in Section 2.

Table 3.1: the OOPP framework

Phase 1 – Analysing the existing situation, using the Metaplan method and tree diagrams	
Step 1 – Participation analysis	• identify all stakeholders involved • take a closer look at some of the groups • set priorities
Step 2 – Problem analysis	• formulate problems (written on cards) • select a starting point (focal problem) • develop the problem tree (causal linkages among problems)
Step 3 – Objectives analysis	• develop the objectives tree (written on cards, representing possible solutions)
Step 4 – Strategy	• identify alternative project strategies

analysis	• select the project strategy
Phase 2 – Designing the Project, using the Project Matrix or Logical Framework Approach	
Step 5 – Identify main project elements	• define main project elements
Step 6 – External factors	• identify important external factors which can positively or negatively influence the project in achieving its goals • check the significance of the external factors • design strategies to enhance positive factors and overcome negative factors
Step 7 – Indicators	• define how to verify whether objectives are met • formulate the indicators • check the usefulness of the indicators

1.2 Metaplan method

The Metaplan method is a discussion technique based on a guided brainstorming process.

The *Metaplan method* is a discussion technique in which the visualisation of ideas concerning the issues, problems and challenges facing communities, as well as their causes and effects, plays a central role. The process is guided by a moderator who should not be identified with any stakeholder group. The method consists of the following steps:

- Every participant writes their own ideas on coloured cards (one idea per card) and pins them (randomly) on a wall;
- The moderator leads the group in reviewing the cards and organising the cards in such a way that the relationship between the issues, their causes and their effects becomes clear;
- From these relationships between problems and ideas, a problem tree analysis can be developed (see the next section).

The Metaplan method helps clarify problems, concepts, causes and effects.

One of the advantages of this method is that problems are not easily discarded. In particular, the use of cards rather than open discussion with a group of women and men creates a better opportunity for women's voices to be heard. Such an approach contributes to clarifying the concepts, causes and effects, which is important for fostering mutual understanding and achieving consensus among different stakeholders. However, the Metaplan method can be very time consuming since consensus has to be reached on the relationships between the points on the cards.

To ensure the method is properly applied, a skilled moderator is required.

The Metaplan method requires a skilled moderator to ensure that women as well as men participate during the discussions, and that women are not excluded from the process due to time pressure related to household tasks.

>> Exercise 3.1: use the Metaplan method.

Discussion point 3.1

Spend ten minutes discussing – in plennary – your experiences with the Metaplan method or similar organised brainstorming activities. What do you think are the strengths and weaknesses of this kind of method?

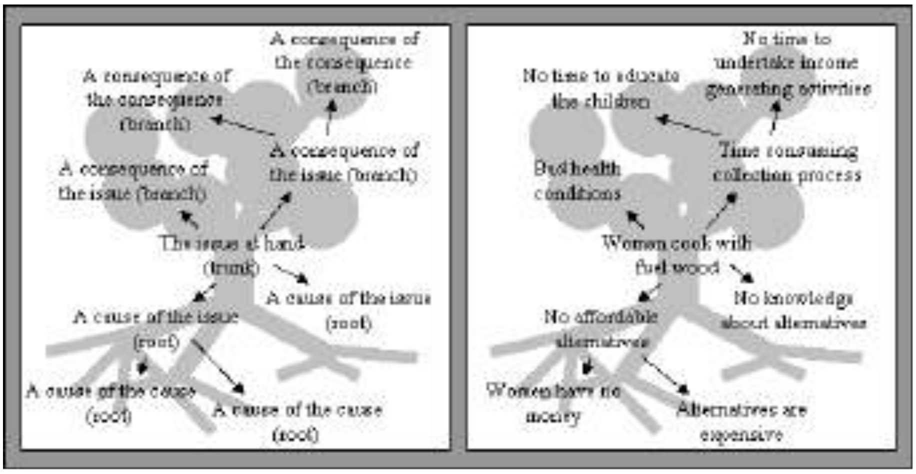
1.3 Problem tree analysis and the objective tree

Problem tree analysis breaks a problem down into sets of causes, consequences and relations.

A *problem tree* is a tool that can be used to reduce a problem to its essential components. It breaks complex problems down into a simpler set of causes, consequences and relations. The problem tree is described in more detail in Unit 2 of Module 4. Figure 3.1 provides an example of a problem tree based around the issue of women's continued use of fuelwood.

You can determine which the causes in the problem tree are by asking the question: why does this situation exist? The consequences can similarly be determined by asking the question what happens as a result of the situation?

Figure 3.1: problem tree outline (left) and completed example (right).



The problem tree helps to define objectives for a project. Elements in the roots and branches of the tree can be seen as sub-problems that need to be overcome and therefore can be turned into objectives. This translation is done as follows:

From the top of the tree, work your way downwards through all the problems and rewrite them into positive statements. For example:

- Problems: "If A happens (cause), then B happens (effect) " (If women cook with fuelwood, their health suffers);
- Objectives: "Doing X in order to achieve end Y" (To provide women with alternative fuels (means) so that their health no longer suffers (end)).

The central problem becomes the overall objective, the next level comprises the intermediate objectives and the level below that contains the specific objectives.

Once the objectives have been identified the next step can be a SMART analysis (refer to Module 4, Unit 4, Section 4).

1.4 Logical framework approach

The logical framework approach or project planning matrix is a tool that combines outputs, inputs, objectives and higher goals using measurable terms.

The *logical framework approach,* or *project planning matrix,* is a tool that helps to define project outputs and inputs, objectives and the higher goals in measurable terms as well as making the linkages between them clear. The *project matrix* provides an overview of a development process and forms a summary of a project including the following basic elements:

- inputs, activities and outputs (at the project level);
- immediate objective (as the project objective);
- development objective - the objective to which the project objective should contribute;
- external factors and preconditions which will influence the project in reaching its objectives, and devised strategies to try to reduce any negative effects.

The logical framework is not in itself gender-sensitive, but can be made so by including gender analysis.

The logical framework approach itself does not automatically include gender, and therefore particular attention needs to be paid to ensure that gender issues and relationships are addressed. This can be achieved with the help of gender analysis. How to do this is discussed in detail in Section 2.

2 Logical framework with integrated gender analysis

The logical framework can be used to plan, monitor and evaluate projects. It can easily be combined with other tools.

The logical framework is an analytical tool that is used to plan, monitor and evaluate projects. It is used by planners and project assessors to connect a project's means with its ends: the objectives of the project. The framework can easily be combined with other tools. In this section, the logical framework will be combined with gender analysis to ensure that gender is integrated into projects.

2.1 The generic logical framework

In the logical framework the project goal is broken down into objectives that the project aims to satisfy.

The generic logical framework is a four by four matrix (or table) in which the goal, purpose, outputs and activities of a project are stated (see Table 3.2). The goal is the objective of the project in broad terms. If you are submitting a proposal to a bilateral or multilateral agency, the agency will possibly already have completed the development objective (e.g. to contribute to one of the Millennium Development Goals). This goal can be broken down into objectives that the project aims to meet. The outputs are the results anticipated by the project, and the activities should relate to each of these outputs.

The logical framework is based on a matrix which describes various aspects of the project in objectively measurable terms.

In the four respective columns the goal, purpose, etc. are first described (narrative summary), then the quantitative and qualitative indicators are given to measure tangible outcomes and progress (OVIs). Indicators must specify quantity, quality and timing. The sources to measure whether or not indicators meet their required values are indicated in the third column (MOVs). In the fourth column, important assumptions and risks are given.

Table 3.2: the generic logical framework

	Narrative summary	***Objectively verifiable indicators (OVIs)***	***Means of verification (MOVs)***	***Important assumptions and risks***
Goal or development objective	What does the project want to achieve?	How can we tell if we have achieved it?	Where can we get information that will tell us this?	What else must happen if it is to succeed?
Purpose or immediate objective(s)				
Outputs				
Activities		**Inputs***		

*At the level of activities, instead of indicators in the second column, the identification of inputs or goods and services needed for project implementation is required.

2.2 Gender analysis and the logical framework

The logical framework is adapted to make it more gender-sensitive.

The generic logical framework does not explicitly address gender issues. Therefore, to incorporate gender in the proposal development, it is necessary to use engendered analysis tools and methodologies when developing the framework. To achieve this, for each of the cells in Table 3.2, gender-related questions have to be asked (see Table 3.3).

It is important to remember that, in the logical framework, gender analysis needs to takes place not only in the project planning phase but throughout the whole project cycle.

Table 3.3: the engendered logical framework matrix

	Narrative summary	*Objectively verifiable indicators (OVIs)*	*Means of verification (MOVs)*	*Important assumptions and risks*
Goal or development objective	Are gender relationships or issues in any way addressed by the project goal?	What measurements can verify the achievement of the gender-sensitive goal?	Are the data for verifying the goal gender-disaggregated and analysed in terms of gender? What gender analysis tools will be used (e.g., in impact assessment)?	What are the necessary external factors for achieving and sustaining the gender-sensitive goal?
Purpose or immediate objective(s)	Does the project aim to address gender issues or gender relationships	What measurements can verify the achievement of the gender-sensitive objective(s)?	Are the data for verifying the project's purpose gender-disaggregated and analysed in terms of gender? What gender analysis tools will be used?	What are the necessary external factors for sustaining the gender-sensitive objective(s)?
Outputs	Does the distribution of benefits take gender roles and relationships into account?	What measurements can verify whether project benefits accrue to both women and men? Do the indicators distinguish between different categories of women (e.g. ethnic groups) engaged in or affected by the project?	Are the data for verifying project outputs gender-disaggregated and analysed in terms of gender? What gender analysis tools will be used (e.g., in participatory field evaluations)?	What are the necessary external factors for achieving project benefits (specifically, benefits for women)?
Activities	Are gender issues clarified in the implementation of the project (e.g., in work plans)?	**Inputs** What goods and services will project beneficiaries contribute to the project? Are there opportunities for women as well as men to participate? Are required external inputs by beneficiaries realistic in terms of women's access and control over resources?	Are the data for verifying project activities gender-disaggregated and analysed in terms of gender? What gender analysis tools will be used (e.g., in monitoring the activities)?	What are the necessary external factors for achieving the activities and especially ensuring the continued engagement of men and women participants in the project? What are the risks that might prevent women from participating/ benefiting?

Discussion point 3.2

- Have you any experience with the Logical Framework Matrix?
- Do you think it is easier to develop a project proposal with or without the matrix?
(10 minutes discussion)

>> Exercise 3.2: use of the gender-aware logical framework in a project.

3 The engendered project cycle

The engendered project cycle is the generic project cycle enhanced with gender-sensitive tools.

In this unit, and also in Unit 1 of this module, some tools have been presented that can be used in the project proposal development process. These tools can also be used to engender the generic project cycle. In this section the relationship between these tools and the project cycle will be discussed.

>> Exercise 3.3: engender the project cycle.

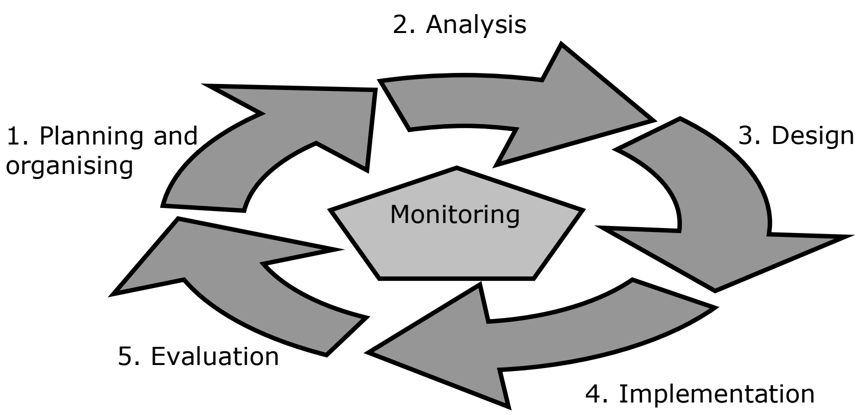
3.1 When to use which tools?

The generic project cycle can be engendered by using the tools, methodology and knowledge from this and the other modules.

In Figure 3.2 a simplified, generic picture of the project cycle is given. As you can see, projects are circular activities: finished projects usually result in starting points for new projects or improvements. Also, you can see that monitoring is a central element in every project. Staying informed about progress, as well as checking on successes and failures during the project, is very important.

In Appendix A of this module a Gender Planning Framework is provided. This framework was developed by the University of Twente for use with energy projects and more details can be found in Module 2. Not all the phases from the project cycle shown in Figure 3.2 are included in this framework. In Exercise 3.3 you are asked to combine the generic project cycle with this gender and energy specific framework.

Figure 3.2: a simplified, generic project cycle.



In Table 3.4 suggestions for tools that can be used to engender this generic project cycle are given.

Table 3.4: tools to engender the project cycle

Phase	*Tools*	*See also*
1. Planning and organising	Logical Framework; Gender Planning Framework	Module 4, Unit 6.
2. Analysis	Gender Planning Framework	Module 2; Module 4, Units 2 and 3
3. Design	Gender Planning Framework	Unit 5 and Unit 6 (effective writing)
4. Implementation	Gender-disaggregated Data	Module 3
5. Evaluation	Logical Framework	Module 4, Unit 9
Monitoring	Gender-disaggregated Data	Module 2

In addition to using tools to make project proposals more gender-sensitive, gender-aware staff are needed to engender the process.

It is not only the tools that are important for incorporating gender into energy project proposals, the process that leads to proposal design is also critical. Experience shows that the inclusion of women (and gender-sensitive men) in project design is more likely (but not guaranteed) to lead to the inclusion of gender issues. However, few women are working in the energy sector, and they are usually in junior positions from where it can be difficult to make one's voice heard. Therefore, it is important that organisations send senior staff for gender-awareness training so that they can ensure that not only are gender issues incorporated in proposals but also that the proposal development process is engendered.

4 Summary and conclusions

Objective oriented project planning (OOPP) is a methodology for planning and formulating projects. OOPP projects will focus on real problems since they are identified by the community. Therefore, OOPP is part of a participatory approach. The OOPP framework consists of a number of steps and uses three different analysis methods:

- The Metaplan method: this is a discussion technique based on a brainstorming process and guided by a moderator. It produces ideas about the issues, problems and challenges facing communities, as well as their causes and effects, and helps clarify the relationships between the different elements of a problem;
- Problem tree analysis: this simplifies a problem into sets of causes, consequences and relationships, and helps to define the main components of a problem. The problem tree helps to identify objectives (based on causes and consequences) that can overcome a problem;
- The Logical Framework Approach, or project planning matrix: this is a tool that links outputs, inputs, objectives and higher goals of a project in measurable terms. Funding agencies often require the

Logical Framework Approach to be used as part of the project proposal development process.

The logical framework can also be used to plan, monitor and evaluate projects. It can easily be combined with other tools or adjusted to specific situations.

The OOPP and its associated methods are not inherently gender-sensitive and so they must be combined with analytical gender tools to engender the generic project cycle. The project proposal development process itself needs to be engendered by including women or gender-aware men in the team. Staff should be trained in gender issues in the energy sector and gender-sensitive approaches.

EXERCISES UNIT 3

Exercise 3.1: using the Metaplan method and problem tree analysis.

In this exercise, all participants will use the Metaplan method to formulate the elements of a problem, and then to try to group them in the form of a problem tree. The trainer will act as the moderator of the discussion. The exercise takes 20 minutes for the brainstorming session plus another 10 minutes for a plennary discussion on the outcomes.

The core problem that will be the subject of the discussion is the low number of women in decision-making positions in energy institutions. Use the Metaplan method to write down your own ideas about this problem (causes, effects, etc.) and afterwards, collectively, try to combine and organise all the ideas concerning the issues, problems and challenges as well as their causes and effects in the form of a problem tree.

Exercise 3.2: applying the gender-aware logical framework to a project.

The engendered logical framework is a useful tool in project planning and implementation. Further, even if the matrix format for presenting the project components is not used, the questions the Logical Framework Approach poses can be useful in any gender-sensitive project. In this exercise, you are asked to answer some questions in terms of a project you have worked on in the recent past to increase your understanding of the framework. This exercise should be completed individually, or in small groups if it is possible to form groups that have worked on the same project. The exercise should take 25 minutes followed by 15 minutes of plenary discussion.

Think about a recent energy project you were active in. Give a short description of the project:

Next, look at Table 3.2. Try to answer briefly all the questions given in this table about the project you described above. You may need to explain your answers.

Development objective	
Purpose or immediate objectives	
Outputs	
Activities	

When you look at the answers, do you consider the project you did to be gender-sensitive? Explain which elements were and which were not?

How would you improve the project in terms of the way gender issues and relationships are incorporated if you had to do it again? Give three suggestions.

1)

2)

3)

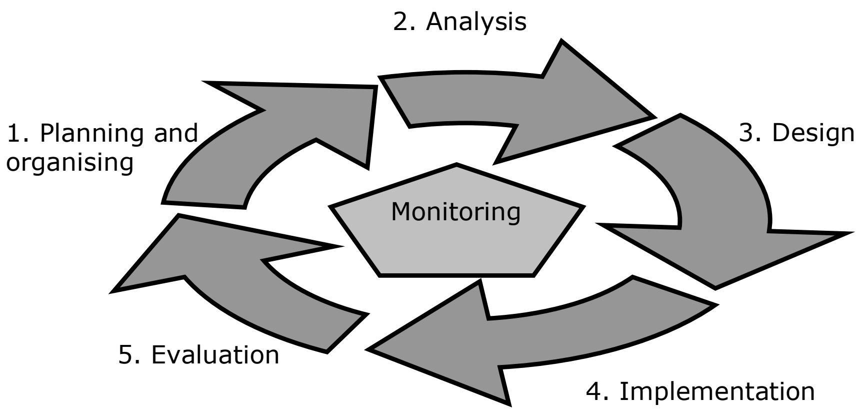
Present your results to the whole group. The group should make suggestions on how the proposal could be improved in terms of gender-sensitivity.

Exercise 3.3: engendering the project cycle.

The generic project cycle is not inherently gender-sensitive. However, with the use of the right (gender) tools in the appropriate phases, the generic project cycle can easily become gender-sensitive. In this exercise, small groups of participants will combine their experience and knowledge to create an engendered project cycle. This process should take 15 minutes with another 10 minutes to share the experiences in plennary.

Take a look at the generic project cycle given below. Form a small group and discuss ways to make the project more gender-aware by including gender tools and methodologies. Use your experience in the field or the knowledge gained from other modules and courses. In particular, the Gender Planning Framework in Appendix A should be used. Try to design an engendered project cycle.

Apart from the implemented project cycle, the process should also be gender-sensitive. Think about team composition, etc. - what could you do to make the project development process in your organisation more gender-sensitive?



CASE-PRACTICE UNIT 3: OOPP IN PRACTICE

Objective oriented project planning (OOPP) is a methodology frequently used in project proposal development. Therefore it is important to practice with OOPP – to get to know the procedures and become familiar with the framework. In this case-practice exercise, small groups of participants will use the OOPP framework shown in Table 3.1 to identify potential energy projects to solve problems for a village. At the end of the exercise each group will present their results to the group. The background data for the village can be found in Appendix F. The time available for this exercise is 7 hours.

Background

In the fictional country of Anchellus, various stakeholders from the village of Shamara are gathered to discuss the power supply situation in the village. A CBO active in Shamara has called this meeting to collect information about the problems in the village, and intend to use this information as input for developing project proposals to resolve the power problem. The CBO will use a participatory approach to identifying the core problem as well as the causes and consequences.

Task

The objective is to use the OOPP framework and the other methods described in this unit (Metaplan, problem tree, Logical Framework) in a gender-sensitive way, as preparation for developing a project proposal. The final product should be a Logical Framework Matrix which should be drawn up on a large sheet of paper so it can be used in a presentation. After the matrix is finished, the group will have to present their findings to the other groups. This presentation should take ten minutes and should be focused on the decisions you made in the process: why were these decisions made and what are the consequences?

Procedure

In this exercise you will work together in groups of three.

Following the introduction to this exercise and the formation of the working groups, there will be a role-play exercise to simulate the meeting of the villagers of Shamara about the power situation. Participants should first read the background to Shamara village (given in Appendix F). Each participant will take on a certain role and provide input to the meeting based on the description of their role (the trainer will give out the roles). The objective of this meeting is to produce a problem tree of the power situation in the village (Steps 1 and 2). Although the information given in the role-play details and the additional information about Anchellus and Shamara (Appendix F) should give sufficient background information, participants can make realistic assumptions about anything not covered.

Once the problem tree has been formulated, you will break into your project groups (no longer in role!) and complete the OOPP methodology (Steps 3 to 7). Within each group, participants need to divide up the tasks. Who will work on each of the steps in the framework? When do you have to work as a team together? How much time is needed to prepare the presentation?

The schedule for the case-practice is shown below. The trainer will guide the process, but participants will have to organise the teamwork themselves. Remember that you will also have to present the results, and that this will require some preparation time!

Time	*Activity*	*Who?*
0:00 – 0:10	Introduction to the case-practice	Trainer
0:10 – 0:20	Form groups (3 participants per group)	Trainer and participants

0:20 – 0:35	Preparation for role-play	Trainer and participants
0:30 – 1:30	Role-play	Participants
1:30 – 6:00	OOPP case-practice	Participants
6:00 – 7:00	Presentation of results and discussion	Trainer and participants

UNIT 4: GENDER AND ORGANISATIONAL PROFILE OF ORGANISATIONS IMPLEMENTING ENERGY PROJECTS

Aim of the unit:

To introduce tools for assessing potential partner organisations in the project proposal being written, with a special emphasis on gender-related assessment.

Learning objectives:

After this unit, the participant should be able to:

- Explain when and why a gender-related assessment of an organisation is needed;
- Argue the importance of organisational assessment through a gender lens - not only for the organisation in question, but also for the project proposal development process;
- Name three types of organisational assessment;
- Name and use two tools to analyse the gender profile of an organisation.

Time schedule:

- In total: approximately 2 hours;
- Study of the theory and tools: 60 minutes;
- Discussion points: 15 minutes;
- Exercises: 30 minutes;

Key concepts and ideas introduced in this unit:

Organisational assessment; gender profile.

Topics in this Unit:

- Organisational assessment (related to gender issues);
- Organisational strengthening (related to gender issues);
- Gender profile of organisations.

1 Introduction

Project proposal development takes place in a context in which various organisations are active.

Project proposal development takes place in a context where various organisations are active including the funding agency offering the financial resources for the project. If you react to a call for proposals, there will be competitors reacting to the same call, and there are numerous organisations which will be involved, or which feel they should be involved, in the process that leads towards a contract being awarded.

Insights into the strengths and weaknesses of organisations can be useful in determining approach strategies.

Insights into the strengths and weaknesses of these organisations, their policies and activities in relation to gender and energy (e.g. are they policy or implementation oriented?), their networks, etc. can be useful in determining which strategies to adopt towards the organisations.

Three reasons for organisational assessment in project proposal development: to develop better proposals; to improve the organisation's functioning; to promote gender equality.

NGOs dealing with energy often lack in-house staff with gender expertise. They may need to form a partnership with another organisation working in gender. Therefore, in this unit, some tools and methods for assessing organisations will be given, paying particular attention to assessing the gender capacity of an organisation. Three reasons for organisational assessment in project proposal development can be identified:

- To develop better project proposals, particularly in terms of integrating gender issues;
- To improve an organisation's own functioning, particularly in terms of integrating gender into processes and proposals;
- Promoting gender equality within an organisation.

In this unit some tools and techniques for organisational assessment related to gender issues will be presented. In Unit 6, strengthening your own organisation will be discussed.

In this unit, general information about organisational assessment will be presented first. This provides ideas about how to assess an organisation. Secondly, a tool will be discussed that can be used to get a better understanding of an organisation's gender profile. Finally, some words will be said about identifying opportunities and constraints in an organisation's gender profile.

2 Organisational assessment

Organisational assessment requires participants to take a step back and reflect on the organisation.

Organisational assessment involves creating a situation in which participants take a step back from the task in hand and reflect on the functioning of an organisation. This can be their own organisation, or another organisation which might be being considered as a partner or competitor in a proposal.

Organisational assessment can help build a strong team for developing and implementing the proposal.

The goal of organisational assessment in the context of this module is to gain a better understanding of another organisation: identifying the strengths and weaknesses of partners. If you are aiming to compensate for weaknesses in your own organisation by forming an alliance with another organisation, an assessment of potential partner organisations may reveal the need for a number of partners, so that a balanced team is presented in the proposal able to address all aspects of the TOR

In Exercise 2.3 of Unit 2 you made an initial assessment of potential partner organisations that could compensate for weaknesses in your own organisation. This can be seen as the first stage of an organisational assessment procedure. The weaknesses may be technical ones, for example, there is no-one in your organisation who knows about micro-hydro and you want to tender for an integrated rural development project based around a hydro-electric plant. In this case, you would need to identify an organisation with micro-hydro experience. However, for another call the financing agencies wants to only use organisations with a good track record on gender. In this situation, you need to be able to assess your potential partners for their gender awareness and gender approaches in project implementation. In this unit we focus on how you can assess potential partners to narrow down the options, and help you make a selection.

Although assessment is useful, it also can be threatening to the subject of the assessment.

Whenever you intend to engage in an organisational assessment procedure, remember that an assessment, even in its mildest form, can be threatening to an organisation as it may uncover conflict within the organisation, or between the assessed organisation and others. Indeed, many people (women as well as men) find the concept of gender threatening. Such an assessment can be used to identify misunderstandings and highlight opportunities for training to rectify misunderstandings and for other forms of capacity building.

Discussion point 4.1

Have you ever been involved in an organisational assessment procedure? What form did it take? What are your experiences with organisational assessment? Was gender an issue? Discuss this in plenary for 15 minutes.

Organisational assessment as a tool to analyse organisations

Although there are different types of organisational assessments, varying in complexity, required skills and cost, in this module we will only describe one type that is commonly used by NGOs.

The simplest form of assessment uses standardised checklists and is usually performed by a person from outside the organisation.

The simplest form of assessment makes use of standardised assessment checklists that highlight key areas of organisational tasks and functions. There are numerous checklists available. This type of assessment can be done by an individual from within your organisation, or by a hired professional. The checklist outcomes should be presented in a report that is shared within your organisation. However, if you are assessing another organisation, there may be a need to share the results with them depending on whether or not they were directly involved in the assessment.

This type of assessment can be relatively cheap and quick to do.

This type of assessment can be inexpensive and not too time consuming if it is carried out by your own organisation. An external evaluator may be more expensive but can be seen as more objective than someone from your own organisation. However, if the focus of the assessment is too limited, it can become an obstacle to organisational development and might overlook important, but well hidden, elements of the organisation.

For the assessment of organisations other than your own, this type of assessment is the most appropriate type of assessment.

For assessing organisations in the project proposal development process this type of assessment is usually the most appropriate as it can be done easily by an outsider to the subject of the assessment. Also, it does not take a lot of time and gives you the opportunity to focus on these areas of the organisation that are of interest.

You can choose from many existing checklists, or build one yourself (Appendix G shows an example of an organisational assessment), you can use the same checklist with more than one organisation, which gives you the opportunity to compare and rank organisations. The checklist needs to incorporate gender issues – the organisation's gender policy, staffing, past record on gender and energy projects etc. The next section deals with evaluating the gender profiles of organisations.

>> Exercise 4.1: organisational assessment and strengthening.

3 Gender profiling organisations

Gender profiling an organisation helps in selecting strong project partners.

When you engage in project proposal development for gender-sensitive projects, or when gender-sensitivity is an essential element of the proposal itself, insights into the gender profile of organisations – yours as well as other organisations – can be really important. It helps you answer questions like "are the implementing partners sufficiently gender-aware?" and "has your organisation the right capacity to participate in developing or implementing gender-sensitive projects?"

In analysing the gender profile of an organisation, the concept of gender shows its many sides.

Gender is a broad concept (see Module 1 for a complete description of the concept). This means that the gender profile of an organisation will have many faces. In this unit, we will see how the different elements of gender play a role in creating the gender profile of an organisation.

Involving a relatively new tool, the analysis of the gender profile of organisations gets special attention in this module.

The gender profile of an organisation can be assessed using two tools that accompany Module 3 of this course. We would stress that the gender profile of an organisation should be an integral part, not an add-on, of an institutional assessment. However, in this training course, we have separated and highlighted the gender profile of an organisation since this involves a relatively new approach and so we feel it needs specific emphasis.

Tools for analysis of the gender profile of organisations

The tools described in this Section are taken from Module 3. Below, a summary, focused on the aspects of the analysis particularly related to project proposal development, is provided. The complete tools can be found in Appendices D and E of this Module.

An organisation which is going to be involved in project formulation and/or implementation has to be sensitive to the identified gender goals within a project and has to have the ability to work in a gender-sensitive manner. These are two key objectives of gender mainstreaming. In this module, we are suggesting two tools which allow one to compare different organisations and suggest ways in which to strengthen the gender stance of organisations.

The tools are adopted from Module 3. The tools are summarised in Sections 3.1 and 3.2 respectively, and more details are given in Appendices D and E.

3.1 Organisational and institutional analysis

A tool is developed to analyse the essential elements of the gender profile of an organisation

The tool in Appendix D enables you to make an organisational and institutional analysis of an organisation and is probably most relevant for analysing your own organisation. It assesses, through a workshop involving staff from various levels within the organisation, the culture within the organisation towards the use of gender-sensitive approaches.

A capacity to adopt gender-sensitive approaches needs to be built within organisations. The attitude of management towards the use of gender approaches and how an organisation incorporates gender into its own structure are important aspects in ensuring that gender issues are integrated into energy projects and that staff understand the relevance of a gendered approach. The organisational and institutional analysis tool shows how variables can be identified that can be used to measure the different aspects of an organisation's capacity. The results of such an analysis can be used to identify capacity building opportunities as well as providing data to monitor the evolution of the organisation in developing its gender capacity.

3.2 Opportunities and constraints of organisations and institutions

This tool provides frameworks to construct a profile of an organisation which indicates its strengths and weaknesses in terms of formulating or implementing energy projects with gender goals. This tool is most appropriate for assessing other organisations using either interview or desktop study methodologies.

The tool looks not only at the willingness and capacity of the organisation to provide equal rights and opportunities for women in the energy sector but also identifies any external factors with might influence the performance of the organisation in this regard. The analysis should also assess the rules and norms which influence the functioning of the organisation, and which can inadvertently create barriers for women, for example, notions about women's physical strength making them unsuitable to be field operatives. The analysis obtained by using the tool can be used to identify the strengths of various potential partner organisations in creating partnerships for tendering plus any weakness related to gender sensitivity that need to be addressed. The latter can be used for designing appropriate training programmes for capacity building which should be defined not so much in terms of advancing one group (women) at the expense of another (men) - which is likely to meet resistance - but as an approach for improving the organisation's human resources so that they can contribute more effectively to the organisation's performance.

The tool is based on a framework in which four questions are posed and then answered:

Four main questions for the "opportunities and constraints of organisations and institutions" tool
Does the organisation have the willingness and capacity to plan and implement energy projects in such a way that women will have equal rights, opportunities and benefits to men (either in terms of employment within the organisation or as beneficiaries of the energy project)?
Does the organisation have an explicit policy on gender equality?
Do the external relations and the context in which the organisation operates favour or hamper its capacity to provide equal rights and opportunities to women?
Do other organisations exist that can facilitate the organisation under assessment to formulate, plan and implement energy policies in which women will have equal rights, opportunities and benefits to men (either in terms of employment within the organisations or as beneficiaries of the energy policy)?

This tool also allows ranking of different organisations

The answers to these questions give you an idea of how each organisation assessed compares to other organisations. They also indicate the strengths and weaknesses of the organisation in question. Strengths can be used in your project proposal, while weaknesses need to be addressed, either in the project proposal or before the organisation is chosen as a partner.

The amount of time you are willing to invest in answering these questions determines the quality of the answers. You should always try to find a balance between investing a lot of time in a detailed assessment and accepting the fact that a limited assessment does not give all the answers, but can still provide useful results.

4 Summary and conclusions

The three reasons for a gender assessment of an organisation in project proposal development are: to develop energy proposals that are more gender sensitive, to improve the organisation's functioning in respect of integrating gender into processes and proposals, and to promote gender equality within the organisation.

Organisational assessment requires participants to take a step back and reflect on the organisation. In this way, organisational assessment can give a better understanding of an organisation. It can reveal unknown weaknesses and constraints of the organisation in relation to gender sensitivity and thus such an assessment can be threatening to its subject.

Both women and men can feel threatened by a gender assessment due to misunderstandings about the concepts of gender and gender approaches.

If you want to assess another organisation, for instance a possible future partner, the simplest form of assessment is a standardised checklist which does not require input from the assessed organisation.

Two tools have been developed to assess the gender profile of organisations, and these are presented in Appendices D and E. The first tool is designed to analyse essential elements of the gender profile of an organisation. The second tool is developed to give an insight into the strengths and weaknesses of the gender profile of an organisation and on ways to improve this. It can be used to rank organisations as an aid for selecting project partners.

EXERCISES UNIT 4

Exercise 4.1: organisational assessment and strengthening.

In this unit, it has appeared that organisational assessment and strengthening are linked. However, one can argue that organisational assessment makes an organisation weaker rather than stronger, especially when the focus is on an area such as gender which is often neglected by organisations. In this exercise you are asked to think about the relationship between the two and give your opinion. This exercise will help you to understand the value of organisational assessment, especially in relation to gender issues within an organisation. Take 15 minutes to give answers to the questions and another 15 to discuss your answers in pairs.

Please write down two reasons why you think an organisation might see it as a threat if they are suddenly assessed on gender issues within the organisation and their gender-awareness.

1.

2.

Please write down two ways in which you think the assessment of an organisation's gender profile can be used to strengthen an organisation. These organisational improvements can be used to sell these evaluation methods to your own organisation.

1.

2.

When do you think you should assess the gender profile of an organisation? In which phase of the project proposal development process should this be carried out?

UNIT 5: RELEVANT SKILLS FOR PROPOSAL WRITING

Aim of the unit:

To improve the participant's skills on various elements of the project proposal development process.

Time schedule:

- In total: based on 5 day workshop approximately 6 hours (3 workshops of 2 hours).

Topics in this unit:

- Communication;
- Data collection;
- Interviewing;
- Negotiating;
- Formulation and assessment of CVs;
- Planning and budgeting;
- Effective writing.

1 Introduction to the unit

Project proposal development requires specific skills from the people who will be active in the process. This unit offers participants the possibility of improving specific and relevant skills for project proposal development.

As project proposal development is teamwork, there is no need to master all the relevant skills, as long as within your team all the relevant skills are present. Team members with different skills can learn from each other by working together on specific tasks.

In total, seven relevant skills will be presented in this unit through seven workshops. In Unit 1 you should have already identified which skills you want to improve. Based on this, the trainer will have allocated the group members among the workshops which will be taught. The number of workshops offered will depend on time availability and interest. In a five-day course it is estimated that there will only be sufficient time for three workshops.

WORKSHOP 1: COMMUNICATION

Aim of the workshop:

To provide the participant with skills and experience to deal with common communication issues in project proposal development.

Time needed for activity:

2 hours.

Activities:

Role playing; presentations, discussions.

1 What is communication?

Communication is the exchange of information, facts, ideas and opinions between people. It can be used to inform, entertain, coordinate, motivate, etc.

Communication is the exchange of information, facts, ideas and opinions between people. Communication can have different goals (e.g. to inform, to entertain, to coordinate, to motivate) and can be done in many different ways. Successful communication (communication that achieves a predetermined goal) is not always as easy as some people think.

Communication requires different skills in different situations. Also, appropriate communication strategies differ greatly in different cultures, different settings and different contexts. In this workshop, you will be introduced to the concept of communication, some common events in the project proposal development process where communication plays a role, and strategies to overcome problems that might occur in these events.

Effective communication achieves predefined objectives.

To reach your goals, communication has to be effective. Therefore, the communication we deal with in this workshop is called *effective communication*. In Table 5.1 some general guidelines for effective communication are given, and these form the basis of the workshop.

Table 5.1: guidelines for effective communication.

For effective communication…	***To achieve this, ask yourself:***
1. Remember who the receiver is.	What is the attitude of the receiver towards the given situation? What does the receiver assume about you, your organisation, your topic?
2. Know the objective.	What do you want to achieve by contacting the receiver?
3. Assess attitude of the receiver towards the communication.	What is needed so that the receiver is open for the communication?
4. Communicate in the language of the receiver.	Use the language of the receiver in examples and explanations. This means not only using the receiver's "mother tongue" but also the receiver's jargon (remember technical energy people will not be familiar with terms such as "women's empowerment" and gender people with terms such as "energy efficiency").
5. Review the message before sending	Assess the message from the receiver's viewpoint particularly in respect of points 3 and 4 above. Ask colleagues to help you with this.
6. If the message is not understood: clarify the message.	Ask questions and if repetitions are needed, try to formulate these in different words.
7. Do not react defensively to	Try to find out why the receiver reacts negatively and ask for

critical reactions.	clarifications. Did the receiver not understand the message?

2 Telephone conversations

Telephone conversations require good preparation to be effective, as a lot of the message is lost in the process.

The telephone is the most direct way of communication that allows people to be in different places and still talk to each other. The mobile (or cell) phone is increasing the number of people in even the remotest of locations that you can communicate with. However, on average, a telephone conversation only conveys 30% of the message compared to what would be conveyed in a face-to-face communication. In particular, we lose the non-verbal aspects of communication (facial and other body gestures) that also convey meaning. Therefore, telephone conversations require good preparation and some skills to be effective.

There are various occasions where you will need to have a telephone conversation. Think about: trying to get appointments with somebody from another organisation, discussing changes in the project planning with a hired professional, etc.

Discussion point 5.1.1

Share your experiences with telephone conversations with the other participants (15 minutes):

- Do you prepare for a telephone conversation? If so, how?
- How do you organise the conversation (at what time do you call, how do you get the right person on the line)?
- What are your good and bad experiences with telephone conversations?

To make sure your telephone conversation is effective, you need to know: who you want to talk to know, what you want to ask and write down the topics you want to address in advance.

The guidelines in Table 5.1 also apply to telephone conversations. However, there are some specific guidelines that are important for telephone calls:

- Know who you want to talk to. Use personal contacts or receptionists to get to the right person in an organisation and remember this person’s name and function for future contact;
- Know what to ask. More so than in face-to-face contacts, in telephone conversations you need to be clear about what you want. The receiver expects you to ask specific questions.

Ask if you are calling at an appropriate moment and confirm agreements during the call.

- Write down all the topics you want to address: prepare the conversation by composing a list of all issues you want to talk about. If this list is long, outline the main elements at the beginning of the conversation so the receiver knows what to expect. Give an indication of how long you expect the conversation to last;
- Ask about the appropriateness of your timing. Unless you have already agreed on calling at a specific moment, a telephone call is to an extent unexpected. This means that the receiver might not have

time to deal with you. Ask the receiver whether it's a good time for you to have called and – if not – when you can call back;

- If you make decisions or come to agreements during a telephone conversation, confirm them in writing afterwards.

Activity 1: telephone conversations and gender.

In this exercise, three pairs of participants will have a fictional telephone conversation in front of the group. The three conversations will address different aspects of the telephone conversation and will also focus on gender difficulties in telephone calls. In the discussion afterwards, participants have to exchange opinions on the good things in the role-play and on what needed improving. The activity takes 40 minutes.

The trainer will help form three pairs of participants for the three role-playing telephone conversations. Ideally, form pairs of a male and a female participant.

Each of the three pairs of participants will be divided into a "caller" (the person calling) and a "receiver" (the person answering the call). The caller will be (or play!) a woman, the receiver will be (or play!) a man. The trainer will give each participant a brief description of their role. For each of the three role-play exercises, both the caller and the receiver will have five minutes to prepare their role. The call itself should not last longer than five minutes. Remember the guidelines given in Table 5.1 and also here in this section, and try to make the telephone conversation realistic. The "caller" and "receiver" should sit back-to-back to ensure facial communication and body language does not play a part.

Participants not performing in a role-play should think of experiences with phone calls where they feel they need advice on how to deal better with a situation. During the role play they should focus on the following questions ready to discuss them after each role-play:

- What were the especially good things that the caller did?
- What could have been improved in the caller's approach?
- Have you experiences in similar situations?

3 Giving presentations

Giving a presentation can be difficult. Train yourself by practicing in advance all those things that can go wrong.

Presentations are a direct form of communication, where information transmission is the main objective. A good presentation triggers feedback from the audience and keeps them focused on your message. Some people seem to be born with the skills to give lively and interesting presentations. Most of us are not so fortunate but we can learn to give better presentations and that also comes with practice. One way of improving your presentation skills is to assess other people giving presentations: what was good or bad about the presentation? Are there techniques you could adopt from the speaker or manners to avoid (for example, facing the audience and not the board when speaking). Box 5.1.1 gives some practical tips about improving your presentation skills and you will be having a lot of opportunities to practice these during this workshop. You can find some more tips in Appendix G of Module 4. In this workshop, we are going to focus on dealing with some of those awful events that can occur during a presentation (e.g. a telephone rings, or the beamer breaks down) which, with all those people watching, will make us even more nervous than before! Although this will not immediately improve your presentation skills, it will make you feel more comfortable and therefore more confident so you will do a better job in transferring your message to the audience.

Discussion point 5.1.2

Have a short brainstorming session (10 minutes) in which you try to name all the things you can think of – from experience or imagination – that can go wrong during a presentation or that might disturb a presentation. Think about people talking through your presentation, somebody who asks questions all the time, cell phones ringing etc.

After completing the list of all the things that could go wrong or disturb your presentation, choose the three that you find the most unsettling. These will be the subject of the next activity.

Activity 2: dealing with unsettling events during a presentation.

In the brainstorming session in Discussion Point 5.1.2 above, you named three common things that can disturb or go wrong during a presentation. In this activity, strategies for overcoming each of these three things will be practiced. A participant will give a presentation and the others form the audience. When one of the three things happen, discuss how to react and what would be good or bad ways to react. This activity takes 40 minutes.

Assign each of the top three "worrying" things that can happen during a presentation to three participants. Each of these three participants will give a five-minute presentation in which the thing will happen. If, for instance, the "worrying" thing is the lack of a beamer, and the participant has not brought overhead sheets as backup, how would you cope? If the fear is that the audience is restless, then the other participants will have to be "act" restless during the presentation.

The presentation the participants will give should be on a gender and energy related subject. For example, explain in the five minutes a project you were active in. Spend ten minutes preparing for the presentation using the guidelines from Table 5.1 and the outcomes of the earlier discussion on presentations.

In the ten minutes during which the presenters are preparing, the rest of the group can discuss what they can expect from the ones giving the presentations: how should they react to the "worrying" event, and what is allowable in terms of reactions etc?

After the presentation, the participants will discuss their experiences and try to come to a conclusion about how to best deal with the thing that happened.

Box 5.1.1 Tips for giving a good presentation

Preparation

- Always practice your presentation orally, preferably twice, before delivery and with a colleague present "as an audience".
- Remember it always takes a lot longer to deliver a presentation in the "real situation" than in a "practice situation".
- Do not include too much information on your slides –four or five bullet points is sufficient.
- As a guide, it generally takes between three and five minutes to deliver a slide – so if you have 15 minutes for a presentation five slides will be enough.

Delivery

- Start with a brief introduction and the key points you will cover.
- Remember that the audience will be sympathetic – it could be them standing in your place so they know how it feels!
- Try to speak slowly and clearly – remember to breathe! – and pause from time to time.
- Try to sound enthusiastic and do not read a presentation (unless of course it is an important diplomatic speech or your first efforts in another language!)
- Keep hand gestures under control and try to make them supportive of a point.
- Face the audience and make eye contact with everyone in the room.
- Try to sound enthusiastic and if appropriate use humour.
- Keep to time – if you talk too long even the most interested audience will lose concentration (and be better prepared next time!)
- Finish with a summary of the key points.

Questions

- Indicate at the beginning when you will take questions: during your presentation or at the end (some people find it makes them even more nervous if they take questions during their presentation) Alternatively, if you are giving a long presentation, stopping every so often for questions helps the audience understand you better and holds their concentration.
- You can take questions in batches – this allows more people to become involved and raise issues.
- Repeat the question (people at the back might not have heard), or if it is long summarise it and ask "did I understand it well?" or "I think your core point is…"
- Do not make answers personal and avoid arguments – politely answer difficult people and a good way to terminate a difficult discussion is to smile and say "I think we are going to have to agree to disagree" or "This looks as though it could be a long discussion – perhaps we could continue it later over coffee".

WORKSHOP 2: DATA COLLECTION

Aim of the workshop:

To provide the participant with some tools and techniques for data collection in the field of gender and energy.

Time needed for activity:

2 hours.

Activities:

Discussion, role-play.

Note:

In this module, a distinction is made between gathering field data in communities (which is the subject of this workshop) and gathering data by more formal interviews with key informants (which is the subject of Workshop 3). There are of course some commonalities and participants are encouraged to read the material from Workshop 3 if it is not conducted as part of the course.

1 Field tools for collection of gender-disaggregated data

Data can be collected using different tools. Make sure you use gender-sensitive tools and also that you apply these tools in a gender-sensitive way.

Every project proposal should be based upon realistic, up-to-date data from the field. Whenever you intend to formulate a project, you should always be aware of the gendered aspects of the data you collect. This is not limited to differences in the contents of the data, but also in the way you collect data. The various techniques and tools for data collection can lead to different outcomes if you use them with women or men. This workshop will present some tools that can be used to gather gender-disaggregated data in a gender-sensitive way.

There are a large number of data gathering tools available. Many have been developed in association with Participatory Rural Appraisal. In this workshop we will discussed three tools:

- In-depth interviews;
- Local histories and time lines, and:
- Focus group discussions.

Discussion point 5.2.1.1

Exchange for 15 minutes your experiences with data collection for project proposal development. Talk about questions such as:

- What tools have you so far used to collect data from the field?
- What were your experiences with these tools?

- Did you pay attention to gender differences when collecting data? If so, how did you do this?
- In what ways could data collection in your organisation be improved?

2 In-depth interviews

In-depth interviews give a good understanding of important issues and can indicate differences between men and women in a community.

In-depth interviews are a well-known tool, especially when the focus is on the household situation. In-depth interviews are valuable because they give a good understanding of important gender and energy issues. An example is a household energy needs assessment. In such an assessment, interviews are held with the various household members. In relation to gender, this means you have to ensure that women's voices are heard. Therefore, it is best to interview the women separately from the men whenever possible. One way of achieving this is to interview the man and the woman from the same household simultaneously, using two interviewers. If women and men are interviewed together, women can be culturally constrained from speaking.

In-depth interviews should be held with representative samples of all subgroups within a community.

It is also important to realise that there are different types of households. Some are male-headed, some are female-headed. Female-headed households might have different needs, opinions, etc. The same goes for poor and wealthy women, educated and uneducated women, etc. To get a good overview of the situation (and to assure the quality of your interviews) you need to interview a representative sample of the population you want to address with your project. The size of this sample depends on the situation, but you should at least interview two or three people from each identified subgroup in the population.

Discussion point 5.2.2

Consider a typical rural village in a developing country. This village has both an indigenous population and some people who have immigrated over the last few years. There are some entrepreneurs, a school, a small grain mill and a healthcare centre, and most of the population have farming as their primary income source. In total, the population is approximately 5,000 spread over 700 households.

Brainstorm for about five minutes and come up with a collective list of all the subgroups in the village that should be interviewed if you want to have a good overview of the villagers' energy needs.

2.1 Framework for in-depth interviews

An in-depth interview can be carried out using a *structured questionnaire* or through a *semi-structured interview*.

Structured questionnaires provide comparable data but with limited depth.

Structured questionnaires provide a set of questions that the interviewer has to go through. The outcomes from using a structured questionnaire can be easily summarised and compared, as all the interviews produce the same type of answers. However, using preset questions limits the scope of the interview and the possibilities of gathering further qualitative data.

Semi-structured interviews can provide detailed data about certain issues.

Semi-structured interviews avoid this danger and can provide more in-depth information, albeit with a relatively smaller sample group. A semi-structured interview starts with some general questions or topics that have been identified beforehand. As the interview continues, the interviewer might ask for details on issues that are raised by the interviewee. The interview can go in many directions and it is up to the interviewer to ensure that the right information is collected. Semi-structured interviews require much more skill on the part of the interviewers, who need to go beyond the words of the interviewee and determine the meaning of things said.

Probing (asking for underlying reasons) helps to understand the deeper reasons for the things people say.

One technique to increase understanding in a semi-structured interview is *'probing'*. This means that every answer ("I walk for one hour to the forest to collect firewood") is followed by a question to increase understanding ("Why do you go to that forest? Isn't it rather far?"). The interviewer may need to encourage the flow of information by showing interest in the responses, such as by moving your hands or head in a culturally appropriate way, giving encouraging interjections ('mm mm', 'uh uh', 'oh?', 'so?', 'and then?') and by mentioning that the information is interesting. Try not to interrupt with further questions, wait until there is a pause and then use questions or short statements to encourage the interviewee to continue with their story.

To keep track of the issues the interviewer needs to address, a semi-structured interview requires an outline, perhaps in the form of a table, in which all the issues that need to be addressed are indicated. An example is given in Table 5.2.1. The interviewer who prepared this table has identified three issues to discuss, each with aspects related to energy services and gender roles (mainly factual). In addition there are some more exploratory questions where the interviewee's opinion is being sort.

Table 5.2.1: outline for a semi-structured interview

Issues to address	***Energy services***	***Gender roles***	***Comments***
Women's tasks that particularly involve drudgery	What energy services could be provided to change these tasks?	Does this change the gender-roles? (ask about feeling towards change)	Ask for suggestions to lighten these tasks
Women's tasks that take a lot of time	Are there options the women can think of to improve these tasks?	What would women do with their new 'free' time?	Are there possibilities or is there a need for education?
Awareness of possibilities for energy services.	What energy services do women know about?	How do these services influence the traditional role pattern?	Suggest additional services and ask for their reaction towards them

During a semi-structured interview, the interviewer should only take short notes about the answers and comments from the interviewee. Therefore, shortly after the interview, the interviewer should spend some time writing down the experiences and the main ideas expressed during the interviews before anything is forgotten.

Discussion point 5.2.3

Discuss the differences between and the advantages and disadvantages of structured questionnaires and semi-structured interviews. In plenary, talk for ten minutes about:

- What both types of interviews require from the interviewer;
- What problems could occur during both types of interviews;
- What the strengths of both types of interviews are;
- When you can best use each type of interview.

Activity 1: in-depth interviews

In this activity, participants will develop an understanding of the differences between structured questionnaires and semi-structured interviews. Pairs of participants will interview each other using different types of interviews and will compare the outcomes to increase their understanding of the differences. This activity takes 40 minutes.

Form pairs of participants. In each pair one participant will design a structured questionnaire and one will design a semi-structured interview. The interviews should focus on the energy needs of rural women for cooking purposes (see the box below for background information). All participants should try to find out what energy services the women in the rural village desire to lighten their cooking tasks and how much time this would save. Take ten minutes to prepare the interviews. Assume you will be interviewing a woman from a middle-income household.

Background

In the Sudanese village of Es Sadda, women use various energy sources to prepare meals for their families. In a previous analysis it was clear that most women use firewood, which they collect in a forest about five kilometres from the village. However, most households sometimes use more than one type of energy source for cooking. The analyses also showed that the various groups use different combinations of fuel types according to their economic status. The higher income families use commercial fuels (kerosene, LPG, charcoal and purchased wood), the middle income families use both commercialised and collected fuels (kerosene, charcoal, wood, crop residues and shrubs & grasses) whereas the poor families depend solely on freely collected fuel types (wood, crop residues, cow dung and cartons & plastic bags) for cooking.

The team task

A team is designing a project proposal for new energy services in the village of Es Sadda based on a previous analysis. However, it is necessary to return to the village for additional data gathering. One member of the team has been designated with finding out the needs of the poor and middle-income households in terms of energy for cooking. Cooking had been prioritised by women as an energy service they would like addressed. The objective of the interview is to find out what form this energy service should take, why this is, and how the interviewee thinks this will influence the current situation in the village (especially the gender relationships in the village).

Remember when designing your interview that the women will not use or understand terms such as “energy services” – so give particularly attention to the phrasing of your questions. After both participants have designed their interviews, they will interview each other in turn with the interviewee playing the part of a middle-income woman. Take ten minutes over each interview. Within these ten minutes the results should also be interpreted to provide an answer to the main question. After both interviews, the pairs should compare their answers and talk about the differences between the two methods for a further ten minutes. Focus on the questions posed in Discussion Point 5.2.3.

3 Local histories, timelines and life history traces

Timelines and local histories can be icebreakers and, at the same time, provide useful data.

This data collection method aims to assess how life has changed in the community over a specific time period. Remember villagers will probably not use calendar years (e.g. 1950) as their reference point but rather some significant event (e.g. since independence or since the drought when there was no harvest for three seasons). This data collection method can be carried out in an informal way with one or a number of people. The advantage of involving more than one person is that events are moderated and there is a consensus on what happened and when. This data gathering method can be useful as an icebreaker as well as providing useful data about changes that have taken place both in terms of resources and infrastructure (e.g. a forest area was closed off stopping wood gathering, the power line came within five kilometers of the village) and in socioeconomic terms (e.g. women were able to attend literacy classes; men began to help in collecting water). Time lines help mark when events occurred, and life history traces help identify what caused the event.

Activity 2: local history and timelines

In this activity, participants will try to create a timeline and history trace for an area they are familiar with (it can be a project area they have knowledge about that spans a number of years or their own home area). Participants will work in pairs. Each participant will take it in turns to interview their partner. The activity should take around thirty minutes in total (20 minutes for the two interviews and 10 minutes sharing results plenary).

The participants form pairs. One participant will give a brief description of the area about which the timeline will be constructed. The other participant will then ask prompting questions particularly in relation to finding out what changes in the way women and men obtain and use energy over a given period of time. A timeline setting out these changes should be constructed on paper. Can the causes of the changes be explained? The interviewer should ask prompting questions.

Participants should pin the results on the wall. Quickly review all the timelines. What do you notice when comparing the group’s efforts? What was the experience with this methodology?

4 Focus group discussions

Focus group discussions give insights into the opinions of a group and also about the relationships within a group. Mixed groups give insights into gender-relations in a community.

Focus group discussions can give a detailed insight in the relationships within a community. In a group discussion, the researcher observes the community members as they discuss a certain topic. The objectives of the researcher should be twofold: first, the researcher can use the focus group discussion to gather information about an issue - such as the consensus or lack of consensus on a certain issue; secondly, the researcher can gain an insight into the decision structures within the focus group: who has the power to make decisions? Who merely listens and only speaks when directly asked?

Focus group discussions – especially when they are held with mixed groups of men and women – can give an insight into the gender relationships within a community: what are the women allowed to decide, when do the men have this power, and how do men and women perceive various issues?

The researcher should try to form focus groups that are not dominated by a certain individual (the village chair) or a specific group (rich landowners). Often, this means that men and women should form different groups, as well as their being separate groups for the different social classes.

Once the researcher has presented the subject for discussion, she should attempt not to take any further part in the discussion. The researcher should observe and take notes of the things said, and the impressions he or she gains, during the discussion.

Focus group discussions are a useful tool to quickly gather a lot of information, but require a skilled researcher to get all the information that is presented down on paper. Small details can be significant: such as men getting angry when the women propose a specific solution, or an individual suddenly becoming silent.

Discussion point 5.2.4

What are your experiences with focus group discussions? How did you organise them in the past and how did you use the results? What was the role of the researcher in the discussion?

Have you ever encountered problems in focus group discussions and how did you deal with these?

Discuss this for about 15 minutes.

WORKSHOP 3: INTERVIEWING

Aim of the workshop:

To enhance the participant's skills and knowledge on interviewing.

Time needed for activity:

2 hours.

Activities:

Discussion; preparing an interview; interviewing; post-interview activities.

Note:

In this module, a distinction is made between gathering field data in communities (which is the subject of Workshop 2) and gathering data by more formal interviews with key informants (which is the subject of this workshop). There are of course some commonalities and participants are encouraged to read the material from Workshop 2 if it is not conducted as part of the course.

1 The need for interviewing

Interviewing is a method for gathering detailed and specific information from key informants.

Interviewing is a commonly used way to gather information for a project proposal. Interviews usually give more detailed and specific information than just statistical data. An interview is a good tool to gather qualitative information.

Interviewing is not as easy or straightforward as some people think: it is much more than just asking some predefined questions. Before, during and after the interview there are some things you need to be conscious of, and take into consideration. In this workshop you will be made aware of various aspects of interviewing and you will get the chance to practice interviewing.

Discussion point 5.3.1

Probably, you have been interviewed or have interviewed others at some point in your life. If you have, please share your experiences with the group. Think about:

- How did you plan and organise the interview?
- Did anything unexpected happen during the interview?
- From your experiences, what advice can you give others about interviewing?
- What would you do differently next time you are involved in an interview?

2 Preparing the interview

Before you start an interview, be clear on what you want to find out and familiarise yourself with the interviewee.

An interview is about gathering information, so the first thing you will need to decide is: what do I want to know from the interviewee? Although this preparation phase might seem easy at first sight, the opposite is often the case, as a lot of subjects are not easily discussed and you will need to be careful about the questions you ask. Table 5.3.1 suggests some steps to help you prepare for an interview.

Table 5.3.1: guide for preparing an interview.

Write down the objective of the interview (what do you want to know and what is the issue?).
Divide the objective into small parts that each deal with a certain element of the issue you want to address.
Do some research about what you already know on each of these parts. Anticipate the answers. The interview can be used to confirm what you believe, or throw up surprises that need follow up – either during the interview or afterwards.
Create questions based upon what you already know and what you want to know after the interview. Make sure there is enough time to address the questions: be selective with the questions you ask – choose only those that you really need answers to!
If time is short, prioritise your questions, so the most important ones will be asked.
Find out about the interviewee: what is he/she like? Are there any things to be aware of during the interview (for example, is the interviewee likely to give over elaborate answers which use up time). What has she/he said on this topic before?
Inform the interviewee about the purpose of the interview, and how long you intend to take, and – if this is agreed upon – send the interviewee a copy of the questions, in advance.

It is wise to remember that an interview should ideally not last longer than 30 minutes. After this time it will become more and more difficult for both the interviewer and the interviewee to concentrate.

2.1 Creating questions for the interview

Different types of questions can be used to gather information: open questions that require an elaborate answer and closed question that require a specific answer.

Creating good questions that are clear and result in the information you want, is perhaps the most difficult thing about interviewing. There are different types of questions and the most appropriate type depends on the purpose of your interview. There are two main types of questions:

- Open questions, which require an elaborate answer from the interviewee. Usually such questions are used to explore an issue in depth and gather as much information as possible;

- Closed questions, which require a short, simple answer from the interviewee. These questions are useful to acquire specific information or to confirm assumptions or data.

A combination of different types of questions usually gives the best result.

Usually a combination of different types of questions gives the best result. For example, you could ask the open question: "what have been your experiences in trying to involve women in implementing renewable energy projects in this country?" and confirm a certain element of the answer with a closed question: "so you would advise us to first focus on providing women with some technical knowledge and skills so that they feel more confident to participate?"

Questions can require the interviewee to provide information in different ways: to recall information, to analyse a statement or to interpret information. Table 5.3.2 gives examples of these three types of questions. Using a mixture of these types of questions in an interview not only provides you with useful information but keeps the interview lively and holds the interviewee's attention.

Table 5.3.2: three types of useful questions for interviews

Type	**Explanation**
Generation or recall questions	Questions that ask for data: what, who, when, where? The interviewee is asked to recall facts or relate former experiences, and to share them with others. *When was gender training introduced into the Ministry of Energy? Who carried out the training? What was the reaction of staff?*
Analysis or explanation questions	Questions that stimulate the interviewee to manipulate information: to relate facts and detect relationships: how, why, under what conditions? Such questions lead to understanding or underlying relations, causes, and consequences. *Why have more male-headed households than female-headed households bought solar home systems?*
Interpretation or evaluative questions	Questions that ask for an evaluation of information, to attach meaning to it, to draw conclusions with respect to possible or required actions to be taken: W*hat do you conclude from this? How do you evaluate the situation? What action should/could be taken to solve this problem?* The interviewee is asked to state and support their views on the issue. *How would you increase the number of femal- headed households acquiring solar home systems?*

Try to test your questions on a colleague before you use them: this can give useful information on the appropriateness and the clarity of your questions.

You can pilot test your interview on a few of the target audience, or on a colleague.

If you have a large number of people to interview with the same set of questions, use a small number of the sample to pilot test the questions. Revise the questions if you do not seem to be getting the answers you are expecting: perhaps the questions are too long or too complicated to be easily understood; perhaps you are using terms and expressions that are unfamiliar or have multiple meanings. The word "empowerment", for example, has different meanings for different people. If the respondent is interpreting the word in a different way to what you intended, you should be able to detect this from the responses you receive. To do this you should compare the answers you get with the answers you expected (while of course not forgetting that unexpected answers are not only a result of ambiguous questions!). Sometimes you may need to introduce a question with a brief explanation, why you are asking it ("I'm exploring the impact of gender awareness training in the energy sector") or explain terms ("I'm exploring women's empowerment through their involvement in the solar homes maintenance programme. By *empowerment*, I mean increasing women's economic opportunities in their locality").

2.2 Length of an interview and number of interviews

Do not make an interview longer than 30 minutes as concentration will start to fall.

Interviews require a lot of concentration. Therefore, it is suggested that you limit the length of an interview to half an hour. Depending on the demands of the interview (i.e. open questions or closed, check questions), the number of interviews should be limited to around five per day.

Remember, you also have to allow time for travelling (even if it's only from one office to another!) between interviews. Also, keep in mind that if you decide to write down notes during an interview, rather than recording the interview, that this will take some time and will slow the interview down. Even when you record the interview on tape, you will need to allow some time between interviews to make notes about things that were not caught on tape, such as the impression the interviewee made (were they reluctant to answer questions, did they appear uncomfortable during the interview?). Transcribing from tape also takes time.

2.3 Cultural appropriateness

The success of an interview is partly determined by the relationship between the interviewer and the interviewee.

Interviewing is a process in which two people (the interviewer and the interviewee) interact in an intensive manner. The results of this interaction are determined by the nature of the relationship between the two people involved. If they feel comfortable with each other then a positive outcome is more likely than if they are uncertain about each other. If they do not know each other, then this relationship is influenced strongly by first impressions, including what you are wearing, your mannerisms and the first sentences spoken (which need to fit cultural norms to create a positive impression).

When you design and plan an interview, you should be aware of the possible differences between the interviewer(s) and interviewee(s), and the consequences of this on the interview. Think about:

- Gender differences (men interviewing women or vice versa);
- Age differences (juniors interviewing seniors or vice versa);
- Differences in (perceived) social status (university researcher interviewing rural women and men, rural women interviewing government officials, etc.);
- Differences in origin (urban people interviewing rural people, foreigners interviewing locals, etc.).

These and other differences will influence the outcome of the interview. The interviewee will (unconsciously) give different answers to different interviewers. In this workshop, gender differences as they affect interviews will be addressed.

Gender differences in interviews

Men and women communicate differently due to cultural, traditional and natural causes. Some guidelines can help to limit the consequences of these differences.

The differences between men and women in the context of an interview are shaped by culture and tradition, and also by gender roles. The relationship between a man and a woman, and the way this influences the outcomes of the interview, is also shaped by the other factors mentioned above.

As gender differences are very culturally bound, it is hard to give general guidelines for interviewing. Discussion Point 5.3.1 raises some of the commonly encountered situations in interviews involving women and men.

Discussion Point 5.3.1

In plennary, discuss for 20 minutes the following situations that might arise in interviews. What suggestions can you offer to deal with these circumstances? The only condition is that you cannot change the sex of the interviewer!

When a man has to interview a woman:

- The woman does not feel comfortable being alone with a man she doesn’t know.
- The interviewer wants to find out what ideas the woman has to solve a problem such as fuelwood shortage, however she only talks about her experiences, e.g. harassment by forest guards, smoke in the kitchen. How can he find out what her ideas are?

When a woman has to interview a man:

- An interview is conducted by a young woman with a senior male official in the electricity utility about the lack of women in senior management positions. The interviewee considers that this is women’s own fault: they are not physically strong (so cannot get the practical experience) and they only want to have babies. He suggests conducting the rest of the interview in a restaurant. What should the interviewer do?
- The interviewer wants to know about how the interviewee would feel about his wife participating in a training programme on diesel engine maintenance. Instead he keeps talking about the need for an irrigation scheme. How can she get the information she wants?
- *Do you have experience with other types of incidents that have occurred when trying to interview a member of the opposite sex?*

2.4 Structuring the interview

Interviews usually have a common structure.

An interview should always be well structured. Even the shortest interview should at least contain some basic elements. The structure helps you to organise the interview and ensures that the interviewee feels comfortable and does not get confused.

Table 5.3.3: the structure of an interview

Phase of the interview	***What is done?***
Introduction	Start with opening formalities that are appropriate to the cultural context
	The interviewer has to make the interviewee feel comfortable, for instance by asking some informal questions – if appropriate start with an icebreaker, such as a light hearted remark about a neutral topic such as the weather
	Indicate when the interview formally starts.
	Explain the purpose of the interview and the conditions (length, etc.).
	Indicate what you are going to do with the results and ask for permission to write down or record the answers. Establish whether or not statements can be published in an attributable way. Indicate if you are prepared to submit a copy of your report of the interview for checking before publishing.
Core	Start with you first question and be prepared to modify the other questions depending on the answers you receive.
	Get the interviewee to confirm the facts you are especially interested in.
	Interpret the things the interviewee is saying and ask for confirmation.
Closure	Thank the interviewee for his or her time and cooperation.
	Agree on the next steps (will you send a summary of the interview to the interviewee for revision before you use it, etc.).

Do allow sufficient time at the beginning for the introduction and the informal chatting since this helps the interviewee relax and so more likely to respond to your questions.

Section 3 discusses the interview process in more detail.

Activity 1: design an interview and questions.

During this workshop you will design and carry out an interview. In this first activity you are asked to design an interview structure. This will be done individually. However, pairs will first be formed that will work on at topic together during the workshop. Take 20 minutes to design an interview structure, on a topic related to gender and energy that could be used in project proposal development.

Form a pair with another participant, ideally a participant you do not know that well. You will interview each other later in this workshop, but first you will design a structure for that interview. The topic of the interview will be the experience of the other participant in integrating gender and energy issues in the project proposal development process. You could focus, for instance, on the way the interviewee's organisation has so far included gender in its project proposal for designing a training programme to improve its practices and procedures.

The interviews will each last ten minutes, so be sure you have enough questions to ask, but also limit the scope of the interview so you can obtain sufficient depth in the information you gather. For an interview of ten minutes, three open questions may be too many, especially if you want to confirm answers by asking closed question as well. Here, where we are focussing more on the structure of the interview rather than the breadth of coverage, one or two good open questions will be sufficient. Use the structure given above as an outline for the interview.

3 During the interview

In the structure suggested in Table 5.3.3, something has already been said about what you need to do during the interview. However, here are some other aspects to keep in mind:

- The need to reiterate the purpose of the interview;
- Start the interview in a relaxed and pleasant atmosphere; make sure that you break the ice at the opening;

Keep an eye on the time.

- Keep an eye on the time. Have your questions divided into those you 'must' have an answer to and those it would be useful but not absolutely essential to have an answer to. If time is getting short, you can leave some of the latter out;
- It is probably better to ask fewer of the questions on your list and have clear answers than to rush through them all with only half clear answers;
- Ask questions that are likely to lead to the required information and allow the informant to some extent to follow their own line of thought. However, make sure you stay on the subject;

Encourage the flow of information by appropriate signals.

- Encourage a spontaneous flow of information by asking further questions, repeating what the interviewee said, making comments supplementing the interviewee's statements and showing interest in the answers (such as by using head and hands in a culturally appropriate way) and mentioning that the information is interesting;
- Give encouraging interjections ('mm mm', 'uh uh', 'oh?', 'so?', 'and then?'). Do not interrupt. Do not appear negative about the answers since this may antagonise the informant. Do not argue or enter into a debate.
- When the questions are answered vaguely, pursue them in a non-aggressive and pleasant way by summarising answers until they are fully clarified. However, be alert – vague answers might mean you have asked about a sensitive issue which should not be pursued. Also, don't embarrass people by continuing to press on a topic they do not know about but don't want to loose face!
- Be alert to non-verbal messages (such as shuffling papers on the desk), feelings and impressions. Non-verbal messages might indicate embarrassment or sensitivity (see previous point) on the part of the interviewee – or that the interviewee is signalling that the interview is drawing to a close (!);

Non-verbal information can also contribute to the answers.

- There are advantages and disadvantages in taking your own notes during an interview. Sometimes people use a colleague to take notes, or use a tape-recorder. Taking notes during the interview takes time, limiting the number of questions you can ask, whereas recording the interview requires time after the interview to transcribe the tapes. As non-verbal messages are not caught on tape, you might lose useful information if you just record the interview. Interviewees can be inhibited consciously or unconsciously by the presence of a tape recorder. Always ask permission to use a tape recorder.

- Record facts and opinions during the interview, note impressions and feelings after the interview;
- Before leaving, confirm what you have noted and check whether you have understood the interviewee correctly not only in terms of the answers but agreements about attributing statements and submitting a copy of the report before publishing. Thank the interviewee for their help, thus leaving the way open for follow up contact if necessary.

Discussion point 5.3.2

What do you think are the advantages and disadvantages of taking your own notes during an interview? What are the advantages and disadvantages of using a colleague to take notes or using a tape-recorder?

In which situations are the various methods of ‘recording’ the interview most appropriate?

Activity 2: interview the other participant.

With the use of your interview structure and the tips given above you should now be able to interview another participant. Both take ten minutes to interview each other and use five minutes after each interview to discuss the interview (30 minutes).

Together with your partner, decide who will start as interviewer and who will be the first interviewee. Use the structure you designed in the previous activity to organise the interview.

After the first interview, evaluate the interview together. Was the objective achieved? Was the objective clear to the interviewee? Did the interviewee feel comfortable? Were all the questions answered? Was there enough time to ask all the questions?

After you have assessed the first interview, change roles and do the second interview. Again, evaluate the interview.

Discussion point 5.3.3

Following all the paired interviews it is useful to exchange experiences as a group. Report the most notable experiences to each other. Think about ways you could have improved the interviews. Discuss the strengths and weaknesses of the used structure, etc.

4 After the interview

Keep in mind that, after the interview, you have to do something with the results *and* with the experiences from the interview itself.

After the interview is over, the process is not finished. The written or recorded notes have to be documented and used. This should be done as soon as possible after the interview as this will give you chance to note down important items that you might not have had time for in the interview. Many people conducting a number of interviews forget this important step in the process and much important information is lost. They fill the day with appointments and then there is no time to write the material up. It is better to include one less interview in a day and allow time for writing up notes. That way valuable data is preserved and your research will be of a better quality.

If the interviewee has to receive a typed copy of the interview for verification, send it as soon as possible after the interview so that points made will be fresh in both minds. Illiterate people will have to be informed about the contents of the documented notes in a different way, for instance by holding a debriefing meeting with them.

It is also useful to evaluate the interview: were all the questions appropriate? Which questions could be used again? Which questions were not answered? Which questions need revising? This is especially useful when you have to repeat the interview with several interviewees.

Think about the following things after the interview:

- Read over the notes of the interview, list points to be checked and file information in a systematic way;
- If it was agreed upon, send the interviewee a typed version or summary for verification;
- Use information from one interview to prepare questions (e.g. cross-checking or tentative ones) for other interviews;
- Send a 'thank you' to the interviewee for their time and commitment

WORKSHOP 4: NEGOTIATING

Aim of the workshop:

To increase the participant's knowledge about negotiation and to enhance the participant's negotiation skills.

Time needed for activity:

2 hours.

Activities:

Discussions, role plays.

1 What is negotiating?

At various stages of the project proposal development process, situations will occur where negotiation is needed, for example with professionals you intend to hire for the project or with partners about the budget allocations you intend to make.

Negotiating is about two or more opposing parties reaching a consensus. All sides need to surrender ground to achieve this.

Negotiating is not the same as interviewing. In the context of this module, negotiation is a discussion between two parties, who aim to work together in a project, about the division of resources and responsibilities. Each party will have their own ideas about how they want to benefit from the cooperation and what they expect each party to contribute. At the beginning of the negotiation process there may be only minor or very considerable differences between the two parties about the division of resources and responsibilities, but the overall aim of the negotiations is to try to resolve these differences and to reach a consensus. To reach a consensus, both parties will have to move from their starting positions towards one that is acceptable to both sides. This means that negotiating amounts to a process in which two parties gradually surrender ground until an acceptable outcome for both sides is found, in other words neither party feels that they have given too much away and that their organisation will benefit sufficiently from the agreement.

In this workshop, some general guidelines for successful negotiating will be given, as well as some techniques and strategies to help you negotiate in future. To practice your newly acquired skills, some role playing will be undertaken.

2 General rules for good negotiating

Good negotiating is tough, but not unfriendly or negative.

Negotiations often seem unfriendly and tough. It is a situation where many women lack sufficient experience, and they do not feel confident or comfortable with aggressive or confrontational behaviour. However, negotiating does not necessarily have to be competitive or confrontational. In this workshop, we will give some tips which will help you feel more confident in negotiations, and reduce the risk of having unnecessarily stressful encounters.

Firstly, remember that (at least in the context of this module) the process of negotiation aims to find a solution that suits all the parties involved. To keep the negotiating process friendly and reach a successful outcome, the general rules given on the next page can be useful. Please note that in the context of this module, we are considering people and organisations that want to work together - we are not trying to solve disputes between antagonistic parties. Such situations require different negotiating skills.

Discussion point 5.4.1

In the group, talk for fifteen minutes about the experiences you have had with negotiations.

Under what circumstances did you have to negotiate (time pressure, a major contract, first experience of being responsible for your organisation etc.)?

How did it feel when you were negotiating? Did you feel comfortable or was there an uncomfortable (possibly hostile) atmosphere? What contributed to the manner in which the negotiations were conducted?

Was your counterpart aggressive towards you? How did you deal with this?

To ensure that your negotiations are successful and take place in a positive environment, the first step is good preparation. Here are some things to think about as part of that preparation:

- What is your immediate objective in the negotiations you are about to undertake *as well as* the goal you have in terms of the relationship with the other party: do you hope to work together more often? This will shape the way you approach the other party.
- Secondly, think about how to measure whether you achieve your objectives or not. What are the indicators of success? Monitor these indicators during the negotiation process.
- Third, think about who has formal and informal authority to make decisions, both in your organisation as well as in the other party. Quicker results are much more likely if you and your counterpart have the authority to make decisions during a negotiating session. If the session has to keep stopping while one of you consults someone for authorisation this can disrupt the dynamics and rapport that has built up and may take time to re-establish. On the other hand, if tensions have been building, having a break in the negotiations can allow some cooling-off. (Sometimes negotiators use the "need to consult my boss" strategy for this reason.)

The next step is to think about which negotiating style to adopt to best enable you to reach your goals. Negotiating styles involve the manner in which you behave towards your counterpart (e.g. friendly, aggressive) and the degree of flexibility you can accept in reaching your goals (e.g. "all or nothing"; compromise). Table 5.4.1 shows three different negotiating styles: *soft and hard positional bargaining and principled bargaining.* Each style has ways of behaving towards the counterpart, of viewing the counterpart and the stance to be adopted in respect of the outcome. The ways in which these different behaviours appear in negotiations are culturally determined and so the table should be interpreted in a particular cultural context. If you are going to be negotiating in a multicultural context you should familiarise yourself with the mannerisms (words and body language) of your counterpart's culture.

In this unit, we are focusing on reaching consensus with some give and take. It is assumed that a general objective of the negotiation is that there should be no damage to future cooperation with the counterpart. However, other more specific objectives related to the matter under discussion should also be reached to your satisfaction. Giving the counterpart all that they ask for might make them want to work with you again in the future but, would it be good for your organisation's long term survival? The negotiations should take place in a positive environment. So, which style should you adopt?

Negotiating styles can result in different outcomes. Positional bargaining brings benefits to both parties and is conducted in a professional atmosphere.

The three negotiating styles result in different outcomes. With positional bargaining, one party wins at the expense of the other. With principled bargaining, both parties benefit and gain something from the negotiations. In positional bargaining, the attitudes are highly personalised and can end up in confrontation. In principled bargaining, the negotiators maintain a personal distance from each other (adopt a professional manner) which enables both sides to analyse what is happening in respect of the content of the negotiations without being distracted by personal politics. This does not mean that principled bargaining is conducted in an unfriendly environment. Current management theory considers that this style is most likely to produce satisfactory outcomes for both parties and lead to sustainable working partnerships. Remember, you have invested a lot of resources in developing a relationship with this project partner so it is worthwhile trying to ensure that the investment continues to be fruitful for both parties.

Table 5.4.1: Negotiating Styles[1]

Positional Bargaining		**Principled Bargaining**
Soft	**Hard**	
The goal is to achieve some of your objectives	The goal is complete victory in respect of your objectives	The goal is to solve problems efficiently and amicably
What attitude should you adopt towards your counterpart?		
Treat them as a friend	Treat them as an enemy	Treat them as a professional
Make concessions to cultivate the friendship	Demand concessions as a condition of continued	Separate people from the problem

[1] Based on Getting to Yes, Negotiating Agreement Without Giving In, Roger Fisher & William Ury, of the Harvard Negotiation Project, Penguin Books, 1991, p 13

	cooperation	
Be friendly to your counterpart and relaxed towards the problems under discussion	Be intensely focused on the problem and forceful towards your counterpart	Treat your counterpart respectfully and amicably, focus on the problems under discussion
Trust others	Distrust others	Respect their professionalism
What stance should you adopt towards reaching agreement?		
Change your stance easily	Refuse to change your position	Focus on common interests, not on positions
Make offers	Make threats	Explore interests
Disclose your bottom line	Mislead as to your bottom line	Avoid having a bottom line
Search for the single answer: the one *they* will accept	Search for the single answer: the one *you* will accept	Develop multiple options to choose from; decide later
Accept one-sided losses to reach agreement	Demand one-sided gains as the price of agreement	Look for win-win options for mutual gain
Insist on agreement	Insist on your stance	Insist on using objective criteria for reaching agreement
What attitude should you adopt in closing the negotiations?		
Try to avoid a contest of will	Try to win through a contest of will	Try to reach a result based on objective criteria.
Yield to pressure	Apply pressure	Use reasoned arguments and be open to reasoned arguments; yield on principles, not to pressure

Activity 1: Negotiating styles

Negotiating styles can lead to different outcomes and they influence the atmosphere in which the negotiations are conducted. We are aiming to reach an acceptable outcome while at the same time making the negotiation experience not too stressful. In this activity, you will look at an imaginary negotiation situation (but the situation will no doubt be familiar!) and analyse the process in terms of negotiating styles and the outcome of the process. The activity will take 35 minutes and involves work on individual, pair and class levels.

Below is a short sketch with two people involved in negotiations related to an employment contract. Take 10 minutes to read the sketch and try to identify which negotiating styles are being used. What are the objectives of the two negotiators? What is the outcome? When you have completed this task discuss your answers with another participant (10 minutes). Do you agree with the style adopted by Miriam? What would you have done in her place? Then discuss the answers to these two questions as a group (15 minutes).

Miriam Kidone was appointed in January as an energy specialist by the NGO 'Save Energy for Nature', initially on a six-month contract for $1500 a month. In the following July, Miriam learned that her predecessor, a male energy specialist Jimani Kiwale, who was the same age and had the same *qualifications, was paid a salary of $1700 on a similar contract. In its organisational rules and regulations, the NGO states that salary levels should be based on age, qualifications and working hours. Disturbed that she had been underpaid, she called on the director of the NGO, Mr Mpake, to discuss the problem.*

Miriam: Mr Mpake, I have just learned – and please correct me if I am wrong - that according to the rules and regulations, I should have been paid $1700. Have I been misinformed?

Mr Mpake: No, you weren't. Why do you think that? Don't you trust me?

Miriam: I appreciate your confidence in me, by offering me a contract. But I would like to know why I get less salary than I should have. I think this is not fair.

Mr Mpake: It's funny that you mention fairness. What you are really saying is that you just want more money and that you are trying to take advantage of now being in service with our organisation when you should have discussed these sorts of issues before you signed your contract. (*Beginning to sound irritated*). Perhaps we should discuss this along with renewing your contract. I'm not sure that our finances will cover a new contract at a higher salary.

Miriam: I must not have made myself clear. Of course, if I get extra salary that would be good. Of course, I am committed to my job until the end of my contractual period and I would like to stay with "Save Energy for Nature". However, more important than making a few dollars more here and there is the feeling of being fairly treated. No one likes to feel cheated. And if I made this a matter of who is in the right and refuse to compromise, I'd have to go to court, waste a lot of time and money, and end up with a big headache. You would too. Who wants that? No, I want to handle this problem fairly on the basis of some independent standard, rather than who can do what to whom.

Mr Mpake: Don't you trust me? I was the one who appointed you to the job!

Miriam: Mr Mpake, I appreciate the opportunity you have given me in working for "Save Energy for Nature" but trust is not the issue here. The issue is the principle: Did I get less than I am entitled to under the organisation's own rules? Perhaps we should make sure that there is no misunderstanding and that we both have the same facts about the situation. Could I ask you a few questions to see whether the facts I've been getting are right?

Mr Mpake: Go ahead, but don't take too much time.

Miriam: Are the organisation's rules and regulations still actively followed? Shouldn't I, in accordance to these, receive a monthly salary of $1700? Was I informed about the system of remuneration at the beginning of my appointment?

Mr Mpake: The workload in the job you do is lighter than with your predecessor. I thought you would understand that, because it is so evident. Why are you making such a fuss about this small salary difference?

Miriam: Let me see if I understand what you're saying. You think the salary you pay is fair because my job's workload has become lighter. It wasn't worth your while to check the rules and regulations for reducing the salary for an existing job if the workload involved becomes lighter. Now you are concerned that I am taking an unfair advantage of you and trying to get money from you as the price for staying with the organisation.

[*Mr Mpake is beginning to look like he is about to lose his temper*.]

I have to think all this over. Can I get back to you tomorrow some time?

Mr Mpake: All right, but my agenda does not have much space.

<u>Next day</u>

Miriam: Let me show you why I have trouble following some of your reasons for paying me $200 less than my predecessor. I have consulted the Rules & Regulations of our organisation. They state clearly that salary levels are based on age, qualifications and the number of working hours. The workload is not mentioned there as a determining factor.

The working hours of my job did not change and I also doubt whether the workload of my job is lighter than it was before. I have talked to Jimani about this and we really could not detect a clear difference between his workload and mine.

Mr Mpake: I think that the assessment Jimani and you have made is somewhat subjective. That does not give me enough proof.

Miriam: I think we should reach an agreement now about my work load. If we can't reach an agreement, then I can see no other solution than a court case, which will give us both emotional and financial troubles. I am very reluctant to do this but if you leave me no option… I feel confident that we can settle the matter fairly to your satisfaction and mine.

Mr Mpake: If we found that your workload was lighter than Jimani's, you mean you would take on more work?

Miriam: As long as we are agreed on the appropriate salary for my job, I am happy if we could jointly periodically assess the hours and tasks for my job. How would you propose assessing this?

Mr Mpake: Your proposal sounds reasonable. Let me think about how we can monitor your workload the best. Once we are agreed, we can monitor the situation for three months and if your workload is the same as Mr Kiwale's then I will agree to pay you the same salary as he received.

Miriam: That sounds reasonable, although the salary should be backdated. Thank you Mr Mpake, I appreciate your taking the time to resolve the issue.

[*They shake hands and both look satisfied.*]

3 Practical hints for negotiating

Various negotiating techniques are suitable for different situations, based on your relationship with the other party, status, knowledge about each other, etc.

There are various possible approaches to negotiating. The way you enter negotiations is based upon different aspects: your relationship with the other party, how well you know the other party, your gender, etc. Although all these aspects shape your negotiating technique, there are some general techniques you should always keep in mind:

- Allow enough time for the negotiations: slow the process down if you feel more time is needed to get used to a new situation;
- Look for, and talk openly about, common ground: do not concentrate on areas of conflict, give more attention to anticipated common ground;
- Identify your – and the other side's – ideal and realistic outcomes: identify the likely range within which the outcome will fall;
- Don't be irritating;
- Avoid immediate counter-proposals which introduce additional options, or new issues which cloud the clarity of the negotiations;

- Don't get involved in a spiral of defence or attack: negotiations do involve conflict, but don't get heated and emotional. Being straightforward in your message can prevent such a spiral. Alternatively, suggest a "time out" to allow tensions to disappear;
- Give indicators of how you are going to behave: instead of asking "How much will it cost?" warn that you are going to ask a question: "Can we talk about the price now?" This technique reduces ambiguity and makes the negotiator's intentions clear.
- It is essential to avoid labelling disagreement. Never say "I disagree with that because …" , instead, begin your response by outlining the reasons that led up to the disagreement;
- Sort out misunderstandings by testing understanding and summarising.

There now follow two activities in which you can practice negotiating skills in two situations that can occur during project proposal development. They take 40 minutes each and there may not be enough time in the workshop to do both. The trainer will give you instructions on how to proceed.

Activity 2: the project team and hiring an outside professional.

A common point for negotiations in project proposal development is when the project proposal development team has to negotiate with professionals they want to hire for the project. In this activity, pairs of participants will practice their negotiation skills in such a situation. The activity takes 40 minutes (10 minutes preparation, 20 minutes negotiating and 10 minutes to exchange experiences).

Form pairs of participants. In each pair one participant will be a member of the project team and one will be the professional who is going to be hired for the project. Together, they need to reach a consensus about the terms on which the professional will work on the project the team member is developing. As time is limited, so is the number of subjects on which consensus can be reached. These are limited to: (i) the period the professional will work for the project, (ii) the total amount of time the professional will spend on the project, and (iii) the location from where the professional will work.

Decide which role you will play. The trainer will give you the instructions for your role. Please read the instructions role carefully and try not to disclose to your partner what your instructions are. Take ten minutes to prepare for the negotiations. Think about your ideal situation and your acceptable (minimal) situation, as well as about the relationship between the various issues. Think about what you will reveal to the other side during the negotiations. Discuss and negotiate around the issues for 20 minutes and try to reach a consensus. Use the techniques and rules given above.

After these 20 minutes, exchange your experiences in plenary. Did you reach a consensus? Why (not)? Which techniques and rules presented in Table 5.4.1 and Section 3 proved useful and which didn't?

Activity 3: budget negotiations.

A difficult point in negotiations is the budget. Some parties will try to keep costs as low as possible or get as much work done within the budget, while others are more interested in quality at a higher price. In this course activity, small groups of participants (four people) will negotiate about the division of a budget between expensive professionals and cheaper, less-experienced personal. The activity will take 40 minutes (10 minutes preparation, 20 minutes negotiation, 10 minutes discussion of the experiences in plenary).

Form small groups of four participants. In this activity, the participants will be from one fictional organisation. Within each group, two participants will be advocates of using cheaper personal to get more work done (imagine these are people from the finance department), while the other two will advocate for quality, aiming to use more expensive professionals to deliver a better product (imagine these are people from the research department). Both parties include one person who adopts an extreme stance and one person who is more moderate. The moderate person is the decision-maker although everyone has to reach a consensus.

The phase you are negotiating about is the data gathering/project identification phase, so there are many arguments to advance both for cheap labour (think about increased possibilities to do field studies) and for expensive professionals (think about experience). The project focuses on an analysis of the energy needs of men and women in rural villages not connected to the electricity grid, and should bring possibilities for improved livelihood conditions and income-generating activities. The estimated budget for the analysis is $20,000. This amount can be debated! For more information, study the case notes below.

The project needs to analyse the energy needs of men and women for a gender-aware energy project in remote rural villages in a developing country. About 10,000 families live in the target area, mostly relying on agriculture. The situation is comparable to the situation in the rural areas of other countries.

Within the project proposal development team there is a discussion about the use of an experienced professional to analyse the situation versus the use of one's own staff to analyse the situation and using cheaper, less-experienced personal on site (e.g. students).

The cost of a student is $50 per day. When the students are on-site (interviewing, etc.) there is an additional cost of $20 per day per student for housing, local transport, etc. A student can interview up to five families per day. To analyse the gathered data, students can also be used. One student can analyse the information from 25 families per day.

Students need to be trained for two days before they can go to the field. Students would also need to be trained for a further day to be able to analyse the gathered data. A training specialist costs $1,000 per day and can train up to ten students. To send a student into the field requires an investment of $1,000 for the ticket, etc.

Alternatively, one could use professionals, who are more expensive but who can deliver work of higher quality with their experience and do not require training. However, it is almost impossible to compare the work of a student to the work of a professional and so this can be the subject of debate.

A professional researcher costs $2,000 per day in the field, plus an additional one-off investment of $1,800 for a business class ticket, etc. The professional estimates that five days would be needed on-site to analyse the situation. The professional says he would need a local guide for the five days at a cost of $ 250 per day. Furthermore, the professional estimates that they could process the gathered data (and write a report) in two days at a cost of $ 1,500 per day.

Prepare for the negotiations be considering the strategies given above for ten minutes. After that, try to reach a consensus in 20 minutes and then discuss your experiences in plenary for ten minutes. Did you reach a consensus? Why (not)? Which strategy did you use and did it work?

4 Final remarks about negotiating

Some final points to keep in mind when you start negotiating are:

- Do not get emotional;
- Do not attack your counterpart either personally or professionally;

- Do not make long lists of arguments or long statements;
- Do not react negatively to everything your counterpart proposes;
- Treat your counterpart with respect ;
- Do not interrupt your counterpart;
- Do not make issues personal.

WORKSHOP 5: FORMULATION OF CVS

Aim of the workshop:

To provide the participant with the knowledge and skills to design and write a CV as well as to evaluate others.

Time needed for activity:

2 hours.

Activities:

Discussions; writing exercise.

1 The importance of CVs

CVs are very important in project proposals. The judgment of your organisation's capacity is based on the CVs supplied.

When you respond to a call for proposals, a lot of the attention in the assessment of your proposal will be on the Curriculum Vitae (CV). From the CVs of your individual staff members, the funding agency will form its judgement about your organisation's competence and ability to fulfil the TOR. Therefore, producing CVs that reflect the skills and experience you claim for your organisation are very important in project proposal development.

A CV should provide information about educational and professional backgrounds of partners in relation to the project topic.

A CV should provide the funding agency with information about the educational and professional background of the staff involved in the project. Thus, a CV should always be linked with the requirements formulated in connection with the assignment on which the proposal is being based. Also, the CVs of all staff whose names appear in the proposal should be adapted to the specific features of the project. They should be concise and to the point; and they should all be presented in the same format. In this workshop, you will learn how to formulate a CV related to a specific assignment. Also it should not be overlooked that different funding agencies have distinct formats for a CV.

Discussion point 5.5.1

Everybody has brought their CV to this workshop. Form pairs and take a look at each other's CV. Note your impressions of the CV. Think about things such as: what does the CV tell you about the experience of the person in terms of gender and energy? Which elements of the CV are useful and which elements should be changed/deleted? Take 15 minutes to analyse the CV and discuss your experiences in pairs.

Discussion point 5.5.2

Based on your experience of studying the CV of another group member, try to draw general lessons about the formulation of CVs. As a group, discuss for ten minutes and try to reach a consensus on:

- The structure of a CV;
- The most important elements of a CV;

2 The elements of a CV

Every situation requires a different CV, based on stated requirements.

The use of CVs and the CVs themselves differ from situation to situation. It is therefore always advisable to look at the official requirements for CVs in a given situation. These requirements may be stated in the Terms of Reference, in the project proposal or in a Letter of Invitation.

In many cases, a standard *Professional Staff Personal History Form* is used to detail the requirements of the CV. The following elements are often found in these requirements:

- Personal data;
- Educational experience;
- Professional organisations;
- Professional Experience (for a relevant period, often for the last ten years);
- Attended training/workshops/seminars (for upgrading professional skills);
- Publications (group into consultancy reports, scientific articles, survey reports and overviews.).

Some organisations require the following additional elements:

- A short summary of the main developments in one's professional career;
- An inventory of the professional experience relevant to the assignment. If so, remember to highlight gender and energy experience.

Always, try to limit the length of a CV.

Although there is quite a lot of information to put in a CV, it should not be too long. A maximum of three or four pages of A4 is common. Remember that a short CV is generally preferable to an extensive CV, especially when several CVs need to be compared.

Discussion point 5.5.3

Elements of a CV are given above. Were all these elements present in your own CV? Discuss the following as the group for 20 minutes:

- How do you think each of the elements is weighted?
- What should be included in each of the elements and what should definitely be left out?
- Can you give tips or come up with ways to include as much information as possible in your CV without making it too long?

Activity 1: write your own and assess someone else's competitive CV for a specific assignment.

You can use your CV to present your skills to someone who might hire you for a certain task, and also assess your own or someone else's CV to see whether or not you would be realistic candidates (on the basis of the CV) for this task. This activity is done in pairs and takes an hour in total, of which 30 minutes will be used to write your CV, 15 minutes for your partner to assess it, followed by 15 minutes to discuss your experiences in plenary.

You are asked to submit your CV to a team tendering for a project. You are not employed by any of the organisations in the team, but they have heard that you are involved in ENERGIA and therefore must have experience in gender and energy. Their team is weak in this area of expertise and, therefore, in your CV you will profile your gender and energy credentials. This CV should be written in a predefined format (given on the next page) and should be based on your actual experience. It should be a competitive CV, meaning that with this CV you want to prove that you are the best possible applicant for the task. Your partner will then assess – on the basis of what you wrote in the CV – whether or not you are actually suitable for the task in hand.

In the first phase of this activity, you are asked to write your CV in reaction to the following context and task description.

A project proposal development team has asked you to send in a CV showing your skills and knowledge so that they can decide whether or not you are an appropriate candidate for a certain task within their project. They have given you a format for the CV which should be used.

The team is developing a proposal for a project to improve with regard to gender issues the energy policy of the country of Anchellius. The reason for the project is that the Cabinet recently rejected the draft by the Ministry of Energy of a new energy policy, because of its lack of gender-sensitivity. The Cabinet concluded that the Ministry staff lacked the knowledge necessary to make a gender-sensitive countrywide energy policy and therefore external experts needed to be involved. The most important weakness in the rejected energy policy was the failure to use gender-disaggregated data in formulating the policy. Notably, metabolic energy was completely ignored so addressing women's drudgery was not included. Also, women were even excluded from the benefits of some services. Where there were multiple benefits possible it seems to be men's activities which were prioritised. For example, water pumping could benefit both households (drinking water – women's responsibility) and agriculture (irrigation – men's responsibility), however, only agricultural needs were assessed and included in the policy.

The first phase of the project – in which your task would take place – is an analysis of the current energy policy of the country with special emphasis on its gender aspects. For this task, both the current and the rejected policy papers have to be read and analysed, and key stakeholders in the energy department interviewed. Your task would be to comment on the policy documents from a gender perspective. The weak points in the current energy policy regarding gender have to be identified, along with the weaknesses in the rejected energy policy. Based on these weak points and the uncertainties in the energy policy, key stakeholders from the energy department have to be interviewed to obtain a sound overview of the gender issues in the current energy policy.

The project proposal development team is looking for a professional, from the fields of gender or energy, with experience of gender mainstreaming in the energy sector. Project experience with the subject is not essential, but the more knowledge about the subject the applicant has, the better. The successful applicant has to have experience with the structure and language of policy documents and should be aware of gender issues in developing countries.

The team is especially seeking an applicant who has experience in gender and energy issues and who is committed to engendering energy. Experience with policy formulation processes is preferred, as is interviewing experience. The applicant has to be a team worker who can communicate his or her experiences in a way understandable to the other team members. The applicant has to be enthusiastic about the issue and demonstrate a capacity for hard work and meeting deadlines.

The relevant information should be supplied using the preformatted CV attached. Only appropriate applicants are asked to send in their CV.

In the second phase of the activity, you will switch roles and assess the CV of someone you have asked to submit a CV as a gender and energy expert to be part of the team tendering for the task described in the box.

After you have written your CV, exchange CVs with your partner. Based on the CV, would you be an appropriate candidate? In what ways could it be improved? In plenary afterwards, discuss things like your experience with the given format for the CV. Also, explain how you assessed your partner's CV.

Given format for the CV
In the table below, the elements of the CV that should be included are given. The maximum size of the CV is two pages of A4.

Personal data	1. Name, nationality, sex and age
Educational experience	2. Most important course(s) completed (with dates)
	3. Specialisation and subject of your thesis/theses (if relevant)
Training/workshops/seminars	4. Training (etc.) on gender and energy
	5. Other relevant training (etc.)
Professional experience	6. Relevant organisations worked for
	7. Short description of tasks and responsibilities
	8. Relevant projects you have worked on
	9. Short description of tasks and responsibilities
Experience in gender in energy policy	10. Description of experience with gender issues
	11. Description of experience with energy issues
	12. Description of experience with policy processes
Other relevant experience	13. Knowledge of development issues 14. Other relevant skills, e.g. fluency in local language
Motivation	15. Short description of the personal qualities that you think make you appropriate for the job (e.g. a good team worker or capable of independent work)

WORKSHOP 6: PLANNING AND BUDGETING

Aims of the workshop:

To increase the participants knowledge of strategic planning processes and budgeting strategies, and to present tools for these purposes.

Time needed for activity:

2 hours.

Activities:

Discussion; exercises.

1 Introduction to planning and budgeting

Planning and budgeting are of great importance in shaping the necessary preconditions for any project.

Planning the process of proposal development is one of the initial phases in every project proposal. A key to success in winning the project and to adequately using resources is good planning. In this context, planning consists of a coherent set of activities, some of which take place simultaneously, in a specified time, leading towards the end goal of a project proposal. Team members have to be allocated tasks within the planned activities. Someone has to have overall responsibility for the coordination and the planning process. Knowledge and skills that will help you plan can therefore be seen as important competences for someone who intends to become active in project proposal development. This workshop covers all those elements of the proposal planning process which would be the responsibility of the coordinator/team leader. However, even if you are a junior member of your organisation, it will help you contribute more effectively to proposal development by understanding the main aspects of the planning process.

Budgeting is of similar importance: without a balanced and realistic budget for the project, the resources are likely to be used inefficiently and ineffectively. The second part of this workshop therefore gives you some general knowledge on budgeting strategies and the way to establish a budget.

Planning and budgeting should never be neglected in the project proposal development process.

Although preparing plans and budgets might be seen as somewhat dull activities in a project proposal development process, they should never be neglected! A good plan and a balanced budget are essential prerequisites for any successful project.

Discussion point 5.6.1

Planning and budgeting are easily neglected in project teams. Exchange (for ten minutes) thoughts within the group about:

- Your experiences with planning the proposal development process. Who is usually responsible for this type of planning in your organisation? Have you ever been involved in planning a project yourself? Do you think such planning is always needed?

- Have you been involved in budgeting? What are your experiences? How have you used budgets during projects? Has it generally been easy to strictly follow the budget?

2 The strategic planning process

Many NGOs survive on a “hand-to-mouth” existence. They also rely on others approaching them to become partners or on local level financing agencies contacting them to implement certain tasks. This makes their financial status and very survival precarious. In this workshop, we aim to show how this situation can be improved. The first step is not to sit back and wait to be approached but to be more proactive in seeking assignments. To be proactive requires a strategic approach towards planning your organisation’s activities. A strategic approach starts with an analysis of the current condition (either of the context, here in relation to gender and energy, or of your organisation), a vision of the future condition (in other words you goal, for example, more women running ESCOs or your organisation becoming the leading national NGO in gender and energy) and designing a path from the former to the latter. The current condition can be determined by analysis, as discussed in the first unit of this module. In this workshop we will focus on the other stages: the future goal and the path to it.

Strategic planning indicates the path between the current and the desired situation. Both this path and the new situation should be realistic.

The strategic planning process involves three levels of planning, from generic to specific, all linked to each other. Strategic planning in a successful organisation is a way of life for the organisation and those working within it.

2.1 Framework for strategic planning

The strategic planning framework consists of linear steps and ongoing evaluation of the project development process.

In Figure 5.6.1, a strategic planning framework for projects is shown. The framework consists of five linear steps (determining the objective, defining the context, selecting the goals, formulating an action plan and implementing the action plan). Using the framework, all these steps are evaluated and the output can be used to adjust the present process or improve future proposal development.

The Logical Framework Approach and the strategic planning framework are complimentary.

When the strategic planning framework is compared to the Logical Framework Approach (Unit 3), a lot of similarities can be found. While the Logical Framework Approach describes the contents of the project in more detail, the strategic planning framework describes the process of the project proposal formulation. As such, both tools are complimentary and can be used together in project proposal development.

In strategic planning, the aspirations of an individual or an organisation are translated into achievable objectives.

The strategic planning process starts with the aspirations or objectives of you and your organisation. These objectives can be based on the field of gender and energy in which you would like to become active, for instance ‘women and men should have equal access to electricity’.

Figure 5.6.1: the strategic planning framework for project development

The second phase in developing the strategic planning framework is to identify the specific project objective and this requires an analysis of the current situation. This analysis will be focused on both the internal and external aspects of the project context. Internal aspects cover those issues and problems, etc. that underlie the objective; the external aspects are the consequences of the objective. For example, if considering electricity access, the current situation might show that female-headed households have a lower percentage of connections than male-headed households with similar incomes. As part of its social policy and commitment to the Beijing Platform for Action, the government intends to make access more equal on gender grounds and, in the longer term, ensure that all households have access to electricity. (Such a policy decision would be formulated into a development objective which would be positioned in the upper-left cell of the Logical Framework Matrix). To implement the policy, the government needs to plan for improving access to electricity, and this will involve a programme with a number of projects. This policy creates an opportunity for your organisation to contribute both to meeting its own objectives and broader socio-political objectives. Your organisation now begins its strategic planning on how it can contribute to the government's policy. This might be by responding to a call for tenders, or your organisation could approach the government directly. As part of your proposal development you will need to have analysed the context, which could be based on a desk study if your organisation is familiar with the area where the government is intending to work or, alternatively, you could use an OOPP to better understand the situation. This analysis will help you formulate sub-goals in reaching the desired new condition. In terms of the Logical Framework this is equivalent to defining the immediate objectives.

The strategic plan shows how to reach the desired new situation.

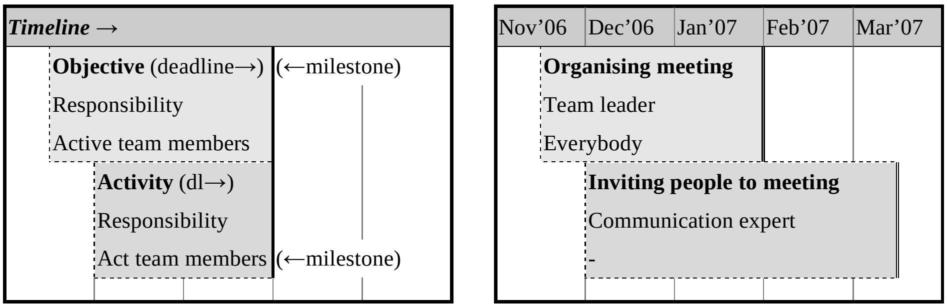
After the internal and external analysis, the most appropriate issues drawn from the analysis are used to formulate the strategic plan. This plan indicates what has to be done to reach the desired new condition. To implement the strategic plan, an action plan is drawn up. In a project situation, the action plan can be considered as the actual planning for the project.

2.2 Writing a plan of action

In a plan of action, the strategy is translated into actions. A good action plan allows for delays.

In the plan of action, the main objective and the sub-objectives are translated into activities for the implementation of the strategy. In the plan of action, the people to be responsible for these activities and the deadlines are identified. Furthermore, a good plan of action contains project milestones – concrete outputs and activities with associated dates – at which points decisions can be made about the continuation of the project. Funding agencies can use milestones to monitor and evaluate a project's implementation. Good planning also allows room for delays which can occur for any number of unforeseen reasons. In Figure 5.6.2, a tool is presented on the left that will help you formulate an action plan. An example has been added to the right to make the figure self-explanatory.

Figure 5.6.2: structure of the plan of action and an example.



Allocation of tasks is also an element of an action plan.

It is not necessary to identify responsibilities and active team members in the planning, but this can help later in the process.

The method you use for writing a detailed action plan could include:

- Making a list of all activities (based on the selected goals in the strategic planning process) and putting them in chronological order;
- Determining the amount of time each activity will take and how many people will have to work on it (does the activity involve waiting time, for instance waiting for reactions from others?);
- What resources are needed for each activity? (For example, vehicle for field visit; computer or software package for data analysis).
- Determine the total amount of time for the process (which may be limited by a proposal submission deadline) and fit all the above activities in this time. Some activities can be performed in parallel while some have to be sequential.

Activity 1: strategic planning and action plan writing.

It is impossible to carry out realistic strategic planning and to write an action plan for a complete project proposal in this workshop. However, it is useful to practice these activities. Consequently, in this activity, you will make a strategic analysis and write an action plan for a very simple task (but one that often forms part of project proposal development!): organising a meeting. You have twenty minutes to perform the activities. After that, your experiences will be discussed for ten minutes in plenary.

Organising a meeting is potentially a very simple and common activity. However, consider planning a meeting of world leaders or a meeting with senior government officials - that would be something very different! In this activity, you are asked to practice using the strategic planning framework and writing an action plan by planning a meeting between three people from your organisation and a senior government official in charge of human resources in the national electricity utility.

The meeting is in four weeks time, at the office of the utility. You will discuss your organisation's possible role in implementing a plan for gender equity within the utility (presently, women are mainly in junior administrative grades – even those with degrees in engineering). Although the formal goal of the meeting is only to inform the government official about your organisation, it can be expected that the impression you give will influence any decision about the role of your organisation in a future project. The meeting will last thirty minutes and the official has noted in his invitation that he at least expects to hear some background on previous projects in this field your organisation has carried out, and some ideas about how you would approach this possible new task. He does not want a detailed project proposal at this stage.

Your team leader has asked you to prepare the meeting. She will attend, along with a colleague from your regional office located 100 km away, plus yourself.

You need to make a strategic plan. Begin by listing who and what are needed for that meeting (the desired end conditions: B). Where are they now (the present conditions: A)? Remember some things may not (yet) exist, such as the PowerPoint presentation. What do you need to organise (people and logistics) to get from A to B? The answer to this question amounts to the Action Plan. Who needs to do what and when? Remember, you might need to involve other colleagues than those people directly involved in the meeting.

After twenty minutes, exchange your action plan with your neighbour and study each other's action plan for a few minutes. Discuss your experiences in plenary.

3 Budgeting strategies

Budgeting involves the creation of a realistic estimate of resource use.

Budgeting is the activity in which you make a realistic estimate of the resources that will be needed for the project you propose. Usually this involves calculating all the costs that will be incurred in achieving the objective of the project.

Budgeting does not mean limiting the resources that will be used.

Budget indications are not always given in the call for proposals, even though the funding agency has a maximum budget they will accept.

Although budgeting is very important in gaining an overview of the resources that will have to be used, it should not be interpreted as only an exercise in minimising costs. While accountants and bookkeepers are often focused on limiting the expenses and increasing income, when making a budget for a project proposal, and especially when this is part of a tendering process, it may not be wise to constrain the costs to such an extent that the quality of your team suffers. However, some organisations may reduce budgets significantly, even to below real costs, for strategic reasons; for example, if they believe winning a certain tender will lead to further work for the organisation. Generally, however, it is better to invest in quality and allow room in the budget for unforeseen expenses. Some financing agencies allow a budget line for this (sometimes called a “contingency”) or you may be allowed to add a fixed percentage to staff costs (known as a multiplier).

Calls for proposals generally give an indication of the total project value. Sometimes a funding agency will try to get the lowest price possible by not giving a budget figure, although internally they will have a maximum figure they are prepared to accept.

Money is hardly ever decisive for a client. However, sometimes budget negotiations occur when your strategy is good, but your budget too high.

The budget is rarely the key decisive factor in selecting the winning proposal. The proposed strategy and the organisation’s and its staff’s experience are often more decisive. If your proposed strategy is considered the best but the budget is too high, the agency may begin negotiations to see what adjustments can be made.

3.1 Competitive budgeting

Competitive budgeting is a strategy in which high quality is delivered for the lowest cost.

When you expect other parties in a tendering process to deliver similar proposals, or when minimising the costs is important in the assignment, it might be useful to develop a competitive budget. By competitive budgeting, we mean that you limit the costs as far as possible while trying to maintain a high quality proposal and avoid your budget being significantly higher than you expect from your competitors.

Significant cost saving areas are staff and travel. Local experts are cheaper than foreigners, juniors less expensive than seniors.

Two significant cost areas where savings can be made are staff and travel. While reducing the time input into the project can be detrimental to project quality (and your organisation’s viability and credibility), there are ‘cheaper alternatives’ to consider which are not necessarily damaging: using junior staff members rather than senior staff for some tasks; using local experts instead of foreigners (who require expensive air tickets and have high living costs). However, sometimes funding agencies require the inclusion of senior foreign staff in the proposed team. If they impose this condition they generally anticipate and accept the higher costs involved.

Whatever cost-reducing methods you choose, resist the temptation of trying to sell them as something special. Just be honest and explain the budgeting approach. However, you will need to explain how you intend to ensure quality in your methodology.

Discussion point 5.6.2

Competitive budgeting requires creativity. Do you think that a budget you submitted as part of a project proposal was decisive in your organisation winning or losing a tender? Why? Discuss in the group for ten minutes.

3.2 Careful budgeting: taking the unforeseen into account

Careful budgeting is a strategy is which all possible costs are covered at the highest potential rate.

In this approach, when preparing the budget, you try to make sure that all foreseen and potential unforeseen costs are covered. This approach is especially useful if you are working on a new kind of project for your organisation, or if the circumstances of the project are uncertain, or if the project is very complex.

Where there is a high degree of uncertainty or complexity, cost estimates should be on the high side. If, for example, you know a plane ticket for a field trip will cost between $800 and $1,200, you should put $1,200 in the budget. If the actual cost turns out to be less, you may even be able to use the money saved to fill gaps elsewhere in the budget. However, be careful, since financing agencies usually have rules about the extent to which savings under one line item can be transferred to another.

As your organisation has to make some money from the projects you engage in – at least enough to cover the costs of the tendering process - it is common to formally estimate costs a little higher than expected. Here again some funding agencies, such as embassies, are well aware of local rates of pay and many have their own tariffs.

3.3 Budget management

Monitoring the budget is essential to keep to the budget.

Making a budget is one thing; keeping to it is another, and often much more difficult. It is advisable to be clear about the way the project budget will be managed (person(s) responsible, procedures). Ideally, all expenditures are first checked against the budget and, in large projects, it may be advisable to insist that expenditures above a certain financial limit are first authorised. In this way, funds will not be spent on unjustifiable items or activities, causing problems later on in the project. Funding agencies also expect organisations to periodically deliver financial overviews.

Some tools for monitoring are presented in Units 4 and 6 of Module 4 of the Gender Face of Energy. With small adjustments these tools can also be used to monitor the budget.

4 Making a budget using a costs table

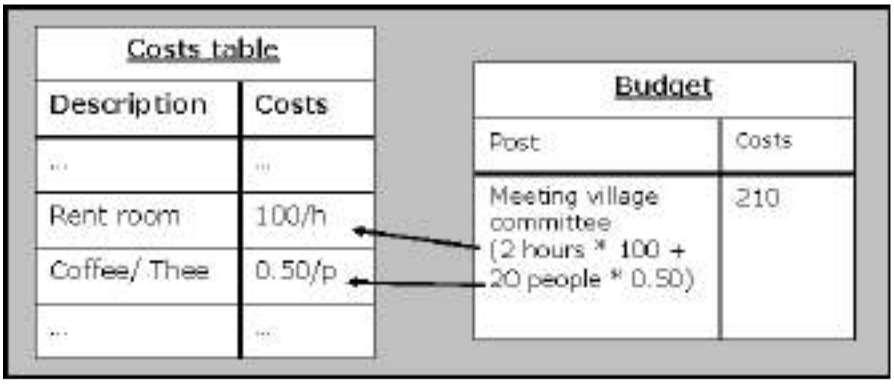
Costs-tables can be used to show how costs are built up. This helps to clarify a budget.

A common weakness in budgets is the lack of an explanation as to how the presented costs were arrived at. For instance, the total salary costs of a professional are simply stated as $4,000, but it is not stated how many days the professional will work for this amount of money. This not only makes the budget hard to judge (is this expensive, is this realistic?) but also causes problems when adjustments need to be made to the budget.

Therefore, you should always include an explanation as to how costs are built up. To make realistic estimates of overall costs, tables can be used that include the costs of all kinds of things. These so-called *costs-tables* are widely available (financing agencies often give formats and rules on how to use them) and cover all kinds of subjects: from the costs of a metre of electrical wire to the cost of an average meal. A good example of a costs-table is a pricelist for energy services (costs of charcoal, costs of petroleum, etc.).

In Figure 5.6.4 an example of the use of a costs table is given. Funding agencies will have their own specifications of what has to be included, such as travel costs, gross or net salaries and investment costs.

Figure 5.6.4: example of the use of a costs table.



Activity 2: making a budget using a costs table.

Making a realistic budget requires a lot of discussion and negotiation. The use of costs-tables, and thereby showing how posts are built up from various component costs, reduces a lot of problems in this process. It makes the budget easier to understand and more convenient to use. In this exercise, you will make a budget for the meeting you planned in Activity 1. Take 20 minutes to make the budget and 10 minutes to discuss your experiences in plenary.

The meeting with the senior government official is in a few weeks time, and one of the things that needs to be done is to prepare a detailed budget for all the expenses your organisation will incur for the visit. The organisation has made $300 available for the visit. You are asked to formulate the budget.

In a meeting to discuss what should be included in the budget, the following items were identified: the travel costs for the three people attending the meeting, some professional presentation material (flyers or sheets) and the costs of organising the meeting. Clearly, there are other costs involved and you should identify and include these.

Use the costs-tables on the next two pages to construct your realistic budget. Remember to show how costs are built up and use the template below to make an overall plan. Costs for some of the possible items to include in organising the meeting are given below. You should make a realistic estimate for any other items needed.

Post	***Income $***	***Post***	***Costs $***
Organisational support	300		
Total		Total	

Costs-tables various posts

Travel costs	***Price $***
Organisation to ministry	
Use of car (2-way)	180
Train ticket (1-way)	15
Taxi to station (15 min. 1-way)	10
Taxi station - ministry (5 minutes, 1-way), walking distance	4
Bus ticket (1-way)	10

Presentation material	***Price $***
Printing organisation leaflet (1 pc.)	0.50
Printing organisation leaflet (100 pcs.)	65
Printing promotional flyer (25 pcs.)	55

Organisational costs	***Price $***
Telephone regional (per minute)	0.20
Internet (per minute)	0.15
Printing and copying (per page)	0.05
Binding of reports (per report)	1.20
Use of office at night per hour)	25

Refreshments	***Price $***
Meal at the office (per person)	3.50
Meal at restaurant, simple (p.p.)	6
Meal at restaurant, average (p.p.)	9
Meal at restaurant, extensive (p.p.)	15

Annual report, in stock (1 pc.)	12		Beverage, average price (1 pc.)	1
Rent of beamer (per day)	80		Lunch (restaurant, p.p.)	3.50
			Lunch (package, p.p.)	2
Gifts	***Price $***		Cup of coffee (on the road, 1 pc.)	0.50
Flowers	20			
Org. promotional gift	18			
Photo book on subject	33			
Regional gift packet	28			
Framed project photo	48			
Bottle of wine	10			

WORKSHOP 7: EFFECTIVE WRITING

Aim of the workshop:

To improve a participant's writing skills and progress reporting in terms of content, procedures and formats.

Time needed for activity:

2 hours.

Activities:

Discussion; exercise.

Kamphuis 1/22/06 2:54 PM
Formatted: Bullets and Numbering

5 The importance and neglect of writing skills

Writing skills are very important in communication but often neglected.

As most of the communication with a funding agency, and indeed with other organisations, is done through sending written reports, memoranda or studies, the quality of these documents is important, not only to convey your findings but to prevent endless re-writing (which has associated costs which will be borne by your organisation) and to ensure timely payment for your work. The quality of your document is also used by others to assess your professionalism. However, despite the importance of quality documents, unfortunately many people do not see the necessity to pay attention to the presentation of proposals. Surely, the funding agency recognises the good work your organisation does – isn't that sufficient reason to be awarded the contract? The short answer to that question is: no! In this workshop you will learn how to improve your writing skills so you can communicate more effectively with others through documents.

Kamphuis 1/22/06 2:54 PM
Formatted: Bullets and Numbering

6 Focus on your audience

A written document should be aimed at the correct audience.

Before you start writing a document, always think about the audience for the document: who will read this document? The background, knowledge and professional status of a reader influence the way they receive a written message. For example, a manager and an accountant will read different things into the sentence: "the more sustainable solar panels are about 10% more expensive." The manager will probably focus on the word "sustainable" whereas the accountant will probably focus on "10% more expensive".

There are three types of audiences: generalists, analytical readers and specialists. They all require different information and the use of different approaches.

Basically you can distinguish three types of readers likely to assess a proposal:

- Generalists, with a broad general knowledge, probably of energy, but with limited gender knowledge. They largely assess how well your proposal fits into the agency's overall strategy;
- Analytical readers, who will read the document in order to make decisions and to form conclusions based on arguments as to whether or not you meet the given ToR;

- Specialists, with at least the same knowledge of gender and/or energy as yourself, sharing the same terminology and ways of looking at the subject matter.

Often, a combination of these audiences will read your document, so you will need to focus on all their specific needs.

Discussion point 5.7.1

Different audiences read the same message in different ways. A manager (generalist), an accountant (analytical reader) and a gender researcher (specialist) from a funding agency in the field of poverty reduction and energy are reading and evaluating a project report related to gender and energy. Here are three sentences from that report:

- "Over the past 10 years hydro power has proven an effective method for supplying energy on a small scale in the region, with a high investment but low maintenance costs."
- "The percentage of female-headed households in the region is slightly higher than the country's average, and so is the poverty rate."
- "Of the 127 households in the village, 53% (67) use firewood for cooking, 27% (34) use charcoal, 19% (24) use biogas and 2% (2) use other fuels."

How does background and job shape the way the three readers each perceive the text? Does this have implications for the evaluation each will give? Is there sufficient information, formulated in an appropriate way, for all the readers?

Could the sentences be reformulated so that there is information for the three evaluators?

Discuss in plenary for 15 minutes.

Kamphuis 1/22/06 2:54 PM
Formatted: Bullets and Numbering

7 Forms of writing

Four forms of writing can be identified: descriptive, narrative, exposition and argument. Each form is useful in different situations.

Writing in an organisation is first and foremost used to report on ideas, progress, etc. and record a decision or action. Writing can – for example – be used to inform decision-makers about the choices they will have to make, and to inform the personnel about management decisions.

Sometimes the form of writing expected within an organisation, or the way you need to report to the funding agency, is formalised. This makes it easier to choose a style, but on the other hand it makes it more difficult to write a document, as you have to adjust your natural style.

For effective writing of documents in an organisational context the following four forms can be distinguished:

- Descriptive: to describe things;
- Narrative: to report events;
- Exposition: to explain facts;

- Argument: to present ideas.

In most documents, these styles have to be combined in order to meet the demands of the audience or the objective of the document. In Table 5.7.1 on the next page each of these four forms of writing is explained in more detail.

Table 5.7.1: explanation of the four forms of writing.

Form of writing	*Explanation*	*Example*
Descriptive	Describing something in the physical world by using the five senses (see, hear, smell, taste and touch) and emotions or feelings and thereby stimulating the reader to understand what is meant.	"During inspection of the pump a strong scent of burning rubber surrounded us and the machine felt overheated." "Women are showing the effects of smoke inhalation equivalent to smoking 60 cigarettes a day."
Narrative	Story telling: explain a sequence of events to take the reader through the text. Can be used to make the connection between different explanations clear.	"First, the poverty in the village is above average (…). Because of the poverty, grid electricity is not an option (…). Solar panels provide electricity at lower cost (…)."
Exposition	An instructive way of explaining ideas by describing them factually.	"In the hydro system, water flows through a pipe and drives a wheel, which is connected to a dynamo."
Argument	Writing meant to persuade the reader to think or act as the writer desires. Arguments are presented and counter-arguments opposed.	"A commonly heard argument against the use of participatory approaches is that they are supposed to be expensive. However, even if the costs were higher, the rate of success this approach has had in the past compared to other methods justifies the costs."

Discussion point 5.7.2

The four forms of writing given in Table 5.7.1 are all commonly used by writers, both in fiction and in non-fiction. What combination of forms do you think is most appropriate for reports to be sent to the funding agency as part of the project proposal development process? Discuss this in plenary for 10 minutes.

Kamphuis 1/22/06 2:54 PM
Formatted: Bullets and Numbering

8 Principles of clear writing

There are some general guidelines to help you write clear and effective documents. Always be aware of these principles as they will improve the quality of your documents.

Common guidelines and principles for effective writing can always be used. These include comments on structure, audience, style, sentences, use of words and verbs, tone, numbers and figures and some psychological aspects of reading and writing.

- *Structure*: keep documents as short as possible. Make sure every item in the document is relevant to the purpose and ensure the contents include all the points necessary for that purpose. Maintain a proper balance in the document, giving space and emphasis to each item according to its importance. If the document is very long, an executive summary with key points can be helpful. Detailed information which is only of interest to experts, can be included as appendices;
- *Audience*: consider your audience's background, experience, etc;
- *Style*: write to express, not to impress. Use a natural style and let your words flow smoothly;
- *Sentences*: Keep sentences short; vary their length but let the average be under 20 words. Avoid complex sentences. Avoid joining ideas together with "and". Blend short and long sentences.
- *Use of words*: Use words that are likely to be familiar to the reader. Avoid jargon unless you are sure the reader knows what it means and always include a glossary to explain jargon. Avoid unnecessary words that give an impression of padding. Use terms the reader can picture: call a crane a crane, not "a lifting facility". Try not to use the same word twice within twenty words (apart from "the", "a" and "and" etc.).
- *Verbs*: Put action into your verbs: use the force of the active voice and use the passive to vary the style;
- *Tone*: keep a serious tone in the document to fit the serious contents;
- *Numbers and figures:* Be careful in the use of numbers. As figures tend to draw attention to themselves, decide when absolute values have more significance than percentages, and vice versa. If you quote figures from other sources, be exact and give the reference. When you make an estimate, say so and consider the order of accuracy and round the number (e.g. approximately 60% not approximately 61.2345%);
- *Tables and figures:* These must always be discussed in the text. Why is it included? A table or figure must support a point you are making in the text. It is not sufficient to state "Table X shows the number of female and male headed households with an without a connection?". Why is this interesting or important? Why are you trying to draw the reader's attention to this fact?
- *The given-new convention*: do not introduce new and unknown information before you present something that is known and familiar to the reader. Don't introduce new material in the conclusions;
- *Set the context*: introduce the topic and do not start in the middle of the subject matter. It is not a detective story!
- *Language*: if you are not a native speaker of the language used in the proposal, at the very least use spelling and grammar checkers, but remember these are not perfect! It may be worth the investment of having your proposal checked by a professional translator. If your proposal isn't easy to read, the funding agency may just ignore it.

- *Length:* try not to make the main body of your document too long. Busy people (and decision-makers usually are) will be put off reading it. A lot of detail can be put in appendices and referenced in the text.

Discussion point 5.7.3

Discuss in plenary the following for 15 minutes:

- What do you think about the list given above? Are all the points relevant? Are any points you could add?
- What are important do's and don'ts you can give the other participants when writing a document which is meant to report or record?

Activity 1: write a document focused on an identified reader.

Writing a good document takes time. Experience helps to increase the quality of your writing. In this activity you will practice writing a document focused on the reader, using all the advice given above. You will get 40 minutes to individually write a document, another 25 minutes to assess the report from another participant and finally 15 minutes to exchange experiences in plenary.

Imagine that the management of an organisation intends to organise a workshop similar to the one you are enrolled in this week. This organisation has asked you to advise them about organising this workshop. In this activity, you are asked to prepare a report for them on this module so they know exactly what the subject is, what kind of training methods are used, and what the rationale was behind the module. Also you are expected to tell them about the preparations, what your expectations of the course were, and whether or not these were met.

To sum up, the objective of this activity is to write a report on this module for the board of an organisation who will need to make a decision based on your report. You should use all the suggestions and information in this workshop. Especially focus on the audience (what kind of information do they need?), on the form of writing and on the structure. Keep your report limited to one page of A4, although you can indicate information that you would include in appendices.

Before you start writing, think carefully about what you want to include in the report.

After 40 minutes, exchange your report with the report from another participant and read through it. Using the evaluation criteria given in the table below, make an assessment of the quality, effectiveness and relevance of your partner's report (15 minutes). For each criterion, the table gives a means of assessing it plus a comments box which allows you to provide additional remarks to explain your assessment or give suggestions on how the report could be improved. Discuss the results of the evaluation with each other (10 minutes) and finally in a plenary session discuss your experiences both in writing the report and in evaluating one (15 minutes).

Evaluation criteria for assessing a report on a training course

Criteria	Measure	Comments
Report is appropriate for target audience	Yes/no	
Introduction sets context	Yes/no	
Content meets specifications	In full/partly/not at all	
Inclusion of irrelevant material	Yes/no	
Style	Clear and concise/unclear and rambling	
Use of jargon	Yes/no	
Length	Too short/too long/good length	
Use of appendices	Yes/no	

.

UNIT 6: PROJECT PROPOSAL FORMULATION

Aim of the unit:

Improving the participant's understanding of the formulation of a project proposal and the final delivery of the proposal to the funding organisation.

Learning objectives:

After this unit, the participant should be able to:

- List the final steps in finishing a proposal;
- Outline a draft proposal including the common elements of a project proposal;
- Explain an appropriate strategy for writing a project proposal;
- Explain why the appearance of the proposal is important as well as knowing how to incorporate this knowledge in a proposal.

Time schedule:

- In total: approximately 10 hours;
- Study of the theory: 40 minutes;
- Discussion points: 20 minutes;
- Case-practice: 8 hours (plus 60 minutes introduction).

Key concepts and ideas introduced in this unit:

Proposal structure; proposal appearance

Topics in this unit:

- Project proposal development: the final steps;
- Structuring the proposal;
- Writing the proposal;
- Proposal production

1 Project proposal development: what still needs to be done?

When you look back at the steps in the planning of a project proposal development process as presented in Unit 2 Paragraph 1.3, you will see that the first three steps have been covered:

- Step 1 – planning the logistics – was addressed in Unit 2, Unit 4 and some of the workshops in Unit 5;
- Step 2 – research – was largely described in Units 1 and 3, and in the workshops on interviewing and data collection;
- Step 3 – response planning – was dealt with in Unit 2 and supported by some of the skills that were taught in Unit 5.

This unit will help you to combine the parts of the proposal you have already developed into a solid proposal.

These three steps have provided you with almost all the raw material needed to formulate your project proposal. Thus, so far, the module has provided you with the building bricks for a successful project proposal. This unit will help you to build these bricks into a solid wall: a well-structured, competitive project proposal. Table 5.6.1 shows the remaining steps needed to submit the proposal. In this unit we will deal with steps four and five. After completing this unit you will have the chance to practice your skills in a real-life example.

Table 5.6.1: remaining steps in planning a project proposal

Step 4 – Development	• agree on proposal format and style; • organise the resources needed to develop proposal; • define the proposal content and the draft text; • finalise content for schedules and planning graphics; • draft the budget (where required); • review the progress and edit the text.	*← Unit 6* *Section 2*
Step 5 – Production	• typing, illustrations, photographs; • translation, proofing and final review; • printing, binding, dispatching and arranging delivery; • notify the funding agency by email/fax of proposal dispatch (particularly if two organisations in different towns/countries).	*← Unit 6* *Section 3*
Step 6 – Promotion	• presentation to the funding agency;	
	• debriefing on the result; • recommendations to the funding agency for future proposals. This is not a standard part of ToRs. However, some agencies are open to this type of recommendation – sometimes as part of informal debriefing sessions. Recommendations for your own organisation can also be made at this stage.	*← Unit 7*

2 Proposal development

With all the raw materials present, it is now time to develop the actual project proposal document. This can be divided into structuring the proposal and actually writing the proposal.

2.1 Structuring the proposal

Usually the funding agency, when sending the LoI, will include an outline structure for the proposal, which will vary between funding agencies. However, the outline shown in Figure 6.1 includes elements that are common to most requirements.

Figure 6.1: outline of a typical project proposal.

Cover sheet	-
Table of contents	-
Letter of transmittal	The transmittal letter should be short and state that the proposal is presented in response to the (dated) letter of invitation issued by the (identified) funding agency. It would normally include a reference to any visits made to the funding agency or the site and may end with brief complimentary remarks regarding the project's importance to the funding agency. Also indicate to whom any communication about the proposal should be addressed (include telephone number and email address).
Executive summary	The executive summary should detail the key issues and themes in your submission in the same order as they are presented in the body of the proposal.
Organisational background and experience	The proposal needs to link the technical, financial and managerial requirements of the project with the experience and capacity of your organisation.
Project experience	Similar projects your organisation has been involved in can be listed here.
Present workload of consultants	This disclosure verifies the capacity of your organisation to handle the new assignment and offer adequate backup to the proposed project team.
Project appreciation	This section permits you to highlight your organisation's research and comprehension of the funding agency's needs. Typically this will encompass: (i) background on your organisation's relationship with the funding agency and the country; (ii) background research conducted on this assignment; (iii) notes and an inventory of your briefings to officials; (iv) comments on the state of the sector or project, including previous work by other organisations and relevant political or social factors; (v) details on the country and project site investigations including environmental, administrative, institutional and logistic factors affecting the study. If a number of project sites are envisaged, a separate comment on each site is required.
Comments on terms of reference	There will always be disagreement about how faithfully an assignment should be followed. This part allows you to suggest alterations to the ToR to

	improve the project.
Approach and methodology	This section reveals your understanding of the project's objectives and details the response. It will disclose what work inputs are envisaged and how the inputs will be organised.
Proposed personnel	This section of the proposal will present the CVs of the proposed team members.
Association arrangements	Generally this part provides a brief explanation of why the consortium was formed, including correspondence from associates confirming their involvement and acknowledging the management position of the senior consultant in contractual matters with the funding agency.
Management structure and human resources schedule	This presentation will show graphically how the inputs will be organised and scheduled, where the responsibilities lie and how the activities relate to each other. Planning should also indicate how the funding agency's staff will co-operate with the organisation's team, and describe the system of communications to control the activities. It will include schedules which show how the tasks link together and will have a graphical presentation of the work plan and human resources schedule.
Required Support Services	This section should spell out what you understand will be provided in terms of office and logistical support by the implementing agency. It should also itemise what expenses you expect the funding agency to meet, but should not include the actual costs.
Appendices	Where a combined technical and financial proposal is required, the financial component will usually follow the technical component.

Discussion point 6.1

In this discussion, go through all the elements in the outline project proposal. Try to get a clear understanding of all the elements and discuss your thoughts about them in plenary. Especially focus on questions like:

- Why is a particular element important and what – do you think – the funding agency would like to see in this element?
- What is the relative importance of a particular element compared to the other elements?
- What is the most important element of the outline?

Discuss in plenary this for 20 minutes.

2.2 Write the proposal

A proposal should read like a well-structured book. All statements should be supported and the executive summary should provide an accurate overview of the document.

A proposal should read like a well-structured book; the introduction needs to provide a guide to the body of the proposal and reveal the main themes and concepts in the proposal. Every major statement should be supported by detailed material. Most importantly of all: the proposal should be written in such a way that not only an expert, but also a decision-making body, can easily understand the contents. Therefore your writing must be clear (see Workshop 7); getting colleagues to revise your text is of utmost importance!

Instead of just starting to write the proposal, it is useful to think about the contents first: what do you want to say where in the document? Of course, this is influenced by the structure set out by the funding agency, but completing this can be harder than you might expect.

Suggested strategy for writing the proposal:

- Decide on the structure of the proposal (such as the one given above).

To write a proposal: first collect the raw data; then organise this input and decide on the structure of the report; finally, decide on the contents and structure of the sections.

- Collect and process all the raw input (information, data, etc.) for the proposal. This means that the information will already be rewritten and summarised, the data analysed, and also that CVs all look the same, and pictures are available digitally, etc. This also means that irrelevant material has been put to one side! If all the necessary inputs are available, and ready to be used, this saves a lot of time during the writing process and avoids you getting distracted.
- Organise all the inputs in accordance with the structure of the proposal and print separate sheets, one with each section heading on it. Make a separate pile for each section and put all the input information in the right pile.
- Following this, structure each section or part of the proposal by repeating this exercise but at the next level down. Repeat this until all the input in organised.
- Work your way through the organised piles, writing the proposal from the beginning to the end. Finally add an introduction and the summary.

First, focus on contents. Only later focus on layout.

In this phase, just focus on the contents. The layout of the proposal will be dealt with in the next step. Do not forget to send the proposal around colleagues for comments!

3 Proposal production

Although the contents should be first priority, the appearance of the proposal is very important as well.

Once the raw input for the proposal has been processed into approved text, it is time for the layout, publishing and delivery of the proposal. Do not underestimate the importance of a good-looking proposal: appearance can be decisive in awarding a proposal, although nobody will openly admit this.

Make sure you take care of the following things in the production of the final proposal document.

- Let someone with a good mastery of the language in which the proposal is written, and who was not active in the development of the proposal, check the document for grammatical and linguistic errors;
- Do not use fancy fonts or complicated styles: the content is serious and so should be its appearance. Choose a formal and readable layout. If you intend to use colour, use it sparingly and chose restrained colours. Remember your proposal may be photocopied in black and white – check your colours do not all convert to the same shade of grey – or block out text and make it impossible to read!;

- If you use tables or figures, always include a caption. Make sure the tables or figures are self-explanatory as a reader might only look at these rather than the text. Use familiar shapes (use a histogram rather than a multi-dimensional figure);
- Make sure that any photographs you use are of a decent quality. Remember that if you print full-colour photos in black and white, they usually turn out too dark, so adjust the brightness;
- Make the layout such that there is enough space for the reader to write comments in the margins etc.;
- Use a decent quality of paper for the document you will send to the funding agency and bind the document to keep it together and present a professional image (give some thought to the cover – this is the first part of your document an evaluator will see).

Remember that this all takes time, so do not leave the production of the proposal to the last minute!

4 Summary and conclusion

The final steps in the project proposal development process are linked to actually writing and producing the proposal.

A proposal should read like a well-structured book: the introduction should give an overview of the document, all statements should be well supported, and the reader must be able to understand what is written and be able to base decisions on this.

The first priority in developing the final proposal is the contents. However, the appearance of the proposal is also important. Psychologically, a professional looking proposal implies a professional and reliable organisation!

CASE-PRACTICE UNIT 6: WRITING A PROJECT PROPOSAL

Having studied the module this far, you should now be able to respond to a call for proposals with a competitive and well-structured project proposal. That is what you will work on in this case-practice: developing a project proposal for the renewable energy project in Appendix C. As time is limited, not all the elements of project proposal development will receive attention. For the development of this proposal, participants will work together in groups of three. Each group will eventually make a fifteen minute presentation on its proposal. The trainer will assess the proposals and will announce the 'winner' of the call for proposals. There is a total of eight hours allowed for this case-practice.

So, it is time to put the knowledge you gained in this module into action. To do this, small groups of participants will all respond to the same call for proposals, and will try to win the assignment by delivering a well-developed, well-written, well-structured project proposal.

The trainer will help to form groups each consisting of three participants. The trainer will try to form groups made up of participants with different fields of expertise and different levels of experience. The composition of the groups should wherever possible differ to the groups used in the previous case-practice. Once the groups have been formed, read through this introduction and the ToR for the assignment in Appendix C.

The objective of this case-practice is to deliver a competitive project proposal, which should conform to everything learnt in this module. Not all elements of the standard proposal, as given in Unit 6, will be used in assessing the proposal. At the very minimum, the following elements should be described:

- The project approach;
- The CVs of the proposed team;
- The budget (focus on the inputs to the budget and make estimates of the costs, rather than spending a lot of time finding actual costs);
- The planning;
- The project management (team composition, deadlines, etc.).

The proposal should be a short document, highlighting at least the elements listed above. The maximum length of the proposal (excluding appendices) is eight sheets of A4.

Not all the information needed to formulate the proposal is given in the ToR and the recommended documents. Where information is lacking, you should make realistic assumptions about the situation. For instance, the CVs of the proposed team can be fictional, as long as they are realistic.

Since eight hours is very little time to create a proposal, participants are advised to limit their attention to the elements mentioned above. Start by making a good plan for developing the proposal, and use the ideas from the first case-practice in Unit 3 to create a realistic plan.

If you need help during the process, feel free to ask the trainer or other participants.

The presentation is also part of the proposal assessment. Since you only have 15 minutes to make your presentation, this also needs careful planning. Do you need to say everything that is in the proposal? What are the key points that must be included?

The finished proposals will be evaluated by the trainer and will be discussed during the final meeting of this course. Participants will also be able to ask questions about the evaluation at that time.

The proposal is to be assessed on the merits of three elements: the technical and the financial components and the presentation. A number of criteria will be used to assess each component, each with a maximum score. For each element there is a maximum of 100 points to be awarded, and so the maximum total score is 300.

In the event of a tie (proposals having the same score), the proposal with the highest score for the technical element will be awarded the contract.

The points are awarded as follows:

Technical proposal:

Content: 20 points

Approach /methodology: 30 points

Team composition /experience: 40 points

Management of the assignment: 10 points

Financial proposal:

Cost effectiveness: 20 points

Budget transparency: 20 points

Total cost: 60 points

Presentation:

Relevancy of material presented: 30 points

Organisation of material: 30 points

Clarity of spoken presentation: 10 points

Clarity of slides: 10 points

Time keeping: 20 points

Although the case-practice is a competition, the main objective for you is to learn from the experience!
Good luck.

UNIT 7: PROCESS EVALUATION AND FINAL STEPS

Aim of the unit:

Give the participants an awareness of the evaluation activities that should follow the tendering process and provide guidelines about how to finish the proposal development process.

Learning objectives:

After this unit, the participant should be able to:

- Explain why process evaluation is important;
- Describe the evaluation process;
- Identify information that could be re-used in a later project;
- Explain why information from past proposals should be retained;
- Debrief stakeholders in the proposal development process and explain why this is needed.

Time schedule:

- In total: approximately 1 hour;
- Study of the theory: 15 minutes;
- Discussion points: 45 minutes;

Key concepts and ideas introduced in this unit:

Process evaluation; debriefing.

Topics in this unit:

- Process evaluation;
- Re-usability of information;
- Debriefing stakeholders.

1 Process evaluation

Process evaluation is valuable whether or not the proposal results in the implementation of the actual project.

Basically, there are two possible outcomes of a project proposal development process: either your organisation is successful with its tender and will carry out the proposed project, or you are not successful and your involvement ends after the proposal formulation. The latter can also occur if decision-makers in your organisation decide not to go on with the process and do not submit your proposal.

Process evaluation is useful in all of these situations. If the process has been successful (i.e. your organisation will do the project) it's valuable to know what went well and what could still be improved in the process. If the process has been unsuccessful, it is constructive to find out why and what should be improved next time.

Feedback on the tendering process from the funding agency is usually limited.

If the outcome of a tendering process is negative (i.e. another organisation was chosen), you may or may not receive feedback on the reasons behind this decision from the funding agency. If the board of your own organisation decided to stop the process, then a greater amount of feedback might well be forthcoming.

Discussion point 7.1

Have you ever been active in a project proposal development process that concluded with you not doing the proposed project? If so, please share your experiences in plenary for 15 minutes:

- Did you receive feedback on the project proposal? Was the feedback useful?
- What did you do with the feedback?
- Did you also evaluate the process? How did you do this?
- Did this help in later proposal development?

All active stakeholders in the proposal development process should be engaged in the evaluation.

Unit 9 of Module 4 discusses the evaluation process. You are asked to take a look at the methodology proposed for evaluation in Unit 9 of Module 4. Process evaluation in this context is based upon self-assessment of the project proposal development process. All stakeholders in the development process should have an active role in the evaluation. Apart from the project proposal development team, others who have also been active in the process from within the organisation plus relevant professionals who you had intended to hire, etc. should have a part to play.

The process should be seen as positive. It is not intended as an exercise in finding someone to blame if the proposal was not successful. Rather the evaluation is to learn from mistakes (even things went wrong during the development of successful proposals) to improve on and to identify positive aspects (for example, the experience of working with a new partner organisation) to build on for next time. It may also be instructive to carry out a gender analysis of the process.

Some examples of questions that should be asked during process evaluation are:

- Did the final proposal comply with all the given ToR? Have the ToR limited the process in any way? Which elements of the ToR did not receive adequate attention and what was the consequence of this on the quality of the proposal?
- Did all the team members contribute to the proposal in the way they were supposed to?
- Was the plan drawn up realistic? Which parts of the process could have benefited from more time? Was the planned time sufficient?
- How much did the project proposal exercise cost? Was this in line with the planned cost? Could the costs be reduced in a future process?
- What other things drew your attention when you look back? Would you have done the project proposal formulation process the same if you knew then what you know now? What was the most positive and the most negative experience you had?

Discussion point 7.2

Brainstorm for 15 minutes with the other participants about other interesting and relevant questions in evaluating the process. List these questions and decide which are the more, and which are the less, important. Think about who could best answer the questions.

2 Re-usability of information

Information gathered in the process can be useful later and should therefore be processed and stored carefully.

In the process you have gathered useful information related to gender and energy, perhaps on a specific region or country, development processes and topics and professionals in the field. Gathering this information has been time consuming and expensive and, therefore, the collected information should be stored carefully for possible later use. In this way, some of the investment costs are not lost.

You are advised not only to keep a copy of the final project proposal (even unsuccessful ones), but also to store the information that was used to formulate the proposal. Such information should be stored in a systematic manner that can be easily accessed by other members of your organisation. Think about:

- The CVs of all professionals you contacted, both the ones you selected to take part in the project as well as the ones who were not included;
- The regional, national or local information about the area where the project was to take place;
- Any data gathered by interviewing the target group, analysis of statistics, etc;

- The planning and the budget, including any comments you received on them during the evaluation, so they can be used as future templates.

Discussion point 7.3

Brainstorm for 15 minutes about other elements that could be re-used later or that might prove useful for your organisation in the future. How would you store the information? Are there things that do not need to be stored?

3 Debriefing stakeholders

All stakeholders should be debriefed after the project proposal development process is finished.

Last, but a very important element related to concluding the project proposal development process, is debriefing the stakeholders who contributed to the proposal formulation. If you get the assignment, these stakeholders will become active in the project. If, however, you fail to get the assignment, they still need to be contacted and informed about this. This is often forgotten, especially when the proposal was not successful.

If you fail to debrief the other stakeholders, they will see you an unreliable partner and not be enthusiastic to work with you again.

You should not be ashamed to inform the stakeholders about the failure of the application: they know these things happen. It is far worse not to inform them since they will then not be enthusiastic about working with you again, and who knows when you might need them in the future? Not debriefing the stakeholders makes you seem an unreliable partner and this could influence more than just the stakeholders you failed to contact.

In debriefing, include at least the following points:

- Thank the stakeholder for their interest;
- Explain the reasons why the stakeholder is no longer needed;
- Ask the stakeholder if it is acceptable to contact them again when another opportunity occurs;
- Ask the stakeholder if they have any comments on the process, your organisation, etc. that could help you to improve.

4 Summary and conclusions

The final phase of the project proposal development process is the evaluation phase. This phase is valuable whether or not the proposal results in the implementation of the actual project.

Feedback from the funding agency on your proposal in a tendering process is usually scarce. Therefore, information for the evaluation needs to be collected from other sources.

All stakeholders active in the project proposal development process should be engaged in the evaluation. They can help in answering self-assessment questions.

The information gathered in the proposal process is valuable. Therefore, the information should be processed and stored for possible later use.

Debriefing all stakeholders is very important if you want to be seen as a reliable partner with whom other stakeholders will want to work again.

UNIT 8: MAKING AN ACTION PLAN

Learning goals: After completing this topic, the participant should be able to initiate the integration of the knowledge and skills acquired in course into their own work situation.

Time schedule: 1 hour preparation and, if time allows, 2 hours for presentation

[*This exercise was provided by Mr Dazydelian L. Banda, from the Eastern and Southern African Management Institute - ESAMI (Arusha, Tanzania). and Ms May Sengendo, ENERGIA Regional Focal Point for Africa and from the Ugandan regional office of East Africa Energy Technology Development Network (EAETDN).]*

In this unit you are asked to think critically about the things that you have learned during the course, and whether, and how, you may be able to apply these in the normal course of your regular work. Often participants return home after training and are not sure how to apply their newly acquired knowledge. This can be frustrating. This unit is designed to help you overcome those frustrations and put your new skills to work by drawing up an Action Plan.

Inputs into your action plan are the experiences that you have gained while attending the course. These may include ideas and techniques learned in class or from reading the course manual, handouts, exercises, ideas from fellow participants and even informal conversations.

Your plan should have a time frame and should address a specific problem relevant to the main themes of the course and to your work situation. You should draw up specific objectives and identify resources needed to carry out your plan and the opportunities and constraints which are present in your work environment.

You can use the document to brief your manager/head of department when your report for duty. The course management would also like a copy of the document so that they can use it for follow-up and evaluation of the impact of the training.

You can use the framework provided below to help you develop your action plan. You have one hour to work on this Action Plan. Please feel free to ask the trainer or your fellow participant's for advice. If there is time, participants will have the opportunity to present their Action Plan and receive feedback from the trainer and other participants.

PARTICIPANTS ACTION PLAN

Name:

Title:

Organisation:

Area of activity:

1.

Knowledge Acquired	Skills Acquired

2a. What problem, related to proposal writing for gender and energy projects, do you want to address in terms of your work?

2b. How do you intend to use the skills gained in the workshop to address the problem you have identified in 2a above?

3. What factors might hinder you from implementing your action plan?

3.1 Organisational factors (if any)?

3.2 External Factors (if any)?

4. Formulate strategies to overcome the factors likely to prevent you from implementing your action plan.

5. What resources (staff, training, funds, technology) do you need to implement your action plan?

6. Where will these resources come from?

6.1 Own budget?

6.2 External Sources (please specify)

7. Budget Estimate

8. Timescale – when will you start and finish implementing your action plan (indicative dates)

EVALUATION AND CLOSURE OF THE COURSE

The final meeting of this course is used to evaluate and close the course. The trainer will guide you through these three hours and will address the following topics:

- The evaluation of the finished proposals (1.5 hours);
- Closure of the course and handing out and completion of evaluation forms (45 minutes).
- Concluding round of questions (45 minutes);

Evaluation of the finished proposals Case-practice Unit 6

The trainer will explain the general strengths and weaknesses of all the proposals handed in. Participants will have the chance to look at their proposals (with the trainer's comments) and will be able to ask the trainer about things that are not clear to them concerning the feedback.

Closure and handing out of evaluation forms

The trainer will conclude the course by handing out evaluation forms. Participants are asked to completed these now and return to the trainer. The course administration will use them for reporting purposes and to improve future course. Participants will have now the chance to discuss their experiences during the course.

Concluding round of questions

If there are any questions left, perhaps based on the feedback on the proposals, or about other parts of the module, participants can put them to the trainer in this final session.

APPENDICES AND REFERENCES

Appendix A: The gender planning framework;

Appendix B: ToR: evaluation of gender and energy projects;

Appendix C: ToR: gender and renewable energy project;

Appendix D: Tool for organisational and institutional analysis;

Appendix E: Tool for assessing the opportunities and constraints of organisations;

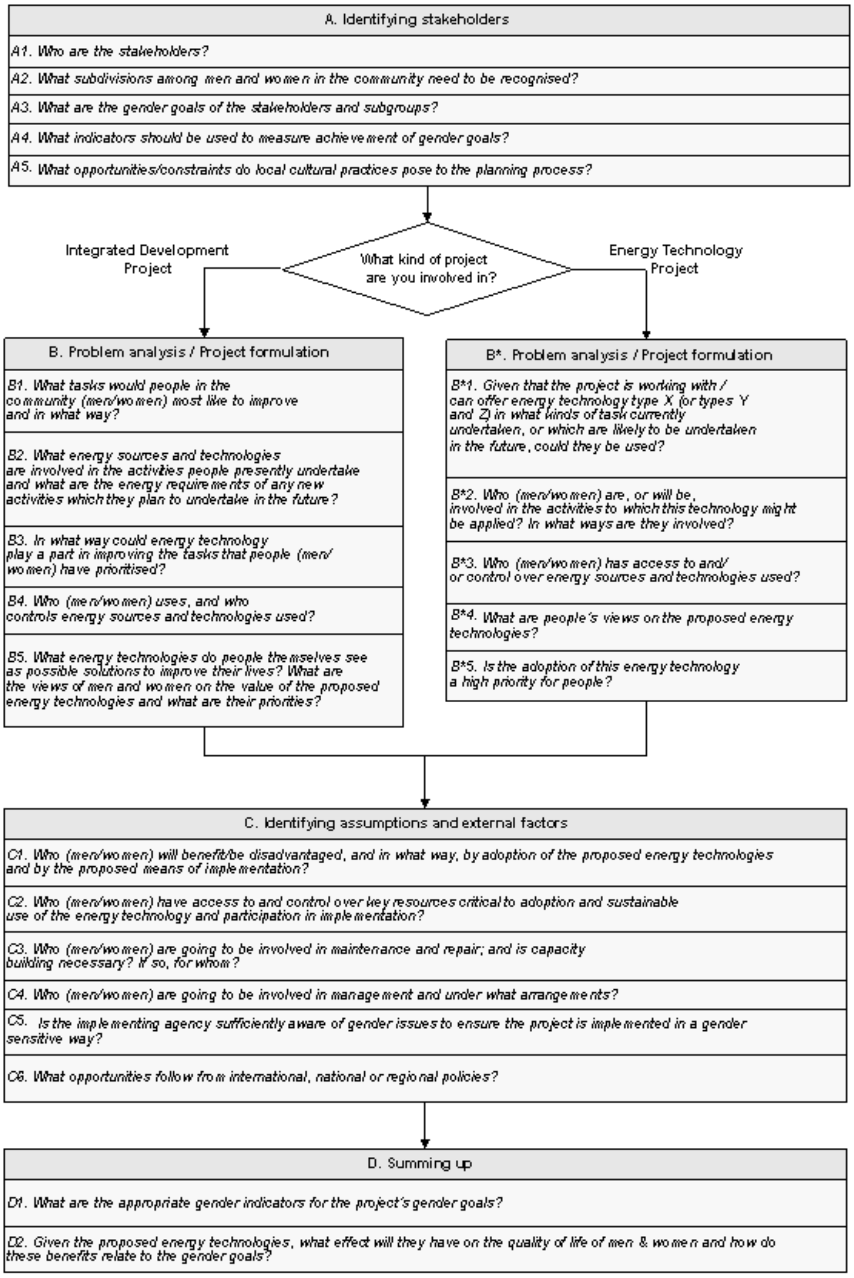
Appendix F: Background information for Unit 3 case-practice;

Appendix G:

APPENDIX A

THE GENDER PLANNING FRAMEWORK

THE GENDER PLANNING FRAMEWORK



APPENDIX B

TERMS OF REFERENCE: EVALUATION OF GENDER AND ENERGY PROJECTS

TERMS OF REFERENCE: EVALUATION OF GENDER AND ENERGY PROJECTS

Disclaimer: this appendix describes a ToR for the evaluation of gender and energy projects in 'Anchellius'. The project and the country represented in this case study are fictional. Any resemblances to any project, country, government, institution - public or private, organisation, person and/or event are coincidental. The organisations and documents referred to have been created for this exercise and the former should not be interpreted as pseudonyms for real world entities.

1. Background

Since 2000, the Government of Anchellius and the Multilateral Development Agency (MDA, a worldwide organisation involved in supporting economic and social development projects) are cooperating in updating the country's policies with the goal of removing all inequities between women and men. In 2002, the parliament endorsed a policy which ensures equal rights and access to all public services, such as education, health and energy. After this endorsement, the MDA provided credit to the Ministry for Equality and Women Affairs and to numerous NGOs and other organisations to translate this policy into action in the energy sector.

Over the period 2002-2006, the MDA has been supporting projects in Anchellius focused mainly on the following objectives:

- An assessment and description of existing policies, strategies and action/work plans in the public and private sectors with respect to the gender aspects contained in the relevant documents;
- Analysing and improving the gender-sensitivity of the legal framework covering the energy sector, focusing on access rights, property and law, and availability;
- Analysis of the main concerns, demands and wishes of the rural and urban, female and male population of Anchellius in order to improve the participatory approaches in all projects.

The results from this sector should give guidelines, best-practices and examples that will help in transforming the policy of other sectors. The lessons learnt from the Anchellus' projects will also be used in similar MDA-funded projects in other regions, as well as by other international development agencies.

2. Objectives of the evaluation

For the projects undertaken in the period 2002-2006, seven objectives were developed by the MDA in close cooperation with the Anchellus' government. Of these four have been selected for evaluation:

- To improve equal access to renewable and sustainable energy sources in rural areas of Anchellius by adjusting access policies and the availability of energy services to the demands of the rural population;
- To improve access to and the quality of the electricity grid in the urban areas of Anchellius through investments based on the needs of the urban population;

- To provide a framework for engendering energy policy by establishing a network for cooperation and discussion between all the relevant partners in the energy sector, including government, private organisations and civil society institutions;
- To establish a network of rural organisations focusing on women's concerns in the energy sector.

The proposed evaluation of how well these objectives have been met will focus on:

- Assessment of the progress towards these objectives over the period 2002-2006;
- Assessment of the role and contribution of MDA-sponsored projects in achieving these objectives;
- Providing guidelines, best-practices and examples based on the projects and their outcomes for use in future projects undertaken by the MDA and other international development agencies both in Anchellius and elsewhere.

3. Scope of the evaluation

Projects that will be reviewed in this evaluation are related to the first of the four MDA objectives for the period 2002-2006.The evaluation should primarily be aimed at the third focus point: the provision of guidelines, best-practices and examples. The evaluation should translate the lessons learnt into useable recommendations for future projects.

The recommendations should be focused on the following areas:

- Outcomes: have the projects achieved their desired outcomes and/or how much progress was there towards the project's objectives in the period described?
- Enabling conditions: what have been and/or should have been the enabling internal (organisational) and external (societal) conditions such that projects could achieve their desired objectives?
- Success and failure factors: what have been and/or should have been the internal and external factors that contributed to the success or failure of projects?
- MDA and government involvement: what has been and/or should have been the involvement of the MDA and the government in the projects and how has this involvement (or lack of) contributed to the outcomes?

Six enabling conditions have been identified for gender-aware energy projects and are listed below. The evaluation should at least describe the contribution of each of these in the areas mentioned above; their use or absence in the projects, and the consequence of this on the outcomes.

- The use of participatory approaches and a description of the approaches used;
- The use of a gender methodology and a description of the various methodologies in use, as well as the use of gender-disaggregated data;
- The availability of gender legislation prior to the project or as a result of the project, and the influence of the project on gender legislation with respect to the areas described above;
- The political and societal commitment towards the project, especially the project's gender aspects;
- The institutional support received by relevant stakeholders;

- The financial commitment towards the project by various stakeholders.

The projects that should be reviewed are:

- ANCH/02/P3: an analysis of the private commercial energy sector institutions: this project aimed at providing a complete overview of the documentation and policies in the private commercial energy sector of Anchellius. Institutions were first identified and then assessed on the gender aspects of their documentation and policies;
- ANCH/04/A8: analysis and provision of recommendations for the rural population's energy situation. Only the analysis phase of this project needs to be reviewed, where rural energy institutions are identified, e.g. energy service providers and banks that offer financial support. Their policies etc. were assessed, and this review should be evaluated;
- ANCH/04/A9: analysis and provision of recommendations for the urban population's energy situation. As with ANCH/04/A8, but for the urban situation;
- MEWA-02-03: government policy document analysis (paid for by the Government of Anchellus). A thorough evaluation of the government's policy etc. on gender and energy. All the relevant stakeholders within the government should have been identified, interviewed and assessed, as are communication structures, decision models, etc.

4. Outputs/results expected from the evaluation

The result of the evaluation will be presented in a comprehensive report, including:

- Recommendations for future projects, both in the energy sector and in other sectors;
- Recommendations for strategies to conclude or continue the current work towards the desired outcomes with projects already initiated or projects about to be implemented;
- Best-practices (and worst-practices) in the evaluated projects related to the outcomes based on the six enabling conditions;
- An overall rating of Anchellius, including recommendations for improving the situation, based on the six enabling conditions;
- A framework for designing, implementing and evaluating future projects based on the results in the five evaluation areas.

5. Activities/services to be provided

The MDA and the Anchellius Government will provide contact information of the organisations involved in the described projects, as well as access to official and draft documentation about the projects and relevant policy. The Anchellius Government will make personnel available for interview.

6. Methodology

Naturally, the methodology used should in itself be gender-sensitive. A participatory approach should be used. The focus of the evaluation should not be limited to the implementing organisation and the outcomes only, but also include relevant stakeholders in the design phase and the process of design and implementation.

An evaluation methodology can be found in the ‘MDA Framework for Monitoring and Evaluating’. The proposed evaluation methodology should be based on this document.

7. Reporting requirements

The draft, preliminary and final reports should comply with the MDA standard for evaluation reports which is attached to this document. The language should be English.

Furthermore, in the reports, the recommendations should be stated in general, useable terms; they should be listed at the end of the document in a stand-alone section that can be provided to others.

Both the first draft and the preliminary report will be discussed with the MDA, the Anchellius Government and key stakeholders.

Both the preliminary and the final reports will be delivered to the MDA and the Anchellius Government in electronic and printed form. All gathered data will be provided to the respective statistical institutions in digital form.

8. Time schedule for implementation and reporting

During the evaluation, the Government of Anchellius will host the team members and provide them with logistical assistance. The evaluation will take eight weeks in June and July 2007. A general scheme is given below:

- Week 1: design and logistical arrangements;
- Week 2: desk study of existing documents;
- Week 3 and 4: field visits to organisations;
- Week 5: interviews with government officials and stakeholders;
- Week 6 and 7: analysis of data and production of draft report;
- Week 8: evaluation of draft and production of preliminary reports;
- Within two weeks of concluding mission: delivery of final report.

9. Requirements for team composition

The team should consist of three members: a team leader and two evaluation specialists. The team leader is responsible for the quality of the final product. The following requirements apply:

- The team leader should be an international expert with an advanced academic education (at least a Master's Degree) in a relevant field and at least three years of recent working experience in the energy sector and project evaluation;
- The evaluation specialists should be national experts with an academic education (at least a Bachelor's Degree) in a relevant field and experience in the evaluation of energy projects from a gender perspective;
- All team members are expected to be familiar with gender aspects within their respective field of expertise.
- All team members are responsible for the collection of gender-specific information within their respective fields of expertise.

10. Background information

Further relevant information on Anchellius can be found throughout Module 4.

Relevant information on gender and energy issues can be found in Modules 1, 2 and 3.

Relevant information on gender and energy policy can be found in Module 3.

APPENDIX C

TERMS OF REFERENCE: GENDER AND RENEWABLE ENERGY PROJECT

TERMS OF REFERENCE: GENDER AND RENEWABLE ENERGY PROJECT

Disclaimer: this appendix describes a ToR for the evaluation of gender and energy projects in 'Anchellus'. The project and the country represented in this case study are fictional. Any resemblances to any project, country, government, institution - public or private, organisation, person and/or event are coincidental. The organisations and documents referred to have been created for this exercise and the former should not be interpreted as pseudonyms for real world entities.

1. Background

The Government of Anchellius and the Multilateral Development Bank (MDB, a worldwide financing bank involved in supporting economic and social development) are cooperating to reduce poverty and achieve sustainable economic growth in the rural areas of Anchellus. For this purpose, the MDB, in cooperation with the Development Bank of Africa (DBA), approved a $200 million loan to the Government of Anchellius in 2002. This loan initiated the second phase of privatising public services. Most of the loan will be used in the rural areas in Anchellius.

One of the early projects (P.AN.02A) resulting from the 2002 loan was for the provision of solar power to about 5% of the rural villages. For the period 2006 – 2008, the MDB has made funds available for a project to continue on from the earlier project. This new project should be aimed at increasing the number of privately-owned enterprises that produce and supply renewable energy in rural areas.

Experiences in the past have shown that changes in the energy patterns of the rural population have different impacts on the lives of men and women. The MDB acknowledges this, and has made a commitment to consider gender in all its projects.

2. Objectives of the project

For the period 2006 – 2008, the MDB has made funds available for a project that should:

- Increase access to and availability of renewable energy services in the rural areas of Anchellius by increasing the number of privately-owned production and supply renewable energy enterprises. Currently, somewhere between 4% and 5% of the rural population has access to renewable energy sources; by 2009 the level of access should be at least 9%;
- Create appropriate conditions that encourage new privately-owned enterprises by providing a positive financial climate, as well as by providing educational services;
- Reduce the inequalities between men and women by focusing on their specific interests. In the assessment of project proposals, the gender-awareness of both the methodology used as well as the project proposed will be of much importance.

A grant of $24.6 million is available in the period 2006 – 2008 for the renewable energy project. The project should be sustainable in terms of both outcomes and results.

3. Scope of the project

The rural parts of Anchellius can be divided into three distinct areas: the highlands in the North, the central dessert and the semi-arid region in-between. The proposed project should give equal attention to all three areas.

The proposed project should use the environmentally-friendly possibilities of the three areas: hydro power in the highlands; sun and wind power in the dessert; hydro, sun and wind power, as well as biogas, in the semi-arid region.

Each of the areas has different energy demands and, therefore, it is necessary to collect data from all three areas. Participatory approaches to data collection and analysis are required.

The people benefiting from the project should be those most in need of some form of poverty alleviation. This applies to both the people running and working in the (new) enterprises producing and supplying renewable energy services and the people using the services provided.

The period in which the project will be implemented is from March 2006 until October 2008. After this period, the project should be sustainable, meaning that the financial structures will have to be in place. The project will be evaluated in December 2008 by an independent organisation.

4. Outputs/results expected from the project

The project's outputs are expected to be:

- An increase in the number of the rural poor who have access to affordable renewable energy services from approximately 540,000 to 1,050,000;
- An increase in the number of privately-owned small enterprises using renewable energy services, and providing income for at least one additional employee, from approximately 4,800 to 8,800;
- An increase in the number of privately-owned medium enterprises producing renewable energy services, and providing sufficient income for at least five employees, from 6 to 24;
- An increase in the number of privately-owned small enterprises supplying renewable energy services and/or maintaining the supply network, and which generate additional income for at least one employee, from approximately 1,800 to 3,400.

In addition to these measurable outputs, some other outputs are expected:

- A financial system that will guard the investments in the rural areas, and will assure the future sustainability of the project;
- Reduced inequality between men and women with regard to workload, health risks and educational possibilities;
- Poverty reduction among the rural poor, especially those most in need.

After each of the project phases (i.e. analysis, formulation of action plan, implementation) the project team will provide the MDB and the Government of Anchellius with a progress report, containing:

- Statistical data showing the current situation and the progress towards the objectives;
- A realistic plan to achieve the objectives in the remaining time;
- A short, summary of progress, pitfalls and successes in the project.

These progress reports will be discussed and the project team given advice and directions for the continuation of the project based on the reports.

5. Activities/services to be provided

The MDB and the Anchellius Government will provide background information from the earlier P.AN.02A project, as well as contact information on the organisations responsible for the managing, formulation and implementation of this project.

The Government of Anchellius will provide contact information on regional governments, as well as contact information on the civil organisations in the rural areas, such as women's interest groups and village committees.

The MDB will provide the financial resources for the project.

An evaluation of the project will be organised by the MDB.

6. Methodology to be used

The planning for the project should be based on a gender-sensitive version of the OOPP framework. Participatory approaches are seen as of the utmost importance throughout the entire project.

Recently, the Multilateral Development Agency (MDA) has delivered some best-practices for gender and energy projects. Organisations responding to these ToR are expected to have studied these documents. (Other recommended background material are the UNDP/ENERGIA toolkit and resource guide "Gender & Energy for sustainable development" and documentation related to the Multifunctional Platform in Mali).

7. Reporting requirements

All reports should be written in English and delivered in electronic and paper form to the MDB and the Government of Anchellus. Reports are expected at the following points in the project:

- A report containing the results of the analysis of the current situation;
- A report on the planning for the implementation;
- Six monthly reports on progress with implementation;
- A final report on all phases and decisions made during the process.

Furthermore, the final report should contain recommendations for continuation of the process and future projects.

8. Time schedule

Detailed planning should be part of the proposal. In broad terms the following time schedule should be followed:

- January – March 2006: completion of the planning, proposal and methodology;
- March – May 2006: analysis of the current situation;
- May 2006: presentation of the adjusted project proposal;
- June 2006 – December 2006: first phase of implementation;
- January 2007 – June 2007: second phase of implementation;
- July 2007 – December 2007: third phase of implementation;
- January 2008 – July 2008: fourth phase of implementation;
- August 2008 – October 2008: evaluation of the process and delivery of final reports.

9. Requirements in terms of team composition

The main project team that will formulate and monitor the project should consist of three international professionals:

- An experienced team leader, with at least five years of relevant working experience in international rural energy projects and an advanced academic education in a relevant field;
- An expert in the field of renewable energy, with an advanced academic education in (rural) energy and at least three years of relevant working experience;
- An expert on monitoring international projects, with an advanced academic background in development issues, project management, or a similar field. This expert should also have relevant working experience in at least three major international development projects.

Other expectations of the main team are:

- All team members are expected to be familiar with gender aspects within their respective fields of expertise;
- All team members should be aware of gender-sensitive approaches to energy projects in development.

The implementating organisations or experts that will have to be hired should meet the following conditions:

- The organisations should be from the area in which they will work;
- The organisations should have experience with at least three renewable energy projects;
- The organisations should have a commitment to reducing gender inequalities.

The number of organisations that will be involved in the implementation of the project depends on the approach chosen.

10. Background information

Further relevant information on Anchellius can be found throughout Module 4.

Relevant information on gender and energy issues can be found in Modules 1, 2 and 3.

APPENDIX D

ORGANISATIONAL AND INSTITUTIONAL ANALYSIS

ORGANISATIONAL AND INSTITUTIONAL ANALYSIS

When to use organisational and institutional analysis?
Within your own organisation, to assess the institutionalisation of gender sensitive approaches to project formulation and practice and the need for capacity building in such approaches.

Methodology
A participatory workshop with key personnel from different levels in the organisation to be assessed.

Source
This tool is based on tools developed as part of the World Bank ASTAE Programme's EnPoGen Project. The methodology is based on the approach used in a review for PROBEC of *Gender and Energy in Namibia with specific relevance to ProBEC interventions*.

Introduction
One of the reasons for carrying out an organisational and institutional analysis is to identify capacity building needs. There are a number of explanations offered as to why energy project formulation and implementation is so often gender-blind. These reasons include that the energy sector is technically-oriented and that policymakers are not used to creating an implicit social dimension in its policy and, therefore, that the energy sector does not have in-house expertise to achieve a greater degree of gender sensitivity in its approaches to energy project formulation. Another possible explanation is that energy professionals are nearly all men, particularly those in positions of influence, and so women are not able to bring issues that affect them to the fore because they fear gender issues will not be taken seriously and it may hamper career prospects. Young women with technical training can also find that institutional barriers in a male-dominated environment slow their advancement. These types of explanation relate to the gendered nature of the organisation and the existing work culture, for example, entrenched attitudes that women are physically weak and so not capable of field work. Such barriers to a gender-sensitive energy organisation can be overcome through capacity building.

This tool analyses the current situation, in terms of the staff training available for developing gendered approaches to energy project formulation and implementation as well as the culture within the organisation to gender approaches. The tool uses three variables to evaluate the working practices in respect of gender within the organisation: the existence of capacity-building programmes, managerial support and staff performance incentives for using gender-aware approaches. It is possible to develop your own variables.

In the approach, a number of scenarios for an organisation's policy for capacity building and for changing the work culture, with different degrees of gender awareness, are developed. The scenarios are then set out in the form of a ladder ranked in terms of moving from the worst case to the most desirable situation. Each "rung" on the ladder represents one scenario and is represented by a score. In this example, the scales range from zero to three, although it is possible to put in as many "rungs" as you think desirable, reflecting low, medium or high scores. An assessment of where the current policy sits on the ladder is made (remember an organisation will not always start at "0" and it can be on different "rungs" for different elements). This scoring process generates discussion and brings out any differences in perceptions and preferences among the various stakeholders.

The organisation can retain the results of the workshop and use it for monitoring progress with respect to gender sensitivity. The organisation should aim to move towards achieving the highest score in all categories (i.e. climb the ladder!).

An illustrative example of a scoring matrix for assessing the gender-awareness of organisational support for energy project proposal development and implementation. The indicators are illustrative.

Score	***Capacity Building in gender awareness***	***Support from Management for gender equity***	***Incentives for using gender sensitive approaches***
3	Organisation uses specialised personnel to design and conduct capacity building interventions and tools which include gender; capacity building events are part of regular training and orientation for all staff, are funded in balance with technical training (1:3), use participatory training methods and tools that are then applied in the field, and include poverty and/or gender sensitivity and equity aspects	Gender as a concept is defined correctly in project documents, and management can explain why a gender-sensitive approach is practiced; can describe what gender strategies are within rural energy projects and programmes, and can recall some of the gender-differentiated effects of projects on women and men	Management and superiors formally acknowledge and appreciate attitudes and approaches that enhance participation and gender balance in processes and results; staff performance criteria include qualitative criteria and gender sensitivity and equity in activities, outputs and results
2	Capacity building exists for the social dimensions of energy problems and includes gender as part of regular training and orientation for all staff; funding is balanced with technical training (approx. 1:3). Participatory training methods and tools are used that are then applied in the field, but they do not cover gender sensitivity and equity aspects	Management sees new roles for women as a means to increase the effectiveness of projects and programmes; the need for broader user choice of energy services is recognised but without sex differentiation	Management and superiors informally acknowledge and appreciate attitudes and approaches that enhance participation and gender balance in processes and results; staff performance criteria also include qualitative criteria (e.g. degree of community participation in planning and performance, etc.)
1	Capacity building exists in some social dimensions of energy problems, but not gender. However, events are ad hoc and under-funded (<10% of technical training); methods and materials are conventional (classroom lectures, handouts) and trainees are unable to apply what they learned in training in the field	Management defines women as passive beneficiaries or target groups for other programmes	Individuals can practice a participatory, gender-conscious approach, but management and superiors do not recognise or appreciate these attitudes and actions; staff performance indicators are strictly quantitative (e.g. # of systems installed, % of funds disbursed, # of training programmes held, etc.)
0	Funds for staff training are absent or <5% of investment funds; capacity and skills building and tools development do not include participatory approaches	Management is not conscious of gender issues in the energy sector, or considers them outside their responsibility	Gender consciousness in staff is not acknowledged by the staff's management and superiors; or, if acknowledged, it is not encouraged by management and superiors

Methodology

Step 1
Identify variables and develop indicators of organisational policy options on gender-sensitive approaches to form the "rungs" of the ladder.

This can be carried out as a participatory exercise involving a small number of staff from different levels of the organisation and in large organisations different departments.

Step 2
Position the organisation on the ladder.

This can be completed as a desk exercise following on from the options identified in Step 1, or it can be in the form of a participatory workshop with more representatives from the organisation than Step 1. Such a workshop could take around half a day depending upon how many policy issues are explored.

The instructions for a participatory workshop are as follows:

Start with the usual approaches to participatory workshops: introductions and icebreakers to neutralise hierarchical barriers to interaction and create an informal, relaxed climate conducive to sharing and learning together. A facilitator will be required.

The facilitator needs to decide, depending on the number of participants, if the group needs to be divided into smaller sub-groups. The sub-groups could be divided by function and seniority (for example, separate groups for senior and junior engineers) in the organisation. The use of sub-groups is especially recommended in circumstances where there are clear hierarchical relationships among the participants. Such hierarchies may inhibit honest responses about the way the organisation operates. The facilitator will need to have assessed the situation before hand and decide whether or not help from additional facilitators will be needed. If sub-groups are used it will be necessary for the facilitator to collate and present the results after each sub-group completes its own clustering and labelling. An advantage of the facilitator presenting the collated results is that any major disparities among the different groups can be brought out without anyone feeling threatened.

Cards representing the different scenarios are prepared by a facilitator. The cards should not indicate the score allocated to the scenario. There needs to be one set of cards for each individual or sub-group.

First, a short presentation should be made explaining why these policy issues of the organisation in relation to gender equity have been identified by those organising the workshop. At this point there should be NO attempt to explain or justify particular policy options. These issues will emerge during the workshop. It should also be stressed that creating a gender-aware organisation is not so much an exercise of advancing one group (women) at the expense of another (men) - which is likely to meet resistance - but as an approach for improving human resources that will contribute to more effectively reaching strategic goals of the organisation.

The facilitator should then organise working groups if appropriate. The cards for the first policy issue (e.g. capacity building) to be explored are mixed up and given to individuals or working groups to sort from the least gender-sensitive to the most gender-sensitive. This is a thought-provoking exercise and time should be allowed for discussion in the working group.

Once the groups or individuals have reached agreement on the order, the individual or group chooses one card which best describes the current situation and marks this with a pin or sticker.

The cards are then posted on a pin board or laid on a table showing the order as well as the card selected to reflect the current situation. These results can then be discussed. Part of the discussion can involve adjusting the indicators so that they can be used as a monitoring tool to measure progress in reaching the desired best practice in capacity building.

If people are not comfortable about making what might be perceived as direct public criticism of their employer, an alternative approach is to use pocket voting, a method that allows for some secrecy. For each of the scales, empty envelopes are taped to individual cards carrying descriptions for scores of 0, 1, 2 or 3 for each topic. The cards are placed on a board turned towards the wall. Participants go behind the board one at a time and vote. The results are then tallied in front of the whole group so that everyone can see the voting pattern, discuss the rationale for it, and agree on the overall scores.

The group identifies the policy-level actions needed on the basis of the results. The facilitator encourages the group to prioritise and establish a logical sequence for the needed changes.

Step 3

Monitoring progress

If the tool is being used for monitoring, a repeated desk exercise or participatory workshop can review progress on the ladder after a period of time.

APPENDIX E

OPPORTUNITIES AND CONSTRAINTS OF ORGANISATIONS AND INSTITUTIONS

OPPORTUNITIES AND CONSTRAINTS OF ORGANISATIONS AND INSTITUTIONS

Is the organisation that is formulating and/or implementing energy projects sufficiently aware of gender issues to ensure that projects not only address gender goals in energy needs but also formulate and/or implement the projects in a gender-sensitive way?

When to use organisational and institutional analysis?

When assessing another organisation as a potential partner in a project proposal.

Introduction

An organisation which is going to be involved in project formulation and/or implementation has to be sensitive to identified gender goals within projects and has to have the ability to work in a gender-sensitive manner. The tool below allows a comparison of different organisations and suggests ways to strengthen the gender stance of organisations. This tool has been adapted from a tool given in a manual on "Gender Assessment Studies" prepared by Annet Lingen and her co-workers for the Netherlands Department for Development Cooperation (DGIS). The tool makes it possible to gain insights into:

- the capacity and views of energy sector organisations regarding the women's participation in energy projects;
- the capacity and views of energy sector organisations regarding the empowerment of women through energy projects; and
- the external factors that influence the extent to which organisations can address gender issues in energy projects.

The types of organisations that should be assessed include:

- State organisations which formulate and implement energy policy e.g. Ministry of Energy, Utilities, Research Units
- Organisations which implement energy projects, such as consultancy bureaus and NGOs

The tool provides a framework to construct an organisation's profile indicating its strengths and weaknesses in terms of formulating or implementing energy projects with gender goals. It looks not only at the willingness and capacity of the organisation to provide equal rights and opportunities for women in the energy sector but also identifies any external factors with might influence the performance of the organisation in this regard. The analysis should also assess the rules and norms which influence the functioning of the organisation and which could inadvertently create barriers for women, for example, notions about women's physical strength making them unsuitable as field operatives. The analysis obtained using this tool can be used to identify the strengths of potential partner organisations on which one can build in creating alliances, and any weakness related to gender sensitivity that need to be addressed. The latter can be used in developing appropriate training programmes for capacity building which should be defined not so much in terms of advancing one group (women) at the expense of another (men) - which is likely to meet resistance - but as an approach for improving human resources so as to contribute more effectively to formulating and implementing gender-sensitive projects.

Methodology

Step 1: Identify the institutional and organisational framework.
The first step is to identify the organisations within the energy sector with which you are considering forming partnerships for project proposal formulation and implementation.

Step 2: Gender analysis of the institutional and organisational framework
Answering the four key overarching questions that form the framework of the tool:

1. Do the organisations have the willingness and capacity to plan and implement energy projects in such a way that women will have equal rights, opportunities and benefits to men (either in terms of employment within the organisation or as beneficiaries of the energy project)?

2. What are the opinions of the organisations on gender equality?

3. Do the external relations and the context in which the organisations operate favour or hamper their capacity to provide equal rights and opportunities to women?

4. Do other organisations exist that can facilitate the organisations to formulate, plan and implement energy projects in which women will have equal rights, opportunities and benefits to men (either in terms of employment within the organisations or as beneficiaries of the energy project)?

The answers to these questions can be found in documents describing the work of the organisations, their policy documents, annual reports, etc. and should be supplemented with information obtained from interviews with relevant staff members. [NB. An organisation could also answer these questions about itself in developing its own profile as part of a participatory self assessment/evaluation.]

Each key question involves a number of sub-questions, and examples are given below.

Answering key question 1

Methodology
Desk studies of relevant documents and interviews with organisational staff. Interviews should try to include staff reflecting different departments and positions within the organisation.

Answering this question helps to build an organisational profile. There are eight categories (a – e), each with their own set of questions, requiring information to give a comprehensive picture of the organisation:

a) The type and general capacity of the organisation

b) Its policy on equal rights and opportunities for women

c) Its strategies and activities in the field of equal rights and opportunities for women.

d) Organisation structure

e) Its human resources for implementing a gender equality policy

f) Its financial and physical resources for implementing a gender equality policy

g) The culture of the organisation

h) Its cooperation with other organisations

Answering these questions can result in a lot of data, and compiling the information in a table helps not only in presenting the complex data in a more comprehensive form, it can also ease cross-comparison among organisations.

These categories are explained in more detail below.

a) The type and general capacity of the organisation

[NB. Technical organisations which have never carried out work with social objectives will have greater difficulties in extending its activities to cover promoting the participation of women than will organisations which have undertaken such activities.]

- What type of organisation is it? NGO? Private sector? Utility? Etc.
- Energy sector focus? Policy? Project implementation? Rural energy? Etc.
- Number of employees? Divide by department/function – present figures sex disaggregated.

b) The policy on equal rights and opportunities for women

- Is there a written policy? Is it an active policy or does it only exist on paper?
- Is the rationale from an efficiency perspective? Welfare? Empowerment? Poverty?
- Is the policy translated into measures and instruments? Does it take differences between women into account?

c) Its strategies and activities in the field of equal rights and opportunities for women.

- Are women identified as a specific target group? (Professional recruitment? Clients – actual and potential?)
- Does the organisation make a gender-specific analysis of problems and needs?
- Does the organisation take special measures to promote the participation and empowerment of women?
- Does the organisation have specific activities targeted at women or do they integrate women into the mainstream, or both?
- What type of women-specific activities are carried out and in what way are gender concerns integrated into all activities?
- What is the experience of activities involving women?

d) Organisation structure

- Does the organisational structure create opportunities or constraints to creating more equal gender relations?
- How has gender been institutionalised in its structure? How many staff are involved? What are their tasks? What is their influence on processes in the organisation?

e) Its human resources for implementing a gender equality policy

Towards clients:

- Do the staff have the knowledge, skills and motivation (linked to attitude) to pay attention to the needs and roles of women?
- Does the organisation provide training in gender and energy/development?
- Are there gender experts among the staff?

Towards employees:

- The percentage of female staff and the levels and specific occupations in which men and women predominate

- The extent to which staff selection policy is (un)favourable for women.
- The extent to which terms and conditions of employment are (un)favourable towards women (pay, maternity leave, childcare facilities, career and training opportunities.

f) Its financial and physical resources for implementing a gender equality policy

Allocating specific funds for women-related activities: e.g. gender-related studies or data collection on clients (actual and potential), gender training, female field staff, purchase of equipment that recognises women's physical differences to men. (Note that a lack of funds can be due to a genuine resource constraint or an indicator of a low priority for gender issues.)

g) The culture of the organisation (openness to learning and change)

- How do the staff promote gender equality?
- How do they experience female leadership?
- How do they appreciate the role of women, as compared with that of men, in the energy sector?

h) Its cooperation with other organisations

- Which other types of organisations does the organisation cooperate with? Are these organisations recognised for their gender-aware approaches?

Answering key question 2

Methodology
Interviews with organisation staff. Interviews should try to cover a sample of staff reflecting different departments and levels in the organisation.

Suggested themes to be explored in semi-structured interviews could be:

a) Their perceptions of gender roles and relations.

b) How can men and women benefit from improved access to energy? Are there gender differences?

c) Does the organisation have a role to play in women's empowerment in the country?

d) How can providing access to energy empower women?

e) Are there benefits for the organisation in the increased involvement of women in project implementation?

f) If yes, how can women's involvement in the organisation's work be increased? What measures and resources are necessary to achieve this?

Answering key question 3

Methodology
Desk studies of relevant documents; interviews with key informants might also provide useful insights. The following topics should be addressed:

a) What is the government's policy on gender mainstreaming and women's empowerment and the national machinery to achieve this?

b) Are there other policy initiatives, such as poverty reduction strategies, where women and energy issues might play an important role that opens opportunities for involvement in projects?

c) The attitude of the government towards gender mainstreaming and towards NGOs

d) Policies on decentralisation, participation, bottom-up planning etc. and women's involvement

e) National and Local NGOs and CBOs working in energy advocacy

f) Legal constraints

g) Poverty

Answering key question 4

Methodology
Desk studies of relevant documents; interviews with key informants might also provide useful insights.

The kinds of organisations that could contribute include:

- Local NGOs working on women's empowerment
- Local NGOs working on gender/women and energy (the ENERGIA national focal point should be able to help here)
- Women's organisations
- Gender training organisations

APPENDIX F

BACKGROUND INFORMATION

CASE-PRACTICE UNIT 3: OOPP IN PRACTICE

POWER SUPPLY IN THE VILLAGE OF SHAMARA

Disclaimer: the country of Anchellus and the village of Shamara in this case study are purely fictional, as are all the persons and organisations named in this case. Any resemblance to any project, country, government, institution - public or private, organisation, person and/or event is coincidental. This case is based on an exercise from a training programme on Rural Energy Planning and Environmental Management developed by the University of Twente and the East and Southern African Management Institute (ESAMI) for SADC TAU.

Introduction

Shamara is a village of approximately 6000 inhabitants, surrounded by mountains. Shamara has expanded rather quickly of late; population growth is estimated at an average of 6% per year over the last 15 years. The reasons for this population increase are a high natural growth rate of 3% and high immigration. People have been leaving their farms in the mountains to make a living in the village.

Electric power for Shamara is supplied by a 45 kW hydro-electric plant and a 20 kW diesel generator. During the last few years, power failure has become common. Energy consumption is too high. This is not only due to the growing population, but also to the increasing amount of power-demanding equipment in the houses. More and more houses have their own TV set and refrigerator, and some of the 600 households have even bought an electric stove to prepare their meals.

Approximate data for Shamara are:
Inhabitants

The village has 6000 inhabitants living in 600 households of which 300 have electricity connections. Each connection has a capacity of 250 W, so the maximum demand from the houses is 75 kW. However, during the day the demand of the houses is only around 25 kW, although during the evening hours the demand reaches 75 kW.

The hospital:

Continuous demand is 1700 W (two refrigerators)

From 4.00 am to 7.00 pm there is an additional demand of 2300 W for lighting, laboratory equipment and office equipment.

The coffee mill

The coffee mill demands 10 kW for 14 hours each day when processing. For coffee processing it needs 7.5 kW and for office equipment 2.5 kW. The coffee processing only takes place during harvest time, one period of three months in the long dry season and another three months in the short dry season.

The meeting in the village
An informal meeting is organised in the house of Mr Boma in Shamara. Several people have been invited to discuss the problem and to give their opinions about possible solutions to the energy supply situation in Shamara. Among them are:

- Mr Boma (head of the village);
- Mrs Ira Njector (nurse of the hospital);
- Mr Movaload (an important person in Shamara, and owner of the only three trucks in Shamara);
- Mrs Naraja (the school teacher);
- Mr Garjee (owner of the coffee mill);
- Mr Genrep (who is in charge of both the diesel generator plant and the hydro plant); and
- Some male and female villagers of different age groups.

Given the importance of the meeting, many more people come along to show their interest in the subject. It is really felt that the failing electricity supply is a major issue in Shamara.

You will each be given a role by the trainer (who will act as the meeting moderator). Please read your role carefully and think how you are affected by the current energy situation in the village (be creative!). What do you think are the causes of the problem and the solutions?

APPENDIX G

GENDER AND ORGANISATIONAL PROFILE OF ORGANISATIONS IMPLEMENTING ENERGY PROJECTS

SHORT ORGANISATION ASSESSMENT

This tool has been adapted from an organisational scan designed by I/C Consult [2]. The tool can be used to obtain an overall picture of the strengths and weaknesses of an organisation, particularly in relation to gender and energy. The objective is to assess an organisation as a potential project partner in terms of making up for weaknesses in your own organisation. The assessment covers a number of characteristics of an organisation which are grouped into categories. (You can develop your own characteristics and categories.) Each characteristic is then assessed; in this example, a scale of 1 to 6 is used for assessing each characteristic. The scale can be made more complex (for example by giving a weighting to particular characteristics) or simpler (no scale – simple tick or cross to indicate presence or absence of a characteristic) depending on your needs or the detail of information available. A decision has to be made about how to evaluate the scoring, for example, whether or not to give all categories the same weight - and possibly you value the way an organisation carries out its tasks (the "doing" and "being" categories) rather than its "position". Each category can be given an average score by adding the totals of the characteristic scores and dividing by the number of characteristics. Adding all the scores can give a total for the organisation which could be used to rank it against other organisations. Perhaps you can define a minimum score for the acceptability of a partner. In this example, an organisation that averaged less than 3 in all categories is unlikely to be a strong partner organisation. You would want to find a different partner. However, there may be good strategic reasons to use this organisation (for example, they may be the only energy NGO in the project area). If so, then you should do as the organisations that developed the tool do: use the results to develop a capacity building programme for the partner organisation.

The assessment can be carried out by an individual based on secondary data, or it can be carried out as a participatory exercise using an approach similar to that described in Appendix D in which various members of the organisation can be asked for their opinion as to how they judge their own organisation.

[2] I /C Consult is the joint advisory unit of Cordaid and ICCO, which aims at strengthening the capacity of their partner organisations. See also www.icconsult.nl

Characteristic of Organisation **1 = less developed, 6 = well developed**	1	2	3	4	5	6
Position						
Recognised legitimacy through proven performance in gender and/or energy						
Added value as partner (distinctive competence), perhaps geographical						
Positive image amongst relevant stakeholders particularly in relation to gender and/or energy						
Thinking and learning						
Understands reality: knows the factors and actors influencing the gender dimension of the problems you want to tackle						
Recognises diversity and conflicting interests in target group particularly in relation to gender						
Knowledge of best practices in gender and energy						
Planning, budgeting, monitoring and evaluation system is operational						
Able to recognise obstacles, including lack of gender awareness, for own development. Able to mobilise assistance to overcome these obstacles.						
Strategic planning exists involving different stakeholders, and including mission, long-term objectives, strategies, programmes and a financial plan (to generate funds and to allocate budgets to strategies)						
Doing						
Programmes are designed in true consultation and negotiation with target group						
Relevant programmes (answering urgent and serious needs related to gender and energy)						
Effective programmes (improving lives, empowering people – particularly women, sustainable results)						
Appropriate implementation with gender awareness and sensitivity, and with technical quality						
Balance between costs and expected benefits (for every programme)						
Being						
Appropriate legal status/constitution						
Financial management is integrated with organisational development and is executed in accordance with an existing financial strategy. Finance also concerns the provision of financial management information (management accounting) at all appropriate organisational levels						
Competent leadership: visionary, respected internally and externally, incorruptible, recognises and manages internal tensions (particularly in relation to gender equity goals), takes in-time decisions, result- and culture-oriented, coaches when and where needed (particularly in relation to gender equity goals), appropriate delegation, accessible and accountable						
Competent staff: skilled, experienced, committed (particularly to gender equity goals in the organisation and to gender awareness in practice in the community), incorruptible, credible, cost-conscious, has concern for quality						
Transparent structures and systems that ensure optimal use of resources: • structure that safeguards unity and at the same time allows for professional						

autonomy of units • appropriate planning, monitoring and evaluation systems (relevant, efficient, transparent, responsive) – particularly in relation to reaching gender equity goals • decision-making with built-in checks and balances						
Supportive organisational climate, particularly in relation to gender equity: open, critical, eager to learn, balance between result- and people-orientation, open communication channels						
Relating						
Knows other relevant actors in gender and energy						
Active in search for strategic alliances and coalitions without selling out on ideals and principles						
Good relationship with donors – known particularly for gender and energy work						
Overall balance						
Balance between hardware (structures, systems) and software (vision, people)						
Logical (understandable) links between vision, mission, strategies, activities, structure, systems, allocation of resources and (management) culture – gender is integrated into all aspects – it is not an add-on						

APPENDIX H

COURSE EVALUATION

EVALUATION OF TRAINING COURSE

1. Course content

For each of the modules covered in the course, give your rating to indicate the relevance of the module to your work and how well it was presented.

Please give your rating only for the parts in which you participated.

Rating

1	-	Poor
2	-	Fair
3	-	Good
4	-	Very Good
5	-	Excellent

Module

Presentation	Relevance	
1. Unit 1	[ ]	[ ]
2. Unit 2	[ ]	[ ]
3. Unit 3	[ ]	[ ]
4. Unit 4	[ ]	[ ]
5. Unit 5	[ ]	[ ]
6. Unit 6	[ ]	[ ]
7. Unit 7	[ ]	[ ]
8. Unit 8	[ ]	[ ]
9. Unit 9	[ ]	[ ]

10. Course set-up	[ ]	[ ]
Select the workshops followed:		
11. Workshop 1	[ ]	[ ]
12 Workshop2	[ ]	[ ]
13. Workshop 3	[ ]	[ ]
14. Workshop 4	[ ]	[ ]
15. Workshop 5	[ ]	[ ]
16. Workshop 6	[ ]	[ ]
17. Workshop 7	[ ]	[ ]
18. Case-Practice 1	[ ]	[ ]
19. Case-Practice 2	[ ]	[ ]
20. Case-Practice 3	[ ]	[ ]

2. Individual expectations

2.1 To what extent has this course met your expectations as expressed at the beginning of the course? [ ]

1	-	Completely met
2	-	Adequately met
3	-	To some extent met
4	-	Not met

2.2 What subjects/aspects did you expect to be covered that:

were not included in the course ....

....
....

were included, but not well covered during the training ....

....
....

3. Course organisation and methodology

3.1 What aspects of the course organisation did you like most?

....
....

3.2 What improvements would you suggest for the organisation and methodology of the course?

....
....

....
....