



Enterprise Impact News

EDIAIS Products and Services

The Enterprise Development Impact Assessment Information Service is jointly managed on behalf of DFID by the Institute for Development Policy and Management at the University of Manchester and Women in Sustainable Enterprise (WISE) Development Ltd.

The EDIAIS web site at www.enterprise-impact.org.uk includes Applications Guidance - on undertaking impact assessments in specific types of enterprise, Toolbox items - impact assessment methods and tools, Case Studies - demonstrating impact assessments carried out across a range of projects, the EDIAIS Bibliographic Database.

The EDIAIS enquiry service welcomes your questions and comments.

Enterprise Impact News is also available by e-mail in Word or pdf formats.

The EDIAIS e-mail discussion list can be joined at <http://lists.man.ac.uk/mailman/listinfo/enterprise-impact>

While stocks last the web site (as of March 2002) is available on CD.

Contact: Sarah Mosedale,
EDIAIS Project Research Officer
IDPM, University of Manchester,
Crawford House, The Precinct Centre,
Oxford Road, Manchester M13 9GH
Tel: 0161 275 0811,
Fax: 0161 273 8829,
Email: info@enterprise-impact.org.uk

Contents

- Empowering Enquiry 1
- Publications 3
- Web sites, Conference 4

Empowering enquiry

Linda Mayoux, Independent consultant, WISE Development, L.Mayoux@dial.pipex.com

This is an abbreviated version of a new paper, Empowering Enquiry: a New Approach to Investigation, recently added to the EDIAIS web site.

Impact assessment can itself contribute to empowering those taking part - and this need not involve any great additional expense. What is needed is a change in attitudes and power relationships throughout the investigation process, a rethink of the basic principles of investigation design and a focus on participatory methods backed up by thorough qualitative research.

Underlying Principles

The demands and expectations now being placed on impact assessment require a move towards participatory multi-stakeholder assessments which are capable of capturing the complexity of impacts of interventions across a variety of goals, stakeholders and levels. Impact assessments need to be able to make useful recommendations and contribute to setting up sustainable learning processes between stakeholders to increase long-term accountability of the development process and contribute to pro-poor development. The investigation process itself can contribute towards empowerment and hence to pro-poor development within the broader framework of strategic learning.

For enquiry to be empowering it needs to be underpinned by principles of mutual respect and equality between participants. Since everyone's time is precious, people should benefit from the time they give to the investigation. Starting from the positive and

constructive rather than from problems helps to encourage an attitude of self-reliance and collective action rather than dependence. Special attention must be given to hearing and prioritising the voices of the poorest and most vulnerable. The investigation needs to be linked to action and decision-making in order to justify resources diverted from implementation. And finally any investigation must be linked to an ongoing learning process and contribute to developing capacities and networks.

These principles draw on those of Participatory Learning and Action and also on an organisational change methodology called Appreciative Enquiry. This adopts an appreciative stance rather than a problem-centred approach. Its four main steps involve bringing out stories of the moments of achievement which the community or organisation most values, combining these to create a vision for the future, sharing exciting discoveries and possibilities and constructing the future through innovation and action. The fact that the ideas are grounded in past realities builds confidence that the desired future can be achieved. Empowering Enquiry differs from Appreciative Enquiry in making a conscious effort to address issues of difference, conflict and power relations as well as valuing consensus and social cohesion.

Empowering Enquiry, like all questioning, requires good interpersonal skills on the part of the enquirers. Participants ►



Enterprise
Development
Impact Assessment
Information Service



Institute for
Development
Policy and
Management



Women in
Sustainable
Enterprise (WISE)
Development Ltd.

DFID

Department for
International
Development

must be treated with respect and their generosity in giving up their time appreciated. At all stages it is necessary to question both methods and details of design to ensure the investigation is empowering. Questions as to whether the process really does build the capacity, skills and learning of participants, how learning is linked to action and whether the least powerful are properly represented should be readdressed as the enquiry progresses. The enquirer needs to be sensitive to moods, body language and time constraints and to the different cultural norms that shape these. If long lists of questions are really necessary for vital information on complex or sensitive issues, the questions should also help the respondent think through issues in ways useful to them.

Key steps

First comes stakeholder analysis. Areas of difference, consensus and conflicts of interest are identified. The characteristics of primary, secondary, institutional and key stakeholders are defined and the potential impacts of the intervention on each are assessed. The capacity of different stakeholders to participate is evaluated. This is followed by analysis of the information needs of different stakeholders, their potential contribution and any support that may be required. Any key secondary and institutional stakeholders who need to be included either to get information or ensure implementation must also be identified. This analysis then informs the design of participatory workshops and sampling methods. Since the main aim is to ensure representation and counter bias against the poorest and most vulnerable, sampling tends to be purposive rather than random.

Then, with different stakeholder groups, the question of what changes people would like to see is explored. This open ended scoping of development goals is progressively refined into different levels of indicator. Indicators are necessarily partial and selective and, since different stakeholders will have different priorities, the selection of goals is inevitably a political process. The focus of Empowering Enquiry is on increasing people's awareness of the range of choices and opportunities and making these visible and articulated in order to identify relevant indicators of change. However this does not rule out introducing issues based on external



Women from Ngangi Traders and Farmers Group after informal interviewing.

accountability and implementation of pro-poor changes. Analysis and dissemination of findings are therefore done through bringing together different stakeholder representatives at key points in the learning process, with care taken to include representation of the poorest and most vulnerable. The different views and potential conflicts of interest are then negotiated over time in order to arrive at agreed proposals and means of implementing practical programme or policy change. As well as more conventional forms like written reports of different

lengths and styles, methods such as photography and video, participatory workshops and intensive networking through annual fairs and other public events are used for more effective dissemination.

Impact on empowerment

Potentially participants stand to benefit across all four dimensions of power. In terms of *power within*, the investigation provides a forum for the articulation of their aims and objectives and develops or reinforces their self-confidence and self-esteem. In terms of *power to*, it offers the opportunity to contribute to their knowledge and understanding of their choices and opportunities, the forces that constrain them and how they may be able to realise these choices and overcome these constraints. In terms of *power with*, it provides a forum for networking as a basis for collective action for change. In terms of *power over*, it ensures that the voices of the most vulnerable are listened to and increases the knowledge of the currently powerful of the results of their actions and the need for change.

Conclusion

Empowering Enquiry presents the possibility of an investigation process which involves all stakeholders, including the very poor and vulnerable, in the whole process of investigation design, implementation, analysis and dissemination. No investigation is ever completely reliable but this method increases the likelihood of reliable information, realisable recommendations and ultimate implementation. The investigation process is also empowering for participants rather than being a mechanical extractive process which most of those involved wish to get over as quickly as possible in order to get on with their everyday lives or 'real development'. ■

analysis once all spontaneous views have been heard.

The next step is to find out what positive changes are occurring already, how these have come about and to what extent the programme intervention has contributed. This in itself is likely to highlight what people are actually aiming at and what they value most and reflecting on these achievements develops or reinforces a sense of self-confidence and self-worth.

This line of questioning then leads in to the more detailed discussion of things that still need to be addressed. In considering what still needs to change and what has prevented these things from being changed in the past, the main focus initially is not on what outsiders can or should do but on what people themselves have tried to do or could do. This again helps create confidence in their own strategies and initiatives rather than assuming that development interventions are the main forces for change in people's lives. It also helps to reduce unrealistic expectations from the investigation. A variety of methods can be used to bring out both positive and negative changes. These might include participants drawing images of success and failure and explaining them or constructing a scale bounded by extremes of success and failure and identifying where on the scale they consider themselves to be at present.

Many impact assessments in fact have little influence. This is partly because analysis and dissemination tend to be seen as one-off events rather than a strategic and ongoing process that progressively involves all or most key stakeholders. It is only through the involvement of a range of stakeholders that findings will gain general acceptance. Also, involving intended beneficiaries will help ensure downward

Publications



Foundations of empowerment evaluation.

Fetterman, D. M. Sage

Publications 2001

Employing both qualitative and quantitative methodologies, empowerment evaluation is the use of evaluation concepts, techniques, and findings to foster improvement and self-determination. David M. Fetterman explores its background and theory and goes on to present the three steps of empowerment evaluation: establishing a mission statement about a program; taking stock; and charting a course for the future, while using case studies to highlight these steps in practice. Foundations of Empowerment Evaluation also covers standards for using empowerment evaluation; caveats and concerns; how to distinguish empowerment evaluation from other approaches, using the Internet as a tool and finally looks at the strengths, limitations, and conditions of empowerment evaluation.



Appreciative inquiry and organizational transformation: reports from the field.

Fry, R. E. et al (eds) Quorum Books 2001

Positive organizational change does not have to be planned or managed top down in a linear, urgent manner. Rather, it can be “unleashed” or discovered by helping people within organizations to identify their own best experiences in the past, and then use them to imagine, design, and bring into being the organization they want. The method is called Appreciative Inquiry (AI). The volume editors and their panel of experts examine how AI works in practice, and how its many (and often surprising) benefits can be realized in just about any organization. The result is a major explication and source book for leaders, change managers, and human resources and organisational development specialists.



From the roots up: strengthening organisational capacity through guided self-assessment.

Gubbels, P. and Koss, C. World Neighbors 2000

This is a practical field guide designed to help grassroots NGOs and community groups recognize their own potential, identify critical issues for program

development, and decide for themselves what actions to take. It provides a set of practical tools and methods contextualised with insights into the major trends in development and perspectives in capacity assessment. It focuses on the practical aspects of participatory processes, combining, adapting and creating exercises, planning workshops, preparing for the fieldwork, working with facilitators and the analysis and documentation process.



Improved representations of change processes: improved theories of change.

Davies, R. 2002 saveable from www.mande.co.uk/docs/RDseville.doc

International aid agencies face major problems when attempting to evaluate their achievements because of the global scale of their work, the diversity of activities, intended beneficiaries, partner institutions and social contexts is enormous. This causes problems with representation. How can theories of change be adequately represented in summary forms that respect the complexity and diversity involved, but which also retain some economy and simplicity, and thus are usable by those in more senior positions? This paper identifies a range of types of change processes and the extent to which they can be represented within a conventional Logical Framework. It then outlines some alternative means of representing and monitoring those processes, both within the structure of the Logical Framework and by using other representational devices, along with some examples. In the process the solutions proposed show the relevance of evolutionary and complex adaptive systems perspectives to thinking about types of change processes.



Listening to clients: tools for assessing the financial service needs and preferences of the poor.

Sebstad, J. 2002. downloadable from <http://www.mip.org/componen/aims/publications.htm>

This technical note contends that the microfinance debate has moved beyond an emphasis on the negative impact (or not) of debt and the inappropriateness (or not) of credit for the poor towards a focus on developing new financial products that respond more effectively to the needs of the poor. Some market

research tools that have been used by AIMS and MicroSave-Africa are described. With adaptation to local contexts and environments, these and similar tools can generate information that can be useful in developing new products that match the needs and preferences of the poor.



Multi-stakeholder processes for governance and sustainability: beyond deadlock and conflict.

Henmati, M. UNED Forum 2002 available at www.earthsummit2002.org/msp/book.htm and published by Earthscan

Multi-stakeholder processes (MSPs) bring together all those whose interests are at stake in crucial social, economic, developmental and environmental debates, and for whom finding practical solutions as well as ways these might be implemented is essential. This practical guide explains how MSPs can be organised and implemented in order to resolve the complex issues in and around sustainable forms of development, while recognising the rights of, and risks faced by, all parties. It includes detailed examples of MSPs in practice and provides functional checklists, explaining how to bypass adversarial politics and achieve positive results.



Rethinking governance handbook: an inventory of ideas to enhance participation, transparency and accountability.

Centre for Global Studies University of Victoria (CFGS) 2001 www.globalcentres.org/html/docs/Inventory.pdf

Taken from a broad range of sources this guide gives detailed accounts of a number of different approaches (both tested and untested) to issues of governance aimed at international organisations to encourage innovation and good practice. The approaches - grouped loosely under the headings accountability, transparency and participation - include: consulting with civil society and NGOs (balancing the legitimacy of selective consultation with the inefficiency of broad based approaches; issues of effectiveness and privacy); decision-making rules (suggests ‘qualified majority’ options mark the way forward from the gridlock of inclusive ‘consensus’ decision and the inequity of ‘shareholder’ allocated voting methods); internet tools for participation and accountability and capacity building for the south. ■

Web sites

www.alarpm.org.au/

Action Learning, Action Research & Process Management Association Incorporated, an Australia-based organisation founded in 1991, is a strategic network of people involved in using action learning to generate collaborative learning, research and action in a variety of situations including education, business, agriculture, community, government and social change. Core values are identified as inclusion, collaboration, reflection, appreciation of diversity and challenging mindsets and paradigms. They produce the ALAR Journal twice a year and hold a World Congress every two or three years. They facilitate networking among their members, run several e-mail discussion groups and have close links with the Participatory Action Research Network.

www.stanford.edu/~davidf/empowermentevaluation.html

Empowerment evaluation is defined here as the use of evaluation concepts, techniques, and findings to foster improvement and self-determination. It employs both qualitative and quantitative methodologies. Although it can be applied to individuals, organizations, communities, and societies or cultures, the focus is usually on programs. Empowerment evaluation has an unambiguous value orientation — it is designed to help people help themselves and improve their programs using a form of self-evaluation and reflection. This page begins with a brief introduction to empowerment evaluation, followed by a more detailed presentation. A detailed list of Internet resources, software, handbooks and guides, and related associations is provided. In addition, information about the Collaborative, Participatory, and Empowerment section of the American Evaluation Association is presented.

www.pdforum.org/

PD Forum is a network dedicated to promoting a philosophy of participation that advocates for people's capacity and right to define and control their own development in order to achieve social justice and equality. The site includes a virtual

resource centre intended for practitioners, project officers, program managers and policy makers to draw upon in order to enhance their understanding and practice of participation. It is a compilation of electronic postings, containing abstracts with links to full papers, which can be searched or browsed. It is intended to be an informal and up-to-date forum for the documentation and discussion of participatory projects and experiences with participatory methodologies. The site also includes details of the Forum's members, a report from its 2002 conference, Participation for Global Action and Change, and papers from this and a previous conference. There are links to other sites and back issues of the Forum's newsletter (apparently no longer being produced).

www.eldis.org/participation/

One of the key sites for material on participation, the ELDIS participation web site offers access to a huge quantity of material on various aspects of participation, grouped into subject areas such as: gender, social and community forestry, common property issues, citizenship and governance, theory of participation, manuals and tools, education, water resource management, indigenous knowledge and more. Abstracts describing current research are written in an accessible style and frequently linked to full papers. The ELDIS participation resource guide is available and links to key participation web sites are included.

www.toolkitparticipation.nl/

This toolkit is a description of a range of policy instruments available to local authorities for the promotion of citizen participation in local governance and/or available to citizens and their organisations to enforce participation. The description includes the target group, function of the instrument, the phase in the policy cycle to which the instrument applies, the actors involved, the institutional context and preconditions for its use, as well as the potential and limitations of the instruments. The site features a database of over hundred of cases in

participation in local decision making all over the world. It is easily accessible by a powerful search engine that needs only a few keywords. Also included is an analysis of these case studies, a glossary of terms used and a bulletin board to which visitors can contribute.

www.id21.org/id21-info/impact/summary.pdf

This is a summary of the report *id21: tracking routes towards impact*, which aims to assess id21's success in increasing the influence of UK-funded research within international development policy. The study first examines the ways in which policymakers access and employ research. It then uses these findings to assess the validity and performance of the dissemination methods id21 currently uses. A link to the full report is given.

Conference

Empowerment of women through information and knowledge: from oral traditions to ICT

20 May - 2 June 2003

Pune, India

Organised by SNTD Women's University (Mumbai) and the Centre for Women's Development Studies (New Delhi), this international conference will be a place for scholars, researchers, information professionals, activists and policy makers to exchange experience, knowledge and insights. Sub themes include: the information and knowledge chain; repositories of women's information and knowledge (I&K); organising women's I&K; disseminating women's I&K; sectoral I&K; special categories and groups (of women); capacity building through ICT. Reduced fees for participants from developing countries. For more information visit <http://gendwaar.gen.in/> ■

Enterprise Impact News was edited by Sarah Mosedale, Project Research Officer, as part of the Enterprise Development Impact Assessment Information Service (EDIAIS), which is managed jointly by the Institute for Development Policy and Management at the University of Manchester, and Women in Sustainable Enterprise (WISE) Development Ltd.