(Appendix 5)
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The Guyana Environmental Protection Agency

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PARTICIPANT MANUAL

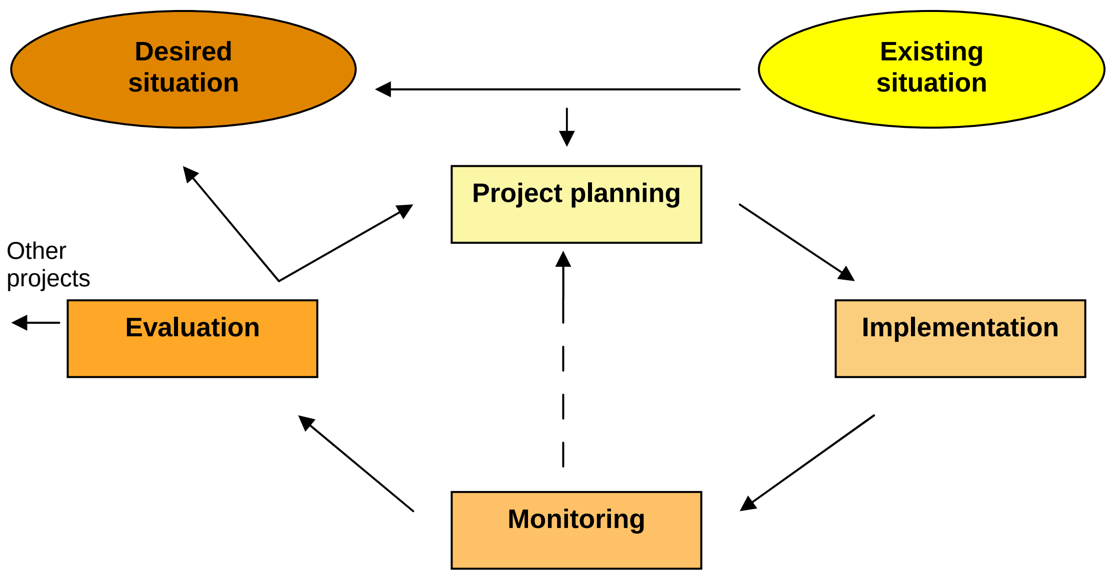
'Project Management and Administration: A Smorgasbord of the Essentials'

1. The Project Cycle and Its Management

1.1 What is a project? 🗣

A project is a group of interrelated activities and results with a unified purpose, together with the resources and the time frame to achieve them.

A project is implemented because you want to move from an existing situation to a desired situation. To get there, you need to have a well-thought out and factually sound proposal that gets approved for funding, which is then implemented and is constantly monitored, and finally evaluated to see if you have achieved your desired change:



Each project has a series of stages (or logic) that take the project from the first idea through to its evaluation. The broad stages are:

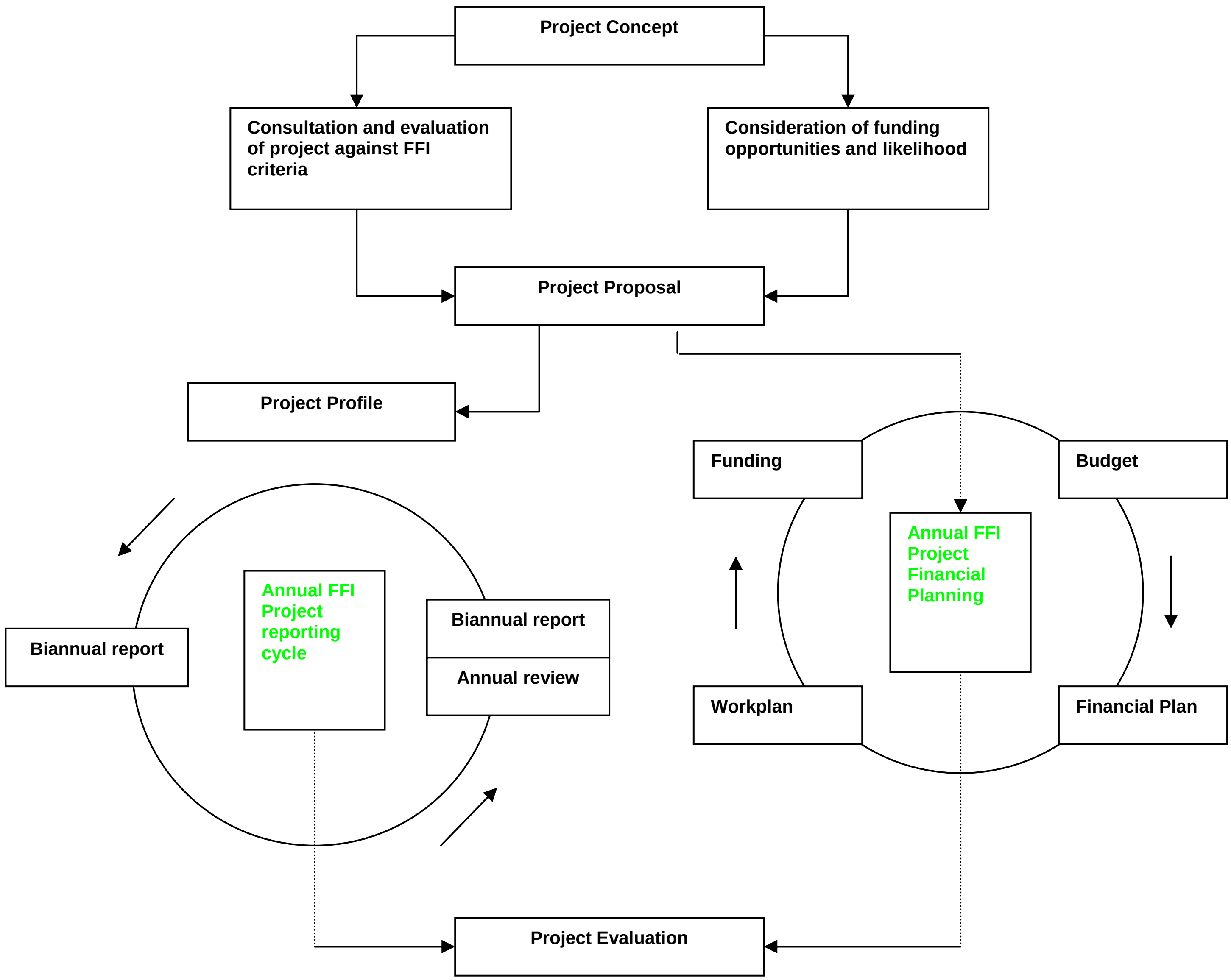
- **Planning** (basically all the elements needed to complete a project proposal and acquiring the funds needed to run the project)
- **Implementation** (running the project)
- **Monitoring** (you monitor against the project plan, as well as from stakeholder perception of the project)
- **Evaluation** (you evaluate against the project plan; conducted during and after implementation)

Reporting is used at all stages once implementation has started.

1.2 The Project Cycle

The stages and how they relate in the diagram above is called the Project Cycle. Different institutions will have to adapt the project cycle components to meet their own requirements. Requirements depend largely on the complexity of the institution (i.e. number of staff, projects, services etc they carry out or support).

An example: FFI Team Project Cycle



Every project is different and tools and methodologies described need to be used flexibly. However, no matter what the size of the project the logic is still the same, it is only the scale that differs.

Planning for some projects is fairly straightforward if there is sufficient direct knowledge about the different variables of the project and the scope is quite small.

However, if the project is larger and more complicated, it is necessary to do more research for elements of the planning (proposal) such as stakeholder analysis and the problem analysis. Here, where there are different stakeholders, it is imperative to ensure that the characteristics of the project environment and problems, needs and expectations of various stakeholders are clearly understood thus, conducting surveys and consultations are absolutely essential.

☞ Exercise: "Sketching your project or institutional project cycle". (To be announced by instructor)

1.3 Project Cycle Management

1.3.1 THE BASICS

PCM a well-established and proven method for the planning, implementation and evaluation of projects and programmes.

PCM is a combination of concepts, techniques, instruments and practices that enable desk-officers and project cycle managers *to steer different projects and programmes through the phases of the project cycle, on the basis of informed decisions.*

How and why was the PCM developed?
Many projects that came to the European Union for funding had common problems:

- confused and unrealistic objectives,
- inadequate attention to risk,
- poor monitoring,
- weak sustainability prospects, and
- insufficient participation by beneficiaries.

The resultant system of proeject planning was an improved consultation and analysis of the beneficiary situation, the preparation of feasible and sustainable plans using the Logical Framework and incorporating lessons from project evaluations, and the transparent presentation of the proposal in a standardised format. Ultimately the goal was to improve the effectiveness of aid through better quality management and decision making.

In essence, PCM is a collection of relatively simple principles, concepts and techniques that could be summarised as follows:

PRINCIPLES	**TO ENSURE**…
1. Respect for the concept of the project cycle and its different phases…	1. …structured and informed decision-making at the different stages of project management
2. Beneficiary and stakeholder orientation…	2. …involvement and commitment of stakeholders
3. A consistent project design using the logical framework…	3. …a comprehensive and consistent analysis and planning
4. Attention for factors of sustainability or quality	4. …that from the design onwards mechanisms are put in place that will continue the flow of benefits
5. Integrated approach using standardised documentation…	5. …that interventions are linked with wider development efforts, all PCM tools are linked and mutually reinforcing and procedures and documents are simplified and transparent

Jointly, these (management) principles are meant to direct the interventions towards a continuous focus on the objectives of the project in terms of sustainable benefits for the intended target groups.

What is the difference between a PCM and the LFA?

Project Cycle Management	**Logical Framework Approach**
Defines different phases in the project life with a well defined process of involvement of different stakeholders, management activities and decision-making procedures	A methodology for analysing, planning, managing and evaluating programmes and projects, using tools to enhance participation and transparency and to improve orientation towards objectives.

How is the PCM most useful?
Like all concepts and tools however, the effectiveness and usefulness of PCM depends on the quality of its application, and in particular the ability of the different actors to access and use relevant information throughout the lifeline of a given project.

How the PCM is particularly relevant to Project Managers/Co-ordinators?
While its benefits are clear in terms of using a commonly understood and transparent approach that ensure a thorough contextual analysis and subsequent planning (your projects will be better projects), also project management as such will be facilitated (proper management tools will ensure quality monitoring of project implementation).

The logframe, being part of PCM, will provide project managers with a summarised intervention plan that will serve as a reference during the implementation. Based on the logframe, PCM will ensure proper operational planning. As a minimum, content and management related activities will be planned for in terms of their timing, financing as well as the people that are responsible for such activities.

In this manner, project managers and staff enjoy the benefit of agreed upon plans and tasks. These can be easily monitored and timely adjusted whenever circumstances call for a revision.

Replacing unnecessary routine reporting by proper PCM supported management and monitoring tools will furthermore not only reduce the reporting workload for project managers but also enhance their ability to really direct and steer interventions towards strategic interventions that will produce benefits that have been agreed upon as a result of a participatory process.

A project manager is hired to ensure that the project is implemented in accordance with the 'Plan of Operation'. He or she ensures that resources are mobilised on time and that progress is monitored and corrective action proposed where necessary. This is part of ‘adaptive management’ which is a common sense approach that takes action to improve your project on the results of monitoring.

How is the PCM a learning tool?
In short, in PCM each specific phase has its own function and is being implemented on the basis of the information gathered during the previous phase and on decisions taken at that moment. Every phase completes and updates the information of the previous phase and allows to take adapted and refined decisions. PCM, when properly applied, therefore provides a framework for ongoing learning and improvement in terms of the effectiveness.

In order to properly respect the different project phases, a distinct separation of roles must be observed. It means that the actual project planning is done by the stakeholders, including ultimate beneficiaries such as farmers and intermediary organisations in the case of (applied) research.The LFA as such provides a learning framework at different levels, such that ongoing revisions may contribute to enhancing the overall effectiveness.

1.3.2 PRIOR TO PROJECT IMPLEMENTATION: PLANNING

Planning is a process of structured and logical thinking with the overall aim to co-ordinate decisions that will influence, direct and control the future and help to achieve the project objectives. It is a means to an end, not an end in itself.

Planning provides a tool for monitoring and evaluating the progress of the project.

What are the benefits of planning to the project team?

- Clarity in what you are trying to achieve
- Build confidence, provide motivation and widen ownership
- Identify strong points of the team, the project and your working environment
- Avoid over-committing
- Save time and effort in the long-run
- Identify best solutions as causal factors are made clear
- More likely to attract funding

Planning equally involves working with stakeholders (who may be direct or indirect beneficiaries) and it is of utmost importance that all main stakeholders have had direct input to the planning process have a clear understanding of the expected benefits and their respective roles and responsibilities.

The following fundamental questions are answered during the planning phase and result in specific components:

Fundamental questions in planning	**What it results in**
Why do we need a project?	Stakeholder and problem analysis
What are we trying to achieve?	Objectives
How are we going to achieve our objectives?	Project strategy
What do we need to achieve our objectives?	Inputs
How will we know when we have done it?	Indicators, Monitoring and Evaluation
Who is doing it?	Roles and Responsibilities

In some more detailed PCM documents and guidelines, the Planning phase is broken down further into:

- Programming: establishment of general principles and guidelines for projects.
- Identification: mainly requires the active participation of beneficiaries and other stakeholders in terms of articulating and clarifying their problems. Thus the skills required to succeed during this phase are listening and analytical skills, rather than technical expertise. This phase gathers information on the current situation of the beneficiaries, while the formulation phase requires information on potential technical solutions.
- Formulation: specific technical expertise is needed during the formulation phase to assess the feasibility and the sustainabiltiy of the project.
- Financing: involves final appraisal and review of the process to determine whether funding should be granted.

Programming

The programming phase specifies the sectors and areas of priority for a potential intervention in a particular country and may also indicate ideas for projects or programmes.

Identification

During this phase, the relevance of the project is determined by analysing the problems of the beneficiaries and formulating the corresponding objectives. The beneficiaries and stakeholders can be brought together in workshops conducted by an independent moderator and problems and objectives are identified, discussed and prioritised. An elementary Logical Framework matrix is the result of this phase. All questions raised during this phase feed into the terms of reference of the feasibility study. Such workshops have the additional benefit of increasing the commitment of implementing agencies and beneficiaries by involving them in the initial planning process.

Formulation

During the formulation phase, it is vital to check whether the identification phase has taken place at all and if so, whether the project is still relevant or whether time has elapsed and the situation has changed. If the relevance appears not to be proven, it must be re-established.
The details of the project are defined on the basis of a feasibility study. The Logical Framework matrix is then completed and refined. At the end of this phase, an ex-ante evaluation or assessment is initiated by the project cycle manager/ desk-officer, prior to the signature of a financing agreement.

What is sustainability and how is it planned for?

Sustainability is the extent to which the benefits delivered by a project continue after external assistance has ended. A checklist containing the main factors to be taken into consideration has been developed:

- Policy support
- Appropriate technology
- Environmental protection
- Socio-cultural aspects
- Gender issues
- Institutional and management capacity, public and private
- Ownership
- Economic and financial rationale

Financing

During financing sub-phase, the formal contract is put into place. Project proposals are approved by financing committees and the official relationship with the implementing agency is established in a memorandum or financing agreement. Calls for tender are often put out with regard to the technical assistance components of a project. Financing procedures are agreed upon by the contracting parties. The contract is often signed with the beneficiary institution, which often equates to the consulting company or implementing agency.

The LFA as an approach

Evaluations have found that many projects are still being formulated in terms of the delivery of hardware rather than the creation of benefits for the identified target group. In the context of PCM, the Logical Framework is used as the analytical tool to ensure a consistent project design. In this regard a distinction must also be made between the logical framework approach, i.e. a process to progressively complete the logframe, and the logframe (matrix) as such, which is a summary output of this process.

THE BEST WAY TO MENTALLY PREPARE FOR PLANNING (I.E. WRITING A PROJECT PROPOSAL) IS TO THINK OF YOURSELF AS SOMEBODY WHO IS LOOKING TO INVEST MONEY IN A GOOD PROJECT THAT ACCOMPLISHES CONCRETE RESULTS ON THE GROUND THAT WILL LAST MANY YEARS AFTER THE PROJECT HAS FORMALLY FINISHED. YOU RECEIVE 300 APPLICATIONS WHICH YOU NEED TO SHORTLIST TO A FEW AND THEN ULTIMATELY TO ONE.
NOW LOOK AT YOUR PROPOSAL THROUGH THE EYES OF THE ONE APPROVNG OR REJECTING THE 300 PROPOSALS. WHAT INFO WOULD YOU NEED AND WANT TO KNOW MORE ABOUT? WHAT INFO DON'T YOU NEED TO KNOW? WOULD YOU APPROVE OR REJECT YOUR OWN PROPOSAL?

1.3.3 DURING PROJECT IMPLEMENTATION

Implementation, monitoring and mid-term evaluation

Implementatation
The implementation phase is the period ranging from the signature of the financing agreement to the completion of the project. During this phase, 'activities' are carried out and the 'results' are delivered to the beneficiaries. Monitoring and mid-term evaluations take place during this phase. Often the time lapse between the planning, formulation of the financing proposal and the actual take-off of the project may require a 'start-up' workshop to be held. Such a workshop ensures the alignment of the different stakeholders and enables a detailed work-plan and 'Plan of Operations' to be drawn up.

The implementation phase is further characterised by the mobilisation of resources in accordance with the 'Plan of Operations' and by the organisation of the monitoring system aimed at introducing corrective action.

Right at the start of the implementation phase it can become apparent that the project plan as it stands no longer addresses the issues. 'Assumptions' made during the planning stage may no longer apply and, due to the time lapse between project planning and actual implementation, the situation within which the project plan was first drawn up may have changed. 'Activities' and 'results' may need to be modified and a start-up workshop can be helpful to discover what needs to be done.

The administrative procedures of the financing institutions may not permit any change in 'activities'. 'Activities' are frequently related to budget items and mechanisms for financial control may operate on the basis of whether or not 'activities' have been carried out according to plan. The need to handle 'activities' as part of a flexible plan, or the idea of working on the basis of 'results' to be achieved, with 'activities' being planned in by the implementing agency during the implementation phase, is becoming increasingly apparent.

Monitoring phase

🗣 **What is monitoring? Who should do the monitoring?**
Monitoring allows project managers to regularly oversee the implementation of activities. It ensures that information is collected, analysed and fed into the decision-making process, which itself is based on the Logical Framework matrix and work-plans (e.g. GANTT charts). Monitoring enables the intended 'activities' to be redirected or adjusted and enables project cycle managers and decision-makers to justify major redirections of the project. Only when `Results` have been specified by means of Objectively Verifiable Indicators then the project itself can be sufficiently objective too to measure and report achievement of Objectives (Results, Purpose and Overall Objectives). To secure the success of the intervention it is obvious that ASSUMPTIONS

are key and need to be monitored closely.

Monitoring of results is often a sensitive area as it provides information on how well activities have been implemented. Implementers may thus find it difficult to carry out this type of monitoring objectively and it is therefore advisable to have the monitoring of 'objectives' carried out by external agencies. It may also be difficult for project implementers to monitor assumptions, as by definition these may fall outside the scope of the project staff's expertise

Monitoring of activities can be carried out by project staff, while the monitoring of objectives and assumptions is best done by external agents. Embassies and delegations are often well placed to act upon assumptions.

The degree to which external monitoring can be done depends on the size of the project, resources available, and on any donor requirements. For smaller projects, monitoring may have to be conducted by the implementing agency.

1.3.4 AFTER PROJECT IMPLEMENTATION

Evaluation

Evaluation
During the evaluation phase, in large projects external consultants are hired to study both the positive and negative impacts of the intervention. In smaller and medium-sized projects, evaluation is frequently done by the implementing agency. Lessons are learned with respect to the design of the intervention and the development (planning) process. A mid-term or review evaluation aims to generate ideas on how to make the project more effective and efficient.

Impact can be both positive and negative, intended and non-intended. The positive intended impact is often formulated as the 'overall objectives' of the project. The three other types of impact need to be researched. Impact is best verified in conjunction with the beneficiaries and associated groups in society.

Evaluation is often hampered by the fact that 'objectives' have not been established in the official project document / contract or are at best vaguely described with no indicators of achievement. As such perceptions on what the project was intended to achieve may differ widely, leading to conflicting views on the success of the intervention.

External evaluators should (and in some cases must) be brought in to ensure an impartial approach. Caution is also required when using technical specialists so that technical bias does not play a part in the evaluation. Evaluators should heavily involve beneficiary groups to gain their perception of the project.

Benefits of evaluations…
Unfortunately, very rarely do project identifications and formulations refer to lessons drawn from previous evaluations. There is more and more criticism that not enough project planners and project approvers make use of databases that contain findings from evaluations. Awareness for the importance of lessons learned is increasing.

Project Manager responsibilities under the PCM

Programming
- Organise an internal discussion on policy and strategies of both the recipient country and the donor organisation.
- Organise a participatory workshop to weigh as against to the policy objectives the different sectors and their specific problems justifying support.
- Collect evaluation findings on the sectors selected. Develop a strategy and criteria of how to comply with the strategy.
- Estimate a budget framework

Identification
- To verify the cohesion of the idea and the policy and strategy framework.
- To verify whether the project idea is relevant to the beneficiarie.
- To see to it that the beneficiaries are clearly specified and their perception listened to.
- To initiate and verify the quality of the identification of the real existing pressing problems and their causes.
- Assure that no pre-conceived solution is accepted without having verified the relevance to the beneficiaries.
- To launch a proper identification process if in doubt about the quality of the existing information.
- Draft the Terms of Reference for the identification process.
- If found opportune to identify and contract a moderator to guide the participatory workshop with the key stakeholders.
- Ensure the verification and incorporation of relevant lessons from evaluations (from different donors).
- To assess the 'pre-feasibility study document and check the presence and quality of all the required information.
- To ensure an agreement of principle on a possible project by decision makers on the choice of the project idea and the beneficiaries

Formulation
- To verify whether the identification has been properly done.
- If not yet done in the previous phase, to assess the 'pre-feasibility study document and check the presence and quality of all the required information.
- To ensure an agreement of principle on a possible project by decision makers on the choice of the project idea and the beneficiaries.
- To formulate the Terms of Reference of the feasibility study.
- To select the team of consultants with the right technical, social, cultural, environmental, financial, economic, and managerial expertise to carry out the feasibility study and formulate the project proposal.
- To monitor the proper implementation of the feasibility study.
- To receive and assess the quality of the feasibility study and the attached project proposal (the design of the project presenting the objectives and the WHAT should be done by the project, is to be summarised in the form of a Logical Framework matrix, and the HOW the implementation is going to be organised internally by the implementing agencies is to be presented in separate Management Matrixes for each of the agencies as well as for the project management providing support to the respective agencies).
- Request for a letter of commitment from the recipient authorities and intended implementing agencies.
- To transpose the information presented in the feasibility study and attached draft project proposal into the required format of the proposal.

Implementation
- To ensure the preparation of the Plan of Operations by the implementing agencies.
- To organise a participatory start-up workshop to reach common understanding among the different actors about detailed activities, time schedules, responsibilities, allocation schedule of resources, reporting requirements, monitoring system and indicators of success.
- To insist on the proper implementation of the monitoring system
- To initiate a discussion on possible corrective measures if problems crop up.
- To initiate a mid-term or review evaluation (Terms of Reference / contracting technical advisers or moderator).
- To insist on the preparation of a plan for sustainability 3 years before withdrawal of the support (can be made part of the review evaluation).
- Check all the formalities and legal repercussions on ending the support to the project / programme.

Financing
- Identify the budget allocation.
- Initiate and follow-up the tendering process - select consultants or / and implementing agencies.
- Negotiate the pre-conditions and assumptions with the recipient authorities.
- Prepare the financing agreement with the recipient authorities.

Evaluation
- Discuss the design of the evaluation with the implementing agencies (verification of objectives and indicators).
- Draft the Terms of Reference of the evaluation.
- Tender / contract the team of evaluators.
- Initiate the selection of national evaluators to join the team (joint evaluation).
- Identify and propose resource persons to be consulted.
- Insist on the presentation of the evaluation plan (deadlines).
- Facilitate the official introduction of the team at the recipient authorities (mandate).
- Organise intermediary meetings with the evaluation team on progress and preliminary findings.
- Monitor the execution of the evaluation with the project staff and recipient authorities.
- Insist on the delivery of draft reports and a final version.
- Initiate the preparation of a summarised 'sexy version' of 'lessons' for dissemination.
- Organise information sessions to have the findings of the evaluation presented to decision makers and stakeholders.
- Ensure the dissemination of the report to stakeholders.
- Ensure the recording of the findings in an evaluation data-base.

Some glossary terms

Cost-benefit analysis: A cost-benefit analysis is a special form of cost-effectiveness analysis, which compares the monetary and socio-economic costs of several 'activities' with the benefits generated (i.e. the 'results').

Effectiveness: Effectiveness is the degree to which the 'services' delivered by the project have enabled the beneficiaries to achieve the intended benefits. Evaluation of the effectiveness of a project starts with an assessment of the extent to which the beneficiaries use the 'services' provided by the project, and finishes with an assessment of the benefits themselves.

Feasibility: The feasibility of a project indicates the extent to which a project is technically, socially, financially, environmentally feasible and to what extent do the activities, means, costs, competences and conditions suffice to deliver results to the beneficiaries. However, a project may be feasible, e.g. the hospital can be build, but not relevant in the sense that a hospital may not be the solution to a health related problem.

Feasibility study: A feasibility study is carried out during the formulation phase. Questions generated by the assessment of the project proposal should feed into the terms of reference. The feasibility study verifies the relevance and tests the feasibility and sustainability of the intervention by identifying risks and obstacles. An analysis of the means by which to overcome potential obstacles and minimise risk may lead to adjustment of the present plan through intermediate action to develop additional solutions.

Relevance: The relevance of a project means the extent to which the project objectives address the real concerns and serious problems experienced by the beneficiaries. The relevance of the project to other groups in society, whether regional or national, can be assessed by checking if the problems addressed by the overall objectives are of any importance from their standpoint. The project's relevance to society in general can help justify investment of public funds.

Sustainability: The sustainability deals with the extent to which the benefits of the project will continually be made available to the beneficiaries after the external assistance or the project has ended.

2. The Administration of Project Cycle Management

2.1 Procurement procedures

Your donor, your project partners or your organisation has certain rules about how you spend the money you get. Procurement rules are designed to ensure that the money you get is spent fairly and honestly and that you are getting the best deal on goods and services you buy. Some procurement rules that you might come across are:
1) for goods where any purchase over $1,000 USD specifications must be drawn up, 3 quotations must be made on specifications and the lowest cost quotation chosen,
2) for services where local staff posts must be advertised in a suitable newspaper and CVs examined by the donor before appointment.

The procedure usually follows:
- Specification
- Bidding
- Purchase Order
- Storage

2.1.1 SPECIFICATION OF AN ITEM
This identifies items of purchase in terms of specifics so bids are clear and can be easily compared. Specifications must consider variables of:
- Quality (dimensions, life-time, service possibilities, maintenance costs)

2.1.2 BIDDING

How would you go about choosing who to send bids to?
Getting value for money: Asking for discounts and bargaining can be quite important, even for well-funded projects. Indeed, big spending projects in otherwise poor areas can sometimes actually cause local price inflation. This may be good for local traders but for other projects that follow with much tighter budgets, it can cause real problems. Conservation money is hard to get, so spend it carefully!

Some simple but key points are:
- Choose only to approach reputable vendors. Want serious people delivering the real thing.
- Ask for a discount. Many suppliers will offer you substantial discounts if they think you will use them again.
- Get a range of quotations and tell suppliers that they will not be chosen if they do not offer a competitive price.
- Know when you need to pay purchase and import taxes. Most countries will charge some sort of purchase tax on goods that you buy and may also charge tax on services provided. Projects must be careful to try to not pay tax unnecessarily but also keep within the law. Every country is different and should consider:
  - How to avoid sales tax (some countries allow NGOs or government projects to reclaim the tax that you automatically pay on purchase of an item). If you pay sales tax for things you buy and take to another country you can sometimes also reclaim the tax.
  - How to avoid import tax (most countries have a limit on the value of goods you can bring in tax-free and above this limit you may have to pay tax. In some countries it is possible to get tax exemption for items that are gifts to projects or government agencies. Also if you can assure customs that the equipment is soley for your own use and you will take it away again when you leave, you are unlikely to be taxed.
- Specify dates for bidding
- Delivery options (terms)

Even for small locally manufactured items in small quantities, you still need to state delivery instruction. This is especially important for international deliveries where customs are concerned – unaccompanied deliveries can get stuck in a custom warehouse for months and the paperwork to get it out can be overbearing. However, even if you are ordering items nationally or locally, it is still important to state whether the supplier needs to handle delivery or you will pick up yourself. For delivery by supplier, there are international standard specifications known as INCO Terms. There are about 12 delivery terms but the most common are:

- FOB (Free On Board) ship, railway, truck, aeroplane. This means supplier is responsible for goods to be loaded onto a ship, i.e. until goods are delivered around the railing of the ship. If anything happens during this time, the supplier is not at fault, you are responsible. Requires thoughts about insurance. IF it is damaged before being loaded, it is the supplier's fault and must replace it.
- CIF (Cost Insurance and Freight): 'CIF Georgetown' = supplier has to pay cost, insurance and freight of delivery up to the point that has been specified in the purchase order (in this case Georgetown). Can be another location.
- Ex Works: supplier takes the goods out to his loading platform in his factory and after that you are responsible for it yourself. You will have to arrange for freight, insurance etc.

Conditions of the bid are to specify requirements, quantities, dates for bidding, delivery options, delivery time.

<u>Making the evaluation of the bid</u>
Best price may not be the cheapest!
It may be self-evident but sometimes not, as in the case of machinery:

- You need to consider price
- You need to consider quality level

The donor may request to see the bids and may want to give approval for the final purchase to go ahead.

2.1.3 PURCHASE ORDER (CONTRACT)

The purchase order must state/specify the following:

- Item with quality of dimensions, make, materials etc.
- Delivery option
- Delivery timing
- Bidding dates

2.1.4 STORAGE

Always check the items upon delivery against the specifications on the purchase order. If you are not receiving the purchase yourself, you must ensure that someone is waiting for the delivery according to the delivery specification and has a copy of the specifications of the purchase order.

Develop procedure for knowing first in and first-out: Use what you have first before using the next one. Especially important when it comes to equipment with expiry dates, sensitivity to humidity, damage, etc.

ISO (International Standards Organisation), BSO (British Standards Organisation) etc. tells what you need in terms of storage function and maintenance of equipment: often requires a schedule. This is extremely important. The ISO documents may need to be ordered.

It is very important to keep a good record of assets of a project for a few reasons:

- You may have to prove to an auditor that they really exist
- You may want to check you still have them from time to time

- Your donor may have stipulated what is to happen to them at the end of the project and may want you to prove this. For example, in international projects it is common for assets to be handed over to the local counterpart at the end.
- You may need records for an insurance claim if assets are damaged or go missing.

Records of assets can be set up by listing dates of purchase, serial numbers, quantity, location etc and to keep a file of tax receipts, guarantees (warranties), instructions and other relevant documentation.

2.2 Financial management

Managing the funds of your project can either help things go smoothly or cause a lot of problems. It is essential to have a budgetary system so that tracking is as up to date as possible on a consistent basis.

- Check when disbursements arrive and how they arrive
- Check any donor agreements, MoUs etc to know budget lines (of agreed budget)
- Check when internal and external reporting deadlines are and what needs to be included in the financial reporting.

2.2.1 Financial Basics

Bank-Books
Bank books specifically record financial transactions that come in and out of your project's bank account. The basic rule of book-keeping is simple: make sure you keep a written record and evidence of every single financial transaction. Bank books may even encompass cheques and vouchers.

It is highly useful to record in your bank book the budget line (see section on Financial reporting) of any transaction. Some other general rules are:
- Obtain a numbered written confirmation of each transaction (paying in voucher, withdrawal voucher, cheque, money order counterfoil) and file these carefully in a transactions file.
- Make sure your bank notifies you when money arrives and that you also complete any paperwork confirming receipt to your donor.
- Each month, ask your bank to send you a bank statement showing all transactions on your account. On a monthly basis, check that your bank-book agrees with your bank statement. If not, find out why.

Cash-Book
This is used to track your cash purchases. Cash purchases can be a big cause of headaches and you therefore need to set up a system that records all cash transactions.

It is highly useful to record in your cash book the budget line (see section on Financial reporting) of any transaction.

- Record your cashbook every time you receive cash (most likely in the form of cash withdrawal from your bank account) and every time you pay it out.
- Obtain written confirmation of all cash transactions (receipts from shopping, withdrawal slips from your bank or signed receipts for cash payments to individuals or organisations) and keep these in number order in a cash transactions file.

- Do not give anyone cash without getting them to sign for it. If you advance someone cash to make purchases, make sure they sign for it and understand that they are accountable for it supplying full receipts for expenditure plus any change.
- Find a secure place for your cash and accounts books. Make sure only a limited number of people have access to your cash box and books.
- On a regular basis, check your cash-book against the cash you actually have. If the two do not agree, you need to find out why. Have your transactions file to use as a double check. Once you are happy that you have accounted for all discrepancies, sign off your cash-book as you do for your bank book.

The bank and cash books can be set up on paper as well as on computer. Be aware that if something happens to the files on your computer, you must still have hardcopies to be able to back up any missing files. Always try and back up files on your computer at the very least on a weekly basis.

Audits
An auditor will independently verify that your financial books are a true record of what has actually happened and that you have fulfilled any legal, accountancy and other obligations concerning finances. Most donors will require that your project is audited but it is also a part of good management practice. Companies and larger charities are legally required to be audited on an annual basis.

2.3 Monitoring

2.3.1 THE BASICS: WHAT AND HOW

Different kinds of monitoring of projects are:

Finances
- Cost under budget lines
- Activities (in larger projects)

Operations
- Activities (done by project staff)
- Assumptions (may be best by external, depending on knowledge needed)
- Objectives (best done by external agents as project staff may be too subjective)

To monitor you use indicators and means of verification as described in the logical framework. Indicators are not just numeric, they are qualitative as well. Monitoring is conducted through spreadsheets, and communication which should always be documented.

Designing the monitoring system
The design of a monitoring system is based upon the type of information required and by whom. It is important to establish:
- different levels of demand for information
- precise level of detail required
- timing of the information flow
- type of analytical processes required at each stage of the chain, and
- if there is a need to provide project managers with the resulting analysis and feedback.

Often the effort and resources required to create and make operational a system that satisfies project cycle managers, decision-makers and project implementers, is severely underestimated.

2.3.2 FINANCIAL MONITORING

There are in essence two ways of monitoring your project budget: 1) by cost per budget line and 2) by costs per activities. The former is always necessary, however the latter is more pertinent for larger projects where significant amounts of money are involved and tracking is more complex.

Important notes on budgets:

- It makes a huge difference in terms of money, time and energy spent on budget tracking if you convert as many project budgets as possible to the format your donor specifies and use that format consistently. However, where you have multiple donors or specific internal reporting procedures, this will be difficult. In the latter case, duplication of budgets will always occur to some extent.
- Budgets should be created once you have donor approval and before the project starts. This will save a lot of confusion and frustration in trying to sort out and interpret inconsistent budget formats later when reporting (or needing money!) is necessary.
- Budgets will invariably share core figures and in computer programs such as excel, these can be linked up.

Finances: Monitoring expenditure under budgetlines

Budget line	Planned	Actual	Difference
Personnel	(Figure from original budget matrix◆)	(Figure from bank / cash book)	
Travel	(Figure from original budget matrix)	(Figure from bank/ cash book)	
Equipment	(Figure from original budget matrix)	(Figure from bank/ cash book)	
…..	(Figure from original budget matrix)	(Figure from bank/ cash book)	
TOTAL	(Total sum from plan budget)	(Total sum figure)	(Sum figure)

Finances: Monitoring activities

In a project budget, your money is committed but in order to know that you can still do activity X in your plan, you need to keep an eye on other costs.

To monitor, you need to track your budget against what it is actually costing you and what, if any, implications a change will have. The simplest monitoring consists of comparing a table of where you would expect the money to have been spent against the actual situation. For easing any necessary cross-referencing between budgets, it is good to use the same format for budgetlines.

	Planned	Actual	Difference
Activity 1	(Name of project)		
Personnel	(Figure from original budget matrix◆)	(Figure from bank / cash book)	
Travel	(Figure from original budget matrix)	(Figure from bank/ cash book)	
Equipment	(Figure from original budget matrix)	(Figure from bank/ cash book)	
…..	(Figure from original budget matrix)	(Figure from bank/ cash book)	
TOTAL	(Total sum from plan budget)	(Total sum figure)	(Sum figure)
Activity 2			

◆ The budget matrix precedes the plan budget. It shows how the summary figures of the budgetlines were worked out.

Changing your budget

Most donors will understand that budgets do not always turn out as planned and that you need some flexibility. Some will even allow you to move a fixed percentage from one budget heading to another without prior permission, but it is essential to have this in writing from your donor and to understand all limits on this.

If you find that your realistic needs do not fit the budget, then talk to you donor sooner before later. They are usually quite understanding if you approach them in time and in a well presented written request.

Any desired changes must be well substantiated for two main reasons: First, it is good project protocol to clearly state what the state of play is and why, and second, the donors have their own auditors which need to know why. Some donors will be much more strict on the procedure to rebudget so you should always contact them as early on as possible. Remember that it is always better to be completely honest and open with your donors throughout the project and doing so will make life easier for everyone.

2.3.3 OPERATIONAL MONITORING

Monitoring of activities should be made on a weekly basis to ensure that any problem areas are tackled early and to give yourself some piece of mind. A Gantt chart is a good way of diagramming activities and/or milestones that need to get done and visually helps to get an overall picture of where you stand. However, you can easily do this on a piece of paper or on a wall calendar.

How would you monitor a project?

Specifically you need to look at:

- Timing: If activities are late, you need to identify why and any implications for any other activities getting done. Will the other activities be able to start on time? Sometimes timing is crucial and if you have an activity that is crucial as well, it is even more important to be aware.
- If milestones that you set yourself or your team are according to plan
- Whether other people are actually delivering the task they are responsible for.

Realising if you are on target or not will lead action points to getting on to track. Write lists!

Operational monitoring of assumptions

The assumptions that you specified in your project proposal/plan are many times out of your control but they still need to be checked so that you can foresee potential hang-ups, delays, obstacles etc. that may require amendments to your plan and specific actions for mitigating effects. This is especially important to report to donors as it may affect the terms of your project and specific funds relating to it.

2.4 Evaluation

An evaluation is a written summary of analysing and thinking through what the information gathered from your monitoring actually means. It is similar to the discussion section of a scientific report.

Evaluations need to be carried out periodically throughout the project, usually at mid-implementation and depending on results will indicate if the project is moving in the direction of its objectives, or if there are certain points that need to be rethought. The latter scenario would require changing the project plan and revising/revisiting the project cycle process. The donor would have to be informed of the evaluation and approve any changes. Some donors are more flexible than others to changes and if significant changes required, the project may be cancelled. This illustrates the importance of good project planning.

Other evaluations may also need to be made according to the institutional requirements involved.

Lessons drawn from evaluations need to be summarised, readable and made accessible to anyone. In the formulation of evaluation abstracts, care must be taken to avoid too many generalisations as the details are often highly pertinent. During the assessment of a proposal, the use of previous evaluation findings should automatically be verified.

An evaluation is oftentimes part of a report.

2.5 Reporting

A report is simply reporting back against what you were setting out to do, no more and no less. Reports should be clear and concise and tailored to the requirements of the donor or any other project partner or stakeholder requiring information for reporting. Non-essential details should be left out. However, if details prove or illustrate a point, or are very interesting for a donor to know about or have on file, then include them in an Appendix. Reports will vary according to requirements for:

🗣 **How will reports vary?**

- Language
- Technical details
- Length
- Physical appearance
- Illustration
- Frequency of production

🗣 **If you were a donor project reviewer, what kinds of details would you want to know about?**

Usually, there will be two types of reports during and after the project: financial and operational. They may or may not need to be submitted together and this will have to be checked with the donor who will state reporting requirements in the donor agreement.

However, all reports should contain a brief summary of project objectives for the time frame and purpose you are reporting on.

2.5.1 FINANCIAL REPORTING

Donors (and indeed auditors) will most likely require you to conduct financial reports according to budgetlines (i.e. headings) such as ‘Salaries’, ‘Travel’, ‘Equipment’ etc. Financial reporting is good practice to monitor and verify that expenditure has been spent according to the project plan and agreement. If the money allocated has not been spent according to the budgetlines, your donor will want to know why. By incorporating expenditure according to budgetlines in your bank and cash books, you can relatively painlessly track expenditure against budgets and report to donors how the money has been spent.

The funding confirmation/agreement should state the nature of financial reporting. The norm for reporting will be to include the following:

- Expenditure of items according to budget lines
- Remaining unspent funds according to items per budget lines
- Narrative explaining if the project is on schedule or not (thus spending), including explanations of any delays, any changes in spending, and any foreseeable obstacles or opportunities for facilitating spending (i.e. other donors who will cover specific costs, donations, etc)
- Original receipts must be supplied. Donors will specify over which amount receipts must be supplied.

Depending on the nature of the project, you may have several donors to report to or you may have to submit financial information to one lead agency that will in turn be responsible for reporting. If this is the case, you will have to adhere to the agency requiring the information and be observant that their deadlines will usually be 2 weeks prior to the donor deadline.

2.5.2 OPERATIONAL REPORTING

The most common types of operational reports are updates, quarterly, yearly, and final. Their minimal contents are listed below:

Type	Purpose	Content	Time frame
Brief update	To know how project is going	Simple and to the point.	Various
Quarterly update	• To monitor progress • To help make decisions • To approve decisions	• Details of monitoring • Details of expenditure against budgetlines • Overall trends in project • Need for mid-term corrections	Every quarter.
Annual report	Long review of project Monitor yearly progress Possible project extensions Assess financial aspects: • Are the activities being implemented according to plan? • Are the activities having the desired effect? • Is the budget being used appropriately? • Are there unforeseen circumstances that could be preventing the success of the project?	• Long-term progress against higher level objectives (no fine detail. • Indicate sub-total or totals for project budget lines.	Yearly
End of project	To review the entire project in terms of operations and finances. • Have we achieved our objectives? • Has the project brought about the desired change? • What lessons have we learned for future projects? • Has the project set in place opportunities for further complementary work? • Are there surplus or any assets left?	A compilation of info during project: • Assess last period and progress achieved by end of the project • Compare objectives • Compare events • Indicate changes • Evaluate end result against objectives.	One time.

2.5.3 FOLLOWING DIRECTIONS

Golden rule is: Always read ALL of the directions carefully first. Pay attention to strong verbs and do exactly as it says. There is another golden rule. Find it through the exercise!

☞ Exercise on “What is the second golden rule to following instructions?” (To be announced by instructor)

2.5.4 EXERCISES

☞ Exercise on “Judging Reporting Quality”: (To be announced by instructor)

☞ Exercise on “Reporting”: (To be announced by instructor)

☞ Exercise on “Project Cycle Administration and Management: Making adjustments to your PC sketch”: (To be announced by instructor)

Human Dynamics of Project Management

3. Project Team building

3.1 Qualities of a good team

Team building may take place before the implementation phase if several people came up with the idea for the project, or it may start at implementation, especially for larger projects.

The makings of a good team dynamics

Team dynamics are built upon the principle that there is no limit to the potential of a good team. A difficult situation will reinforce the confidence between team members as they seek to change the direction of a situation or keep up the momentum of an already good one.

The collective ability to innovate is stronger than the individual one because the combined brain power of the team exceeds that of one person.

What kinds of features would a successful team demonstrate?

- Strong and effective leadership
- Establishment of precise objectives
- Making informed decisions
- Ability to act quickly on these decisions
- Free communication
- Mastering requisite skills and techniques needed to fulfill project in hand
- Providing clear targets for team to work against
- Right balance of people to work for common good

What characteristics are important for individual team members to have?

Generally, the optimal team is made up of members who possess many (if not all!) of the following personal qualities:

- Strong commitment
- Belief in project aims
- Right mix of skills and knowledge
- Adaptability/flexibility
- Compatible work style (i.e. independent versus team player)
- Reliability
- Responsibility
- Initiative
- Local knowledge/experience
- (Good communication skills)
- (Language skills)
- (Health issues)

What is the project leader and what characteristics are important to have or develop?

Usually the person who conceives the idea takes the role of project leader. However, this is not always the best scenario as leadership requires a host of skills, the most important being:

- Technical skills and knowledge
- Communication skills
- Good judgement
- Creativity
- Flexibility

- Problem solving skills
- A lot of energy

The leader takes responsibility for achieving project objectives, building the team, and developing individuals in the team. Most project leaders possess all of the qualities to some degree and they can always be trained where they have no experience or show weakness. However, the most important point is to not underestimate the importance of the above skills and to through a strong underlying commitment and willingness strive to achieve them.

Broad principles to take into account when choosing a team are:
- Who is best to lead project?
- What is the optimum size of your team?
- Team identification and roles?
- Building project ownership and trust amongst the team

3.2 Choosing the team

Team size will depend on the size of the project. When planning size and members the following should be taken into account:

- Skills base: you need enough people to cover the skills need. You do not want too many people with the same skills.
- Logistics: this depends on the roles of the team members as well, for example if they are doing a lot of field based work, or are occupying office space. It depends on availability of space and equipment, as well as finances
- Scale: the size of area (if surveying needs to be done), timing (you may need more staff if time is limited and the area is large), and social considerations (if the work you are conducting is sensitive or is based on developing close relationships you will want less staff).
- Safety: i.e. field work usually requires at the least a pair working together. In some instances, it may be required to reconsider having two females working together as a pair if the risk assessment shows potential problems of harassment.
- Costs: Starting a new project may require employment of new personnel, hire of consultants, or training existing and/or local staff to do the job. Most donors would prefer training as it is more sustainable, however, depending on project start date and costs available it may be necessary to use consultants.
- Team dynamics: larger teams require more organising and perhaps even training and coaching. If so, who will do this and can do they have time and energy and is it their responsibility? Also, very small teams carry a risk of instability for example, if someone is taken ill who will take their place?

3.2.1 TEAM MEMBER IDENTIFICATION

Team members can include the employment of new staff, using already existing staff (including your own and partner organisations), training staff do the job, hiring consultants, and even using volunteers. Subcontracting can also be an option where there is a defined job that needs to be done and where the existing pool of team members do not have the resources or skill to do that job, for example subcontracting a building company to construct an office building or subcontracting a university department to carry out a participatory rural appraisal. Wherever possible and for whatever purpose, it is best to use people with local experience or knowledge.

3.2.2 SOURCES OF TEAM MEMBERS

Choosing which is the best option is not always straightforward, there are however some guidelines that highlight pros and cons of the different kinds of pools of members.

What are advantages and disadvantages of recruiting members already working in your organisation for your team?

What are advantages and disadvantages of recruiting consultants for your team?

What are advantages and disadvantages of recruiting volunteers for your project team?

PROS	CONS
Consultants	
• Provide specialist support in important areas and offer new perspectives	• They can cost a lot of money
• Train, inspire and motivate staff	• May not be as committed to the project as you are
• Help you deal with difficult areas of work and give you the benefit of their experience	• May expect to be given special treatment in terms of accommodation, transport etc
• Be a long-term friend to the project even after they have finished the contract	• May expect everything to be prepared for them to do their work and may be relatively unsympathetic if you are not organised to make best use of their time
Volunteers	
• Provide a lot of help at low cost	• Require a lot of attention and supervision and use up a lot of your time
• Bring a wide range of news skills and knowledge as well as enthusiasm (volunteers are not always young and inexperienced)	• Compete with permanent staff for space and resources in the office
• Provide a good potential source of new paid staff	• Have an attitude to work that is disruptive
• Be a friend to your project and organisation long after finishing their work	• Cost more than you think: you may have to cover transport, accommodation, subsistence and provide a means for them to do their job (computer, office space etc)
Subcontractors	
• Do work that you cannot do or do not have time to do	• Require clear contracts and ToR
• Produce professional results quickly	• Require supervision and monitoring of the work they do—this takes up your time
• Save you from having to invest in specialist equipment and training	• Run over time and over budget and therefore give you problems with your donor and partners
• Provide additional experience for your team especially if you appoint a counterpart from your team to work with them	• Do a bad or incomplete job, leaving you not only to try to deal with the problem, but also to find another subcontractor to do the job properly

3.2.3 ROLES AND CHARACTERISTICS OF TEAM MEMBERS

For a team to function most effectively, there are several roles that need to be occupied below. It is useful to bear these roles in mind when recruiting team members although it is equally as important to look for the necessary skills and qualifications to get the job done.

What kinds of different players (roles) have you noticed in a project team? Are they typical of all teams in your opinion? Are they important to have?

Try to match roles to personality rather than the other way around. One member can fill different roles as well. The most important thing when matching roles with members is to try and fill all the roles – so that all the needs of the team are truly covered and all members feel comfortable with their roles.

Team Roles	Characteristics
TEAM LEADER Finds new team members and develops team working spirit	• Excellent judge of the talents and personalities of individuals within a team • Adept at finding ways of overcoming weaknesses • It is a first-class two-way communication • Good at inspiring and sustaining enthusiasm
CRITIC Guardian and analyst of the team's long-term effectiveness	• Never satisfied with less than the best solution • Expert at analysing solutions to find the possible weaknesses within them • Merciless in insisting that faults be corrected • Constructive in pointing way to possible remedies
IMPLEMENTER Momentum and smooth –running of the team's actions	• A born time-tabler who thinks methodically • Anticipates threatening delays in schedule in time for them to be presented • Has a "can do" mentality and loves to fix things • Able to rally support and overcome defeatism
EXTERNAL CONTACT Looks after the team's external relationships	• Diplomatic, and good judge of the needs of others • Has a reassuring authoritative presence • Has an effective grasp of the overall picture of the team's work • Discreet when handling confidential information
CO-ORDINATOR Pulls together the work of the team as a whole into a cohesive plan	• Understands how difficult tasks inter-relate • Has a strong sense of priorities • Has a mind able to grasp several things at once • Good at maintaining internal contacts • Skilled at heading off potential trouble
IDEAS PERSON Sustains and encourages the team's innovative vitality and energy	• Enthusiastic and lively, with a zest for new ideas • Eager for and receptive to the ideas of others • Sees problems as opportunities for successful innovation rather than as disasters
INSPECTOR Ensure that high standards are sought and maintained.	• Strict and sometimes even pedantic in enforcing rigorous standards within the team • Good judge of the performance of other people • Unhesitating in bringing problems to the surface • Able to praise as well as find fault

3.2.4 SKILLS OF TEAM MEMBERS

When looking at roles of team members and recruitment of them, look for members who possess one of the three types of skill that are vital for team success:

- Technical expertise in disciplines
- Problem-solving skills and the ability to make clear, informed decisions
- Team-working skills and an ability to cope with interpersonal relationships

3.2.5 RECRUITMENT OF TEAM MEMBERS

Recruitment for a position can be made internally (giving a chance for people within your organisation to apply), through 'headhunting' (knowing exactly who you want and approaching them for a position and/or strongly encouraging them to apply), and through advertising.

Always be ready to send out the Terms of Reference (ToR) to an interested candidate as this spells out clearly what they would do.

3.3. Documents for team members

What documents does your organisation or project team use for its employees? Are they useful? Do your project team or organisation refer to them? Why or why not?

3.3.1 TERMS OF REFERENCE (ToR)

The best way to identify roles for the team is by writing aTerms of Reference (ToR). This will spell out clearly what qualifications and skills are absolutely essential versus which are preferable, and will clearly state what their job will include, the chain of command, and what (and who) they are responsible for (i.e. deliverables, supervision of others etc). A ToR is necessary for clarity on the part of the employee, employer, other team members, for accountability should a problem arise, and for reference for purposes of documentation and appraisals. A ToR should always be available for viewing by any individual and is not considered confidential.

Upon recruitment
Providing your team member with a contract, ToR and conducting periodic appraisals is good project practice. Contract structure may differ from country to country and needs to be checked.

3.2.1 CONTRACT
A contract should include the following:
- Name of contracting organisation
- Name of contractee
- Job/contract title and purpose
- Date of commencement and duration of contract (which may include a trial period). For consultants and contractors this may include a timetable for completion of the job.
- Description of general responsibilities of employee/contractee (the detailed description is the Terms of Reference)
- Management structure and line manager/team co-workers
- Place of work
- Work hours
- Salary/fee, timing and method of payment. For consultants and contractors, this may be upon completion of deliverables)
- Additional benefits (holiday, sick pay, insurance, pension etc)
- Intellectual property and restraint clause
- Conditions for termination by either employer or employee
- Means of conflict resolution/ handling of grievances
- Signature of both parties, one copy for each.

3.2.3 APPRAISALS

🗣 **Why have an appraisal system**? **Do you /would you find it useful? Why or why not?**
Appraisals are a good way of monitoring team an individual's progress, strengths, weaknesses, concerns, training needs, etc. It is a good way to test employer perception versus employee perception so that there is clarity and contentment of a job role. It may also require amending a ToR. Appraisals are generally considered confidential. Persons who may view appraisals should be clearly stated on the appraisal form.

The dynamics of a team are made up of the feelings and attitudes of individual members, and are critical to project success.

3.4 Analysing your team's abilities and risks in relation to a potential project

A SWOT analysis is a very useful way of focusing your potential project planning (indeed, it is applied to many other subjects such as evaluating a project at a certain stage). This is done through the SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis and can be done on an individual, group or organisational level. The SWOT analysis must be made against a very specific subject that all participants readily understand.

There will most likely be a few issues that are perceived by some as a weakness and by others as a strength. These are called 'sliders' and are good for discussion points. Once all thoughts are on the board you can then answer the following questions:

- How are you going to play to your strengths?
- How are you going to develop your current weaknesses until they are strengths?
- How will you do things differently so that the weaknesses don't matter?
- How are you going to take advantage of the opportunities open to you?
- How are you going to avoid the threats?

The discussion will also weed out what parameters are will beyond the scope or influence of the potential project. After this, you can agree and summarise the points on a final SWOT and indicate for each box perhaps 3 – 5 responses of what you can do. After this, it is often useful to put together a one paragraph profile of the team, its skills, and the type of work it could best do.

The SWOT can also be applied to identifying potential project partners.

☞ Exercise on "Conducting a SWOT for project potential". (To be announced by the instructor)

3.5 Recognising working styles

🗣 **Do all people work the same way? Why or why not do you think? What are some examples of different working styles?**

People most probably fall into different working styles, which are important to recognise as it will affect how people rationalise things and carry tasks out. It also improves communication.

Typing: The Myers-Briggs Type Indicator (MBTI) is a system for understanding personality types and has a number of constructive and positive benefits.

- It helps us understand more about ourselves and out tendencies.
- When we see that a person's *usual* style of behaviour is part of a natural pattern and not something that is "wrong", it makes it easier to view our own behaviour and that of others with less judgement.
- It gives us the ability to develop a more objective view of other people's ways so that we do not take remarks personally when they are, in fact, not directed at us, but simply part of their makeup.
- Help us make more conscious choices in how we relate to others
- We can better support and encourage people.

The MBTI is based on 2 terms:

Preferences: We are born with this. It refers to the way prefer to do certain things.
There are four pairs of opposite preferences:

Four types of opposite preferences

Opposites Preferences		**Description**
Extraverting (E)	Introverting (I)	Where we prefer to focus our attention and what energizes us
Sensing (S)	Intuiting (N)	How we prefer to take in information
Thinking (T)	Feeling (F)	How we evaluate information and make decisions
Judging (J)	Perceiving (P)	Our lifestyle orientation

Within each type of opposite preference pair every person will lean more towards one than the other. By identifying the preferences for each opposite pair, we get a 4 letter personality type e.g. ESTJ.

All together there are 16 different types and the sum of the preferences is greater than the sum of its parts. They interact in different ways and in varying degrees to make each person unique.

Temperament:
This theory suggest we all have a certain fundamental desire that propels us, that is what we live for e.g. living for spontaneity and freedom, duty, control or understanding etc. A person's temperament largely determines how his or her behaviour affects activity patterns. There are four basic types of temperament recognised throughout history by different cultures (dating back some 25 centuries!) and are based in core themes in their lives. Under MBTI they are named:

Preferences		Description
Sensing (S)	Perceiving (P)	Action Seekers
Sensing (S)	Judging (J)	Duty Seekers
Intuitive (N)	Thinking (T)	Knowledge Seekers
Intuitive (N)	Feeling (F)	Ideal Seekers

The MBTI system integrates the two theories (that have independently evolved) and have done so because they compliment each others so well.

When looking at your type, if you do not feel that this is "you" then that usually means you have got one preference wrong and need to redo the inventory. Some times you can have close preference between two. This is ok.

It might be hard to find your type for the following reasons:

- If you felt pressured while growing up to behave in a certain way that was not your true style, you may have scored the statements based on how you think you should be rather than on what your true nature is. You might want to go back over the statement and ask yourself "Is this really how I am or is this how someone told me to be?"
- You may feel pressured by society's standards to be other than your natural self. For example, in the USA being an extravert is seen as desirable and they score higher in it but be careful to not fill answers in based on what you think you should be.
- If you are a female with the preference for THINKING and are a male with the preference for FEELING, this is the opposite of most social norms in may societies. It can affect how you answer the T and F inventory.
- Your work or career might require skills, which are not your true style. For example, if you like being inventive and coming up with new possibilities for the future (intuiting) and your job requires routine, detail or factual work (Sensing), this can influence your score.

☞ Exercise on "Determining your working style". (announced by the instructor)

🗣 **Did you agree with the outcome? What types did your other project team players score? Does this help to know how to help other members work better? Even if you do not agree with the test, was the exercise useful to illustrate differences in working styles?**

4. Team Management Skills

4.1 Delegating work

Delegation involves entrusting another person with a task for which the delegator remains ultimately responsible.

🗣 **Why delegate work?**
Delegating has benefits of boosting staff morale, build confidence, and reducing stress.

What keeps people from delegating work?

<u>There are always reasons for not delegating:</u>
Doing it better yourself: Not delegating because you feel you do it better is bad management. If a person lacks delegating skills these can be developed through effective and appropriate leadership style. Delegation is a self-teaching activity—you develop and perfect skills through the process itself and your confidence and abilities increase the more you delegate. Consider that the desire to be in control is a common human trait and delegating involves the loss of direct control. Here, however, you delegate to gain benefits for you, your team and your project.

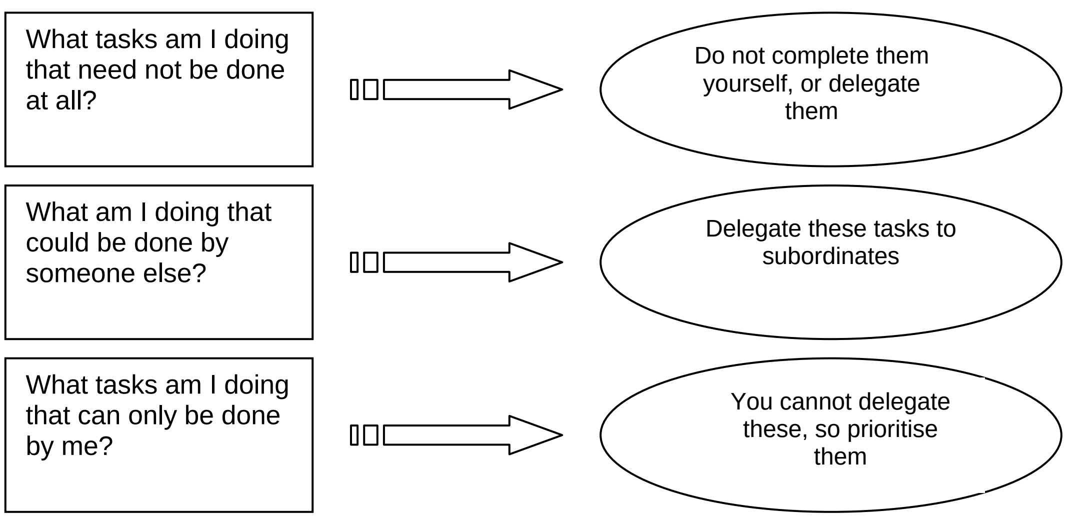
When delegating, the manager passes on responsibility for completion of a task to a chosen delegate. The delegator, however, retains overall control by appointing the right person, having a clear idea of how the task should progress and exchanging regular feedback.

Questions to ask yourself are: How much of my time is spent on things that I should be delegating to colleagues? Can I learn from the way my own boss delegates to me? Have I got my paperwork under control? Why should it upset me if a subordinate performs part of my job brilliantly? How much spare work capacity is there in my unit?

Delegating effectively follows a logical path: sorting the tasks to be delegated, naming the delegate, defining the task, monitoring and encouraging, and reviewing and revising.

The first order of action is to keep a log of your own time and record how your actual expenditure of time matches the areas or tasks for which you are responsible. Keep a log for 2 weeks and not all activities you undertake and the time they take. You will most likely notice that only a small amount of your time is spent on high-level activities that only you can do. Far more time will have been spent on routine tasks that you could have delegated.

Next step is to evaluate your activities:



4.2 Principles of Effective Communication

Communication is said to be the single greatest influence on organisational effectiveness.

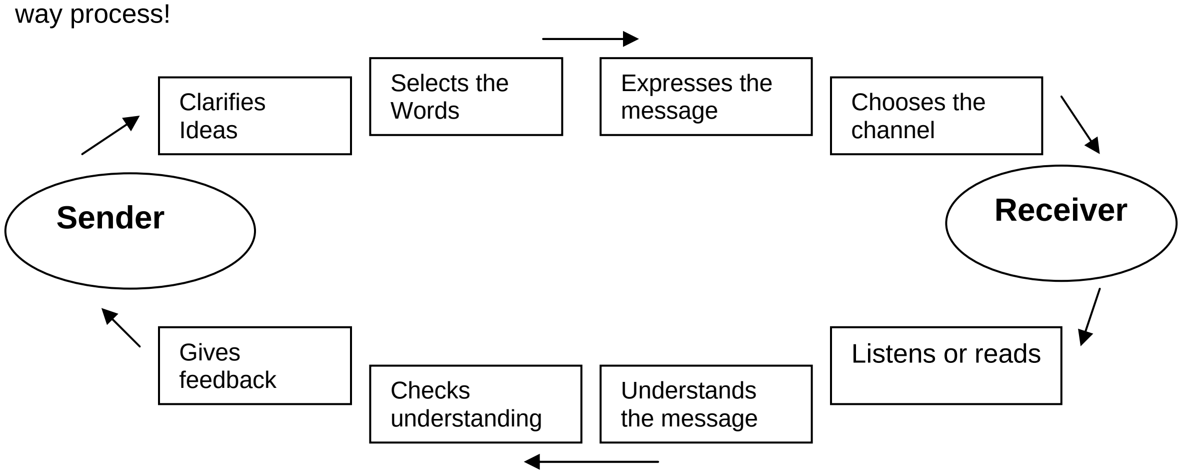
4.2.1 INTRO TO BASICS

How would you define communication?

Communication is transferring understanding from the speaker to the listener. Most people equate communication with being able to speak well: to express ourselves clearly and logically. But communication is more than this. Most of communication is non-verbal. If listeners have not understood the message perfectly (what we intend them to understand), then the communication was not successful.

Guesstimate what percent of body language, facial expression and words make up communication?
Received messages are: 70% body language, 23% facial expression, tone and emphasis, and 7% words.

Communication is often regarded as a one way process: we speak, and they hear. But it is a two way process!



Communication is often full of assumptions, such as:
- Openness and Trust: “They don’t need to hear the full story”
- Relevance: “What you think I need to know is not what I want to hear”
- Motivation: “I know what you are thinking, but you are wrong!”
- Nonverbal communication: “Great! what does he want from me now?”

We assume others listen but we are often wrong. The average person at the receiving end listens about 20-30 seconds before “editing” a message to what they think it is leading to.

4.2.2 VERBAL COMMUNICATION
We need to first clarify what we want to say and why we want to say it. Sometimes communications is impromptu, sometimes we have a few minutes to plan and sometimes it may be a lengthy process. Either way, it demands we sort out our ideas.

Do we want to:

- Express an opinion
- Persuade others to change
- Pass on information
- Assert authority
- Apologise
- Criticise
- Make others laugh

Once we know we can:

- Sort what we want to say
- Make sure you really understand it yourself
- Decide why you want to say it
- Put ideas into a sensible order so that others can follow you

Our choice of words is very important because what words we choose (that can mean the same thing) can carry formality, sensitivity, how well we know the listener, the comfort of the listeners. We do not want to offend or send signals that are not appropriate.

So we need to choose words according to:

- Give the most exact meaning
- Give an appropriate emotion
- Give appropriate level of intensity
- Suite the formality
- Be understood and accepted by our listeners

We communicate by tone as well and what words we stress: Consider the different ways we could say the same phrase: " I asked him to bring the book to me" but convey different feelings about the person and about the implication etc.

4.2.3 NON-VERBAL COMMUNICATION

Name all the non-verbal ways of communicating that you can think of.

Non-verbal communication is based on:

- facial expression,
- gestures
- postures
- space and distance

But we need to recognise that:

- Non-verbal communication is often related to circumstances and context in which we observe them
- Non-verbal clues must be taken in entire context of communication
- There can be cultural differences in non-verbal communication
- Non-verbal communication is the more believable of the communication
- We never stop communicating non-verbally

4.3 How to Communicate Effectively

Effective communication, as we have now gone through, is knowing your message, getting the right words out, possessing the right attitude and body language, being in an appropriate background setting (if you can help it), and knowing your audience.

4.3.1 MAKING AN IMPRESSION

🗣 **What things impress your (or don't) about a person you have just met?**

People get impressed by those who:

- learn names (try and associate names by faces)
- do small talk; take interest in people
- adapt to your comfort zone (preferential distance, eye contact etc)
- give you their your full attention

<u>Possess the following:</u>

- Self-confidence (respecting your own ideas and feelings)
- Willingness to be open in conversation (sharing honest feelings)
- Respect others (respect the right for different opinions, their right to disagree and right to be listened to)
- Interest in other people (their ideas and thoughts may be very important. Never dismiss it)

4.3.2 SENDING AND RECEIVING INSTRUCTIONS

Be friendly, use their language, and try to use visuals where possible.

If you are sending instructions:

- Review the purpose of your message
- Choose your words to reflect the professional context (formal/informal, emotional/non-emotional etc)
- Give context.
- Break instructions down into a series of steps in a logical order
- Summarise what you have said
- Check that they have understood (facial expressions, posture)
- Resend your message if they are not clear.
- Check that they agree (facial expressions, posture)

If you are the Receiver:

- Always repeat a verbal order back to the Sender.
- Ask questions as soon as you realise you do not understand something.
- If there is a lot of information, ask them to write it out or help you write it out. Send a copy to them if it requires.

☞ Exercise on "Giving Instructions (and receiving them correctly) through drawing a simple picture" (to be announced by instructor)

4.3.3 NO OFFENCES TAKEN

When giving points on discussions, or suggestions and criticisms, people will more readily accept your points without negative reactions if you use "I" statements or requests where you phrase your view so that it comes across as a personal feeling and not as a universal fact. This also refocuses the problem or issue away from a blame to a positive criticism.

Avoid using labels "You people all…."; "Those accountants…";
Avoid name-calling: " Those idiots…."; "Any fool knows…."
Avoid emotive (words that cause most of us to react strongly) words: "lazy"; "slow", "mess"
Avoid judging words: "You ought to know"; "you must be more careful"…

4.3.4 LOGICAL PROGRESSION OF QUESTIONS

Ask questions to get specific answers and lead to a bigger picture.
The important point is to see where your questions are heading and to make sure that each question is related to the one before.

You can order your question like:

- A funnel: start with broad and open-ended questions which explore the general issues and then gradually proceeds to more specific questions. This allows the other person to express a wide range of ideas, opinions or problems before focusing on the more specific areas to be dealt with. E.g. How is the training going? How do you like your new equipment? Do you need any new equipment? Would you like me to find out if it is available?
- An inverted funnel: start with specific questions which pin-point exactly where the problem is or what has happened so far. Then expand into a more general discussion of the problems and ways to solve them. E.g. What system do you use at the moment? Is it ok for what you do? What would you like your new system to be able to do? What changes would you suggest?
- A tunnel: These questions are less clearly related and are more independent of each other. E.g. are you happy with your new office? Is the heating ok? Is your desk size big enough?

☞ Exercise: “Effective Questioning under time constraints”. (announced by the instructor)

4.3.5 BE A BETTER LISTENER

Is listening a skill? Is people not listening a problem?

Being a better listener saves time and improves productivity. It builds up your rapport, you get free information, you improve relationships, and it encourages others to speak more clearly

- Decide why you are listening. Is it to:
  - Listen casually: what is being said is not particularly important
  - Listen factually: listening to obtain specific information
  - Listen empathetically: listening to understand the other person and to hear the facts.
- Choose a good place free from distractions.
- Clear your head of other thoughts and biases.
- Ask questions
- Encourage the speaker by showing interest
- Repeat back what they have said by paraphrasing (saying main points in our own words)
- IF there is an emotional element to the message, reflect on it (repeat back the feelings associated with the message)
- Don’t talk and be comfortable with silence.

4.3.6 PHYSICAL ASPECTS OF FURNITURE AND POSITION

How you face stakeholders, how you arrange seating and the environment around you can influence your communication. Removing unnecessary physical barriers is the first step to removing mental barriers! Consider the arrangement for a business meeting, for an informal business talk, for an interview etc.

☞ Exercise on “Using furniture to create certain atmospheres (depending on context)”. (To be announced by instructor)

4.3.7 WHAT DOES YOUR BODY LANGUAGE SAY?

Postures and facial expressions are more obvious to read than hand gestures.

🗣 **Look around you and observe the other participants. Consider what their body language says to you. Give examples of what you think are typical body language signals of a certain behaviour.**

Hand gestures can show several things:

- Steepling of hand can show superiority or feeling of control
- Fidgeting with clothing often indicates that the person is concealing frustration or disapproval at what is being said
- Fidgeting with the face often indicates discomfort, nervousness, disapproval or frustration
- Rubbing of eye or ear may indicate that they can't see the point or have heard enough
- Covering mouth may show discomfort with what is being said. It may be to hide truthfulness but a shy person also covers there mouth….
- Misuse of furniture implies lack of respect
- Leaning forwards often shows interest
- Leaning back may show lack of commitment
- The more heavily the head leans against the hand, the more critical the listener
- Looking up towards the ceiling indicates an impatient listener

☞ Exercise on " Common perceptions of body language: what attitude/emotion do people collectively think are being portrayed by certain behaviours?" (to be announced by instructor)

4.4 Effective Meetings

🗣 **What in your experience makes a great versus catastrophic meeting?**

Recipe for meetings:

Bad Meeting	**Good Meeting**
Schedule meeting last minute	Agenda and previous meetings notes have been sent out PRIOR to meeting (not the same morning!!) preferably a few days in advance.
Don't prepare—it will all come out anyway. Improvise it.	Everyone understands the meetings and objectives
Turn up early for the meeting and expect it to start straightaway. Or turn up late and make everyone stand up and move to accommodate your presence.	Meeting starts on time
Arrive straight after an agenda item for which your input is vital.	Right people are there
Don't think through who is really relevant for the meeting.	It is clear what the last meeting accomplished. Minutes are made available.
Don't bring papers with you or forget some. Assume organisers they will supply them to you.	The agenda spells out what will happen at the meeting. Its structure reflects priorities and meeting runs according to agenda
Don't appoint organisers.	Discussion is relevant
Hog coffee, scoff all biscuits and smack your lips loudly.	Talkative people are not allowed to hog it, so the quieter ones with a contribution get to make it.
Slump in your chair, arms folded and legs apart, occasionally leaning back to sigh loudly	Discussion is relevant and focused.
Start your own mini-meeting discussions.	Meeting lasts as long as it takes and no more or less
No decisions are made according to objective, but lots of discussion.	Decisions are taken and actions planned to take things forward
Nobody knows the objectives	The objectives of the meeting are reached
No summary, everyone starts leaving before meeting is closed.	Ask chair to summarise meeting points and action.
Everybody asks afterwards, "what was that all about?"	Everyone leaves knowing what has been reached.

To have a good meeting you need have the ingredients above but you also need focus on being effective. Problems with meetings are that people come in with different ideas from different points of view and there can be little or no structure when that happens. This leads to conflict and issues not being resolved.

One way of directing focus on different aspects of a meeting topic is to use the “6 Thinking Hats Method”. This is a well known method and really works! It was developed by Edward de Bono.

The concept is that you have 6 imaginary hats representing 6 different colours. There are 6 hats because de Bono suggests that having less would not really cover the essential thinking patterns and having more would get too confusing (and new hats would usually fit under one of the existing ones anyway). Each colour symbolises a different thinking pattern. When you put on that one hat, you operate *exclusively* in that mode of thinking. When you change hats from one colour to the next, you switch thinking pattern.

It is very important to realise that the six hats are NOT descriptions of thinkers or categories of thinkers. Only modes of thinking.

Every meeting should cover (wear) the different kinds of “thinking” (i.e. hats). By getting everyone in a meeting to focus on thinking the same way, conclusions can be made much easier and within a short amount of time.

The 6 Thinking Hats method is used as a quick tool for thinking on the same wavelength. Sequencing of the hats can vary but the times should remain the same. The short timing trains us to think very focused:

“Hat”	Symbolises…	Characteristics	Sequencing	Timing
White	Factual Information	• Data you know • Data you don’t know • Data we need to know • How are we going to get missing data?	Start	2 minutes
Black	Caution	• Cautions • What can go wrong • Challenges	Mid and End	2 minutes
Green	Creativity	• Solutions to problems • New ideas/suggestions • Modify and vary existing ideas	Mid	3 minutes
Red	Perception; Gut feelings. Emotions. No seeking why or no justification involved.	• Gut feelings • Intuition • Emotions	Start and End	1 minute
Yellow	All the realistic positives	• Logical benefits • Logical value	Mid	2 minutes
Blue	Process control; manages it; thinking about the thinking	• Sets agenda • Moves to next point • Summaries • Conclusions	Start and End	1 minute

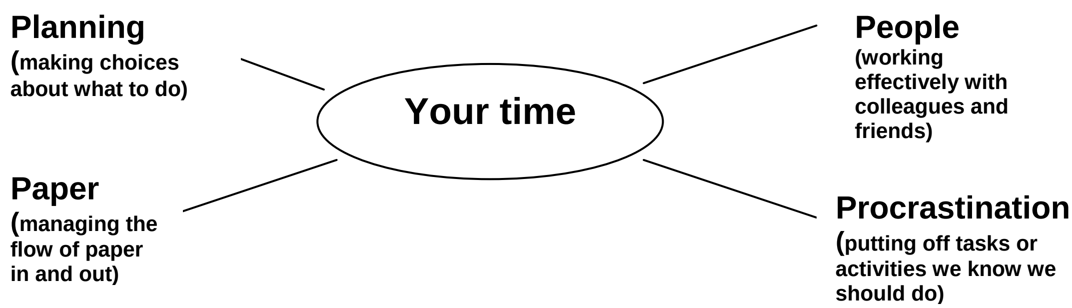
☞ Exercise on “Having an effective meeting in 12 minutes”. (to be announced by instructor)

4.5 Time Management

🗣 Is time management a personal skill you need to develop? How about in the workplace?

Managing time better has several benefits:
- Increase effectiveness
- Reduced stress
- Improved team and individual morale
- Better use of your organisation's most valuable resource—the employees (you!!)

How we manage the four aspects below influences our effective use of time:



Traditionally, we use mostly the left side of our brain at work. To be really effective we need to use both sides of our brain: The right (creative, overview, visual, artistic, and patterns) and the left (rational, immediate, language, mathematics, detail). This will give us a more innovative approach.

Time management works on 10 techniques:

1. List goals and set priorities: Set goals for the year in terms of work and personal life. A (high), B (medium), C (low) priorities. Number the A's. Discard the Bs and Cs. Focus entirely on the A's and get them done. Apply the SMART (Specific, Measurable, Achievable, Relevant, Time-limited) principle. E.g. you listed Learn Spanish as A_1 goal. Applying SMART to it might read "Learn to speak Spanish within 6 months to be able to talk to hotel receptionist clerk".

☞ Exercise on "Listing your personal and professional goals and priorities for the year". (to be announced by instructor)

2. Use the Pareto Principle (80/20 Rule): A few things can make something big. This describes the ratio of different things: e.g. 80% of your calls come from 20% of your colleagues; 80% of NGO money comes from 20% of its donors etc. *80% of your objectives can be achieved through 20% of key activities*. Generate activities for a goal. Which of these activities will have little impact on your final goal-- regardless of they are easy or not. Eliminate it/them. Choose high impact and easy activities first and if you have to, choose high impacts but challenging!

☞ Exercise on "applying technique towards revising your mission statement or job purpose". (to be announced by instructor)

3. Make a daily to do list: your list will have 3 conditions: they are written, prioritised and revised daily. Be careful of the struggle between the tendency to do urgent (short-term) rather than what is important (long-term) e.g. consider "I must put out the fire" versus "I must look into the need for a smoke detector", or "I must finish this job" versus "I must train my assistant". Prioritise urgent and important for the day first (according to A, B, and C). Discard C's first. Do your list every morning, first thing. Have one list. Write it down, and keep it in view and

strike things off when you have completed them. Keep your daily rhythm in mind—when are you most productive, morning or afternoon?

4. Do, delegate, dump: On your "to do" list you might see activities that stay static for along time, that occur regularly, that move and then down (from A, B and C). If you see these patterns, name them D and these will tell you to:
   - **Dump them**. Some things were never important or have become unimportant. Get them off your list.
   - **Delegate them**. If you work as part of a team, it may be possible to delegate items.
   - **Do them**. Why are you not doing this? If procrastination is your problem, get it done.

5. Schedule your plan: Develop schedules for every major time slot such as years, months, weeks and days. You can use desk calendars, Gantt Charts, wall calendars etc. There is no reason why you cannot do it. Include regular events, holidays, family occasions, special projects, personal developments, deadlines. Any anything else you can think of! This will let you see what is doable. Hang this on a wall if you can.

6. Do it now! When you are as ready as you can be (and be honest about it) to do a task, do it! Sometimes you may have something that requires preparation and should not be done until then but prioritise it then. Procrastination is a big problem.

🗣 **Why do you procrastinate for priority and urgent activities?** (self doubter, perfectionism, rebel, excessive socialiser, daydreamer, priority inverter). For what kinds of activities do you procrastinate? Reflect if they are big or complex tasks that seem daunting the closer we get to them or if they are tasks that involve the possibility of difficult-to-handle interpersonal situations. What can you do to prevent the procrastination?

7. Handle each piece of paper only once: If the paper gets put on your desk, make sure it gets pushed forward. Write directly on the paper if you can to reply instead of starting a new process, file them accordingly into TO FILE (you may be able to delegate this), PENDING (make sure somebody else gets it for you to do your job (you might be able to delegate this), and TO DO trays (prioritise it). Then you know clearly what you are working with.

8. Feed the monkey: this was adopted from Bill Oncken who wrote an article entitled Managing Management Time: Who's got the monkey? In the November 1974 Harvard Business Review. His monkey is basically an extra task or "burden" that you can get by inadvertently getting drawn into a situation where you get involved where you need not have.
   Monkeys can be handled by:

- describing the monkey (establish next moves);
- assign the monkey (they should be owned and handled at the lowest organisational level possible, consistent with their welfare)
- insure the monkey (recommend then act *or* act, then advise)
- Check on the monkey (follow-up how it went)

🗣 **What monkeys have you taken on lately? Did you experience any of the following: they disempowered team members, they created confused in terms of the lines of responsibility, or did it stall a solution? How can monkeys be handled?**

9. Deal with interruptions. Interruptions always occur. Reflect on what kind of interruptions you get and why. Can you do anything to stop them from happening (clarify something on a document perhaps)? If it is a rush request, find out what is the minimum they can settle for and go with that (don't go overboard for something they don't expect). Can you say "no, now is not a good time, can it wait?". Can you delegate it?

10. Handle the pressure: stress can cause great problems. Identify it: is it someone who consistently does not deliver work? A lack of self-confidence? A poor working environment? Working with an overbearing colleague? Financial problems at home or at work?

    There are three main tactics:
    - Remove the source: whether a person or a physical source. See somebody about it and get something done.
    - Break the circuit: if you cannot remove the source, then you have to set up a circuit breaker to counter the stress produced.
    - Learn Relaxation techniques: the stress can be self-induced and if so, learn relaxation techniques. Exercise is always good, or listening to relaxing music. Etc.

4.6 Emotional Intelligence

Ever heard of it? What do you think it might mean?

Emotional intelligence (Ei) refers to a learned ability to perceive understand and express our feelings accurately and to control our emotions so that they work for us and not against us. It is:
- Knowing how you and others feel and what to do about it
- Knowing what feels good and what feels bad and how to get from bad to good
- Possessing emotional awareness, sensitivity and the management skills that will help us to maximise our long-term happiness and survival.

This has become a big influence in corporations and organisations around the world since the late 1990's. Research in the USA, UK, Europe and elsewhere has shown that Ei competencies:
- distinguished star performers;
- US partners high up in consultancy firms had high Ei and brought in 1.2 $ more profit;
- survey of managers in the UK supermarket chain revealed that those high on Ei underwent less stress, enjoyed better health, demonstrated higher level of morale and performance and reported a better quality of life;
- studies of 500 organisations world-wide indicate that people who score highest on Ei measures rise to the top of organisations.

Quotations about Ei

"(it is a rarity…)*To be angry with the right person, to the right degree, at the right time, for the right purpose and in the right way*." Arisitotle.

"*For leadership positions, emotional intelligence competencies account for up to 85% of what sets outstanding managers apart from the average*." Daniel Coleman, Working with Emotional Intelligence, 1998.

"*There is only one corner of the universe that you can be certain of improving; and that is your own self*." Aldous Huxley.

"*There is nothing either good or bad but thinking makes it so*." William Shakespeare, Hamlet.

"*You are either a part of the problem or a part of the solution*." Anonymous.

Intrapersonal + interpersonal = Ei

This is the inner –intelligence we use to know, understand and motivate ourselves

1. Self awareness
2. Emotional management
3. Self-motivation

This is the outer-intelligence we us to read, sense, understand and manage our relationships with other people

1. Relationship management
2. Emotional coaching

Core capabilities

Ten habits of emotionally intelligent people:

1. Label their feelings, rather than labelling people or situations
2. Distinguish between thoughts and feelings
3. Take responsibility for their feelings
4. Use their emotions to help make decisions
5. Show respect for others' feelings
6. Feel energised
7. Validate others' feelings
8. Practice getting a positive value from their negative emotions
9. Don't advise, command, control, criticise, blame or judge others
10. Avoid people who invalidate them or don't respect their feelings.

☞ Exercise on "Scoring your Ei". (To be announced by instructor)

(references and recommended book reading to be circulated shortly)